PROFESSIONAL CERTIFICATION: THE PROCEDURES

ESTABLISHED, THE ISSUES ADDRESSED AND

THE QUALIFICATION CRITERIA ADOPTED

BY PROFESSIONAL ASSOCIATIONS

AND SOCIETIES

By

JERRY W. GILLEY

Bachelor of Science
Mankato State University
Mankato, Minnesota
1974

Master of Arts in Human Relations
Louisiana Tech University
Ruston, Louisiana
1983

Submitted to the Faculty of the Graduate College
of the Oklahoma State University
in partial fulfillment of the requirements
for the Degree of
DOCTOR OF EDUCATION
July, 1985

PROFESSIONAL CERTIFICATION: THE PROCEDURES

ESTABLISHED, THE ISSUES ADDRESSED AND

THE QUALIFICATION CRITERIA ADOPTED

BY PROFESSIONAL ASSOCIATIONS

AND SOCIETIES

Thesis Approved:

_____
Thesis Approved

_____

_____

_____

_____
Dean of the Graduate College

ii   1238327

DEDICATION

This project is dedicated to the memory of my father

Bert B. Gilley

(B.L. McGill)

October 29, 1919 - March 6, 1981

ACKNOWLEDGMENTS

It was once written that "Behind every cloud there is a rainbow," an expression which fittingly describes the doctoral process. As I reflect on this arduous process, many individuals come to mind which deserve recognition. I would like to express my gratitude to my committee for their guidance and effort during this academic endeavor. Each member of my committee contributed willingly their time and talents to make this project a reality. A special thanks is extended to Dr. Jerry Davis and H. Gene Smith for their contribution. I would like to express my appreciation to Dr. Paul Harper for the extension of friendship integrated with a special professionalism which motivated me to seek the highest levels of academic achievement. To Dr. William R. Venable, committee chairman and dissertation adviser, a note of deep appreciation for his expertise and interest in this study and dogmatic determination to advance my writing skills. I hope that you can resist editing this acknowledgment "but if not, I do understand."

I am forever gratful to my friend amd mentor, Dr. Michael Galbraith, for his friendship, professionalism, and patience. His encouragement has been invaluable and I hope I can pass on much of the knowledge gained through this special relationship.

A special thanks is extended to Kay Porter for helping me manage this project and for typing this manuscript. To Jill-Kim for her time and to Marie Roe (Mom) for her patience, love, and assistance in the final days of this project, I want to thank you.

I would like to thank my Mom for her love, patience, and courage throughout the years. Her example has always balanced my life and will continue to provide me with direction and guidance. To my Dad, "for whom this project is dedicated", your memory serves as a beacon and your courage and toughness as a continual inspiration. Thank you both for the many years of love and understanding.

Finally, I want to express to my children, Andrea (Andi), Melissa (Liss), Shannon (Rocky), and Michael (Peckerwood) my love and thanks for putting up with a "crazy man" for the past four years. I hope someday to express my gratitude. To my wife, Gail (Matt), a special person which has endured this process with me and has been a constant source of encouragement and love. A "little lady" which gave of herself so I could fulfill a dream. "A person who has made my life complete", thank you.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

CHAPTER I

INTRODUCTION

In 1979, the American Society for Association Executives (ASAE)

reported that more than 425 associations were offering certification

programs (Galey, 1979). According to Galey (1979), associations develop

programs for certification to meet several goals:

1. To increase the visibility of the field and of the
    association,
2. To increase the recognition of qualified workers in the
    field,
3. To improve the performance and qualifications of the
    membership, and
4. To enhance the prestige of the association and its
    members (p. 34).

Miller (1976) revealed that a principal reason for the emergence of

certification programs is "the recognized need to promote the

professional competencies of the association and society's membership"

(p. 6). The advancement of professionalism has also been propagated as a

motive certification. Scheer (1964) provided eight criteria that

distinguish a profession from a vocation, one of which is that a

profession "provides for certification of proficiency before a member can

achieve professional status" (p. 261).

The increased interest in certification programs by professional

associations and societies has stimulated several organizations to

consider establishing a nonprofit corporation for the purposes of

conducting certification research and providing consulting services.

One such organization is the National Society for Performance and

Instruction. This group has joined forces with the Association for Educational Communications and Technology in order to develop an non-profit corporation dedicated to certification research.

Westgaard (1983) revealed that the lack of research focused on professional certification forces associations and societies to duplicate the actions of other associations. This duplication increases the cost of implementing a certification program, drains the human resources of the association, extends the process, increases the probability of errors and provides an opportunity for division within the organization. But he believed that research which reveals the necessary procedures to be followed, identifies the issues that must be addressed, and prioritizes the criteria used to determine the qualifications of applicants, can provide professional associations with needed direction and guidelines for the development of a certification program.

Statement of the Problem

Professional associations duplicate research and expend unnecessary human and financial resources in certification program development due to the lack of guidelines concerning common procedures and issues and applicant qualification criteria.

Purpose

The purpose of this study is to collect data about the procedures established and issues addressed by professional associations in the development of professional certification programs and to identify and prioritize the criteria for professional practice required by certifying

boards in order to assist professional associations in the consideration of and development of certification programs.

Research Questions

The following questions need to be answered:

1. Which procedures have professional associations established in the development of their certification programs?

2. Which issues have professional associations addressed in the development of their certification programs?

3. Which criteria are used by professional associations when determining the qualifications of individuals for certification?

4. Which criteria are more and which less important in determining the qualifications of individuals for certification?

Limitations of the Study

The following limitations apply to the study:

1. Only associations identified as members of the American Society for Association Executives (ASAE) were examined.

2. The Encyclopedia of Associations was used to determine the association's scope and only associations identified as having a national scope were surveyed.

Assumptions

The following assumptions apply to this study:

1. The data reported by the professional associations which have implemented certification programs were accurate and representative.

2. The population of the study was representative of professional

associations who have implemented certification programs.

Definition of Terms

The following terms were used in this study:

Accreditation–The process whereby an agency or association grants public recognition to a school, college or university that meets certain predetermined qualifications or standards (Bratton, 1984a).

Cannibalism–The recruitment of individuals from professional associations in order to strengthen another association.

Certification–Recognition by a professional organization or an independent external agency of the competencies of individual practitioners (Bratton, 1984).

Certifying Board–An independent body, which may or may not be related to the parent organization, that is responsible for the administration of the certification program.

Criteria–The statement of standards used to determine the qualification of applicants for certification.

Grandfathering–The process of allowing experienced individuals to receive certification status without requiring them to engage in the activities required for certification and/or meet the standard qualifications of applicants.

Licensure–Mandatory legal requirements for certain professions, enforced by a governmental body, for the protection of the public from incompetent practitioners (Bratton, 1984a).

Model–A miniature representation of a program that helps explain a phenomenon by pointing out its essential characteristics.

Professional Association—An organization of individuals with a
common interest in advancing the profession and individual skills of its
members (used interchangeably with "society").

Recertification—The re-examination of applicants against
predetermined criteria to determine whether they should maintain
certification status.

Revocability—Removal of the certification status of an individual
for serious ethical or legal violation.

Society—An organization of indivduals with a common interest in
advancing the profession and individual skills of its members (used
interchangeably with "professional association").

Task Force—A group of individuals dedicated to the development of a
certification program.

Testing—The evaluation of candidates for certification which may
include performance and/or "pen and paper" examinations.

Organization of the Study

Chapter I provided an introduction to and background of the study.
It also included the statement of the problem, the purpose of the
research questions, limitations of the study, assumptions and definition
of terms. Chapter II included a review of the related literature on
certification, analysis of certification criteria, and analysis of
professional associations which have implemented certification programs.
Chapter II also included an analysis of related research and the
activities of several professional associations.

Chapter III included the procedures utilized in this study, the
population and sample of the study, the instrumentation, and an

explanation of how the information was analyzed. The findings of the study were presented in Chapter IV. Chapter V consisted of the conclusions, summary, implications, and recommendations of the study.

CHAPTER II

REVIEW OF LITERATURE

In May 1982, training and development professionals were asked

whether they would choose to apply for certification if a voluntary

certification process were to be developed under the sponsorship of an

independent professional association. Seventy-six percent responded "yes".

Sixty-seven percent of those interviewed felt that a certification process

for trainers would provide direction and guidance to newcomers in training

and 49 percent felt it would improve the average level of performance in

the training field ("Should Trainers be Certified"?, 1982).

According to Bratton and Hildebrand (1980),

> Professional certification rests on the assumptions that
> those served by members of the profession cannot
> adequately judge the merits of professional services
> received at the time those services are being rendered,
> and that only members of the same profession are
> qualified to judge whether one of its members possesses
> the knowledge and skills to practice the profession in a
> responsible way. Hence, the primary responsibility for
> establishing and maintaining certification standards
> rests with the profession itself (p. 23).

Bratton and Hildebrand (1980) continues by adding that the professional

association which represents a profession is the most logical vehicle to

monitor one's professional activities and requirements.

In the past, some professional societies developed certification

procedures arbitrarily. Today a three-stage pattern is almost

universally followed. First, professional competencies are identified,

field-tested, refined and endorsed by the society. Second, professional

standards or minimal levels of competency performance are established.
And third, certification programs are established as a way to encourage
individuals to develop all of the competencies and to carry them out at
professionally prescribed levels (Venable and Gilley, 1984).

Several professional societies related to the field of training and
development have committed themselves to the implementation of
professional certification procedures for their memberships. The
American Society for Training and Development (ASTD) is considering the
issues of certification through its Professional Standards Task Force
(Venable and Gilley, 1984).

The purpose of this chapter is to review literature related to the
concept of professional certification, the history of certification, the
purposes of certification, the procedures and issues in the field and the
criteria used by professional associations and societies when implementing
a certification program. This review has been divided into 10 major
areas: (1) History of Credentialing, (2) Accreditation, Certification,
and Licensure, (3) Purpose of Professional Certification, (4)
Professionalism, (5) Procedures For Implementing Certification, (6)
Professional Associations' Certification Criteria, (7) Analysis of ASTD's
Certification Activities, (8) Professional Associations' Purposes,
Activities, and Motives for Professional Certification, (9) American
Society for Personnel Administrator's (ASPA) Miller Report, and (10)
Issues Addressed When Implementing a Professional Certification Program.

History of Credentialing

The earliest record of credentialing can be traced to ancient
Athens (Fedyk, 1983). Derbshire (1969) cited that Fredrick II, Emperor

of the Holy Roman Empire, developed the first medical credentialing practice during the 13th century. Each of these examples reflect that credentialing has existed in the work place for several centuries.

In the United States, the first known certification programs for were affilitated with the church in order to guarantee that schoolmasters maintained orthodox religious beliefs (Huggett and Stinnett, 1956). However, as the country began to expand and each local community established individual criteria for instructors, the depth and degree of commonality of each varied greatly (Fedyk, 1983). Shortly after World War II, the National Education Association instituted a professional standards movement. There remained a variety of certification types and a number of levels of certification remained, continued and still exist today (Huggett and Stinnett, 1956). During the past three decades, federal and state governments have attempted to insure high standards of teacher preparation to improve the certification process and to establish a uniformity of requirements (Fedyk, 1983).

The development of teacher certification serves as the foundation of the present certification movement. However, as Bratton and Hildebrand (1980, p. 23) pointed out, "Professional certification should not be confused with teacher education certification. The latter is a misnomer, because in reality it is a licensing mechanism regulated by a local body."

Therefore, the professional certification movement, founded in teacher certification, arose in response to a "recognized need to promote the pro-fessional competence of associations' memberships" (Miller, 1976, p. 9). Another contributing factor to the growth of professional certification is that certification is perceived as a tool which maintains the size of the the membership (Miller, 1976). Finally, the rapid expansion of knowledge

and technology has placed additional pressure on members to achieve and

maintain professional competencies, and the certification process is

viewed as an essential element in that acquisition (Miller, 1976).

Accreditation, Certification,

and Licensure

While accreditation, certification, and licensure all attempt to

regulate the measurement of competencies, the methodology, population,

and purposes of regulation differ (Bratton, 1984a). Because of this,

accreditation, certification, and licensure should not be used

synonymously. However, in practice, these terms are used interchangeably

and increase the confusion and application of each (Bratton, 1984a).

The fact that these terms are sometimes used in combination presents

another difficulty. As Penland (1982) cites:

> Definitions become a staggering problem. To some professionals
> certification may appear to be combined with accreditation; for
> instance, program certification may exhibit some of the
> processes and other semblances of accreditation causing some
> educational professionals to believe certification and
> accreditation are one and the same. Besides, the term
> certification has been used as a catchall phrase for a number
> of different processes that apply to 'credentialing' of
> institutions and individuals. The fuzziness of definition has
> resulted in misunderstanding and frustration on the part of
> those concerned with the topic and has impeded communication
> (p. 11).

The differentiation of accreditation, certification and licensure

increases the misapplication of each. Bratton and Hildebrand (1980)

provide the following distinctions:

> Accreditation is the process whereby an agency or association
> grants public recognition to a school, college, or university,
> or specialized study program that meets certain predetermined
> qualifications or standards.

> Certification is the process by which a professional
> organization or an independent external agency recognizes the

competence of individual practitioners.

Licensure is a mandatory legal requirement for certain professions in order to protect the public from incompetent practitioners. Licensing procedures are generally established or implemented by a political governing body that prescribes practice without a license (p. 22).

Bratton and Hildebrand (1980) developed a diagram that summarizes the differences among accreditation, certification and licensure. This figure provides a synopsis of the previous definitions (Table I).

Venable and Gilley (1984) added an additional explanation.

Accreditation is a voluntary process by which an independent agency grants recognition to an educational program or institution.

Certification is also a voluntary process by which an independent agency recognizes the competence of the individual.

Licensure is a mandatory process by which the government permits the individual to practice in designated professions. Its primary purpose is to protect the public from incompetent practitioners (p. 1,2).

The primary purpose of both accreditation and certification is to focus favorable attention upon the competent institutional program or individual practitioners. While persons within the professions under licensure cannot practice without a license, institutions can function without accreditation and persons within certified professions can practice without the certificate.

Regardless of the obvious distinctions between the three terms, associations continue to use the terms interchangeably. The American Society of Personnel Administrators (ASPA) sponsors three levels of 'accreditation' (Venable and Gilley, 1984). The accreditation process is individually based, the credentialing body is an association and the process is voluntary. Using Bratton's figure and criteria, this process appears to meet the qualifications of certification, not those of

TABLE I

COMPARISON OF ACCREDITATION LICENSURE,
AND CERTIFICATION

Type of Credential	Recipient of Credential	Credentialing Body	Required or Voluntary
Accrediatation	Programs	Association/ Agency	Voluntary
Licensure	Individual	Political Body	Required
Certification	Individuals	Association/ Agency	Voluntary

accreditation, the term employed by ASPA. This example illustrates the confusion regarding the definition of the term certification.

Purpose of Professional Certification

The term "purpose" refers to the end results that are desired and is viewed as the mission of a process or activity. Fedyk (1983) cited three primary purposes of certification: (1) the protection of the public by ensuring standards of performance, (2) the advancement of a profession, and (3) the management of three social functions: control, information, and social selections.

Another purpose of certification was presented by Coscarelli (1984) as "a means of establishing a field's prestige and, hence, the prestige of its practitioners" (p. 22). Lawrence (1981, p. 38) also contributed by saying that the role of certification was the "restrictions of supply." Finally Venable and Gilley (1984) identified seven purposes of certification.

1. Protect client/employer
2. Avoid external regulations
3. Improve academic programs
4. Enhance prestige of the field
5. Increase influence of society/association
6. Assure professional competence
7. Stabilize individual job security (p.9)

Certification is used to identify qualified practitioners, recognize their expertise in a particular field and assist in the self development and improvement of individuals by identifying a body of knowledge and establishing professional standards. Top level management approval is offered as a purpose of certification while senior level practitioners, consultants and educators view certification as a method for remaining

current and improving their performance and proficiency ("Certification
to Perform Federal Personnel Work," 1979).

According to Voss (1984), the Director of Professional Standards and
Development for ASTD, certification is viewed as an income producer for
an association which is restraining the amount charged for membership
dues. Certification provides individuals the opportunity to distinguish
themselves from peers and colleagues. He added that the preparation for
certification is seen as a learning experience and as an encouragement
for individuals to remain in their field. Finally, associations, whose
primary purpose is to provide service to their members, perceive
certification as an additional service and as a feedback instrument for
academic curricular design.

The purposes of certification differ in degree, depth, and
interests. However, a quote by St. John (cited in Miller, 1976) appears
to summarize this issue.

> The benefits of certification programs are substantial for the
> individuals concerned, their employers and society . . .
> Regardless of the value of the designation itself, candidates
> are required to increase their own knowledge and ability in
> their field of endeavor. It is in the preparation for certi-
> fication that its greatest benefit is realized. This emphasis
> on self improvement and education is satisfying to the indivi-
> dual, valuable to his employer, and ultimately increases the
> quality of product and services to everyone (p. 2).

Professionalism

Miller (1976) cited the advent of professionalism as a primary
motivation for professional certification. The definition of a
professional and what constitutes a profession varies. But as Cogan
(1966) said,

> A profession is a vocation whose practice is founded upon an
> understanding of a theoretical structure of some department of

learning a science, and upon the abilities accompanying such understanding. This understanding and these abilities are applied to the vital practical affairs of man. The practices of the profession are modified by knowledge of a generalized nature and by the accumulated wisdom and experience of mankind which serves to carry errors of specialism. The profession, serving the vital needs of man considers its first ethical consideration to be the altruistic service to the client (p.10).

Bullett (1981) defined a profession as

. . . a field of human endeavor with a well-defined body of knowledge, containing basic principles common to all applications and techniques unique and to the field, with practitioners skilled and experienced in applying these techniques, dedicated to the public interest (p. 5).

Both of these definitions contain common elements which include: (1) specialized body of knowledge, (2) application of developed competencies, (3) common principles, and (4) a dedication of the public interest.

Scheer (1964), maintained that a profession contains several essential characteristics. Each of these characteristics are interretated and vital to the development of a profession. He believed that the importance placed upon different characteristics varies from profession to profession. According to Scheer (1964), a profession maintains the following characteristics:

1. Develops a code of ethics, not only in writing but branded into the conscience and conduct of its practitioners.
2. Possesses a vast body of organized knowledge, developed by predecessors over the years, and available to newcomers, who in turn perpetuate, refine, and add to it for the next generation.
3. Calls for specific skills unlike those of other professions.
4. Requires that its members receive a certain defined formal instruction, preferably leading to a degree from a recognized institution of higher learning.
5. Provides for certification of proficiency before a member can achieve professional status.
6. Follows an orderly process in the fulfillment of responsibilities.
7. Offers opportunity for the promulgation and interchange of ideas among its members.
8. Demands an acceptance of the disciplines of the profession, realizing that the price of failure or malpractice is 'out'

of the profession (p. 258-261).

Whyte (1977), after studying the development process of a number of professions, established six stages of professional development. First professional development began with an informal association of interested persons. The recognition of a distinct body of knowledge is seen as the second stage. The formal organization of practitioners into an institute or society and the establishment of entry requirements based either on experience alone or a combination of experience and qualification are the next two stages of professional development. Fifth, the establishment of ethical and disciplinary codes is essential. The revision of entry requirements whereby academic qualification and a specified period of experience is mandatory is the final stage of professional development.

Warzynski and Noble (1976) identified five distinct stages in the process of professionalization.

1. A group of individuals begins working on a full-time basis to perform a service in response to a pressing societal need.
2. Since specialized knowledge and training are necessary to perform this service, a training school (usually university-based) is established.
3. The graduates of the training school push for prescribed training and form a professional association.
4. The professional association wins political support and is granted the privilege of licensing or certifying its members under the law.
5. The professional association adopts a code of ethics to regulate and conduct of its members and to ensure appropriate service to clients (p. 13).

Both the developmental process of a profession (Whyte, 1977 and Warzynski and Noble 1976), and the characteristics that constitute a profession (Scheer, 1964), require that professional certification or the establishment of entry-level requirements be instituted. The similarity between these two appears to support Miller's (1976) premise that professionalism is a prime motivator for professional certification.

Professional Development Activities of ASTD

In 1970 ASTD's Professional Standards Committee identified the following criteria of a profession:

1. The profession has a specialized body of knowledge,
2. The needed body of specialized knowledge is communicable,
3. The profession has a strong professional organization, and
4. The profession sets its own standards (Hatcher, 1974, p. 9)

In 1972, the membership of ASTD voted against certification as a process by which professional development was to be obtained. As an alternative, the Professional Standards Committee was asked to examine and concentrate its efforts on acquiring the basic competences of training and development professionals (Hatcher, 1974).

Because of an increased awareness of the need for and interest in professional development, ASTD in 1976 commissioned the Professional Standards Committee to study the "competencies required for effective performance in training and development" (Clements, Pinto, and Walker, 1978, p. 10). Of 999 respondents, 194 or 19.3 percent cited the lack of professional development as the principle unethical behavior of training and development professionals. This behavior was the most frequently mentioned and was 4.8 percent higher than the next highest behavior (Clements, Pinto, and Walker, 1978).

ASTD's next research activity produced a comprehensive list of 31 competencies and identifed 15 roles of training and development professionals. This study, known as the Models for Excellence, provided the first complete list of training competencies and as McCullough (cited in Venable and Gilley, 1984, p. 7) indicated, "because of the results of the competency study, ASTD was now ready to make a decision about certification."

In April of 1984 the Board of Directors of ASTD commissioned the Professional Standards Task Force to conduct research that addressed the issue of professional standards and certification. The Task Force met to "develop a research model for gathering perceptions about professional standards and certification for the membership and affected others" (Venable and Gilley, 1984, p. 7). In addition, an analysis was initiated of the procedures, issues, and criteria followed by other professional associations and societies in implementing their certification programs.

The definition of a profession, the characteristics that constitute a profession and the process of its development provide evidence that supports the premise that professionalization includes some forms of regulation or control. However, the development of a body of knowledge or competencies appears to supercede the implementation of a regulatory mechanism (Bratton and Hildebrand, 1980). The activities of ASTD follow this pattern and serve as a model for the association to follow.

<div style="text-align:center">

Certification Program Implementation

Procedures

</div>

The Webster's Seventh New Collegiate Dictionary defines procedures as: a particular way of accomplishing something; a series of steps followed in a regular definite order. This definition implies an orderly, logical process of accomplishment. However, as Bratton and Hildebrand (1980) stated:

> A professional association's decision to undertake a certification program is not necessarily based on empirical data. Rather, certification first seems 'the appropriate thing to do'. Then, if the notion is tentatively acceptable to the profession's key leaders, more rigorous investigation determines member acceptance and potential cost benefits (p. 24).

The procedures utilized by professional associations are based upon their philosophical commitment to the concept of certification and not necessarily upon empirical data.

The Georgia Model for Counselor Certification identifies six essential stages of development: (1) conduction of a needs assessment, (2) creation of conceptual framework for meeting the previously identified needs, (3) development of procedures for verification of the competencies decided in Stage 2, (4) development of competency assessment procedures, (5) development of training models to assist in professional development, and (6) field-testing of the assessment instrument and training models (Bernknopf, Shultz, and Ware, 1979).

Each stage of the Georgia Model provides a foundation for the next stage. The importance of identifying and assessing competencies is pointed out by Bratton and Hildebrand (1980, p. 24): ". . . at the heart of any professional certification program are the competencies identified as important and unique to the profession." One third of the Georgia Model, stages three and four, is dedicated to the issue of competencies and other stages, five and six, are developed according to the competencies previously identified.

Bratton and Hildebrand (1980) pointed out that there are three essential prerequisites for establishing a certification program. They include:

1. A group of colleagues who, for whatever reason (internal or external forces), believe certification is desirable,

2. A professional association or organization that speaks for the field and is willing to assume the leadership in establishing and administering such a program, and

3. A statement of the competencies that describe a competent practitioner (p. 24).

Once the prerequisites have been met, the process of developing a certification program can be initiated. They believed the process consisted of three stages: the orientation stage, where a few professionals become vocal about certification; the committee stage, where associations appoint a group of its members to develop a competency statement; and the implementation stage, where essential questions are addressed and associations establish administrative procedures and qualification criteria.

In summary, the basic procedures used by associations and societies consist of (1) birth of an idea, (2) task force organization and analysis of the problem, (3) adoption, (4) implementation, and (5) maintenance (Silber, 1984). The time spent at each stage varies from association to association and the total elapsed time also varies greatly (Silber, 1984).

<div style="text-align:center">

Professional Association

Certification Criteria

</div>

Professional association certification programs contain essential requirements that must be successfully completed prior to the awarding of certificates (Venable and Gilley, 1984, Westgaard, 1982, Weiss and Young, 1981, Galey, 1980). Westgaard (1983) maintained that the following certification criteria are generally used to insure competence:

1. Graduate from an accredited training program,
2. Pass a proficiency test,
3. Serve an internship,
4. Ddevelop a portfolio documenting achievement, and
5. Be recommended by a practicing professional (p. 4). (See Figure 1).

Westgaard (1983) pointed out advantages and disadvantages to each requirement and illustrated that varying occupations emphasize and

highlight different criteria. The information in Figure 2 presents the eclectic approach utilized by differing occupational groups.

Weiss and Young (1981) analyzed four broad occupational categories in order to determine the certification criteria utilized by each. The occupational criteria included engineering (including data processing), finance (including banking), health care, and management. They concluded that five certification norms are apparent. First, certification is achieved through the passing of an examination. Second, experience within a particular field is required with an emphasis on specific training. Next, most applicants provide references and/or adopt a formal code of ethics. Fourth, the revocation of certification for failing to maintain certification requirements is common. Finally, recertification after a specific period is widely accepted. The degree of adherence to norms of certification varies greatly as illustrated in Figure 3.

The Association of Educational Communications and Technology (AECT) identified two additional criteria when they developed their certification program. The association required applicants to possess a baccalaureate degree. And, AECT maintained an advanced testing procedure consisting of three parts: a written section, a performance/portfolio assessment, and an oral evaluation (Galey, 1980).

AECT's criteria paralleled the requirements established by Weiss and Young and is supported by the research conducted by Venable and Gilley (1984). Their research concluded that associations and societies maintain six common certification criteria. They are:

1. Membership in a professional society,
2. Completion of an accredited program of study,
3. Supervised internship or practicum,
4. Minimal number of years of professional experience.

Job	A	B	C	D	E*
Accountant		X			
Baseball Umpire	X	X	X		X
Instructional Developer				X	
Lawyer		X		X	
Medical Doctor	X	X	X		
Mechanic	X				
Plumber			X		
Teacher	X		C		

*Teachers and medical doctors are recommended by the people who supervise their internships (Westgaard, 1983).

Legend: A = Must graduate from an accredited school.
  B = Must plass an "official" test or examination.
  C = Must have completed a supervised internship.
  D = Must have a comprehensive list of documents that provide evidence of their competencies and knowledge.
  E = Must be nominated or recommended by an individual currently in the field.

Figure 1. Professional Certification Grid

Norms of Certification	Total Program %	Engineering %	Finance %	Health Care %	Management %	Other %
Examination Required	100	100	100	100	100	100
Experience Required	100	100	100	100	100	100
Specific Training Required	100	100	100	100	100	100
References or Ethical Standards Required	61	60	78	38	100	71
Revocation of Certification Possible	41	70	33	8	100	43
Periodic Renewal of Certification Required	84	80	44	100	100	100
Continuing Education Required	48	50	22	54	100	29

Source: (Weiss and Young, 1981)

Figure 2. Analysis of Adherence to Norms for Certification

5. Personal and professional references, and
6. Successful completion of written and/or performance examinations (p. 2).

Their research further cited that most certification programs are competency-based, require certification after a specific period of time, and are revocable for unethical behavior (Venable and Gilley, 1984).

Jacobs (1979) listed several guidelines to assist in determining if the criteria used by an association are considered reasonable:

1. Criteria should be no more stringent than necessary to assure that minimum competency or quality levels have been attained by applicants.
2. Any combination of reasonable education, experience or examination requirements can be used as criteria for certification.
3. Criteria for certification must not have the purpose or effect of unreasonably restricting or boycotting competitors.
4. Criteria for certification should include continuing requirements and periodic reassessment of those previously certified.
5. Criteria should be established after reasonable notice to all those who may be affected by certification requirements (p. 5).

In addition, Jacob (1979) has also identified several guidelines in order to assure that qualification criteria are administered fairly to all applicants. (See Appendix A)

Analysis of ASTD Certification Activities

ASTD first considered certification in the early 50's. As recounted in a "Professional Standards Committee Report of Activity" (1953),

> Much thought was given to the problem of certification since it is definitely related to the matter of achieving professional status. The adoption of a certificaton program was conceived to be a positive step in the direction of providing means of encouraging training people to improve their practices and to provide a measure of an individual's fitness in the occupation. After considering the matter at some length the conclusion was reached that this is not the appropriate time to deal with the question of certification. Certain other conditions must be present before a program of this kind can be successfully

operated with beneficial results to all concerned. Since
consideration cannot be delayed indefinitely if training is to
establish itself as a real profession, it may be desirable to
make a thorough study of the entire matter as a basis for
future action by the American Society of Training Directors
(p. 35).

ASTD's first experience with certification began in 1972 when

the membership overwhelmingly voted down a general certification plan

at their national conference in Houston, Texas, (Hatcher, 1974).

According to Hatcher, "the general consensus was that members were less

concerned with being certified as professionals and more concerned with

how to acquire basic knowledge and skills to perform competently" (p. 9).

As a direct result of the consensus of ASTD members, the Professional

Standards Task Force established a three phase professional development

program which consisted of the preparation of a manual for the

professional development of trainers, the development of an external

degree program in training and development to be offered nationally, and

the adoption of professional certification if and when appropriate

(Hatcher, 1974).

ASTD continued to postpone the issue of certification until after

the development of a comprehensive list of competencies. The Models

for Excellence was published under the direction of McLagan (1983).

It listed 31 competencies and identified 15 roles of training and

development professionals. According to McCullough (1983), the

publication of the competencies resulted in six essential recommendations

for ASTD, one of which was that "ASTD should revisit the questions of

certification and accreditation with the aim of arriving at a decision on

each of these very complicated and difficult issues given the results of

the study" (p. 28).

In April of 1984, the Board of Directors of ASTD commissioned the

Professional Standards Task Force to conduct research that addressed the issue of professional standards and certification. The Task Force met to "develop and research models for gathering perceptions about professional standards and certification from the membership and affected others" (Venable and Gilley, 1984, p. 7). In addition, an analysis of the procedures, issues, and criteria followed by other professional associations and societies when they implemented their certification program was instituted. Finally, members of ASTD were invited to present their personal views of certification as they related to human resource development professionals at the 1984 ASTD National Conference in Dallas, Texas.

<div align="center">

Professional Association Purposes, Activities,

and Motives for Professional Certification

</div>

Galey (1979) indicated that associations develop programs for certification to meet several goals:

1. increasing the visiblity of the field of an association,
2. increasing the recognition of qualified workers in the field,
3. improving the performance and qualifications of the membership, and
4. enhancing the prestige of the association and its members (p. 34).

According to Morrison (1984) and Westgaard (1984), the initiation of the professional certification program by an increasing number of associations reflects that these goals are being attained.

Bratton and Hildebrand (1980) believed that professional associations and societies have become responsible for certification because

> Professional certification rests on the assumptions that those served by members of the profession cannot adequately judge the

> merits of professional services received at the time those
> services are being rendered, and that only members of the same
> profession are qualified to judge whether one of its members
> possesses the knowledge and skills to practice the profession
> in a responsible way. Hence, the primary responsibility for
> establishing and maintaining certification standards rests with
> the profession itself (p. 23).

Since the development of standards is the responsibility of a profession,
and the professional association serves as the representative of the
profession, it would appear that the professional association would
institute certification programs.

Jacobs (1979) believed professional certification programs are
growing because they

1. Provide prestige, recognition and earning power for the
   individual,
2. Enable the public to distinguish between those that have
   attained some qualifying level of competency from those
   who have not, and
3. Encourage and recognize higher professional achievement
   (p. 3).

Miller (1976) added that associations and societies develop certification
programs in order to promote the professional competence of their
memberships and to prevent the cannibalization (the recruitment of
individuals from other professional associations in order to strengthen
one's own) of their members by other professional associations.

Activities

In an effort to develop certification programs, associations have
engaged in several activities in which to win support for their programs
(Hale, 1984; Miller, 1976). The National Society for Performance and
Instruction (NSPI) Professional Standards Committee published
performance-based standards, conducted a major literature search that
cross-referenced published materials and competencies, and wrote and

listed assessment simulation as a part of its effort to promote certification. NSPI also met with attorneys to discuss legal implications of setting competencies and offering certification. They also met with an accountant to discuss the financial, tax and administrative implications of establishing a certification program. They then met with representatives currently administrating successful certification programs and presented workshops and programs at local and national conference concerning the subject of cerification and professional standards. Next, members of the committee wrote articles for publications concerning certification. Finally, NSPI met with doctoral students currently conducting research on certification (Hale, 1984). According to Westgaard (1984), these activities are representative of the types of efforts that other professional associations have engaged in when they have implemented certification programs.

Motives

Morrison (1984) revealed that the Insitute of Real Estate Management (IREM) revised its certification program in 1974 in response to external regulations. Competencies, professional ethics, and requirements for continuing education were established. IREM developed a competency-based instructional system and performance tests. But as Morrison (1984) points out, "the outgrowth of our certification program was a result of motivations external to the association and it was that pressure that provided IREM the energy to revise its standards".

Bratton and Hildebrand (1980, p. 23) stated:

> One essential prerequisite to the development of a
> certification program is that a group of colleagues who believe
> certification is desirable initiates its development.

These individuals provide the energy and enthusiasm needed during the

developmental stage of certification programs (Miller, 1976).

Venable and Gilley (1984) have listed seven motives that encourage

associations and societies to develop certification programs. They

include: (1) to avoid external regulations, (2) to increase

standardization of academic programs, (3) to create status and prestige

for individuals, (4) to increase an association's revenue, (5) to improve

professional performance, (6) to create a "closed shop" and maintain the

gatekeeper role, and (7) to control the profession.

Voss (1984) said that professional certification can be viewed as

an income producer for associations and enable them to hold down

membership fees. Phillips (1978) said:

> Professional associations . . . appear to benefit the most,
> at least financially, from a mandatory continuing education
> requirement, as programs usually generate surplus funds
> (p. 84).

He continued: "Some associations are able to hold down their membership

dues as a result of the surplus generated by their continuing education

programs" (p. 84).

Bratton and Hildebrand (1980) believed that certification is a

source of economic security in that it provides employees additional

criteria to measure the worth of their employees. Lawrence (1981)

supports this view and added that "certification is an objective method

whereby qualified personnel can be identified by employers" (p. 22).

Finally, individuals using certification as a self-improvement vehicle

often receive salary increases, promotions, financial rewards, and security (Voss, 1984).

Miller (1976) revealed that the fundamental role of gatekeeping is to "attempt to affect employment and the supply of qualified people through the certification process" (p. 2). Lawrence (1981) believed that by limiting entry into a profession it will increase the demand for qualified professionals and improve the quality of the profession.

Review of ASPA's Miller Report

In 1976, the American Society of Personnel Administrators (ASPA) commissioned Elwin Miller to investigate and analyze several professional associations and societies which had developed and implemented a certification program. The principal purpose of this study was "to ascertain an understanding of each organization's past and current credentialing effort" (Miller, 1976, p. 1a). The methodology used to collect data included structured personal interviews and structured telephone interviews. The population consisted of the following associations and societies: Administrative Management Society, American Association of Nurse Anesthetists, American Personnel Guidance Association, Hospital Financial Management Association, Institute for Certification of Computer Professionals, Institute of Internal Auditors, International Consumer Credit Association, National Secretaries Association, and Society of Manufacturing Engineers.

The results of this study included several implications for ASPA, each based upon the similarities within the associations interviewed. The findings addressed the procedures, issues, purposes, and criteria followed by professional associations and societies when developing and

maintaining a certification program.

The Miller (1976) study identified four findings related to the procedures that associations follow in either implementing or maintaining a certification program. First, most associations incorporate an active publicity program in order to maintain a constant flow of applicants. Second, the administration of certification programs is handled in two ways. Some are independent of the parent association, while others remained under the control of the parent body. Third, most administrators of association's certification programs hold administrative responsibilities within the parent association. Finally, most associations develop various levels of certification.

Two primary purposes for professional certification were identified. Accordingly, the first purpose of certification is to promote the professional competency of members of associations and societies. Second, cannibalism, which is the recruitment of individuals from other professional associations in order to strengthen one's own association, was a threat to some associations and societies, and certification is viewed as an answer to that problem.

Eight issues were addressed in the findings of the Miller (1976) study. First, certification programs are not openly accepted initially and associations and societies have been forced to solicit support for such programs. Second, grandfathering issue remains a sensitive area with positive and negative characteristics. Third, test construction and design proves to be a constant and on-going problem for most certification programs. Fourth, test validity is seen as a problem because competencies are difficult to define. Fifth, test rigor has developed into a public relations issue which forces associations to

constantly analyze the examination process. Sixth, because of limited time and resources, grading of examinations has proven to be a continuing problem. Seventh, the recognition of individuals who have achieved certification is seen as one of the association's most valued public relations tools. Finally, charges of discrimination and the lack of clear policy for individuals who fail the examination are commonplace among the associations studied.

The Miller study identified several certification criteria common to the associations studied. Work experience and continuing education are considered necessary certification criteria. These two principal ingredients head a list of certification requirements. Others include the establishment of an education requirement, the successful completion of examination (written and performance), the adherence to a code of ethics, and the submission of letters of reference (Miller, 1976).

<div align="center">Issues Addressed in the Implementation of

Professional Certification Programs</div>

Several issues confront professional associations and societies when they consider the question of certification. Each of these issues increases the complexity of the certification process and places additional demand on the human and financial resources of various associations. The issues include:

1. Administration of certification programs

2. Competencies and certification

3. Membership and public reactions

4. Grandfathering

5. Legal implication of certification

6. Test design and construction

7. Recertification and continuing education, and

8. Revocability of certified status

Administration

There are two types of administration of certification programs, those which are independent of the parent associations and those which are under under their control (Miller, 1976). Research conducted by Venable and Gilley (1984) revealed that 13 of 15 or 86.6 percent of professional associations surveyed maintained an independent certifying board. They wrote:

> Brochures distributed by the certifying boards emphasize their own independence and make only a passing reference, or not at all,to the related society, even though the institutes were each established by their respective society (p. 6).

According to Miller (1976), "Independence was typically defined as the absence of financial assistance and governance from the parent association" (P. 7). The degree of independence is measured by the amount of financial assistance the certifying boards receive. Miller (1976) added,

> Financial support was viewed as a two edged sword. The credentialing organizations needed some financial assistance to support the administration of the program. . . . The other edge of the sword was the expectation of the parent organization's privilege for influencing the certification program (p. 38).

Venable and Gilley (1984) said that: "the amount and kind of influence which the society can exert over the certifying board had serious implications for its control over the process of certification" (p. 6).

Hale (1984) believed that the loss of financial support was not as important as the integrity of the certification effort. She wrote,

A separate and independent organization minimizes conflicts of interest, preserves the integrity of the standards and certification effort, and protects the parent body from legal liability (p. 9).

Leavens (1984) revealed that two types of independent corporations can be established for the purpose of certifying individuals. They are 501 (c)(3) and/or 501 (c)(6). The following definitions differentiate the two,

A 501 (c)(3) is an IRS designation for a not-for-profit organization established to serve the needs of the general public. Such an organization's mission, goals, and by-laws allow it to solicit funds that are tax deductible to individuals and businesses. Its focus is broader than just meeting the needs of a profession.

A 501 (c)(6) is also a not-for-profit organization; however, it's usually set up to meet the needs of a profession or specific group. Donations by individuals are not tax deductible. Donations by businesses are classified as promotional or other business expenses (Hale, 1984 p. 10).

Competencies

Bratton and Hildebrand (1980, p. 24) revealed that "at the heart of any professional certification program are the competencies identified as important and unique to the profession." The National Society of Performance and Instruction/Division of Instructional Design of the Association of Education Communications and Technology (NSPI/DID [AECT]) Professional Standards Committee identified six ways that competencies can be helpful.

1. They will provide experienced professionals with a tool for self-assessment and professional growth;

2. They will provide a common set of concepts and vocabulary which will improve communication among professionals and other professional groups;

3. They will provide the academic and professional preparation programs with information for program development;

4. They will provide a basis for a potential certification
   program;

5. They will aid employers in identifying qualified applicants;

6. They will provide a basis for defining an emerging field
   of study (Bratton, 1984B p.1-2).

Miller (1976) believed that "professionalization emerged as bodies of

knowledge were defined and various professional societies grew to further

codify information" (p. 1). He also contended that the primary reason

for the emergence of certification programs is the recognized need to

promote the professional competence of individuals (Miller, 1976).

Finally, Miller (1976) revealed that "several associations differentiated

among the levels of certification and there is a ladder which the

individual could climb if desired" (p. 13).

The NSPI/DID (AECT) Professional Standards Committee adhered to the

following precepts with regard to competencies.

1. The competencies should reflect the skills of a
   professional regardless of his/her current job, position,
   title, and academic degree.

2. The competencies should be performance-oriented rather
   than academic-oriented.

3. While some employment situations may prevent an individual
   from exercising every competency, a professionally
   competent individual should be able to perform most
   (if not all) of the competencies when given the
   opportunity to do so.

4. The competencies should reflect the skills of experienced
   professionals—as opposed to students, trainers, or entry-
   level designers (Bratton, 1984B, p. 1).

Licensure, certification, and continuing education have become

mandatory in many occupational fields because state legislatures

recognize that initial competence in an occupation does not guarantee

continual competence ("Accreditation and Licensure," 1981). This

position was based upon the following reasons:

1. Many practitioners, once licensed, do not keep abreast
   of their occupations voluntarily as well as they should.

2. Many occupational associations do too little to stimulate
   or require their members to continue their education.

3. Many practioners do not belong to occupational associations
   ("Accreditation and Licensure," 1981 p. 1).

Membership and Public Reactions

Miller (1976) maintained that "the credentialing programs were not
openly accepted initially, and considerable groundwork had to be laid
before the leadership and the membership voted to support such programs"
(p. 6). Because of the lack of membership interest, most associations
relied upon public relations efforts and utilized grandfathering
provisions to further enthusiam and motivation for certification
(Miller, 1976).

Although the NSPI/DID (AECT) Professional Standards Committee has
relied on voluntary assistance for seven years to conduct an intensive
research and development effort, certification has not become a reality
(Hale, 1984). ASTD first introduced the idea of certification at its
National Conference in 1972 and the membership overwhelmingly voted not
to begin the program (Hatcher, 1974).

"The National Board of Certified Counselors has certified more than
7,000 members of the American Association for Counseling and Development
(AACD) in general counseling since March 1983" (Venable and Gilley, 1984,
p. 5). However, according to Cowger (1984), "AACD had wrestled with the
certification issue for over a decade before it was determined
satisfactory".

Miller (1976) wrote that some associations enlist the cooperation of academicians and practitioners in an effort to limit criticism and to generate support for certification. Members of the NSPI/DID (AECT) Professional Standards Committee have published articles, presented programs at local and national conferences and served as liaisons between their association on other interested organization in an effort to gain support for their certification program (Hale, 1984).

Challenges and criticisms of certification come from three directions: (1) from academicians who feel that certification is irrelevant and/or will contribute little to professionalism in the field, (2) from competing associations who seek to cannibalize the memberships of the uncertifying associations, and (3) from practitioners who believe credentials are meaningless (Miller 1976). Boothe (1984) believed the primary problem with most professional certification programs is that: "no one has defined the problem" (p. 19). He added that "our efforts as certification totally ignore the users' perceptions of competence" (p. 19).

Grandfathering

Grandfathering is defined as a process of allowing experienced individuals to receive certification status without requiring them to engage in the activities required for certification and/or meet the standard qualifications of applicants. Miller (1976) reported that the "grandfather clause can provide an immediate base for starting a certification program" (p. 7). This process provides a reservoir of individuals which can encourage and promote the importance of certification. However, there is an extreme difference of opinion

regarding the use of this privilege from association to association

(Miller, 1976). Some associations believe that grandfathering enhances

the prestige of its certification program while other associations

believe that it reduces the supply of applicants and diminishes the

efffectiveness of the program.

Morrison (1984), Vice President of Education and Testing at the

IREM, revealed that grandfathering is allowed in the association if

individuals can document and verify their experience, but they must

successfully complete and perform simulations required of all prospective

applicants for certification. This assures IREM that individuals

receiving certificates through the grandfather clause possess the needed

skills to function successfully in the field.

According to Miller (1976), the experience of the Society of

Manufacturing Engineers revealed that

> . . . by requiring more rigorous or precise set of qualifications, necessary to become certified under the grandfather clause, and by requiring recertification after the specified number of years, the stampede for certification that other associations have experienced was reduced (Miller, 1976, p. 15).

One such association that experienced an overwhelming stampede was the

Institute of Internal Auditors (IIA) which has certified more than 7,500

individuals through the grandfather clause. The IIA believed

grandfathering has been detrimental to their certification program for

the following reasons.

1. It tended to reduce the stature of their certification program in the eyes of many people.

2. It allowed certain people to become certified who were underqualified.

3. It depleted the supply of potentially qualified candidates.

4. It tended to cripple the certification program for some
    period of years (Miller, 1976, p. 15).

On the other hand, those grandfathered significantly limited the

criticism or opposition to certification and provided programs with a new

core of proponents essential for public relations purposes in a new

certification program. Miller (1976) indicated that those certified are

the greatest public relations vehicle for a certification program and

grandfathering can provide a needed enthusiasm during the early stages

of a program.

Legal Implications

Leavens (1984), an attorney with Pattishall, McAuliffe and

Hofstetter, emphasized that a professional association is responsible for

the following element in their certification program:

1. The evaluation criteria must be fairly arrived at and job
    related.

2. The evaluation criteria must be monitored and kept current.

3. There must be a method of reassessment of standards and
    criteria.

4. There must be an appeals process (p. 7).

Leavens (1984) cited that certification programs are set up for the

purpose of separating those who are considered competent and those who

are not. This idea is understood and accepted by the courts. However,

if certification is considered a prerequisite of employment, the courts

examine the certification process more closely.

Content validity is an essential legal measurement used by the

courts to determine the legality of an association's certification

program. Shrock and Foshey (1984) revealed that "content validity

expresses how well the assessment procedures represent the current activities in the universe of situations that the test purports to sample" (p. 25).

According to Thorenson, (cited in Hale, 1984), the assessment center evaluation concept, which is the establishment of realistic simulations in an effort to evaluate applicants' abilities and competencies under practical conditions, has never lost a suit as long as content validity could be demonstrated. Leavens (1984) revealed that criteria used to evaluate applicants must be consistent with what is occurring on the job. This concept is known as face validity.

Jacobs (1979) pointed out that associations must address their legal responsibilities as a result of their certification program. He believed that:

> To the extent that credentialing programs are conducted with fairness and impartiality, they are likely to withstand increased government scruitiny and controls. Therefore, associations involved in credentialing programs should take care to assure that they are aware of the rapid legal development that could affect these activities (p. 6).

Morrison (1984) pointed out that the IREM revised its certification program in 1974 in response to external governmental regulation.

The Federal Trade Commission (FTC) has established principles which govern the establishment of certification programs. According to Webster and Herold (1983), the FTC, in Advisory Opinion No. 96, stated that it would not object to the establishment of a certification program provided certain conditions were met. The following conditions were imposed.

1. All present and future applicants are to have free, unrestricted, and non-discriminatory access to the program, whether association members or not.

2. The association must accord to non-members an equal opportunity for certification on conditions no more onerous than those imposed upon comparably situated members for whom such services are rendered.

3. A uniform certification mark must be awarded to all who qualify.

4. General supervision of the certification program will vested in a policy board, or committee, substantially representative of all producers, such board, or committee to have, among its other duties, the responsibility for ensuring non-discriminatory access to the program (p. 79).

In 1967 the FTC was asked to rule on whether an association could require non-members to join the association before issuing certification and if the association could charge non-members a higher fee than members. In Advisory Opinion No. 152, the FTC stated that "it would not approve a certification program which required non-members to join the association before being allowed to use the mark" (Webster and Herold, 1983, p. 86). Non-members of the association may be charged a higher fee than members provided it represents no more than a reasonable differential to insure that members and non-members of the association alike pay an equal share of the cost necessary to support the program.

In 1971, the FTC issued their most detailed pronouncement on certification programs. This opinion established a 16 point standard with which to evaluate certification programs (See Appendix B).

Test Design and Construction

Construction. Test design and constuction has proven to be a very difficult time comsuming task but is essential to the success of a certification program. (Bratton, 1984; Miller, 1976). According to

to Hale, Leavens stated that "it is important to follow the American Psychological Association's (APA) guideline for test development and to establish face validity of the assessment tool" (p. 7). Shrock and Foshay (1984, p. 26), stated that "developing a criterion-referenced professional certification procedure with acceptable reliability and validity is a very demanding process."

Shrock and Foshay (1984) revealed that there are several assessment strategies that can be utilized to evaluate applicants. These strategies include multiple-choice questions, short answers, essay questions, portfolios, performance evaluation which includes oral examinations, assessment centers and performance appraisals, or a combination of these. The amount of human and financial resources available to an association or society helps determine the type of assessment strategies selected. However, Shimberg (1981) believed that the problem of administering and grading performance examinations limit their usage.

Miller (1976, p. 7) revealed that "many certification programs have had difficulty in developing test items which successfully discriminated in terms of competence level." When NSPI/DID (AECT) Professional Standard Committee considered the assessment issue, the development of paper/pencil tests "failed because only knowledge and theory questions were generated" (Bratton, 1984b, p. 5).

The assessment center concept includes the establishment of realistic simulations in an effort to evaluate applicants' abilities and competencies under practical conditions (Shrock and Foshay, 1984). According to Bratton (1984b), the assessment center approach is appealing because:

1. It doesn't rely solely on paper-and-pencil tests,
2. It doesn't require the condidate to recall factual information,
3. It has high face validity, and
4. It's performance oriented (p. 5).

Shrock and Foshay (1984, p. 24) stated that "the major advantage of simulation is its approximation of reality."

There are several disadvantages to using the assessment center approach. They include:

1. The observers must be extensively trained for their roles as assessor and actor.
2. The entire operation is labor intensive and time-consuming both in preparation and in implementation.
3. Only a limited number of candidates can be assessed at any one time (Bratton, 1984b, p. 6).

Because of limited human and financial resources, associations have been forced to rely on objective questions of multiple choice variety as an alternative to simulation evaluations (Miller, 1976, Shimberg 1981).

Practitioners have been used to develop test items, but most associations have expressed disappointment in the results. The associations cited the practitioners' inexperience in writing test items as the primary cause (Miller, 1976). Failure to motivate individuals to submit questions is mentioned as another problem that confronts professional associations and societies. Because of these problems, some associations have turned to educators as potential sources for test construction while others have relied on a blend of practitioners and educators to develop test items (Miller, 1976).

Another alternative to test construction, according to Miller (1976), "has been to place the responsiblity for development of the test, its administration, and continued update in the hand of an external organization" (p. 20). The disadvantages of this approach include

increased expense and the loss of control over the testing process.

The process of establishing test standards on "cut-off" scores is another problem facing associations and implies some type of professional judgment. Livingston (1980) pointed out that

> Standards exist in people's mind but generally not in a form that can serve as a basis for an objective decision rule. For this Purpose the standard must be expressed in terms of some objective observable information such as a test score. Methods of choosing a cutoff score are actually methods of expressing the personal standards of one or more people in terms of the test score scale (p. 576).

He suggests three approaches to translating standards into a "cut-off" score: (1) judgment about groups, (2) judgment about individuals, and (3) judgment about the questions on the test. Livingston recommends four criteria that can be applied in choosing a method for setting a cut-off score.

> First, the judgment it is based on must be made by persons who are qualified to make them. Second, the judgments must be made in a way that is meaningful to the persons who are making them. Third the process must take into account the purpose for which the test is being used. And fourth, the process must take into account the consequences of both types of decision errors (p. 577).

Test design and constuction includes the selection of an assessment strategy, the development of testing instruments that are reliable and valid and the administration and updating of the process. According to Shrock and Foshey (1984), professional associations must adhere to the following process in resolving their measurement problems:

1. Means of sampling behavior must be selected, based on considerations of reliability and validity. Currently, essay questions and simulations with divergent response opportunities seem to be the best candidates.

2. The "scoring key" or procedures for raters to use must be determined and raters trained to achieve appropriate interrater reliability.

3. A tentative cutoff score must be selected, using one of the three procedures outlined.

4. Reliabilty of the entire classification process (not just the test) must be calculated and judged acceptable.

5. Validity of the entire classification process must be determined and judged acceptable. Content validity of the test alone is not sufficient (p. 26).

Test Rigor. Another major dilemma of the assessment process is test rigor. "Too difficult a test frightens prospective applicants off, and too easy an exam tends to deprecate the merit of the program" (Miller, 1976, p. 19). Two principal problems exist in determining test rigor. One is the problem of defining what competence means. The other is that the assessment instrument does not adequately predict professional competence (Miller, 1976). These two problems limit the ability of administrators to develop and construct assessment instruments which accurately reflect the optimal degree of difficulty.

Reliability and Validity. Shrock and Foshay (1984) define reliability and validity in the following manner.

Reliability has to do with the consistence and the stability of measurements; validity is concerned with the extent to which the assessment procedures measures what it's supposed to measure (p. 24).

Miller's (1976) research revealed that test reliability and validity become problems when associations are unable or have difficulty in developing "operational definitions of competence" (p. 7). A second problem occurs when the management of the certifying body changes and the new administration alters the test (Miller. 1976).

Livingston's (1972) classical test theory refers to test reliability as "what proportion of the information provided by this test

is reliable information" (p. 139). Reliability using this definition is viewed as a property of the test score (Shrock and Foshay, 1984).

A second type of reliabililty is promoted by psychometrists, who view reliability of an assessment device as a master versus non-master decision. The function of mastery tests is to categorize test takers into master or non-master classifications rather than to establish a distribution of achievement (Shrock and Foshay, 1984). Those who successfully pass the assessment device are viewed as having mastered, at a minimum level, the competencies needed in a given occupational area.

Shimberg (1981) said that before a "specific validation strategy is considered, one should have a clear idea of the purpose for which the test will be used" (p. 1143). The purpose of the test in a certification situation is to measure and identify those "applicants who meet a specified competence standard" (p. 1142).

Shimberg (1981) revealed three different validation strategies, content, criterion-related, and construct validity. Content validity is determined by constructing some type of analysis which identifies the important work behaviors required to perform an occupation. The knowledge, skills, or abilities identified are used as the foundation for crucial questions which are used to assess the applicant's performance and/or level of competence. Therefore, content validity is demonstrated when the questions and problems on the certification test are representative of the specific competencies that reflect actual practice (Shimberg, 1981).

In order to conduct a criterion-related validity study, "one needs a suitable criterion by which to judge the performance of those on the job"

(Shimberg, 1981, p. 1143). Because certifying boards are not employers and/or may not possess the competencies and knowledge of various occupations, they may not be capable of establishing job-related performance criteria (Shimberg, 1981).

Finally, "construct validity describes the strategy employed in attempting to validate a test purporting a measure of construct" (Shimberg, 1984, p. 1143). This type of strategy is used when one desires to draw inferences regarding the attributes that cannot be observed directly. A small number of certifying boards get involved in measuring unobservable attributes.

Recertification and Continuing Education

The National Audiovisual Association sponsors the Certified Media Specialist. This association believes that recertification is important because "pride of accomplishment can be a powerful motivation of recertification. But the real payoff of maintaining certification is consumer awareness" (Hollenkamp, 1984, p. 2). Miller (1976) believed that recertification is an effective means to control the effects of the grandfathering clause.

Recertification can be defined as the process of re-examining an applicant against predetermined criteria in order to determine if they should maintain their present certification status. Morrison (1984) believed that recertification advocates continuous professional development and is an essential element in the certification process.

Miller (1976) believed that

> Recredentialing seems to be an important element in any
> program, and it speaks to the dynamic nature of many of the
> professions. It is rather difficult to comprehend why an
> organization would not encourage recredentialing and the
> importance of continuing education (p. 40).

He stated that continuing education is important for advancing or

maintaining one's professional competence. Continuing education is being

employed by a number of professional organizations and has increased in

popularity in recent years.

Continuing education is viewed as essential because of the

following.

1. Many practitioners, once licensed, do not keep abreast of
   their occupations voluntarily as well as they should.

2. Many occupational associations do too little to stimulate
   or require their members to continue their education.

3. Many practitioners do not belong to occupational
   associations ("Accreditation and Licensure", 1981, p. 1).

However, Phillips (1978) interjected that "the philosophical question is

to whether mandatory continuing edication actually improved the

competence of professionals..." (p. 86).

The National Task Force on Continuing Education defined a Continuing

Education Unit (CEU) as "ten conduct hours of participation in an

organized continuing education experience under responsible sponsorship,

capable direction and quality instruction" ("Components of the

Certification Process", 1984, p. 44). This unit of measurement was

widely accepted and was gaining momentum very rapidly as of 1975

(Nadler, 1975).

The Educational Accounting Systems Task Force recommended to the

ASTD Board of Directors that:

The Continuing Education Unit may be viewed as a record of an individual's non-degree related but organized educational activity. For employers who wish an assessment of competencies and skills, a measure other than the CEU needs to be devised. Therefore, ASTD will direct its attention to assisting in the development of an appropriate credential for learning outcomes" (Components of the Certification Process", 1984, p. 44).

Phillips (1978, p. 86) stated, "Professionals in remote areas are usually discriminated against because of the time, distance, and added expense of attending a continuing-education activity." Marlowe (1976) believed that the Achilles' heel of the continuing education unit concept is that it primarily measures exposure and not achievement. Craig (cited in "Components of the Certification Process",1984), stated that the lack of quality control in continuing education is due to the fact that the "CEU concept is antithetical to much of the advanced thinking in the training and development field because it measures 'chair time only' and is not achievement or competency based" (p. 44).

Miller (1976) believed that continuing education programs presents certifying associations with some potential problems. He cited "the quality of the courses, its relevance to the practitioner's field, problem of attendance, policing and maintenance of the program" (p. 30).

Revocability of Certified Status

In a study conducted by Venable and Gilley (1984), 86.6 percent of the associations and societies surveyed maintained the right to revoke an individual's certification status for unethical behavior. Jacobs (1982) revealed that 41 percent of associations maintained ethical codes and that "most association codes have been in existence for longer than have corporate codes" (p. 83). Miller's (1976) research cited that 81.9

percent of the associations he surveyed maintain revocation of certification.

Most certification programs embrace established association codes of ethics and use them as guidelines to measure the behavior of applicants. The typical association code addresses such subjects as:

1. Honest and fair business dealings with customers;

2. Acceptable levels of safety, efficiency or cleanliness of products, services or facilities;

3. Nondeceptive advertising; and

4. Maintenance of experienced and trained personnel, performance of competent services and furnishing of quality products (Jacobs, 1982, p. 83).

According to Jacobs (1982), sanctions for violations of association codes of ethics must be fair and impartial. He believed "ethical provisions should be clearly defined standards that are known by all members" (p. 86). Krum and Greenhill (1972) added that "one of the chief factors inhibiting the adopting of codes of ethics is the fear of anit-trust problems" (p. 379).

An association's due process procedure should include:

1. A written notice to the member stating the alleged violation, proposed sanction and right to comment or right to a hearing;

2. A hearing on the charges, if requested, at which the member may present views personally or through a representative, such as a lawyer; and

3. The right to appeal an adverse decision to a higher authority such as the association board of directors or other governing board (Jacobs, 1982, p. 86).

These procedures are supported by Leavens (1984) view that an appeals process is essential for professional certification programs.

Summary

During the past 1,500 years, credentialing has been viewed as an important tool in the advancement of professions. It has included accreditation, certification and licensure as attempts to measure competencies. The methodologies, populations and purposes of each has been different.

Certification has emerged for several reasons: the advancement of the profession, protections for the public and the improvement of and recognition for participants in the process.

Professionalsim is a principal motivation for certification. The development of a profession requires that an entry-level requirement be instituted. Professional certification has been recognized as an acceptable evaluation device to measure competencies and entry requirements.

Professional associations, engaged in the development of certification programs, pass through three stages, the orientation, the committee and the implemtation stages. Three prerequisites are required before a certification program can be implemented. They include the development of statements of competencies, the emergence of individuals willing to assume the leadership for certification and the organization of colleagues supporting certification.

Individuals must meet minimal requirements before certification is awarded. They include work experience, references, continuing education, completion of a written and/or oral examination, adoption of a formal code of conduct and a supervised internship (Westgaard, 1983; Weiss and Young, 1981; Jacobs, 1979).

Professional associations engage in a number of activities in order to obtain support for their certification programs. They include: the development of competency statements, the analysis of member opinions and open testimony at national conferences, the development of a literature review, meeting with attorneys, accountants and representatives of other professional associations, the presentation of certification workshops, and the writing of articles for publication concerning certification.

The motives for certification include the desire to improve professional performance and to create status and prestige for individuals. Also professional associations establish certification programs in an effort to reduce the pressure caused by internal and external activities.

ASPA's Miller Report serves as a landmark research effort consisting of a comprehensive analysis of eleven associations and societies. This study includes several implications for ASPA. The findings address procedures, issues, purposes and certification criteria followed by professional associations and societies when developing and maintaining a certification program.

Professional associations and societies need to address several issues when considering certification. They include the administration of certification programs, membership reactions to the establishment of certification programs, the grandfathering process, legal and ethical considerations, test design and construction, recertification and continuing education, revocability of certification status and the development of vital competencies.

Certification is a tool that can be used in the advancement of a profession and the improvement of individual professional competence.

Certification programs are a way to encourage individuals to develop

competencies needed to perform at professionally successful levels.

CHAPTER III

METHODOLOGY

The purpose of this study is to collect data about the procedures
established and issues addressed by professional associations in the
development of professional certification programs and to identify and
prioritize the criteria for professional practice required by certifying
boards in order to assist professional associations in the consideration
of and development of certification programs. This chapter is devoted
to the discussion of statistical methods. The following sections will be
included: (1) the type of reaearch conducted, (2) population, (3) the
instrument used in the collection of data, (4) collection of data, and
(5) analysis of data and statistical analysis.

Type of Research Conducted

This study consisted of the analysis of professional associations
which have implemented certification programs. The analysis included a
comprehensive literature review, a mailed questionnaire, telephone
interviews, personal interviews, a review of testimony given at the 1984
National ASTD Conference, and a review of the position papers and
published brochures concerning certification programs of professional
associations.

Research involving the collection of data for the purpose of
describing conditions as they exist is called descriptive research (Sax,
1966). Key (1974, p. 126) stated, "Descriptive research is used to

54

obtain information concerning the current status of the phenomena."

Descriptive research consists of two types, the case study and the survey (Turney and Robb, 1971).

> Case study method provides information about specific
> persons, existing institutions, or concrete entities.
> . . . the survey as an attempt to analyze, interpret
> and report the status of an institution, group, or area
> in order to guide practice in the immediate future
> (pp. 63-64).

According to Key (1974, pp. 126-127), "Survey studies assess the characteristics of whole populations. . .while case studies probe the depth into an individual situation." This study is a survey type analysis.

Population

Three critera were used to determine the population of this study. First, professional associations and societies were selected which are identified by the American Society for Association Executives (ASAE) as currently maintaining certification programs. Second, the ASAE group was reduced to those which have implemented a certification program or have completed a major revision in such a program within the past 20 years. Third, the ASAE revised group was reduced to those associations with a national scope as identified by the Encyclopedia of Associations.

Instruments

A survey questionnaire was constructed based upon the results of a comprehensive literature review, telephone interviews, personal interviews, a review of testimony given at the 1984 National ASTD Conference, and a review of professional association position papers and published brochures concerning their certification programs. A panel of experts was utilized to evaluate the construction of the questionnaire

and assist in an item analysis. Before the questionnaire was mailed to the pilot population, the panel of experts reviewed the document twice and suggested changes.

In order to improve the accuracy of the finding, the questionnaire was mailed to a pilot population. This group was asked to review and respond to the questionnaire and identify questions that were ambiguous or inappropriate. Recommendations and suggestions were encouraged and were incorporated into the final draft of the questionnaire. Finally, they were asked to analyze and evaluate the proposal cover letter as to its appropriateness and clarity.

The survey questionnaire gathered information about the procedures established, the issues addressed, and the identification of qualification criteria utilized by professional associations. The questionnaire was designed in three sections, (1) procedures, (2)issues, and (3) qualification criteria. Because of the nature and scope of questions asked, both a restricted and unrestricted form were used. A cover letter accompanied each questionnaire, explaining the purpose of the study and providing instructions and examples about how to complete and return the questionnaire. A short biographical section was incorporated on the first page of the questionnaire in order to determine the name of the association and its representatives and other essential data.

Once the qualification criteria were identified, a composite list of criteria was constructed and mailed to the population. Respondents were asked to rank order the criteria from the most important to the least important. This process was introduced and an explanation of the procedures was provided in the cover letter.

Collection of Data

The survey questionnaire and accompanying cover letter were mailed
to a representative from each of the 85 selected professional
associations. The participants were asked to complete the questionnaire
and return it within two weeks. A follow-up questionnaire was dispatched
after two weeks when a completed questionnaire had not been received and
participants were asked to complete it within one week. Finally, a
telephone follow-up was made to those associations that did not respond
to the second questionnaire.

In the questionnaire, participants were asked to identify
qualification criteria used by their respective associations. A list of
the qualification criteria was constructed and resubmitted to the
population asking them to rank order the criteria. The collection and
follow-up procedures mentioned applied to this survey.

Analysis of Data and Statistical Analysis

According to Ary and Jacobs (1976):

Nominal measurement involves the placing of objects or
individuals into categories which are qualitatively rather than
quantitatively different. Measurement at this level only
requires that one be able to distinguish two or more relevant
categories and know the criteria for placing individuals or
objects into one or another category (p. 12).

The study consisted of three areas, the identification of the
procedures established by professional associations when considering a
certification program, the identification of the issues addressed by
these associations and the identification and prioritization of criteria
utilized by them as a certification program is implemented. The data
collected which related to the first two areas was categorized

into groups which were nominal in scale. According to Key (1974, p. 195), "Such data cannot on any logical basis be ordered numerically, hence there is no possibility of using parametric statistical tests which require numerical data." Therefore, a measure of central tendency was used to distinguish among different categories.

In the last section of this study, the respondents were asked to identify and rank order the qualification criteria. Since this data was not compared to other rank orders the statistical treatment was limited. The measure of central tendency was employed to measure this data and draw appropriate conclusions.

Chapter IV

PRESENTATION OF FINDINGS

The purpose of this study is to collect data about the procedures established and issues addressed by professional associations in the development of certification programs and to identify and prioritize the criteria for professional practice required by certifying boards to assist professional associations in the consideration of and development of certification programs. This chapter is devoted to the presentation of research findings. It is comprised of the following sections: (1) Subjects of the study, (2) General information, (3) Procedures, (4) Issues, (5) Procedures and Issues as reported by various association types, (6) Identification of qualification criteria, (7) Prioritization of qualification criteria, and (8) Summary.

Subjects of the Study

Eighty-five questionnaires were mailed to professional associations. Because of incomplete or incorrect addresses, seven questionnaires failed to reach their destination which reduced the total usable population to 78. Seventy questionnaires were returned for a return rate of 90 percent.

A second questionnaire was sent to responding associations requesting them to rank order the five qualification criteria which are perceived as the most important. Fifty-eight of 70 questionnaires were returned which represents an 83 percent return rate.

General Information

Eight different types of professional associations responded to the questionnaire (Table II). Education associations represented the largest proportion of respondents with 30 percent. Twenty-two percent were trade associations and 18 percent were identified as business associations. Service associations represented 15 percent.

Professional associations were asked to identify the one primary purpose of their certification program. Ninety-three percent of the associations identified "to increase/assure professional competence" as the principal purpose. "To protect the public" and "to increase the influence of society/ association" were each named by three percent of the associations.

Professional associations certify varying numbers of individuals (Table III). Twenty-five percent of the associations have certified between 501 and 2,000 individuals and 24 percent of the associations have certified between 5,001 and 10,000 individuals. Eighteen percent of the associations have certified between 201 and 500 individuals while 11.8 percent have certified more than 10,000. A modest 4 percent of associations have certified between 2,001 and 5,000 individuals.

Associations membership size is presented in Table IV. Fifty-one percent of the associations have more than 5,000 members while 11 percent of the associations have fewer than 500 members. The largest membership category is between 1,001 and 2,500 representing 21 percent of the associations. Eighteen percent of the associations reported having more than 20,000 members and 15 percent of the associations have between 10,001 and 20,000 members.

TABLE II

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
THE TYPES OF ASSOCIATIONS

Type of Association	N (N=70)	% (100)
Business	12	17.9
Education	20	29.9
Service	10	14.9
Trade	15	22.4
Medical/Health	4	5.7
Manufacturing	–	– –
Engineering	6	8.6
Finance	2	3.0
Agriculture	1	1.5

TABLE III

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
THE NUMBER OF INDIVIDUALS CERTIFIED

Number of Individuals Certified	N (N=68)	% (100.0)
1-50	6	8.8
51-200	6	8.8
201-500	12	17.7
501-2,000	17	25.0
2,001-5,000	3	4.4
5,001-10,000	16	23.5
10,000 and up	8	11.8

TABLE IV

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
THE MEMBERSHIP SIZE OF ASSOCIATIONS

Membership Size	N (N=67)	% (100.0)
1-500	7	10.5
501-1,000	1	1.5
1,001-2,500	14	20.9
2,501-5,000	11	16.9
5,001-10,000	13	19.4
10,001-20,000	10	14.9
20,001 and up	11	16.4

Table V reveals a breakdown of membership size by type of association. Seventy percent of education associations and 20 percent of the trade associations reported having more than 5,000 members. Two-thirds of the trade associations identified having less than 2,500 members. Half of the service and 42 percent of the business associations identified having more than 5,000 members. Six of the eight association types reported having at least one association with membership between 1,001 and 2,500.

Procedure Questions

Associations responses to procedure, questions one through eight, are presented in Table VI. Respondents were asked to respond "yes" or "no" to each of the questions and a summary of their responses and percentage breakdown are indicated.

When asked, "Can an individual become certified through your association procedures without being a member of your professional association?", 64 percent of the associations responded "yes" while 36 percent responded "no" (Question 1). Sixty-six percent of the associations indicated that they did not maintain different levels of certification (Question 2).

Fifty-five percent of the associations conducted a survey of members before initiating the certification program while 45 percent did not (Question 3). Seventy-six percent of the associations developed professional competencies or standards prior to initiation of certification programs (Question 4). In addition, 54 percent of the associations reported that professional competencies or standards were developed as a result of their certification effort (Question 5).

TABLE V

FREQUENCY AND PERCENTAGE DISTRIBUTION OF MEMBERSHIP
SIZE BY TYPE OF ASSOCIATION

Type of Association	1 N (N= 7)	1 %	2 N (N= 1)	2 %	3 N (N=14)	3 %	4 N (N=11)	4 %	5 N (N=13)	5 %	6 N (N=10)	6 %	7 N (N=11)	7 %	Total N (N=67)
Business	2	16.7	-	---	2	16.7	3	25.0	2	16.7	-	---	3	25.0	12
Education	-	---	1	5.0	2	10.0	3	15.0	6	30.0	5	25.0	3	15.0	20
Service	2	20.0	-	---	1	10.0	2	20.0	-	---	2	20.0	3	30.0	10
Trade	3	20.0	-	---	7	46.7	2	13.3	1	6.7	2	13.3	-	---	15
Medical/Health	-	---	-	---	1	50.0	-	---	-	---	-	---	1	50.0	2
Engineering	-	---	-	---	1	20.0	-	---	3	60.0	1	20.0	-	---	5
Finance	-	---	-	---	-	---	-	---	1	50.0	-	---	1	50.0	2
Agriculture	-	---	-	---	-	---	1	100.0	-	---	-	---	-	---	1

1= 1-500
2= 501-1,000
3= 1,001-2,500
4= 2,501-5,000

5= 5,001-10,000
6= 10,001-20,000
7= 20,001 and up

TABLE VI

FREQUENCY AND PERCENTAGE DISTRIBUTION
OF PROCEDURE QUESTIONS

Procedure Questions	Response	N	%
1. Can an individual become certified through your association without being a member of your professional association?	Yes No	45 25	64.3 35.7
2. Does your certification program maintain different levels of certification?	Yes No	24 46	34.3 65.7
3. Did your association conduct a survey of members before initiating the certification program?	Yes No	36 30	54.5 45.5
4. Did your organization develop professional competencies or standards prior to your certification efforts?	Yes No	53 17	75.7 24.3
5. Did your association develop professional competencies or standards as a result of your certification efforts?	Yes No	37 32	53.6 46.4
6. Was your certification program initiated or accelerated by legislative action or anticipation of such action?	Yes No	6 64	8.6 92.4
7. Was a task force or committee formed to study and develop a certification program for your certification?	Yes No	66 4	94.3 5.7
8. Was the approval of the membership of your association required before the certification program was offered?	Yes No	28 41	40.7 59.4

Ninety-two percent of the associations indicated that their certification effort was not accelerated or initiated because of legislative actions or anticipation of such action (Question 6). A task force or committee was established by 94 percent of the associations to develop a certification program (Question 7). Finally, 59 percent of the associations did not seek membership approval prior to offering certification (Question 8).

The groups responsible for initiating certification programs are presented in Table VII. When asked, "Which group was primarily responsible for initiating your certification programs?", the "elected leadership" was responsbile in 54 percent of the associations. Twenty percent of the associations indicated that the "professional staff" was responsible for while 11 percent indicated that the "general membership" had such responsibility.

Table VIII reveals associations responses to the question, "Who in your association determined the list of competencies?" The respondents were given four selections to choose from and were encouraged to indicate all that apply. In several associations, the responsibility of determining competencies was divided among various groups, therefore, the frequency of responses exceeds 70. "Task force/committee" was indentified 40 times while "board of directors" were identified 24 times. The "general membership" was named only three times.

When respondents were asked to identify the primary group responsible for developing "measurable standards by which to evaluate applicants" 40 identfied " task force/committee" (Table IX). Twenty associations identified the "board of directors" while only one association identified the "membership". Twenty-one associations listed

TABLE VII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE GROUPS
PRIMARILY RESPONSIBLE FOR THE INITIATION OF
CERTIFICATION PROGRAMS

Groups	Responses	
	N (N=70)	% (100.0)
Elected Leadership	38	54.3
General Membership	8	11.4
Professional Staff	14	20.0
Other	10	14.3

TABLE VIII

FREQUENCY DISTRIBUTION OF THE GROUPS RESPONSIBLE
FOR THE DETERMINIATION OF PROFESSIONAL
COMPETENCIES

Groups	Responses N
Task Force/Committee	40
Board of Directors	24
Membership	3
Other	21

TABLE IX

FREQUENCY DISTRIBUTION OF GROUPS
ESTABLISHING STANDARD FOR
APPLICANTS EVALUATION

Groups	Responses N
Task Force/Committee	46
Board of Directors	20
Membership	1
Other	21

other responsible parties which included "professional staff",
"certification board members", "training committees", "examination
committees", "elected leadership", and "board of regents".

Issue Questions

Associations responses to issue, questions one through 23, are
presented in Table X. The total of responses and percentage breakdowns
are indicated. Each respondant was asked to respond "yes" or "no" to
each of the questions.

When asked, "Is the certification program administered directly by
the associations?", 68 percent responded "yes" while 32 percent
responded "no" (Question 1). Of the associations which responded no, 14
indicated their association did not provide financial support for the
administration of the certification program (Question 2).

Thirty associations responded to part two of issue question one.
Sixty-three percent of the associations indicated they provided less
than 5 percent of their annual budget toward financing the
certification program. Twenty-three percent of the associations provide
more than 20 percent of their annual budget while 6 percent of the
associations provided between 6 to 10 percent. One association
provided between 11 and 15 percent percent of their annual budget.

Seven of eight associations responded to part two of issue question
two. Of these, 43 percent of the associations indicated they provided
less than 5 percent of their annual budget toward financing the
certification program. Thirteen percent of the associations revealed
they provided more than 20 percent. Forty-three percent of the

TABLE X

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
ISSUE QUESTIONS

Certification Issues Questions	Response	N	%
1. Is the certification program administered directly by the association?	Yes No	47 22	68.1 32.9
2. If your answer to #1 is "NO", does the association provide any financial support for the administration of the program?	Yes No	8 14	36.4 63.6
3. Was the development of the certification program supported financially by your association?	Yes No	64 6	91.4 8.6
4. It has been said, "At the heart of any professional certification program are the competencies identified as important and unique to the profession." Do you feel this is a correct statement?	Yes No	68 2	97.1 2.9
5. Was the idea of certification openly accepted initially by the membership of your association?	Yes No	50 13	79.3 20.7
6. Was there an organized and concerted effort to solicit membership support for a certification program by your association?	Yes No	52 13	80.0 20.0
7. Does your association employ a continuous promotional program to create and maintain enthusiam for certification?	Yes No	55 14	79.7 20.3
8. Does your association allow grandfathering?	Yes No	22 47	31.9 68.1
9. If your answer to #8 is "YES", has grandfathering improved the quality of your program?	Yes No	12 12	50.0 50.0
10. If your answer to #8 is "YES", has grandfathering depleted the supply of potential candidates for certification?	Yes No	3 19	13.6 86.4
11. Does your association maintain legal counsel?	Yes No	61 9	87.1 12.9

TABLE X (Continued)

Certification Issues Questions	Responses	N	%
12. If your answer to #11 is "YES", is it in an effort to avoid potential legal difficulties as a result of your certification program?	Yes No	12 48	20.0 80.0
13. Has any legal action been taken against your association as a result of your certification program?	Yes No	3 67	4.3 95.7
14. Is a formal examination required of applicants desiring to obtain certification?	Yes No	62 8	88.6 11.4
15. If your answer to #14 is "YES", does your association employ an external organization to develop, administer and update the examination?	Yes No	26 35	42.6 57.4
16. Has test difficulty been a problem for your association?	Yes No	14 53	20.9 79.1
17. Does your association maintain procedures to improve the accuracy of test questions?	Yes No	58 10	85.3 14.7
18. Does your association require re-certification after a specific time period?	Yes No	32 38	45.7 54.3
19. Does your association require individuals to complete a specific number of continuing education units or courses to retain their certification status?	Yes No	29 41	41.4 58.6
20. Does your association ever revoke an individual's certification status for illegal or unethical behavior?	Yes No	47 20	70.1 29.9
21 Does your association maintain a written code of ethics to which certified idividuals must adhere?	Yes No	53 17	75.7 24.3
22. Does your association charge candidates a fee in order to be processed for certification?	Yes No	65 5	92.8 7.2
23. Does your association use paper/pencil tests to evaluate applicants?	Yes No	53 16	76.8 23.2

associations reported they provided between 6 and 10 percent of their association annual budget for certification.

Ninety-one percent of respondents indicated that their association supported the development of the certification program (Question 3). Ninety-seven percent of the associations believed the identified competencies are at the heart of a professional certification program (Question 4). Seventy-nine percent of the associations indicated the idea of certification was openly accepted initially by the membership of their association (Question 5).

Eighty percent of the associations employed a continuous promotional program to create and maintain enthusiasm for certification (Question 6). Eighty percent of the associations also organized an effort to solicit membership support for a certification program. (Question 7).

When asked, "Does your association allow grandfathering?", 68 percent of the associations responded "no" (Question 8). Of the 22 associations which allow grandfathering, only 50 percent believed grandfathering improved the quality of their program (Question 9). While 86 percent of the associations reported they did not believe it depleted the supply of potential candidates for certification (Question 10).

Eighty-seven percent of the associations maintain legal counsel but only 20 percent stated it was in an effort to avoid potential legal difficulties because of certification (Question 11 and 12). Only 4 percent of the associations indicated that legal action has been taken against their certification program (Question 13). These three associations failed to indicate the nature of the legal action.

Eighty-seven percent of the associations require a formal

examination in order to obtain certification (Question 14). Forty-three percent employ an external organization to develop, administer, and update the examination (Question 15). The Educational Test Service was named ten times by associations as the external testing service used. Other testing services named included: The Professional Testing Corporation, American College Testing Corporation, Professional Examination Service, and the Psychological Testing Service.

Seventy-nine percent of the respondents did not feel that test difficulty was a problem (Question 16). Of the associations that perceived test difficulty as a problem, 11 indicated that their test was to difficult, four too easy, and six inappropriate to measure competencies. When asked, "Does your association maintain procedures to improve the accuracy of test questions?", 85 percent responded "yes", while 15 percent of the associations responded "no" (Question 17).

Forty-six percent of the associations require recertification after a specific period of time (Question 18). When asked to identify what the specific time period is, 31 of 32 associations responded. The most frequently mentioned time period was three and five years with 13 responses each. Four associations indicated a two year time period.

Forty-nine percent of the associations did not require individuals to complete continuing education units (CEU' s) or courses to retain their certification status (Question 19). Of those associations which did require individuals to continue training, five require one CEU, four require two CEU's, four require five CEU's, and eight failed to respond.

Seventy percent of the associations retain the right to revoke an individual's certification status for illegal or unethical behavior (Question 20). Of the associations which revoke certification, 85

percent maintain a written code of ethics to which certified individuals must adhere. However, only 76 percent of the total population revealed they maintain a written code of ethics (Question 21).

When asked, "Does your association charge candidates a fee in order to be processed for certification?", 93 percent of the associations indicated "yes" (Question 22). Fifty-six of 65 associations responded to the second part of this question by indicating the amount charged (Table X). Twenty-five percent of the associations charged between 26 and 50 dollars while 18 percent charged over 150 dollars. Sixteen percent charged less than 25 dollars.

Paper/pencil tests are used by 77 percent of the associations to evaluate applicants (Question 23). Of the 62 associations which require formal examinations, 85 percent utilized paper/pencil tests while 15 percent indicated they did not and one failed to respond.

The test questions most often used by associations when evaluating applicants for certification is presented in Table XI. Multiple choice questions are the most often used (51), followed by essay (18), true/false (14), and short answer (3). Associations were allowed to indicate as many as apply, therefore, the frequency of responses exceeds 70.

Associations responses to the question, "Which assessment procedure does your association employ?", is presented in Table XII. Paper/ pencil tests received the largest number of responses with 56. Performance evaluations was next highest with 26 responses followed by the use of portfolios with 15. Interviews and client referrals each received eight responses and job samples received the fewest responses with seven.

TABLE XI

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE
CERTIFICATION FEE

Amount Charged for Certification	Response N	%
0-25	9	16.1
26-50	14	25.0
51-75	11	19.6
76-100	6	10.7
101-125	3	5.4
126-150	3	5.4
151-up	10	17.8

TABLE XII

FREQUENCY DISTRIBUTION OF TEST
QUESTIONS USED

Type of Questions	Responses N
Multiple Choice	51
Short Answer	13
Essay	18
True/False	14

TABLE XIII

FREQUENCY DISTRIBUTION OF ASSOCIATION
ASSESSMENT PROCESSES

Assessment Processes	Responses N
Paper/pencil Test	56
Performance Evaluation	26
Interview	8
Portfolio	15
Assessment Center	7
Client Referral	8
Job Sample	7

Associations responses to the number of individuals grandfathered is presented in Table XIV. Since most associations do not allow grandfathering, the highest frequency of response was zero. Of those associations which do allow grandfathering, 13 have grandfathered between one and 100 individuals. Five have grandfathered between 101 and 250 individuals while four have grandfathered more than 2,500 individuals.

Six associations, which indicated they do not allow grandfathering, stated that at some period in their certification program grandfathering has been allowed, therefore, they could not indicate a zero response. This accounts for the difference in the "no" response rate in issue question number eight and the zero response rate in question number 27.

Procedure and Issue Questions by Various
Type of Association

The responses to the membership issue by association types presented in Table XV. Business (58 percent) and trade (53 percent) associations are least likely to allow individuals to become certified without being members of their professional association. One hundred percent of the engineering and medical/health associations allow non-members to become certified. Education (70 percent) and service (80 percent) associations reported they allow individuals to seek certification regardless of their membership status.

Table XVI presents the responses of various association types to the question, "Does your certification program maintain different levels of certification?" Medical/health (70 percent) and engineering (50 percent) associations maintain different levels of certification. More

TABLE XIV

FREQUENCY DISTRIBUTION OF INDIVIDUALS
GRANDFATHERED

Number of Individuals Grandfathered	Responses N
0	41
1-100	13
101-250	5
251-500	2
501-1,000	4
1,001-2,500	1
2,500-5,000	4

TABLE XV

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE
MEMBERSHIP ISSUE BY TYPE OF ASSOCIATION

Type of Association	Question 1				
	Yes (N=45)	% (64.3)	No (N=25)	% (35.7)	N (N=70)
Business	5	41.7	7	58.3	12
Education	14	70.0	6	30.0	20
Service	8	80.0	2	20.0	10
Trade	7	46.7	8	53.3	15
Medical or Health	4	100.0	—	— —	4
Engineering	6	100.0	—	— —	6
Finance	1	50.0	1	50.0	2
Agriculture	—	— —	1	100.0	1

TABLE XVI

FREQUENCY AND PERCENTAGE DISTRIBUTION OF CERTIFICATION
LEVELS BY TYPE OF ASSOCIATION

Type of Association	Question 2				
	Yes (N=24)	% (34.3)	No (N=46)	% (64.7)	N (N=70)
Business	3	25.0	9	75.0	12
Education	8	40.0	12	60.0	20
Service	4	40.0	6	60.0	10
Trade	3	20.0	12	80.0	15
Medical or Health	3	75.0	1	25.0	4
Engineering	3	50.0	3	30.0	6
Finance	–	–– –	2	100.0	2
Agriculture	1	100.0	–	–– –	1

than 60 percent of the business, education, service, trade and financial associations, however, did not maintain different levels of certification.

A small majority of associations (55 percent) conducted a survey of members before initiating their certification program. Table XVII depicts the responses of various types of association to this issue. Business (58 percent), education (59 percent), service (60 percent) and medical/health (100 percent) associations all indicated higher responses than the overall association response of 55 percent. Trade (53 percent), engineering (60 percent), finance (100 percent) and agriculture (100 percent) associations, however, did not conduct membership surveys.

The responses by various association types to the evolution and development of professional competencies as it relates to the initiation of a certification program is presented in Table XVIII. All association types indicated that professional competencies or standards were developed prior to initiating a certification program. Business associations reported the overall lowest percentage (Question 4). Fifty-four percent of the association types, reported that professional competencies or standards were developed as a result of their certification program (Question 5). Trade (53 percent) and agriculture (100 percent) associations reported that competenies did not result from certification.

According to the responses of various association types, membership approval was not required before associations offered certification (Table XVIX). Eighty-four percent of engineering associations indicated they do not require membership approval. Medical/health (60 percent),

TABLE XVII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF MEMBERSHIP
SURVEYS BY TYPE OF ASSOCIATION

Type of Association	Question 3				
	Yes (N=36)	% (54.5)	No (N=30)	% (45.5)	N (N=66)
Business	7	58.3	5	41.7	12
Education	10	58.8	7	41.2	20
Service	6	60.0	4	40.0	10
Trade	7	46.7	8	53.3	15
Medical or Health	4	100.0	–	–– –	4
Engineering	2	40.0	3	60.0	5
Finance	–	–– –	2	100.0	2
Agriculture	–	–– –	1	100.0	1

TABLE XVIII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE DEVELOPMENT OF PROFESSIONAL
COMPETENCIES OR STANDARDS   BY TYPE OF ASSOCIATION

Type of Association	Question 4					Question 5				
	Yes (N=53)	% (75.7)	No (N=17)	% (24.3)	N (N=70)	Yes (N=37)	% (53.6)	No (N=32)	% (46.4)	N (N=69)
Business	7	58.3	5	41.7	12	7	58.3	5	41.7	12
Education	16	80.0	4	20.0	20	11	57.9	8	42.1	19
Service	8	80.0	2	20.0	10	6	60.0	4	40.0	10
Trade	11	73.3	4	26.7	15	7	46.7	8	53.3	15
Medical or Health	4	100.0	–	–– –	4	2	50.0	2	50.0	4
Engineering	4	66.7	2	33.3	6	3	50.0	3	50.0	6
Finance	2	100.0	–	–– –	2	1	50.0	1	50.0	2
Agriculture	1	100.0	–	–– –	1	–	–– –	1	100.0	1

TABLE XVIX

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
THE MEMBERSHIP APPROVAL ISSUE BY
TYPE OF ASSOCIATION

Type of Association	Question 8				
	Yes (N=28)	% (40.6)	No (N=41)	% (59.4)	N (N=69)
Business	6	50.0	6	50.0	12
Education	8	42.1	11	57.9	19
Service	4	40.0	6	60.0	10
Trade	7	46.7	8	53.3	15
Medical or Health	1	25.0	3	75.0	4
Engineering	1	16.7	5	83.3	6
Finance	–	– –	2	100.0	2
Agriculture	1	100.0	–	– –	1

service (60 percent) and education (58 percent) associations also

indicated that they do not require membership approval while 50 percent

of business associations do require approval.

Response by association types to the questions, "Which group

was primarily responsible for initiating your certification program?",

is presented in Table XX. Five association types indentified the

"elected leadership" as the primary group responsible. Business (75

percent) and trade (67 percent) listed this group. Education (20

percent) and trade (33 percent) indicated the "professional staff" was

one of their primary groups. Service (30 percent) and education (15

percent) associations reported that the "general membership" was

responsible.

Table XXI reveals how various association types reported "Which

groups are responsible for determining professional competencies?"

Trade and education associations indicated that "task force/committee"

was their primary group. "Task force/committee" and "board of directors"

were listed by all eight association types. Service and business

associations listed "board of directors" five times each while

medical/health and engineering associations listed "task force/

committee" four times each.

Table XXII presents how various association types responded to

the question, "Who in your association established the measurable

standard by which to evaluate applicants?" "Task force/committee" were

listed 12 times by trade associations and 11 times by education

associations. Business and service associations listed "task

force/committees" six times each and "board of directors" five and four

times respectively. "Memberships" were listed only once, by trade

TABLE XX

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE GROUPS
RESPONSIBLE FOR CERTIFICATION PROGRAM
INITIATION BY TYPE
OF ASSOCIATION

Type of Association	1		2		3		4		N
	N (N=38)	%	N (N= 8)	%	N (N=14)	%	N (N=10)	%	(N=70)
Business	9	75.0	1	8.3	1	8.3	1	8.3	12
Education	8	40.0	3	15.0	4	20.0	5	25.0	20
Service	5	50.0	3	30.0	2	20.0	–	–– –	10
Trade	10	66.7	–	–– –	5	33.3	–	–– –	15
Medical/Health	2	50.0	1	25.0	–	–– –	1	25.0	4
Engineering	2	33.3	–	–– –	2	33.3	2	33.3	6
Finance	1	50.0	–	–– –	–	–– –	1	50.0	2
Agriculture	1	50.0	–	–– –	–	–– –	1	50.0	1

1= Elected Leadership
2= General Membership
3= Professional Staff
4= Other

TABLE XXI

FREQUENCY DISTRIBUTION OF GROUPS RESPONSIBLE
FOR THE DETERMINATION OF PROFESSIONAL
COMPETENCIES BY TYPE OF
ASSOCIATION

Type of Association	1 N (N=40)	2 N (N=24)	3 N (N= 3)	4 N (N=21)
Business	5	5	1	3
Education	10	3	–	8
Service	3	5	1	1
Trade	12	4	1	4
Medical/Health	4	2	–	1
Engineering	4	3	–	2
Finance	1	1	–	1
Agriculture	1	1	–	1

1= Task Force/Committee
2= Board of Directors
3= Membership
4= Other

TABLE XXII

FREQUENCY DISTRIBUTION OF GROUPS ESTABLISHING
STANDARD TO EVALUATE APPLICANTS
BY TYPE OF ASSOCIATION

Type of Association	1 N (N=46)	2 N (N=20)	3 N (N= 1)	4 N (N=21)
Business	6	5	–	4
Education	11	3	–	8
Service	6	2	–	2
Trade	12	4	1	4
Medical/Health	4	2	–	1
Engineering	5	3	–	–
Finance	1	1	–	1
Agriculture	1	–	–	1

1= Task Force/Committee
2= Board of Directors
3= Membership
4= Other

associations, as the group which established the measurable standards by which to evaluate applicants.

Forty-seven associations indicated that their certification program is administered directly by the association. Table XXIII presents the responses of various association types to the issue of program administration. Trade (80 percent), engineering (83 percent) and education (70 percent) associations indicated that their certification program is administered directly by the association.

Service (60 percent) associations revealed that their certification program is not administered by the parent association. Eighty-three percent of these service associations receive no financial support for their certification program. Fifty-seven percent of the education association certification programs, which are not administered by the associations, received no financial support.

Table XXIV depicts how various association types respond to the public relations and promotions issues. Three issue questions, numbers five, six, and seven, are included in this table. More than 75 percent of education, service, trade, medical/health, engineering, and financial associations indicated certification was openly accepted initially by their members (Question 5). Business (64 percent) associations revealed their members reported positive reactions toward certification. Service (44 percent) associations, however, indicated that their memberships did not openly accept the idea of certification.

One or more of the various association types maintain an organized and concerted effort to solicit membership support for a certification program (Question 6). At least 70 percent of association

TABLE XXIII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE
ADMINISTRATION OF CERTIFICATION PROGRAM
BY TYPE OF ASSOCIATION

Type of Association	Question 1				
	Yes (N=47)	% (68.1)	No (N=22)	% (31.9)	N (N=69)
Business	8	66.7	4	33.3	12
Education	14	70.0	6	30.0	20
Service	4	40.0	6	60.0	10
Trade	12	80.0	3	20.0	15
Medical or Health	3	75.0	1	25.0	4
Engineering	5	83.3	1	16.7	6
Finance	–	–– –	1	100.0	1
Agriculture	1	100.0	–	–– –	1

TABLE XXIV

FREQUENCY AND PERCENTAGE DISTRIBUTION OF REACTION TO
AND PROMOTION OF CERTIFICATION PROGRAM
BY TYPE OF ASSOCIATION

| Type of Association | Question 5 | | | | |
	Yes (N=50)	% (79.4)	No (N=13)	% (20.6)	N (N=63)
Business	7	63.6	4	36.4	11
Education	17	94.4	1	5.6	18
Service	5	55.6	4	44.4	9
Trade	13	86.7	2	13.3	15
Medical or Health	3	75.0	1	25.0	4
Engineering	4	80.0	1	20.0	5
Finance	1	100.0	–	–– –	1
Agriculture	–	–– –	–	–– –	–

| | Question 6 | | | | |
	Yes (N=52)	% (80.0)	No (N=13)	% (20.0)	N (N=65)
Business	9	81.8	2	18.2	11
Education	14	77.8	4	22.2	18
Service	8	80.0	2	20.0	10
Trade	11	73.3	4	26.7	15
Medical or Health	3	75.0	1	25.0	4
Engineering	5	100.0	–	–– –	5
Finance	1	100.0	–	–– –	1
Agriculture	1	100.0	–	–– –	1

| | Question 7 | | | | |
	Yes (N=55)	% (79.7)	No (N=14)	% (20.3)	N (N=69)
Business	11	91.7	1	8.3	12
Education	17	89.5	2	10.5	19
Service	7	70.0	3	30.0	10
Trade	11	73.3	4	26.7	15
Medical or Health	2	50.0	2	50.0	4
Engineering	4	66.7	2	33.3	6
Finance	2	100.0	–	–– –	2
Agriculture	1	100.0	–	–– –	1

types indicated strong support of a public relations program which included service (80 percent), business, (82 percent) and engineering (100 percent) associations. Trade (27 percent) and service (20 percent) associations did not maintain organized public relation programs.

Business (92 percent), education (90 percent), and trade (73 percent) associations revealed they employ a continuous promotional program to create and maintain enthusiasm for certification (Question 7). Service (30 percent), medical/health (50 percent) and engineering (31 percent) associations did not employ promotional programs. All association types reported at least one or more of their group employed a continuous promotional program.

The responses to the grandfathering issue reported by association types are presented in Table XXV. This table includes associations responses to issues question eight, nine, and ten. Seventy percent of education and service associations do not allow grandfathering (Question 8). In addition, trade (86 percent) finance (100 percent) and agriculture (100 percent) associations prevent certification through grandfathering. However, business (50 percent), education (30 percent), and service (30 percent) associations indicated they allow grandfathering.

Two-thirds of business and engineering associations, which allow grandfathering, believe it has improved the quality of their certification program (Question 9). In contrast, two-thirds of education and service associations which allow grandfathering stated that it has not improved the quality of their program. Trade and medical/health associations are divided on this question.

When asked, "Has grandfathering depleted the supply of potential

TABLE XXV

FREQUENCY AND PERCENTAGE DISTRIBUTION
OF THE GRANDFATHERING ISSUE BY
TYPE OF ASSOCIATION

Type of Association	Question 8				
	Yes (N=22)	% (31.9)	No (N=47)	% (68.1)	N (N=69)
Business	6	50.0	6	50.0	12
Education	6	30.0	14	70.0	20
Service	3	30.0	7	70.0	10
Trade	2	14.3	12	85.7	14
Medical or Health	2	50.0	2	50.0	4
Engineering	3	50.0	3	50.0	6
Finance	-	-- -	2	100.0	2
Agriculture	-	-- -	1	100.0	1
	Question 9				
	Yes (N=11)	% (50.0)	No (N=11)	% (50.0)	N (N=22)
Business	4	66.7	2	33.3	6
Education	2	33.3	4	66.7	6
Service	1	33.3	2	66.7	3
Trade	1	50.0	1	50.0	2
Medical or Health	1	50.0	1	50.0	2
Engineering	2	66.7	1	33.3	3
Finance	-	-- -	-	-- -	-
Agriculture	-	-- -	-	-- -	-
	Question 10				
	Yes (N=3)	% (13.7)	No (N=19)	% (86.4)	N (N=22)
Business	1	16.7	5	83.3	6
Education	-	-- -	6	100.0	6
Service	-	-- -	3	100.0	3
Trade	1	50.0	1	50.0	2
Medical or Health	-	-- -	2	100.0	2
Engineering	1	33.3	2	67.7	3
Finance	-	-- -	-	---	-
Agriculture	-	-- -	-	---	-

candidates for certification?", one business, one trade and one

engineering association each indicated it had done so (Question 10).

One hundred percent of the education, service and medical/health

associations and 83 percent of the business associations which allow

grandfathering reported that it had not depleted the supply of potential

candidates.

The responses to the legal issue by various association types are

presented in Table XXVI. One hundred percent of trade, medical/health

and engineering, financial and agricultural associations maintain legal

counsel (Question 11). Business (83 percent), education (85 percent)

and service (80 percent) associations also indicated they maintain legal

counsel.

Only a small percent of business (10 percent), education

(24 percent), service (29 percent), trade (7 percent) and engineering

(25 percent) associations maintain legal counsel in an effort to avoid

potential legal difficulties as a result of their certification programs

(Question 12). Medical/health (75 percent) associations, however,

revealed that legal counsel was established in order to prevent legal

difficulties resulting from certification.

One business, one medical/health and one engineering association

each indicated that legal action had been taken against their

association as a result of certification activities (Question 13). None

of the associations revealed the nature of the legal action. More than

90 percent of the business, education, service, trade, finance and

agriculture associations reported that no legal action had been taken

against their associations.

Table XXVII presents the responses by various association types to

TABLE XXVI

FREQUENCY AND PERCENTAGE DISTRIBUTION
OF THE LEGAL ISSUE BY
TYPE OF ASSOCIATION

Type of Association	Question 11				
	Yes (N=61)	% (87.1)	No (N=9)	% (12.9)	N (N=70)
Business	10	83.3	2	16.9	12
Education	17	85.0	3	15.0	20
Service	8	80.0	2	20.0	10
Trade	15	100.0	–	–– –	15
Medical or Health	4	100.0	–	–– –	4
Engineering	4	66.7	2	33.3	6
Finance	2	100.0	–	–– –	2
Agriculture	1	100.0	–	–– –	1

	Question 12				
	Yes (N=12)	% (20.0)	No (N=44)	% (90.0)	N (N=60)
Business	1	10.0	9	90.0	10
Education	4	23.5	13	76.6	17
Service	2	28.6	5	71.4	7
Trade	1	6.7	14	93.3	15
Medical or Health	3	75.0	1	25.0	4
Engineering	1	25.0	3	75.0	4
Finance	–	–– –	2	100.0	2
Agriculture	–	–– –	1	100.0	1

	Question 13				
	Yes (N=3)	% (4.3)	No (N=67)	% (95.7)	N (N=70)
Business	1	8.3	11	91.7	12
Education	–	–– –	20	100.0	20
Service	–	–– –	10	100.0	10
Trade	–	–– –	15	100.0	15
Medical or Health	1	25.0	3	75.0	4
Engineering	1	16.7	5	83.3	6
Finance	–	–– –	2	100.0	2
Agriculture	–	–– –	1	100.0	1

TABLE XXVII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE FORMAL EXAMINATION ISSUE BY TYPE OF ASSOCIATION

Type of Association	Yes (N=62)	% (88.6)	No (N=8)	% (11.4)	N (N=70)	Yes (N=26)	% (42.6)	No (N=35)	% (57.4)	N (N=61)
			Question 14					Question 15		
Business	9	75.0	3	25.0	12	3	33.3	6	66.7	9
Education	19	95.0	1	5.0	20	8	42.1	11	57.9	19
Service	10	100.0	-	-- -	10	5	50.0	5	50.0	10
Trade	11	73.3	4	26.7	15	5	50.0	5	50.0	10
Medical or Health	4	100.0	-	-- -	4	3	75.0	1	25.0	4
Engineering	6	100.0	-	-- -	6	2	33.3	4	66.7	6
Finance	2	100.0	-	-- -	2	-	-- -	2	100.0	2
Agriculture	1	100.0	-	-- -	1	-	-- -	1	100.0	1
			Question 16					Question 17		
	(N=14)	(20.9)	(N=53)	(79.1)	(N=67)	(N=58)	(85.3)	(N=10)	(14.7)	(N=68)
Business	3	25.0	9	75.0	12	8	66.7	4	33.3	12
Education	2	10.5	17	89.5	19	18	94.7	1	5.3	19
Service	4	40.0	6	60.0	10	9	90.0	1	10.0	10
Trade	3	23.1	10	76.9	13	10	71.4	4	28.6	14
Medical or Health	1	25.0	3	75.0	4	4	100.0	-	-- -	4
Engineering	-	-- -	6	100.0	6	6	100.0	-	-- -	6
Finance	-	-- -	2	100.0	2	2	100.0	-	-- -	2
Agriculture	1	100.0	-	-- -	1	1	100.0	-	-- -	1

the formal examination issue which includes issue questions 14, 15, 16, and 17. Business (75 percent) and trade (73 percent) associations utilize formal examinations (Question 14). One hundred percent of the service, medical/health, engineering, finance and agriculture associations and 95 percent of the education associations indicated they require applicants to take a formal examination.

Of the associations which require formal examinations of applicants, medical/health (75 percent), trade (50 percent), service (50 percent) and education (42 percent) associations employ an external organization to develop, administer and update the examination (Question 15). Two-thirds of business and engineering associations reported that their assoications do not utilize external testing organizations.

Test difficulty was reported to be a problem by service (40 percent), business (25 percent), medical/health (25 percent) and trade (23 percent) associations (Question 16). Education (90 percent), engineering (100 percent) and finance (100 percent) associations indicated that test difficulty was not a problem.

Maintaining procedures to improve the accuracy of test questions was indicated by 100 percent of the medical/health, engineering, finance and agriculture associations (Question 17). Education (95 percent) and service (90 percent) associations improve the accuracy of test questions by maintaining improvement procedures. However, business (33 percent) and trade (29 percent) associations do not maintain test improvement procedures.

Table XXVIII presents how various association types responded to the recertification and continuing education issue. Issue questions 18 and 19 are depicted in this table. Education (55 percent),

TABLE XXVIII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE RE-CERTIFICATION AND CONTINUING EDUCATION ISSUES BY TYPE OF ASSOCIATION

Type of Association	Question 18					Question 19				
	Yes (N=32)	% (45.7)	No (N=38)	% (54.3)	N (N=70)	Yes (N=29)	% (41.4)	No (N=41)	% (58.6)	N (N=70)
Business	4	33.3	8	66.7	12	2	16.7	10	83.3	12
Education	11	55.0	9	45.0	20	12	60.0	8	40.0	20
Service	4	40.0	6	60.0	10	3	30.0	7	70.0	10
Trade	7	46.7	8	53.3	15	5	33.3	10	66.7	15
Medical or Health	3	75.0	1	25.0	4	2	50.0	2	50.0	4
Engineering	3	50.0	3	50.0	6	3	50.0	3	50.0	6
Finance	-	-- -	2	100.0	2	1	50.0	1	50.0	2
Agriculture	-	-- -	1	100.0	1	1	100.0	-	-- -	1

(75 percent) and trade (47 percent) associations require
recertification after a specific time period (Question 18). More than
60 percent of business, education, finance and agriculture associations
do not require recertification.

Two-thirds of the education associations require individuals to
complete a specific number of CEU's or courses to retain their
certification status (Question 19). Fifty percent of medical/health,
engineering and finance associations also require CEU's or addtitional
courses. Business (83 percent) and trade (67 percent) associations.
however, do not require additional course work or CEU's.

More than 70 percent of associations reported they have a written
code of ethics and would revoke an individual's certification status for
illegal or unethical behavior. How various association types responded
to these two issues is presented in Table XXIX.

Business (83 percent) and education (67 percent) associations
reported they revoke an individual's certification status
(Question 20). Service (40 percent) associations indicated they do not
revoke certification for illegal or unethical behavior.

Written codes of ethics are maintained by education (85 percent),
business (83 percent), trade (80 percent) and medical/health (75
percent) associations (Question 21). Two-thirds of engineering
associations, however, do not maintain a written code of ethics but an
equal number do revoke an individual's certification status for
unethical behavior. All association types, except engineering
associations, reported a higher or equal response to maintaining written
codes of ethics than to revoking certification status.

When asked, "Does your association use paper/pencil tests to

TABLE XXIX

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE ETHIC
ISSUE BY TYPE OF ASSOCIATION

Type of Association	Question 20					Question 21				
	Yes (N=47)	% (70.1)	No (N=20)	% (29.9)	N (N=67)	Yes (N=53)	% (75.7)	No (N=17)	% (24.3)	N (N=70)
Business	10	83.3	2	16.7	12	10	83.3	2	16.7	12
Education	12	66.7	6	33.3	18	17	85.0	3	15.0	20
Service	6	60.0	4	40.0	10	6	60.0	4	40.0	10
Trade	9	64.3	5	35.7	14	12	80.0	3	20.0	15
Medical or Health	3	75.0	1	25.0	4	3	75.0	1	25.0	4
Engineering	4	66.7	2	33.3	6	2	33.3	4	66.7	6
Finance	2	100.0	-	-- -	2	2	100.0	-	-- -	2
Agriculture	1	100.0	-	-- -	1	1	100.0	-	-- -	1

evaluate applicants?", 83 percent of engineering associations responded
"yes" (Table XXX). One hundred percent of medical/health, finance and
agriculture associations reported they use paper/pencil tests to
evaluate applicants. Eighty percent of education and service
associations also used this evaluation technique while thirty-eight
percent of trade associations did not.

In a follow up question, associations were asked to report what
type of test questions were most often used. Multiple choice
questions are the most often used (Table XXXI).

Education, trade, and medical/health associations use an equal
number of short answer and essay questions. True/false questions are
the second most used by education associations while business
associations second most often used questions are essay. All
association types prefer essay questions to short answer questions.

Association types use various assessment processes in evaluating
applicants for certification (Table XXXII). The frequency of responses
exceeds 70 because associations were encouraged to indicate all the
assessment processes they use. Paper/pencil tests are used by 100
percent of the association types.

Education associations reported that they primarily use
paper/pencil tests and performance evaluations to assess applicants.
These are the two principal assessment processes used by seven of eight
association types. Education, business, and trade associations
indicated they use all seven assessment processes while service
associations use all but client referral. Only the agriculture
association reported using paper/pencil tests, performance

TABLE XXX

FREQUENCY AND PERCENTAGE DISTRIBUTION OF
PAPER/PENCIL TEST USED IN APPLICANT
EVALUATION BY TYPE OF
ASSOCIATION

Type of Association	Question 23				
	Yes (N=53)	% (76.8)	No (N=16)	% (23.2)	N (N=69)
Business	8	66.7	4	33.3	12
Education	16	80.0	4	20.0	20
Service	8	80.0	2	20.0	10
Trade	9	64.3	5	35.7	14
Medical or Health	4	100.0	–	–– –	4
Engineering	5	83.3	1	16.7	6
Finance	2	100.0	–	–– –	2
Agriculture	1	100.0	–	–– –	1

TABLE XXXI

FREQUENCY DISTRIBUTION OF THE TEST
QUESTIONS USED BY TYPE OF
ASSOCIATION

Type of Association	1 N (N=51)	2 N (N=13)	3 N (N=18)	4 N (N=14)
Business	7	1	4	3
Education	15	4	4	5
Service	8	1	4	2
Trade	9	2	2	2
Medical/Health	4	2	2	—
Engineering	5	—	—	1
Finance	2	2	1	—
Agriculture	1	1	1	1

1= Multiple Choice
2= Short Answer
3= Essay
4= True/False

TABLE XXXII

FREQUENCY DISTRIBUTION OF THE ASSESSMENT
PROCESSES FOR APPLICANTS BY TYPE
OF ASSOCIATION

Type of Association	1 N (N=56)	2 N (N=26)	3 N (N= 8)	4 N (N=15)	5 N (N= 7)	6 N (N= 8)	7 N (= 7)
Business	8	4	3	3	1	3	1
Education	17	10	2	5	3	2	2
Service	8	2	1	2	1	–	1
Trade	10	4	1	4	2	1	1
Medical/Health	4	3	–	–	–	–	–
Engineering	6	2	–	1	–	1	1
Finance	2	–	–	–	–	1	–
Agriculture	1	1	1	–	–	–	1

1= Paper/Pencil Test
2= Performance Evaluation
3= Interview
4= Portfolio
5= Assessment Center
6= Client Referral
7= Job Sample

evaluations, personal interviews, and job samples in combination to evaluate applicants.

The frequency and percentage distribution related to the grandfathering issue by association type is presented in Table XXXIII. Since most associations reported they do not allow grandfathering (68 percent), the zero category was the most frequently named. Education (55 percent), service (70 percent), trade (60 percent), and business (50 percent) associations reported they have not grandfathered any individuals.

Six business associations have grandfathered individuals but two-thirds of these have grandfathered less than 250 individuals. Thirty percent of service associations have grandfathered less than 250 individuals each. Forty-five percent of education associations allow grandfathering but only ten percent reported grandfathering more than 1,000 individuals. Thirty-three percent of the trade associations reported allowing less than 100 individuals to receive certification through grandfathering. Engineering (33 percent), business (8 percent) and education (5 percent) associations have grandfathered more than 2,500 individuals.

Identification of Qualification Criteria

Associations were asked to identify the qualification criteria they use in evaluating applicants for certification (Table XXXIV). Twenty-three different qualification criteria were identified by 70 associations. The qualification criteria have been ranked according to their frequency distribution and the range of responses was from one to 49. The most frequently identified qualification criterion was

TABLE XXXIII

FREQUENCY AND PERCENTAGE DISTRIBUTION OF INDIVIDUALS
GRANDFATHERED BY TYPE OF ASSOCIATION

Type of Association	1 (N=41)		2 (N=13)		3 (N= 5)		4 (N= 2)		5 (N= 4)		6 (N= 1)		7 (N= 4)		Total N (N=70)
	N	%	N	%	N	%	N	%	N	%	N	%	N	%	
Business	6	50.0	2	16.7	2	16.7	–	–– –	1	8.3	–	––––	1	8.3	12
Education	11	55.0	3	15.0	2	10.0	1	5.0	1	5.0	1	5.0	1	5.0	20
Service	7	70.0	2	20.0	1	10.0	–	–– –	–	–– –	–	–– –	–	–– –	10
Trade	9	60.0	5	33.3	–	–– –	1	6.7	–	–– –	–	–– –	–	–– –	15
Medical/Health	2	50.0	1	25.0	–	–– –	–	–– –	1	25.0	–	–– –	–	–– –	4
Engineering	3	50.0	–	–– –	–	–– –	–	–– –	1	16.7	–	–– –	2	33.3	6
Finance	2	100.0	–	–– –	–	–– –	–	–– –	–	–– –	–	–– –	–	–– –	2
Agriculture	1	100.0	–	–– –	–	–– –	–	–– –	–	–– –	–	–– –	–	–– –	1

1= 0
2= 1-100
3= 101-250
4= 251-500

5= 501-1,000
6= 1,001-2,500
7= 2,501-5,000

TABLE XXXIV

RANK ORDER BY FREQUENCY OF
QUALIFICATION CRITERIA

Qualification Criteria	Response N	Rank
Perfessional experience	49	1
Sucessful completion of a written examination	46	2
Completion of a program of study or desired number of years of education	29	3
Personal and/or professional references	23	4
Completion of additional training and/or continuing education	20	5
Sucessful completion of a performance examination	15	6
Currently employed in the respective industry/trade/field	13	7
Evidence of ethical behavior	12	8
Membership in your professional association	8	9
Active participation in association activities	7	10
Evidence of contribution to the industry/trade/ field	7	10
Portfolio	5	12
Successful completion of an oral evaluation and/or interview	5	12
Minimum age requirement	3	14
Supervised Internship	3	14
Exceeding established industry/trade/field quota	3	14
Personal evaluation or audit	3	14
Submission of academic transcripts	2	18
Job sample	2	18
Evidence of financial responsibility	1	20
Evidence of community involvement	1	20
Written job description	1	20
Meeting federal regulations	1	20

"professional experience" or work experience which received 49 responses.
The second most frequently identified qualification criterion, which
received 46 responses, is the "successful completion of a written
examination." Associations named the "completion of a program of study
or desired number of years of education" 29 times and it was the third
most frequently identified criterion. "Personal and/or professional
references" received 23 responses while "additional training and/or
continuing education" received 20 responses. These ranked fourth and
fifth respectively. The sixth most frequently identified qualification
criterion was the "successful completion of a performance examination"
which received 15 responses. Being "currently employed in the respective
industry/trade/field" was seventh while "evidence of ethical behavior"
received 12 responses and was listed eighth. "Membership in the
professional associations" was the ninth most frequently identified
qualification criterion with eight responses and tied for tenth was
"active participation in associations activities" and "evidence of
contributions to the industry/trade/field." Several other qualification
criteria were reported including oral evaluation, age requirement,
supervised internship, portfolio, job sample, and personal
evaluation.

Table XXXV presents the frequency and percentage distribution of
the nine most frequently identified qualification criteria by
association types. This table lists the eight associations types, the
nine most often identified qualification criteria and a frequency and
percentage breakdown which reveals what proportion of the responses were
received from each association type. In addition, a percentage has been
calculated which reflects the importance of each criterion to each

TABLE XXXV

FREQUENCY AND PERCENTAGE DISTRIBUTION OF THE NINE MOST FREQUENTLY IDENTIFIED QUALIFICATION CRITERIA BY TYPE OF ASSOCIATION

Type of Association		1 N	1 % (N=49)	2 N	2 % (N=46)	3 N	3 % (N=29)	4 N	4 % (N=23)	5 N	5 % (N=20)	6 N	6 % (N=15)	7 N	7 % (N=13)	8 N	8 % ((N=12)	9 N	9 % (N= 8)
Business	(TNR= 51)	10	20.4	6	13.4	6	20.1	6	26.1	2	10.0	2	13.3	1	7.7	3	25.0	2	25.0
	% R	(19.6)	1	(11.7)	2	(11.7)	2	(11.7)	2	(3.9)	6	(3.9)	6	(1.9)	9	(5.8)	5	(3.9)	6
Education	(TNR= 89)	14	28.6	16	34.8	8	27.6	10	43.5	9	45.0	5	33.3	5	38.5	6	50.0	2	25.0
	% R	(15.7)	2	(17.9)	1	(8.9)	5	(11.2)	3	(10.1)	4	(5.6)	7	(5.6)	7	(6.7)	6	(2.2)	9
Service	(TNR= 35)	7	14.3	8	17.4	4	13.8	2	8.7	1	5.0	4	26.7	2	15.4	2	16.7	1	12.5
	% R	(20.0)	2	(22.8)	1	(11.4)	3	(5.7)	5	(2.8)	8	(11.4)	3	(5.7)	5	(5.7)	5	(2.8)	9
Trade	(TNR= 51)	11	22.5	9	19.6	4	13.8	2	8.7	7	35.0	1	6.7	3	23.1	1	8.3	3	37.5
	% R	(21.5)	1	(17.6)	2	(7.8)	4	(3.9)	7	(13.7)	3	(1.9)	8	(5.8)	5	(1.9)	8	(5.8)	5
Med/Health	(TNR= 9)	1	2.0	3	6.5	2	6.9	–	– – –	1	5.0	2	13.2	–	– – –	–	– – –	–	– – –
	% R	(11.1)	4	(33.3)	1	(22.2)	2	–	– – –	(11.1)	4	(22.2)	2	–	– – –	–	– – –	–	– – –
Engr	(TNR= 18)	5	10.2	4	8.7	3	10.4	2	8.7	–	– – –	–	– – –	1	7.7	–	– – –	–	– – –
	% R	(27.1)	1	(22.2)	2	(16.7)	3	(11.1)	4	–	– – –	–	– – –	(5.5)	5	–	– – –	–	– – –
Finance	(TNR= 3)	–	– – –	–	– – –	1	3.5	1	4.4	–	– – –	–	– – –	1	7.7	–	– – –	–	– – –
	% R	–	– – –	–	– – –	(33.3)	1	(33.3)	1	–	– – –	–	– – –	(33.3)	1	–	– – –	–	– – –
Agri	(TNR= 3)	1	2.0	–	– – –	1	3.5	–	– – –	–	– – –	1	6.7	–	– – –	–	– – –	–	– – –
	% R	(33.3)	1	–	– – –	(33.3)	1	–	– – –	–	– – –	(33.3)	1	–	– – –	–	– – –	–	– – –

1= Professional experience
2= Successful completion of a written examination
3= Completion of a program of study or desired number of years of education
4= Personal and/or professional references
5= Completion of additional training and/or continuing education

6= Successful completion of a performance examination
7= Currently employed in the respective industry/trade/field
8= Evidence of ethical behavior
9= Membership in the professional association

TNR= Total number of responses

association type plus a frequency ranking for each criterion by association type.

"Professional experience" was named as a qualification criterion 49 times. It was named by education associations 14 times and 11 times by trade associations. Business associations named this criterion 10 times and it was listed seven times by service associations. The only group which failed to name this as a qualification criterion was finance associations.

The "successful completion of a written examination" was named 46 times. It was named by education associations 16 times and nine times by trade associations. Service associations listed this criterion eight times while business associations listed it six of 46 times. Both finance and agriculture associations did not name this as a qualification criterion.

The third most frequently identified criterion, "completion of a program of study or desired number of years of education", was named 29 times. It received the highest number of responses from education associations with eight of the 29. Business associations named this criterion six times while service and trade associations named it four times each. This criterion is the only criterion to receive response from all eight association types.

"Personal and/or professional reference" received 23 responses and ten of these came from education associations and six responses from business associations. Three associations, service, trade, and engineering, tied with two responses each. Only medical/health and agriculture associations failed to list this criterion.

"Completion of additional training and/or continuing education" was named 20 times. Education associations listed this criterion nine times. Seven of 20 responses came from trade associations while business associations listed this criterion only two times. Engineering, finance and agriculture associations did not list this qualification criterion.

"Successful completion of a performance examination" was reported 15 times. Education associations listed it five times. Service associations listed this criterion four times and businesses and medical/health associations both listed it twice.

The qualification criterion "evidence of ethical behavior" was named 12 times. Education associations listed it six times which represents 50 percent of the responses. This criterion was listed by business and service associations three times and twice respectively. Four association types, medical/health, engineering, finance, and agriculture, failed to list this criterion.

"Being a member in the professional associations" was named eight times. It was named three times by trade associations and twice by education and business associations. Two of the responses came from service associations and four association types did not list this qualification criterion.

Education associations maintained the highest percentages of responses for the first eight qualification criteria. Business and trade associations maintained the second highest number of responses in the first eight criteria followed by service associations.

The nine most frequently identified qualification criteria represent only 39 percent of the total listed criteria, however, it represents 215 of 259 responses or 83 percent of the total responses.

At the left of Table XXXV is a designation (TNR) which stands for total number of responses. The corresponding number represents the number of total responses provided by each of the various association types. Education associations responded 89 times, business 51, trade 51, service 35, engineering 18, medical/health 7, and finance and agriculture 3 each, which is 259 total responses. Using the total number of responses for each association type, a percentage can be calculated which reflects the importance of a single criterion to each association type.

Using the total number of responses (TNR) to calculate the importance of a single criterion, business, education, service, trade, and engineering associations listed "professional experience" and the "successful completion of a written examination" as either their number one or two most frequently mentioned qualification criterion. The criterion "professional experience" represented 20 percent of business, 16 percent of education, 20 percent of service, 22 percent of trade, and 27.7 percent of engineering associations total responses. The second most frequently identified criterion represented 12 percent of business, 18 percent of education, 23 percent of service, 18 percent of trade, 33 percent of medical/health, and 22 percent of engineering associations' total responses.

Prioritization of Qualification Criteria

Once the qualification criteria were identified, a composite list of criteria was constructed and mailed to the study participants. Participants were asked to rank order the five qualification criteria which they perceived to be the most important. They were instructed to

allow one (1) to represent the criterion most important when evaluating a potential candidate for certification and allow five (5) to represent the criterion least important.

A weight of five was assigned for each first place rank, a weight of four for second place rank, a weight of three for third rank, a weight of two for fourth and a weight of one for fifth place rank. The total number of points possible per association was fifteen. Fifty-eight assocations responded which represent 870 total points.

The ten most frequently listed qualification criteria are listed in Table XXXVI. These criteria were ranked by the study participants and the total of their evaluations are listed. Also included in this table is the overall ranking of each of the qualification criterion and a listing of the first and second place ranks that each criterion received.

The qualification criterion , "professional experience", received 202 points and is the number one ranked criterion. This criterion received 16 first place and 19 second place ranks. The second ranked criterion was "the successful completion of a written examination" which received 176 points. This criterion received the highest number of first place ranks with 22 but only received eight second place ranks.

Associations ranked the "completion of a program of study or desired number of years of education" third and it received 122 total points. This criterion received seven first place and six second place ranks. Being "currently employed in the respective industry/trade/ field/" was the fourth ranked criterion receiving 97 total points. The fifth ranked criterion was the "successful completion of a performance examination". "Being a member in the professional association" ranked

TABLE XXXVI

THE RANK ORDER OF THE TEN MOST FREQUENTLY
IDENTIFIED QUALIFICATION CRITERIA

Qualification Criteria	Total Score (N=870)	Overall Rank	Frequency of Ranks 1 (N=58)	2 (N=58)
Professional Experience	202	1	16	19
Sucessful completion of a written examination	176	2	22	8
Completion of a program of study or desired number of years of education	122	3	7	6
Currently employed in the respective industry/trade/ field	97	4	5	6
Successful completion of a performance examination	59	5	1	7
Membership in your professional association	57	6	5	4
Completion of additional training and/or continuing education	52	7	–	2
Evidence of ethical behavior	45	8	1	2
Personal and/or professional references	41	9	–	2
Successful completion of an oral evaluation and/or interview	19	10	1	2

sixth with 57 points while the "completion of additional training and/or continuing education" received 52 points and ranked seventh. This seventh place ranking was accomplished without any first place and only two second place ranks. The eighth ranked criterion was "evidence of ethical behavior", which received 45 points. Ninth ranked criterion was "personnal and/or professional reference" with 41 points while the "successful completion of an oral evaluation and/or interview" was tenth. The tenth ranked criterion, however, did receive one first and two second place ranks which was 68.4 percent of the total points received.

The rank order of qualification criteria by association types is presented in Table XXXVII. Included in this table are the ten most frequently listed qualification criteria and the total scores that each received by association types. Also included is the corresponding rank that each of the criterion received from each of the eight association types.

Business, education, service, and trade associations ranked "professional experience" as their number one qualification criterion Engineering and agriculture associations ranked it second. The "successful completion of a written examination" was ranked as the number one qualification criterion by medical/health, engineering and finance associations and was ranked second by education, service, and trade associations.

Finance and agriculture associations ranked the "completion of a program of study or desired number of years of education" as their sixth and fifth ranked criterion respectatively. Business associations ranked this criterion second while education, service, medical/health, and

TABLE XXXVII

RANK ORDER OF THE TEN MOST FREQUENTLY IDENTIFIED
QUALIFICATION CRITERIA BY TYPE OF ASSOCIATION

Qualification Criteria	Business (N=135)		Education (N=240)		Service (N=120)		Trade (N=195)		Medical/Health (N=60)		Engineering (N=75)		Finance (N=30)		Agriculture (N=15)	
	N	R	N	R	N	R	N	R	N	R	N	R	N	R	N	R
Professional experience	31	1	40	1	32	1	39	1	10	1	23	1	9	1	2	4
Successful completion of a written examination	29	3	42	2	24	2	30	2	16	1	23	1	9	1	2	4
Completion of a program of study or desired number of years of education	30	2	40	3	15	3	18	4	12	3	10	3	1	6	1	5
Currently employed in the respective field	15	4	38	4	7	6	22	3	-	-	7	5	8	2	-	-
Successful completion of a performance examination	7	6	1	10	10	4	17	6	16	1	-	-	-	-	3	3
Membership in your professional association	3	9	22	5	6	9	18	4	6	2	1	8	-	-	5	1
Completion of additional training and/or continuing education	9	5	10	6	7	6	14	8	4	5	8	4	-	-	-	-
Evidence of ethical behavior	4	8	10	6	9	5	17	6	-	-	2	7	3	5	-	-
Personal and/or professional references	7	6	9	8	3	10	14	8	-	-	4	6	4	4	-	-
Successful completion of an oral evaluation	-	10	6	9	7	6	6	10	-	-	-	-	-	-	-	-

N= Total score   R= Criteria Ranking

engineering associations ranked it third.

Finance associations ranked being "currently employed in the respective industry/trade/field" as their second ranked criterion . Trade associations ranked this criterion third while business and education associations ranked it fourth.

"Professional experience" and the "successful completion of a written examination" were ranked first and second respectively in education, service, and trade associations while business associations ranked these criteria first and third respectively. The lowest ranking that either of these criteria received was fourth.

Agriculture associations ranked, "membership in your professional associations," as their number one qualification criterion but business and service associations ranked it ninth. Education, medical/health and engineering associations ranked this criterion fifth, sixth, and eighth respectively.

The comparison of the frequency ranking of qualification criteria with the priority ranking is presented in Table XXXVIII. This table depicts the relationship between identified and prioritized qualification criteria. This table also includes a list of the most frequently identified qualification criteria and their corresponding ranking. Also included is the priority ranking of qualification criteria by responding associations. Using this table, a comparison between the frequency ranking and priority ranking can be made.

When associations were asked to identify the qualification criteria that they use to evaluate applicants for certification, "professional experience," the "successful completion of a written examination", and the "completion of a program of study or desired number of year of

TABLE XXXVIII

COMPARISON OF THE FREQUENCY AND PRIORITY RANKING
OF QUALIFICATION CRITERIA

Qualification Criteria	Frequency Ranking	Priority Ranking
Professional Experience	1	1
Sucessful completion of a written examination	2	2
Completion of a program of study or desired number of years of education	3	3
Currently employed in the respective industry/ trade/field	7	4
Successful completion of a performance examination	6	5
Membership in your professional association	9	6
Completion of additional training and/or continuing education	5	7
Evidence of ethical behavior	8	8
Personal and/or professional references	4	9
Sucessful completion of an oral evaluation and/or interview	12	10

education" were identified most often. Professional experience was the most often identified criterion, written examination was next, and program of study was third. When associations were asked to rank order the most important qualifications criteria used in the evaluation of applicants, these same three criteria were listed first, second, and third respectively.

"Personal and/or professional references" was the fourth most frequently identified criterion, however, it received a priority ranking of ninth. The fifth most frequently identified criterion, "the completions of additional training and/or continuing education," received a priority ranking of seventh.

The "successful completion of a performance examination" was the sixth most often identified criterion but when associations were asked to prioritize the criteria this criterion was ranked fifth. Being "currently employed in the respective industry/trade/field" was another criterion that received a better priority ranking than frequency ranking while "membership in your professional association" received a priority ranking of sixth but only a frequency ranking of ninth.

"Evidence of ethical behavior" received a priority ranking of eighth and a frequency ranking of eighth. This criterion was the only criterion, other than the first three, to receive an identical frequency and priority ranking.

The comparison of the frequency ranking of qualification criteria with the priority ranking by various association types is presented in Table XXXIX. This table depicts the relationship between identified and prioritized qualification criteria as reported by association types.

TABLE XXXIX

COMPARISON OF THE FREQUENCY AND PRIORITY RANKING
OF QUALIFICATION CRITERIA BY
TYPE OF ASSOCIATION

Type of Association	1		2		3		4		5		6		7		8		9	
	F	P	F	P	F	P	F	P	F	P	F	P	F	P	F	P	F	P
Business	1	1	2	3	2	2	2	6	6	5	6	6	9	4	5	8	6	9
Education	2	1	1	2	5	3	3	8	4	6	7	10	7	4	6	6	9	5
Service	2	1	1	2	3	3	5	10	8	6	3	4	5	6	5	5	9	9
Trade	1	1	2	2	4	4	7	8	3	8	8	6	5	3	8	6	5	4
Medical/Health	4	4	1	1	2	3	–	–	4	5	2	1	–	–	–	–	–	6
Engineering	1	2	2	1	3	3	4	6	–	4	–	–	5	5	–	7	–	8
Finance	–	3	–	1	1	6	1	4	–	–	–	–	1	2	–	5	–	–
Agriculture	1	2	–	4	1	5	–	–	–	–	1	3	–	–	–	–	–	1

1= Professional experience
2= Sucessful completion of a written examination
3= Completion of a program of study or desired number of years of education
4= Personal and/or professional references
5= Completion of additional training and/or continuing education

6= Successful completion of a profession examination
7= Currently employed in the industry/field/trade
8= Evidence of ethical behavior
9= Membership in your professional association

F= Frequency Ranking   P= Priority Ranking

Business and trade associations both identified and prioritized "professional experience" as their number one qualification criterion. Education and service associations prioritized this criterion as number one while it was identified second highest. Engineering and agriculture associations identified this criterion as number one but was their second prioritized criterion.

Medical/health associations reported that the "successful completion of a written examination" was their most often identified qualification criterion and also their most important. Engineering associations revealed that it was their most important criterion but failed to identify it as such. Education and service associations reported that this criterion ranked as their second most important, however, it was listed their most often identified. Trade associations disclosed that this criterion was their second most important as well as their second most often identified. Business associations listed this criterion second while they ranked it third.

The qualification criterion "completion of a program of study or desired number of years of education" was identified second most often by business associations. They also prioritized this criterion second. Service, trade and engineering associations identified and prioritized this criterion identically. When education associations rank ordered this criterion, they ranked it two levels higher than their frequency ranking indicated. Medical/Health associations identified this criterion second most often but ranked it third most important.

The "personal and/or professional reference" criterion received a higher frequency ranking by all association types than it did priority ranking. In fact, service associations ranked it least important when

evaluating applicants for certification but identified it fifth highest. This criterion was the second most often identified criterion by business associations but was considered their sixth most important criterion. Education associations listed this criterion third most often identified but as their eighth most important. Trade associations did not consider this criterion as a high priority, eighth, nor did it have a high frequency ranking.

Business and service associations considered the "completion of additional training and/or continuous education" more important than their frequency listing indicated. But education, trade, and medical/health associations maintained a higher frequency ranking than priority ranking.

Service associations identified the "successful completion of a performance examination" as their third most frequently identified criterion. However, when asked to rank order the criteria it was ranked fourth. Education associations considered this criterion as their least important evaluation criterion . Trade associations reported it the eighth most often identified criterion but they ranked it their sixth most important.

Being "currently employed in the respective idustry/field/trade" was given a higher priority ranking than frequency ranking by business, education, and trade associations. Finance associations reported this criterion their most often identified but ranked it second most important.

Service and business associations reported the qualification criterion "evidence of ethical behavior" as their fifth most often identified, but business associations considered it only their eighth

most important evaluation criterion. Education and trade associations considered this criterion their sixth most important but trade associations identified it their eighth most often identified.

Finally, "membership in the professional associations" was trade associations fourth and education associations fifth most important criterion. Both associations failed to identify this criterion as an essential evaluation criterion when they identified the criteria most often used. Service and business associations considered this criterion their ninth most important but business associations listed it as their sixth most often identified criterion.

Summary

Seventy professional associations participated in this study. Eight association types were identified of which 50 percent reported having more than 5,000 members and 35 percent reported having certified more than 5,000 individuals. Ninety-three percent of the associations identified "to increase/assure professional cempetence" as their primary purpose for their certification program.

Most associations allow non-members to become certified through their associations but only a small percentage maintain different levels of certification. A small majority of associations conduct surveys of members before initiating the certification program but most maintain public relations and promotional efforts to solicite membership support.

In most associations, professional competencies were developed prior to the initiation of certification effort while a few associations indicated that competencies were developed as a result of certification. Fear of legislative action was not a primary motivation

for certification.

Most certification programs are accepted initially by the members of the association; therefore, grandfathering is not viewed as an acceptable practice for soliciting support for the program. Most associations did not believe this process improves the quality of their certification program.

Most associations maintain legal counsel but not for the purpose of avoiding potential legal difficulties which results from certification. Nearly 90 percent of the associations require a formal examination of applicants desiring to obtain certification. In an effort to improve the accuracy of test questions, most associations maintain procedures to enhance and improve test instruments.

Recertification and continuing education were not embraced by a majority of associations but most do maintain a written code of ethics and will revoke an individual's certification status for illegal or unethical behavior. Over 92 percent of associations charge candidates a fee in order to be processed for certification.

Paper/pencil tests were listed as the primary assessment process used by associations and multiple choice questions were the most widely used in the evaluation of applicants. Performance evaluations were listed as the second most used assessment process but were only the sixth most frequently identified qualification criteria. Further, this criterion was ranked fifth by assocations when they were asked to rank order qualification criteria.

Twenty-three qualification criteria were identified by the 70 associations. Of these, "professional experience", the "successful completion of a written examination" and the "completion of a program of

study" were named the first, second, and third respectively. The nine most frequently identified qualification criteria, which represent only 39 percent of the total, represented 215 of 259 responses or 83 percent of the total responses.

The 70 associations were asked to rank order the ten most frequently identified qualification criteria and 58 associations responded. Associations indicated that the three most important criteria were the same as the criteria most often identified. Several qualification criteria were identified more important than their frequency ranking indicated. These included "successful completion of a performance examination", being "currently employed in the respective industry/trade/ field" and being a "member in the professional association."

Over 50 percent of education and service associations maintain memberships which exceed 5,000 while 50 percent of trade and business associations have less than 5,000 members. Business (22.6 percent) and trade (17.6 percent) associations reported not allowing non-members to become certified which is lower than the average of all association types.

Business associations (58 percent) reported they had developed competencies or standard prior to their certification effort. This is 17.4 percent lower than the overall associations response. Sixty-eight percent of associations reported that their certification program was administered directly by the association while only 40 percent of service associations reported this to be true.

Business and service reported a lower than average response to the question, "Was the idea of certification openly accepted initially by the membership of your association?". Education associations reported a 15

percent higher than average response to this question.

When asked, "Does your association require individuals to complete a specific number of continuing education units or courses to retain their certification status?", business and education associations strongly disagreed. Only 17 percent of business associations reported requiring CEUs while 60 percent of education associations indicated using this approach. Service and trade associations also diaspproved sharply with education associations on this issue.

Only 60 percent of trade associations maintain a written code of ethics which is a 16 percent lower than average response. Business associations reported that 13 percent more of their associations would revoke an individual certification status for illegal or unethical behavior than the overall average.

Chapter V

SUMMARY, CONCLUSIONS, IMPLICATIONS,

AND RECOMMENDATIONS

The purpose of this study is to collect data about the procedures established and issues addressed by professional associations in the development of professional certification programs and to identify and prioritize the criteria for professional practice required by certifying boards in order to assist professional associations in the consideration of and development of certification programs. This chapter is devoted to the presentation of the summary, conclusions, implications, and recommendations.

Summary

In order to meet the purpose of this study, a comprehensive literature review was conducted. This review included the historical development of certification, a review of association certification activities, and the purposes and motives of certification. Also, an analysis of ASTD professional development activities and a review of certification program implementation procedures, issues and qualification criteria was included. Finally, a review of the ASPA certification report and an analysis of the concept of professionalism was provided.

In an effort to gather information regarding the four research questions of this study, a survey questionnaire was constructed. This

instrument was based upon the results of a comprehensive literature review, telephone interviews, personal interviews, a review of testimony given at the 1984 National ASTD Conference, and a review of professional association position papers and published brochures concerning their certification program. A panel of experts was used to evaluate the construction of the questionnaire and assist in an item analysis. Before the questionnaire was mailed to the pilot population, the panel of experts reviewed the document twice and suggested changes.

In order to improve the accuracy of the findings, the questionnaire was mailed to a pilot population. This group was asked to review and respond to the questionnaire and identify questions that were ambiguous, or inappropriate. Recommendations and suggestions were encouraged and were incorporated into the final draft of the questionnaire. Finally, they were asked to analyze and evaluate the cover letter for appropriateness and clarity.

The survey questionnaire gathered information about the procedures established, the issues addressed, and the identification of qualification criteria used by professional associations. The questionnaire was designed in three sections,(1) procedures, (2) issues, and (3) qualification criteria.

Seventy professional associations participated in this study and eight association types were identified. Most associations (93 percent) indicated that the improvement of professional competencies was their primary purpose for developing a certification program.

The findings revealed that a common pattern of procedures was established by associations as they developed their certification

program. These procedures included allowing non-members to receive certification, developing professional competencies prior to the certification effort, developing a "task force/committee" to study and develop a certification program and allowing the "task force/committee" to determine the list of professional competencies and measurable standards by which to evaluate applicants.

Other procedures supported by the findings were: 1) membership approval was not required before a certification program was offered, 2) certification programs were not developed because of initiation or anticipation of legistative action, and 3) the elected leadership was the primary group responsible for the initiation of certification programs.

The findings indicated that several common issues were addressed by associations as they developed their certification program. The findings revealed that: 1) most certification programs were administered directly by the parent association, 2) the development of certification programs were supported financially by the association, 3) the professional compentencies identified as important and unique to a profession are at the heart of certification programs, 4) certification was openly accepted initially by members of most associations, 5) most associations have developed public relation programs to promote certification and to solicit membership support, 6) grandfathering was not viewed as an appropriate method for initiating certification programs, 7) most associations maintain legal counsel but not in anticipation of legal difficulties which result from certification, 8) most associations require a formal examination of applicants, 9) most associations maintain a written code of ethics and will revoke an

individual's certification status for illegal or unethical behavior, 10) most associations charge candidates a processing fee for certification, and 11) the evaluation of applicants was primarily accomplished through the use of paper/pencil tests and multiple choice questions.

The findings reveal that similar qualification criteria were used by associations to evaluate applicants. Eighty-three percent of all responses identified one of nine specific qualification criteria from a total of 23 criteria. These nine included professional experience, written examinations, performance examinations, academic preparation, continuing education, evidence of ethical behavior, membership in the association, personal and/or professional references, and employment in the respective industry/field/trade.

Associations indicated the three most important qualification criteria were the same as the criteria most frequently identified. These included "professional experience", the "successful completion of a written examination" and the "completion of a program of study or desired number of years of education".

Conclusions

The findings indicated that the process of developing a certification program consisted of three stages: 1) introduction, 2) committee, and 3) implementation. According to Bratton and Hildebrand (1980), a few professionals promoted certification during the introduction stage and solicited support. During the committee stage, associations appointed a group of their members to develop competency statements and to develop plans for the administration of a certification

program. During the implementation stage, essential questions are addressed. They include: a) who is best qualified to define the competencies, b) how can the list of competencies be validated, c) what standard will be established for evaluating applicants against the list of competencies, d) what procedures will be used to evaluate persons who apply for certification, and e) how will the certification program be financially supported?

According to the findings the elected leadership of associations was named as the group primarily responsible for initiating certification programs. The professional staff of associations was named second. These two groups represent the "professional voice" during the introduction stage.

Second, 94 percent of associations appointed a "task force/committee " to study and develop certification programs. More than 75 percent of the associations revealed that professional competencies or standards were developed prior to the initiation of certification effort and "task force/committee" was responsible for the development of these standards or competencies. The committee stage is represented by these activities.

Third, associations identified the "task force/committee" as the group who establishes the measurable standard by which to evaluate applicants. Ninety-seven percent of the associations financially supported the development of certification programs. Eighty percent of associations maintained an organized and concerted effort to solicit membership support for a certification program and the same percentage employ a continuous promotional program to create and maintain enthusiasm for certification. These three strong assertions represent essential

elements of the implementation stage.

According to the findings of this study, the primary purpose of certification is to "increase/assure professional competence". Ninety-seven percent of the associations reported that "at the heart of any professional certification program are the competencies identified as important and unique to the profession". More than 70 percent of the associations maintain a code of ethics and will revoke certification status for illegal and unethical behavior. This demonstrates the determination of associations to enhance competencies and improve professionalism. These findings appear to support Miller's (1976) premise that professionalism is the prime motivation for professional certification.

The findings do not support Miller's (1976) belief that associations develop various levels of certification nor does it support his conclusion that certification programs are not openly accepted initially by associations. The findings do support his belief that associations solicit membership support for certification programs.

Most associations maintain legal council but it is not in an effort to avoid legal difficulties which results from certification. Only three associations reported that any legal action had been taken against their association as a result of certification. These two factors reveal that the respondents did not consider certification as a potential legal entanglement or as a threat.

Because formal examinations are used by so many associations (88 percent), pencil/paper tests have become the most widely used assessment process (56) while multiple choice questions appear to be the favored

mode of testing. Test accuracy is viewed as a vital and essential element of the formal examination equation since more than 85 percent of associations maintain procedures to improve test instruments.

Surprisingly, recertification and continuing education was not enthusiastically embraced by associations. But several associations indicated that they were currently reevaluating these issues.

The findings revealed that professional experience, continuing education, the successful completion of a written and/or performance examination, adhering to a code of ethics and letters of reference were the principal qualification criteria used in evaluating applicants for certification.

The nine most often identified qualification criteria represents 83 percent of the total criteria identified. Associations identified and prioritized "professional experience", the "successful completion of a written examination" and the "successful completion of a program of study" as the first, second, and third ranked criteria respectively. This process has endorsed their importance.

Implications

Certification can be perceived as a homogeneous concept and can be philosophically addressed regardless of the professional nature of a association. The homogeneous nature of certification allows for commonalities among certification procedures, issues and qualification criteria. Therefore, one can imply that certification is applicable to various professions in an effort to increase or improve the professional competencies and/or to enhance professionalism.

The findings provides evidence that supports the development of a certification program model. This model should reflect the essential procedures to be followed, issues to be addressed and qualification criteria to be adopted as a certification program is developed. This model can be used as a reference for associations anticipating the development of a certification program and/or the enhancement of competencies through certification. This model can provide associations with needed direction and guidelines for the development of a certification program.

Since the findings support the belief that the development and implementation of certification programs follows a three stage evolution, associations can structure their certification efforts to reflect this process. By following this three stage approach, associations can reduce ambiguity and frustration created by uncertainty and doubt. Also, associations can more efficiently utilize their human and financial resources.

The advancement of professionalism through increasing competencies was viewed as the primary purpose of certification. This implies that certification was perceived as a technique used to advance the professional level of association members. This philosophy, which was embraced by all association types surveyed, allows one to assume that the professional nature or mission of professional associations has little to do with the identification and selection of a purpose for certification.

The promotion of certification programs was viewed by respondents as an essential element of the certification effort. Therefore, associations considering the development of a certification program should incorporate a promotional program to create and maintain enthusiam for

certification.

The FTC will not approve a certification program which requires non-members to join an association before being allowed to seek certification. The FTC ruling implies that associations must allow non-members to be considered for certification. It can be concluded that associations which fail to comply with this ruling are discriminating on the basis of membership status and are violating federal law. However, more than 35 percent of the association surveyed reported they would not allow non-members to obtain certification. These associations are either unaware of the FTC ruling or have chosen to ignore it.

Nine qualification criteria appear to represent the most important and most often used by associations. The professional nature of the associations surveyed appears to have little influence on the identification and prioritization of criteria. This implies that the utility of qualification criteria is determined by their effectiveness and ability to measure the status of applicants against predetermined standards.

Recommendations

The following research recommendations are suggested:

1) That a certification model be developed based upon the finding of this study.

2) That data be collected from other professional associations, which maintain certification programs, in an effort to document and to improve the accuracy of certification research.

3) That additional information be obtained from the study participants in order to determine more accurately the historical development of their certification program.

4) That test-retest reliability be determined on the survey instrument in order to improve its accuracy.

5) That a more comprehensive literature review be conducted to provide additional research questions in order to carry out a more indepth and complete analysis of each of the certification programs.

6) That more detailed research be conducted regarding the procedures followed, issues addressed and qualification criteria adopted as a certification program is developed. This analysis should reflect the complexity of certification and the difficulty of its development. It should also address more closely the important decisions and activities of associations during the development and implementation of certification programs.

BIBLIOGRAPHY

"Accreditation and Licensure." The Growing Edge, Vol. 5, No. 2
(Fall 1981), pp. 1-2.

Ary, D. and Lic Jacobs. Introduction to Statistics: Purposes and
Procedures. New York, NY: Holt, Rinehart, and Winston, 1976.

Beavers, Wiley. "Accreditation: What Do We Need That For?" The
Personnel Administrator, Vol. 20, No. 7 (November 1975), pp. 39-41.

Bernknopf, Stan, John L. Shultz, and William B. Ware. "Toward
Performance-Based Counselor Certification." Counselor Education and
Supervision, Vol. 18, No. 4 (June 1979), pp. 294-303.

Boothe, Barry. "Certification-Beyond Reeason." Performance and
Instruction Journal, Vol. 23, No. 1 (February 1984), pp. 19-20.

Bratton, Barry, and Myrene Hildebrand. "Plain Talk About Professional
Certification." Instructional Innovator, Vol. 25, No. 9
(December 1980), pp. 22-24, 49.

Bratton, Barry. "Professional Certification: Will It Become a Reality?"
Performance and Instruction Journal, Vol. 23, No. 1 (February 1984a),
pp. 4-7.

Bratton, Barry. "Instructional Training Design Competencies and Sources
of Information About Them." (Unpub. paper presented to the Board
of Directors of NSPI, 1984.) Iowa City: Univ. of Iowa, 1984b.

Bullett, Fredrick. "Why Certification?" Certification Resignation
Information. Washington, DC: American Production and Inventory
Control Society, 1981.

"Certification to Perform Federal Personnel Work." (Unpublished paper
presented to the American Society of Personnel Administrators,
1979) Washington, DC: ASPA, 1979

Clement, Ronald W., Patrick R. Pinto, and James W. Walker. "Unethical
and Improper Behavior by Training and Development Professionals."
Training and Development Journal, Vol. 32, No. 12 (December 1978),
pp. 10-12.

Cogan, H.W. Professionalization. Englewood Cliffs, NJ: Prentice Hall,
Inc., 1966.

"Components of the Certification Process." (Unpublished paper for ASTD's Professional Standards Task Force, 1984.) Washington, DC: ASTD, 1984.

Coscarelli, William. "Arguments for Certification." Performance and Instruction Journal, Vol. 23, No. 1 (February 1984), pp. 21-22.

Cowger, Ernie. Personal Interview. Shreveport, LA, April 14, 1984.

Derbshire, Robert C. Medical Licensure and Discipline in the United States. Baltimore, MD: Johns Hopkins Press. 1969.

Fedyk, Joanie. (Untitled and Unpublished doctoral dissertation, University of Missouri at St. Louis, 1983.)

Forster, Jerald R. "What Shall We Do About Credentialing." Personnel and Guidance Journal, Vol. 55, No. 10 (June 1977), pp. 573-576.

Galey, Mina Ruth. "Certification Programs of Professional Associations." Audiovisual Instruction, Vol. 24, No. 5 (May 1979), pp. 34-35.

Galey, Mina Ruth. Certification Means Professional Development." Instructional Innovator, Vol. 25, No 9 (December 1980), pp. 25-26.

Gould, Stanley J. "The Myth of Professional Licensuring." American Psychologist, Vol. 33, No. 11 (November 1978), pp. 1009-1016.

Hale, Judy. NSPI Standards Committee Report. Chicago, IL: NSPI, 1984.

Hatcher, Thomas F. "Professional Development Opportunities for Trainers." Training and Development Journal, Vol. 28, No. 1 (January 1974), pp. 8-11.

Hollenkamp, Joseph. "NAVA's Certified Media Specialist Program. " NAVA News: Special Report, (1984), pp. 1-2.

Huggett, Albert J. and T. M. Stinnett. Professional Problems of Teachers. New York, NY: MacMillian Press, 1956.

Jacobs, Jerald A. "Professional Cerdentialing by Associations: Some Cases and Guidelines." Association Letter, (February 1979), pp. 3-6.

Jacobs, Jerald A. "Vehicles for Self-Regulation: Codes of Ethics, Credentialing and Standards." Self-Regulation Conference Proceedings, (November 1982), pp. 79-97.

Key, J.P. Research Design. Stillwater, OK: Oklahoma State University, 1974.

Kenny, John B. "Some Thoughts on Professionalization of the Training and Development Specialist." (Unpublished paper presented to the Institute of Personnel Management of Southern Africa, 1978). South Africa: Cape Town, 1978.

Krum, A. and R. Greenhill. "The Extent of Industry Self-Regulations Through Trade Association's Codes of Ethics." _Antitrust Bulletin_, (March 1972), pp. 339-380.

Lawrence, Paul R. "Accreditation of Personnel Administrators: An Alternative Interpretation." _Personnel Administrator_, Vol. 26, No. 1 (January 1981), pp. 31-35.

Leavens, Tom. Personal Interview, St. Charles, II, June2, 1984.

Livingston, S. A. "Criterion-Referenced Application of Classical Test Theory." _Journal of Educational Measurement_, Vol. 9 (Fall, 1972), pp. 13-26.

Livingston, S. A. "Comments on Criterion-Referenced Testing." _Applied Psychological Measurement_, Vol. 4, No. 5 (May 1980), pp. 575-581.

McCollough, Mac and Patricia McLagan. "Keeping the Competency Study Alive." _Training and Development Journal_, Vol. 37, No. 6 (June 1983), pp. 24-28.

Marlowe, Donald E. "Accounting for Continuing Education." _Engineering Education_, Vol. 67, No. 3 (December 1976), pp. 211-212.

Miller, Edwin L. "Professionalism and Its Impact on Accreditation-Type Programs." (Unpublished paper presented to the American Society of Personnel Administrators, 1976.) Ann Arbor, MI: University of Michigan, 1976.

Morrison, Chuck. Personal Interview, St. Charles, IL, June 1, 1984.

Nadler, Leonard. "Recognition of Non-College Learning Experiences." _Training and Development Journal_, Vol. 29, No. 7 (July 1975), 8-11.

Palomba, Neil A. "Accreditation of Personnel Administrators: Theory and Reality." _Personnel Administrator_, Vol. 26, No. 1 (January 1981), pp. 37-40.

Penland, Patrick R. "Certification of School Media Specialists." _Journal of Research and Development In Education_, Vol. 16, No. 1 (1982), pp. 9-12.

Phillips, Louis E. "Mandating Continuing Education for Licensed Professionals is Here to Stay." _Association Management_, Vol. 12, No. 4 (April 1978), pp. 79-81.

"Professional Standards Committee: Report of Activity." _Training and Development Journal_. (March-April, 1953), pp. 34-35.

Sax, Gilbert. _Empirical Foundations of Educational Research_. Englewood Cliffs, NJ: Prentice Hall, Inc. 1966.

Scheer, Wilbert E. "Is Personnel Management a Profession?" Personnel Journal, Vol. 43, No. 5 (May 1964), pp. 225-261.

Shimberg, Benjamin. "Testing for Licensure and Certification." American Psychologist, Vol. 36, No. 10 (October 1981), pp. 1138-1146.

"Should Trainers Be Certified?" Training News, Vol. 23, No. 5 (May 1982), pp. 10-15.

Shrock, Sharon A. and Wellesley R. Goshay. "Measurement Issues in Certification." Performance and Instruction Journal, Vol. 23, No. 1 (February 1984), pp. 23-27.

Silber, Kenneth H. "A Certification Driven Training Program for Instructional Developers." Performance and Instruction Journal, Vol. 23, No. 7 (February 1984), pp. 12-15.

Thoreson, Joseph E. and Linda E. Robinson. "Using Simulated Job Samples for Skills Evaluation." Performance and Instruction Journal, Vol. 23, No. 1 (February 1984), pp. 16-18.

Turney, B. and R. Robb. Research in Education: An Introduction. Hinsdale, IL: The Dryden Press, 1971.

Venable, William R. and Jerry Gilley. "Professional Certification Issues in theAmerican Society for Training and Development and Training Related Societies." (Unpublished paper presented at the Fortieth National Conference af ASTD, Dallas Texas, May, 1984.) Stillwater, OK: Oklahoma State University, 1984.

Voss, Fred. "Listing the Arguments for and Against Certification." (Unpublished paper for ASTD's Professional Standards Task Force, 1984.) Washington, DC: ASTD, 1984.

Warzynski, Chester, and Donald Noble. "The Ideology of Professionalization and HDR." Training and Development Journal, Vol. 30, No. 10 (October 1976), pp. 12-17.

Weiss, Ira R. and Anna D. Gowen Young. "Professional Certification Programs." Personnel Administrator, Vol. 26, No. 4 (April 1981), pp. 63-68.

Westgaard, Odin. "Certification for Performance and Instruction Professionals." Performance and Instruction Journal, Vol. 22, No. 8 (September 1983), pp. 3-7.

Webster, George and Arthur Herold. Antitrust Guide for Association Executives. Washington, DC: Association Executive Press, 1983.

Westgaard, Odin. Personal Interview, St. Charles, IL, June 2, 1984.

Whyte, Garry S. "The Professional Practitioner in the Years to Come."
(Unpublished paper presented at the I.P.M's 21st Convention,
September 1977.) Washington, DC: Institute of Personnel Management
of Southern Africa, 1977.

APPENDIXES

APPENDIX A

GUIDELINE TO ASSURE THAT QUALIFICATION CRITERIA

ARE ADMINISTERED FAIRLY

1. Participation in an association certification program must ordinarily be voluntary.
2. Participation in a certification program should not be denied because a candidate is not a member of the association.
3. It may not be considered fair to summarily "grandfather" current association members to a new credentialing program—i.e., provide automatic certification or accreditation without determining if current members meet reasonable requirements.
4. Associations may promote their certification programs to potential participants or to the public as good measures for determining the qualifications or professionals or institutions.
5. Denial of certification should not be used to "black-ball" individuals or institutions, to limit the number of competitors or to otherwise arbitrarily deny potential applicants access to credentialing or receipt of certification or accreditation.
6. Denial of certification should be made by written notice to the applicant, giving the reasons for the denial and offering the opportunity for appealing the denial—either in writing or at a hearing held for that purpose—with the ultimate decision made by a body other than the one making the original denial.
7. Assessment of the qualifications of applicants for certification may be best made by an objective body or organization not composed exclusively of those who have received their credentials.
8. Any periodic reassessments of those who have been certified should be made on the same fair basis as the original assessments.
9. All qualifying candidates should receive the same certification title or denomination for which they qualify, with no discrimination between association members and non-members or any other differentiation.
10. All policy-making functions of a certification group should be kept as independent as is feasible from influence or denomination by a parent or related association whose functions included promoting the economic well-being of the profession (p. 6).

APPENDIX B

THE FTC SIXTEEN POINT PRONOUNCEMENT

ON CERTIFICATION PROGRAMS

The Commission's advisory opinion found at CCH Trade Reg. Rep. ¶1718.20 stated that: [S]ome of the matters which must be considered in an evaluation of any program . . . are:

1. Standardization and certification programs must not be used as devices for fixing prices of otherwise lessening competition. *See, e.g., Milk and Ice Cream Can Institute v. F.T.C.,* 152 F.2d 478 (7th Cir. 1946).

2. Standardization and certification programs must not have the effect of boycotting or excluding competitors. *See, e.g., Silver v. New York Stock Exchange,* 373 U.S. 341 (1963).

3. Standardization and certification programs must not have the effect of withholding or controlling production. *See, e.g., Standard Mfg. Co. v. United States,* 226 U.S. 20 (1912); *National Macaroni Manufacturers Ass'n v. F.T.C.,* 345 F.2d 421 (7th Cir. 1965).

4. Construction or specification standards should not be used except in exceptional circumstances and never when performance standards can be developed.

5. It is incumbent upon any organization sponsoring, adopting, administering or enforcing standards to insure that its standards reflect existing technology and are kept current and adequately up-graded to allow for technological innovation.

6. Where certification is involved, no applicant for certification may be denied certification for any of the following reasons: (a) that he is a non-member of any association or organization; (b) that he is a foreign competitor; or (c) that he is unable to pay the fee or cost charged for certification. *See* Advisory Opinion Digest No. 152, 3 CCH Trade Reg., Rep. ¶18,125 (December 13, 1967).

7. Fees charged in connection with participation in a standardization or certification program must be reasonable as related to the direct and indirect costs involved.

8. Membership in groups or organizations sponsoring, promulgating or administering standardization or certification programs must be open to all competitors, domestic or foreign.

9. Due process must be accorded all parties interested in or affected by a standardization or certification program, including suppliers, manufacturers, distributors, customers and users. Due process includes, but is not limited to, the conduct of timely hearings with prompt decisions on claims respecting standards or the denial of certification.

10. Standards and certification programs, unless otherwise clearly required by considerations of safety, may not be used to reduce, restrict or limit in any manner, the kinds, quantities, sizes, styles or qualities of products. *See, e.g.,* the consent decree in *United States v. General Electric Co.,* 1956 Trade Cas. ¶67,714, 67,794, 67,795, 67,796 (D. N.J. 1954).

11. The exercise of the responsibility of validating any proposed standard should include a determination by a laboratory or other appropriate entity independent of those immediately affected by the proposed standard that the criteria set forth in such standard are meaningful and relevant. *See, e.g.,* the consent decree in *United States v. Southern Pine Ass'n,* 1940-43 Trade Cas. ¶56,007 (E.D. La. 1940).

12. The function and responsibility of determining whether any product is to be certified under any program involving certification should be performed by an appropriate organization independent of those immediately affected by such program. *United States v. Southern Pine Ass'n, supra.*

13. Representations made by standards organizations with respect to testing procedures, standards, etc., must be truthful. *See, e.g., In the Matter of Parents' Magazine Enterprises, Inc.,* FTC Dkt. No. C-1133 (1966).

14. In cases involving a challenge to standards, the burden of proof respecting reasonableness is upon those who develop and enforce the standards. Kestenbaum, *Antitrust Questions In Vocabulary Industry Standards,* p. 10, Address prepared for delivery before the National Association of Manufacturers Marketing Conference (October 9, 1969).

15. All standards must be voluntary.

16. Certification programs should avoid the use of single standard, "pass/fail" systems and, in lieu thereof, employ graded systems which preserve consumer and user options.

The foregoing criteria, which are by no means exhaustive, demonstrate the many factors which make it difficult to approve a standard certification program such as the one you suggest. The difficulty is increased by the uncertainty which exists in the court decisions on this subject. Accordingly, the problems of establishing a program which will quality for approval before it can be seen in action are formidable.

Nevertheless, the Commission would like to assist in exploring the possibilities of self-regulation through standard certification. To that end it has directed its staff to commence an in-depth study of the subject to determine whether it is possible for the Commission to make a meaningful contribution to the development of a satisfactory and legal program.

The Commission is not presently in possession of sufficient information to enable it to make all of the determinations essential to an evaluation of your program. Even if this information were furnished, the Commission feels that it would be inappropriate for it to act in this area until the results of its present study are known. It must, therefore, decline to act at this time on your request for an advisory opinion.

APPENDIX C

SURVEY QUESTIONNAIRE.

QUESTIONNAIRE ON PROFESSIONAL CERTIFICATION PROGRAMS
DEVELOPED AND SPONSORED BY PROFESSIONAL
ASSOCIATIONS AND SOCIETIES

Association or Society Name (Optional)_____

Name of Representative Completing the Questionnaire (Optional) _____

Which WORD most closely identifies your association or society? Business __,
Education __, Service __, Trade __, Medical or Health __, Manufacturing __,
Engineering __, Financial __, Agricultural __.

GENERAL INFORMATION

A__   1. What is the ONE primary purpose of your certification
B__   program? (A) to protect the public, (B) to avoid
C__   external regulations, (C) to increase the influence of
D__   society/association, (D) to increase/assure professional
E__   competence, (E) to limit membership turnover, or
F__   (F) Other_____.

A__ D__ G__   2. How many individuals has your association certified
B__ E__   totally? (A) 1-50, (B) 51-200, (C) 201-500,
C__ F__   (D) 501-2000, (F) 2001-5000, (F) 5001-10,000,
                 and (G) 10,000 and up.

A__ D__ G__   3. What is the present membership size of your association?
B__ E__   (A) 1-500, (B) 501-1000, (C) 1001-2500, (D) 2501-5000,
C__ F__   (E) 5001-10,000, (F) 10,001-20,000, (G) 20,001 and up.

PROCEDURES

YES___NO___   1. Can an individual become certified through your
                 association's procedures without being a member of your
                 professional association?

YES___NO___   2. Does your certification program maintain different levels
                 of certification?

YES___NO___   3. Did your association conduct a survey of members before
                 initiating the certification program?

YES___NO___   4. Did your organization develop professional
                 competencies or standards prior to your certification
                 effort?

YES___NO___   5. Did your association develop professional competencies or
                 standards as a result of your certification efforts?

YES__ NO__ 6. Was your certification program initiated or accelerated by
              legislative action or anticipation of such action?

YES__ NO__ 7. Was a task force or committee formed to study and develop
              a certification program for your association?

YES__ NO__ 8. Was the approval of the membership of your association
              required before the certification program was offered?

A__ C__   9. Which group was primarily responsible for initiating your
B__ D__   certification program? (A) elected leadership, (B) general
               membership, (C) professional staff, or (D) other _____

A__   10. Who in your association determines the list of competencies?
B__   (A) task force/committee, (R) board of directors,
C__   (C) membership (voting), or (D) other (please specify)
D__   _____(Indicate all that apply).

A__   11. Who in your association establishes the measurable standards
B__   by which to evaluate applicants? (A) task force/committee,
C__   (B) board of directors, (C) membership (voting), or
D__   (D) other (please specify) _____
               (Indicate all that apply).

CERTIFICATION ISSUES

YES__ NO__ 1. Is the certification program administered directly by the
              association? `If yes, what percent of the association's
              annual budget supports the program ?____%

YES__ NO__ 2. If your answer to #1 is "NO", does the association
              provide any financial support for the administration of the
              program? If so, what percentage of the association's
              annual budget supports the program? ____%

YES__ NO__ 3. Was the development of the certification program
              supported financially by your association?

YES__ NO__ 4. It has been said,"At the heart of any professional
              certification program are the competencies identified as
              important and unique to the profession." Do you feel
              this is a correct statement?

YES__ NO__ 5. Was the idea of certification openly accepted initially
              by the membership of your association?

YES__ NO__ 6. Was there an organized and concerted effort to solicit
              membership support for a certification program by your
              association?

YES__ NO__ 7. Does your association employ a continuous promotional
              program to create and maintain enthusiasm for
              certification?

YES___NO___ 8. Does your association allow grandfathering?

YES___NO___ 9. If your answer to #8 is"YES",has grandfathering improved the quality of your program?

YES___NO___ 10. If your answer to #8 is"YES",has grandfathering depleted the supply of potential candidates for certification?

YES___NO___ 11. Does your association maintain legal counsel?

YES___NO___ 12. If your answer to #11 is "YES", is it an effort to avoid potential legal difficulties as a result of your certification program?

YES___NO___ 13. Has any legal action been taken against your association as a result of your certification program? If yes, what was the nature of the legal action?_____

YES___NO___ 14. Is a formal examination required of applicants desiring to obtain certification?

YES___NO___ 15. If your answer to #14 is "YES", does your association employ an external organization to develop, administer and update the examination? If yes, please provide the name of the organization. _____

YES___NO___ 16. Has test difficulty been a problem for your association? If yes, does the test have a reputation for being: (A) too difficult, (B) too easy, (C) inappropriate to measure competencies (please circle).

YES___NO___ 17. Does your association maintain procedures to improve the accuracy of test questions?

YES___NO___ 18. Does your association require re-certification after a specific time period? If so, after how many years? _____

YES___NO___ 19. Does your association require individuals to complete a specified number of continuing education units (CEU) or courses to retain their certification status? If yes, please specify the required number of CEUs._____

YES___NO___ 20. Does your association ever revoke an individual's certification status for illegal or unethical behavior?

YES___NO___ 21. Does your association maintain a written code of ethics to which certified individuals must adhere?

YES___NO___   22. Does your association charge candidates a fee in order
              to be processed for certification? If yes, how much? ____

YES___NO___   23. Does your association use paper/pencil tests to evaluate
              applicants?

A__ C__   24. If your answer to #23 is "YES", what type of questions are
B__ D__   most often used? (A) multiple choice, (B) short answer,
                  (C) essay, (D) true/false (Indicate all that apply).

              25. If your answer to #23 is "NO", what types of tests does your
                  association use to evaluate applicants? _____

              _____

A__ G__   26. Which assessment processes does your association
B__   employ? (A) paper/pencil test, (B) performance evaluation,
C__   (C) interview, (D) portfolio, (E) assessment center, (F)
D__   client referral, (G) job sample. (if your association
E__   utilizes a combination of these please indicate those
F__   used.) (Indicate all that apply).

A__ E__   27. How many individuals has your association grandfathered
B__ F__   since the beginning of your certification program?
C__ G__   (A) 0, (B) 1-100, (C) 101-250, (D) 251-500, (E) 501-1000,
D__   (F) 1001-2500, (G) 2501-5000.

QUALIFICATION CRITERIA

Please list the qualification criteria that your association uses in
evaluating applicants for certification.

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

8. _____

9. _____

10. _____
NOTE: Once the qualification criteria have been identified and collected,
      a comprehensive list will be constructed and resubmitted to the
      respondents to rank order the identified criteria.

If you would like a copy of the findings please check the space provided___

APPENDIX D

CORRESPONDENCE WITH PANEL OF EXPERTS
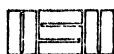
⊞

Oklahoma State University /

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

August 30, 1984

Barry Bratton
University of Iowa
2351 CH
Iowa City, IA 52242

Dear Barry:

During the past three months, I have been engaged in a comprehensive analysis of the literature related to professional certification conducted by associations and societies. As a result of this investigation several essential procedures, issues and criteria have been identified. Based upon my research, an instrument has been developed which seeks to determine which procedures have been followed, issues have been addressed and criteria have been utilized by other professional associations when implementing a certificate program.

The instrument is divided into four sections. Questions 1-2 address the general purpose and demographic information, questions 3-11 concentrate on vital procedures, questions 12-36 address a variety of issues identified in the literature and the last section provides associations the opportunity to rank order the most commonly mentioned criteria and criteria unique to their association.

It is my desire that you evaluate the instrument and provide me with the following information:

(1) What questions should be deleted? (2) What additional questions should be asked or expanded? (3) Does the instrument address the important procedures, issues and criteria. If not, what should be added? (4) Is the questionnaire easily understood? (5) Is the questionnaire too comprehensive? (6) What changes in format and layout are needed? (7) What demographic information is of the most importance to ASTD? (8) Please provide any additional assistance, advice, or direction.

.The instrument will be distributed to professional associations and societies identified by the American Society of Association Executives (ASAE) as having maintained certification programs. In an effort to obtain a more representative sample, only associations and societies identified as having a "National" scope will be surveyed. By using the Encyclopedia of Associations, associations and societies identified by ASAE were cross-referenced to determine their scope. The population, therefore, consisted of 83 national associations identified by ASAE.

Your help is deeply appreciated and will improve the quality and accuracy of the findings. Thank you for your assistance.

Sincerely,

Jerry W. Gilley

JWG/wr
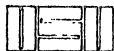
Oklahoma State University

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

October 26, 1984

Barry Bratton
University of Iowa
2351 CH
Iowa City, IA 52242

Dear Barry:

I would like to thank you for your assistance in evaluating the original research instrument. Your contribution has greatly improved the quality of the questionnaire and it has enhanced the research process.

Enclosed is a copy of the revised instrument and it reflects the suggested changes and alterations offered by yourself and the other members of the review committee. In addition, the revised instrument illustrates the proposed structure and question sequence. The last section has been altered in order to allow the population to identify the qualification criteria utilized by their association when evaluating applicants. After the qualification criteria has been identified and collected, a comprehensive list will be constructed and resubmitted to the respondents asking them to rank order the identified criteria. Using this approach, research bias is eliminated and the ranking will be more accurate and complete.

Please review the questionnaire and make any additional changes and alterations. Thank you for your assistance and guidance.
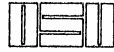
Sincerely,

Jerry W. Gilley

JWG:mkr

APPENDIX E

PILOT TEST COVER LETTER

Oklahoma State University

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

January 12, 1985

Dear Colleague:

The advancement of professionalism through the utilization of cert-
ification is well documented. The improvement of certification programs
can enhance the value of certification and the adequate development and
installation of these programs can be insured by providing professional
associations with needed information regarding the procedures established,
issues addressed and certification criteria used to evaluate applicants
when implementing certification programs. This is the goal of this study
and I hope that you can assist me in obtaining that goal.

I need your help in analyzing and evaluating the enclosed cover letter
and questionnaire. The questionnaire will be used to survey an identified
and selected group of professional associations and societies which maintain
certification programs. With your assistance, I hope to improve the question-
naire by eliminating ambiguous and unclear questions, deleating questions that
are inappropriate and insuring that the questions asked are easily understood.

Please read the questionnaire and provide me feedback on the enclosed
evaluation form. Feel free to make recommendations and suggestions regarding
these questions. Finally, read the cover letter and respond as to its appro-
priateness, clarity and provide suggestions for its improvement.

Please return the evaluation form in the envelope provided. Again thank
you for your assistance,your help is deeply appreciated and will improve
the quality and accuracy of the findings.

Sincerely,

Jerry W. Gilley
Doctoral Candidate

APPENDIX F

PILOT TEST "QUESTIONNAIRE EVALUATION FORM"

QUESTIONNAIRE EVALUATION FORM

The following questions are ambiguous and unclear: _____

_____

What recommendations do you have for these questions:_____

_____

_____

_____

_____

The following questions should be deleated: _____

_____

Why do you feel these questions should be deleated: _____

_____

_____

_____

_____

The following questions are not easily understood because of the language used
or the question is too complex: _____

_____

What recommendations do you have for these questions: _____

_____

_____

_____

_____

Are there any suggested questions that you feel need to be asked or areas that
need additional emphasis: _____

_____

_____

_____

APPENDIX G

COVER LETTER ACCOMPANYING SURVEY QUESTIONNAIRE

· ⊞

Oklahoma State University

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

February 10, 1985

Dear Colleague:

During the past twenty years, professional associations and societies have implemented certification programs in an effort to increase the professionalism of their members. However, the lack of certification research has made it difficult for associations considering certification to profit from the prior experiences of other associations which have instituted such programs.

Your association has been identified as having experience in and knowledge of certification programs. As a valuable resource, your association's experience and knowledge can be utilized in the development of other professional certification programs.

I am requesting your assistance in collecting certification data relating to your association. The purpose of this study is to describe the procedures established and issues addressed by professional associations in the development of professional certification programs and to identify and prioritize the criteria for professional practice required by certifying boards so that professional associations can consider certification with fuller knowledge.

Please take ten or fifteen minutes to complete the enclosed questionnaire and return it in the envelope provided. Answer the questions as they relate to the development of your association's certification program.

In order to guarantee the accuracy of this study and to improve the follow-up procedures, your association has been assigned a number which appears on the back of the questionnaire. Your individual responses will be held in strictest confidence.

I anticipate that the findings of this study will be collected and analyzed by late March. If you would like a copy of the findings, please indicate your desire by completing the appropriate question on the last page of the questionnaire.
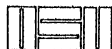
Sincerely,

Jerry W. Gilley
Doctoral Candidate

JWG/wr

APPENDIX H

SURVEY USED TO RANK ORDER QUALIFICATION CRITERIA

Oklahoma State University /

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

February 28,1985

Dear Colleague,

Thank you for your contribution in the "Professional Certification Program" study, I have received some excellent results which will be summarized and shared. As the questionnaire indicated, a comprehensive list of qualification criteria has been generated which needs to be rank ordered. As a result, I have selected the ten(10) most frequently named qualification criteria which to rank order.
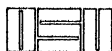
Please take a few minutes and rank order the five(5) qualification criteria which you preceive to be the most important and return it in the envelope provided. Allow one(1) to represent the criteria most important when evaluating a potential candidate for certification and allow five(5) to represent the criteria least important.

Rank order the five(5) most important qualification criteria.

_____ 1). Membership in your professional association;

_____ 2). Completion of a program of study or desired number of years of education;

_____ 3). Professional experience;

_____ 4). Successful completion of a written examination;

_____ 5). Successful completion of a performance examination;

_____ 6). Personal and/or professional references;

_____ 7). Evidence of ethical behavior;

_____ 8). Completion of additional training and/or continuing education;

_____ 9). Successful completion of an oral evaluation and/or interview;

_____10). Currently employed in the respective industry/trade/field.

Thank you,

Jerry W. Galley
Doctoral Candidate

Oklahoma State University

SCHOOL OF OCCUPATIONAL AND ADULT EDUCATION

STILLWATER, OKLAHOMA 74078
CLASSROOM BUILDING 406
(405) 624-6275

March 21, 1985

Dear Colleague,

Several weeks ago, I sent you a letter requesting that you rank order the ten most frequently named qualification criteria. According to my records, I have not received a response from your association. If you have completed the mini questionnaire and have mailed it, please disregard this letter.

Please take a few minutes and rank order the five(5) qualification criteria which you preceive to be the most important and return it in the envelope provided. Allow one(1) to represent the criteria most important when evaluating a potential candidate for certification and allow five(5) to represent the criteria least important.

<u>Rank order the five(5) most important qualification criteria.</u>

_____ 1). Membership in your professional association;

_____ 2). Completion of a program of study or desired number of years of education;

_____ 3). Professional experience;

_____ 4). Successful completion of a written examination;

_____ 5). Successful completion of a performance examination;

_____ 6). Personal and/or professional references;

_____ 7). Evidence of ethical behavior;

_____ 8). Completion of additional training and/or continuing education;

_____ 9). Successful completion of an oral evaluation and/or interview;

_____10). Currently employed in the respective industry/trade/field.

Thank you,

Jerry W. Filey
Doctoral Candidate

APPENDIX I

LIST OF STUDY PARTICIPANTS

1. National Association of Accountants

2. National Society of Public Accountants

3. National Employee Service and Recreation Association

4. Association of Audio-Visual Technicians

5. International Communication Industries Association

6. Automatic Transmission Rebuilders Association

7. Society of Certified Consumer Credit Executives

8. Club Managers of America

9. National Associations of Personnel Consultants

10. Food Marketing Institute

11. Monument Builders of North America

12. Screen Printing Association International

13. Certified Professional Insurance Agents Society

14. Environment Management Association

15. Certified Forms Consultants Program

16. National Associations of Purchasing Management

17. Society of Industrial Realtors

18. International Council of Shopping Centers

19. Building Owners and Managers Institute International

20. Motorcycle Safety Foundation

21. National Tour Association

22. Building Official and Code Administrator Association

23. Municipal Treasurers Association of the US and Canada

24. National Association of Legal Secretaries

25. International Institute of Municipal Clerks

26. International Right of Way Association

27. Association of Energy Engineers

28. Society of Manufacturing Engineers

29. Board of Certified Safety Professionals

30. National Lactation Consultants Certification Board

31. Biofeedback Certification Institute of America

32. National Hearing Aid Society

33. National Association of Physical Therapists

34. National Board for Respiratory Care

35. Community Association Institute

36. Professional Ski Instructors

37. College of Financial Planning

38. Institute of Certification of Computer Professionals

39. Administrative Management Society

40. Institute of Internal Auditors

41. Eye Bond Association of America, Inc.

42. Business Professional Advertising Association

43. National Apartment Association

44. National Institute of Auto Service Excellence

45. Motel and Hotel Association

46. American Society of Farm Managers and Rural Appraisers

47. National Environmental Balancing Bureau

48. National Association of College Stores

49. National Community Building Council

50. Bank Administration Institute

51. American Institute of Certified Planners

52. National Institute of Certified Engineering Technology

53. Institute of Certified Management Consultants

54. Institute of Certified Record Managers

55. Certified Products Safety Managers

56. Institute of Certified Travel Agents

57. Certified Consultant International

58. Christian Booksellers Association

59. National Shoe Travelers Associates

60. American Compensation Association

61. American Society of Personnel Administrators

62. National Board of Certified Counselors

63. Library Binding Institute

64. National Association of Fair and Exhibitors

65. Goodwill Industries of America

66. Optical Laboratories Associations

67. Institute of Certified Professional Business Consultants

68. National Vocational Guidance Association

69. National Society of Fund Raising Executives

70. Certified Claims Professional Accreditation Council

VITA ꝺ

Jerry Wayne Gilley

Candidate for the Degree of

Doctor of Education

Thesis: PROFESSIONAL CERTIFICATION: THE PROCEDURES ESTABLISHED, THE
ISSUES ADDRESSED AND THE QUALIFICATION CRITERIA ADOPTED BY
PROFESSIONAL ASSOCIATIONS AND SOCIETIES

Major Field: Occupational and Adult Education

Biographical:

Personal Data: Born in Beech Grove, Indiana, October 26, 1951, the
son of Bert B. and Lottie V. Gilley.

Education: Graduated from Brownsburg High School, Brownsburg,
Indiana, in May, 1969; received Applied Associate Science degree in
Distributive Education from Vincennes University in 1971; received
Bacholor of Science degree in Distributive Education and Marketing
from Mankato State University in 1974; received Master of Science
degree in Education Administration from Baptist Christian University
in 1982; received Master of Arts degree in Human Relations and
Supervision from Louisiana Tech University in 1983; completed
requirements for Doctor of Education degree at Oklahoma State
University in July, 1985.

Professional Experience: Student Activities Coordinator
(Distributive Education) Department of Public Instruction, Division
of Vocational Education, 1971-1972 ; Merchandise and Operations
Manager, Team Electronics, 1972-1979; Principal, Grace Christian
School, 1979-1981; Principal, Baptist Christian Academy, 1981-1983;
Graduate Teaching Associate,School of Occupational and Adult
Education, Oklahoma State University, 1983-1985.

Professional Organizations: American Society for Training and
Development, American Association for Adult and Continuing
Education, Marketing and Distributive Education, and Phi Kappa Phi.

Publications: Author of seven journal articles in the areas of
human resource development and adult education.