College of Psychologists of Ontario Peer Assisted Review Training 2022-23

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Welcome!

- Thank you for joining the Webinar
- Please confirm your device is on "mute" and your camera off
- Technical difficulties: qualityassurance@cpo.on.ca
- Questions during presentation: CHAT (bottom of screen) or unmute if you'd like to speak



Agenda

- Legislative background and requirements
- Philosophy guiding the PAR
- Assessor/Reviewer qualifications
- Objectivity
- Preparing for the Review
- How to Conduct the Review
- Rating system, recommendations, new Report format
- Administrative items



Learning Objectives

Have the information required to:

- a) Conduct fair and impartial reviews, consistent with legislative and Committee requirements
- b) Provide reviews consistent in scope and detail with other reviews
- c) Ensure that the experience is positive and useful to those being reviewed, co-reviewers and you



Minimum Requirements for Quality Assurance Program/ Regulated Health Professions Act, 1991, S.O. 1991, c. 18

All Health Regulatory Colleges:

- 80.1 (a) continuing education or professional development
- (b) self, peer and practice assessments; and
- (c) a mechanism for the College to monitor members' participation in, and compliance with, the quality assurance program



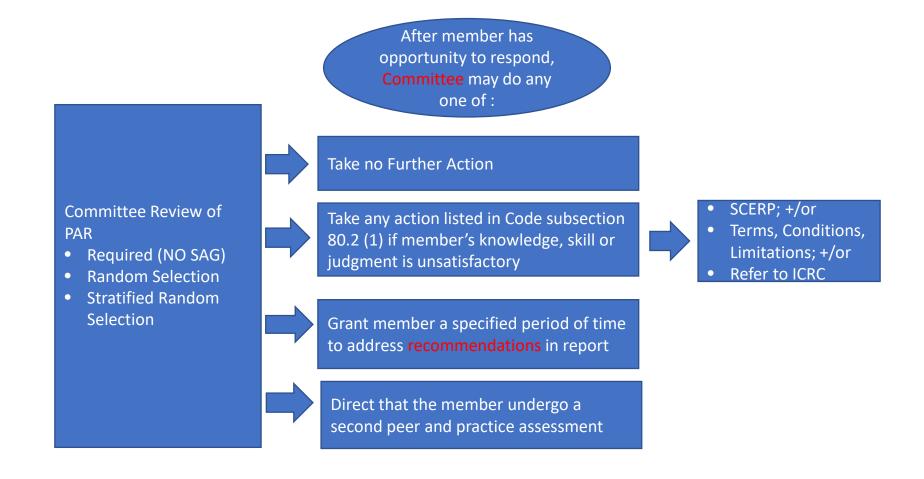
O. Reg. 209/94: GENERAL under Psychology Act, 1991, S.O. 1991, c. 38

Peer and Practice Assessment

- 9. (1) Each year the Committee shall select members to undergo a peer and practice assessment to assess the members' knowledge, skill and judgment. O. Reg. 73/15, s. 1.
- (2) A member shall undergo a peer and practice assessment if,
- (a) the member's name is **selected randomly** from the entire membership;
- (b) the member's name is selected by **stratified random sampling**; or
- (c) the member has failed to participate in self-assessment. O. Reg. 73/15, s. 1.
- (3) An assessor or assessors shall evaluate the member's knowledge, skill and judgment by way of a peer and practice assessment, prepare a written report that may include recommendations and provide the report to the Committee and the member, along with a notice of the member's right to make written submissions to the Committee. O. Reg. 73/15, s. 1.



PAR Outcomes





Purpose of Review/ Fundamental Principles

- Public protection via member support
- Collaboratively, supportively help reviewee take stock of and enhance knowledge, skill and judgment
- Not investigation or "fishing"
- Mutual professional development



Review Team

- College Appointed Assessor + Member Nominated Reviewer
- Both:
 - Agents of College
 - Active, supportive, constructive
 - Sufficiently familiar with nature of the reviewee's practice to understand the demands and challenges the reviewee faces



Assessor Matching

- Reviews: "orientation neutral"
- Broad range of different orientations and approaches across profession
- Familiarity and respect/tolerance for another approach is required and sufficient
 - Is approach reasonable given client population?
 - Is there established empirical evidence that reviewee choices are contraindicated?
 - Are competent practitioners doing such work?
- Be open to learning more about their work



College Appointed Assessors

- Practices matched by College
- Practice > 5 years, currently practicing
- Expected to notify College if reasonable apprehension of bias, conflict of interest, dual relationship
- Will likely have reviewed/been reviewed; may provide leadership
- Staff confidentially review potential Reviewers' history, ensures no risk re: credibility and integrity of the process
- Responsibility for providing Reviewee with copy of report and notification of right to make submissions to the College within 14 days of receipt of report



Member Nominated Reviewers

Must Undertake and Agree to:

- 1. Participate in the College's Peer Assisted Review Assessor and Reviewer training before conducting the review, if I have not already done so within one year prior to the date of the review
- 2. Maintain confidentiality, as required by s.36 of the Regulated Health Professions Act, 1991, S.O. 1991, c. 18, (copy attached)
- 3. Familiarize myself with the Legislation, Regulations and Standards of Professional Conduct, 2017, relevant to the practice I will be reviewing

And attest that:

- 4. I have held a Certificate of Registration Authorizing Autonomous Practice with the College of Psychologists of Ontario for at least five years
- 5. I am currently in active practice as a Psychologist or Psychological Associate
- 6. I will not act in a conflict of interest or in a situation where I hold a bias, or any appearance of either, with respect to a review
- 7. I will ensure that neither myself nor the individual I will be reviewing is in a position of power with respect to the other



Support by Member Nominated Reviewers

- May be colleague who knows and understands member's practice
- To be most helpful, Reviewer should have similar authorized population(s) and area(s) of practice
- Support important but public interest primary
- May prompt member with factual information but should NOT answer on behalf of, or advocate for, member
- Recognize: in public <u>and Reviewee's</u> interest for difficulties to be identified and addressed in the PAR



Objectivity

Actual or Appearance of:

- Conflict of Interest: A situation in which one influences outcomes in a way that that *unfairly* benefits themselves or any other person or entity either directly or indirectly- can be a monetary, professional, personal or private interest
- Bias: A situation in which an informed person, viewing the matter realistically and practically would reasonably conclude that one was not acting fairly and impartially
- Reviewers: openly acknowledge and manage dual relationship to ensure public interest primary



COI/ Reasonable Perception of Bias?

- 1. Reviewee is someone you were once friendly with in graduate school but haven't been in touch in decades?
- 2. Reviewee is a referral source?
- 3. Reviewee is a peer on a task force?
- 4. Reviewee provides supportive counselling to women undergoing abortion and you have strong views against the right to choice?



Reviews via Technology vs. In-Person

- Take a conservative approach during the pandemic: avoid risk
- In Person Reviews are not "essential" and many have been conducted successfully via technology
- Domain 1(Practice Setting) visual observation may not be required in all institutional settings and "video visits" may provide enough information to start a conversation



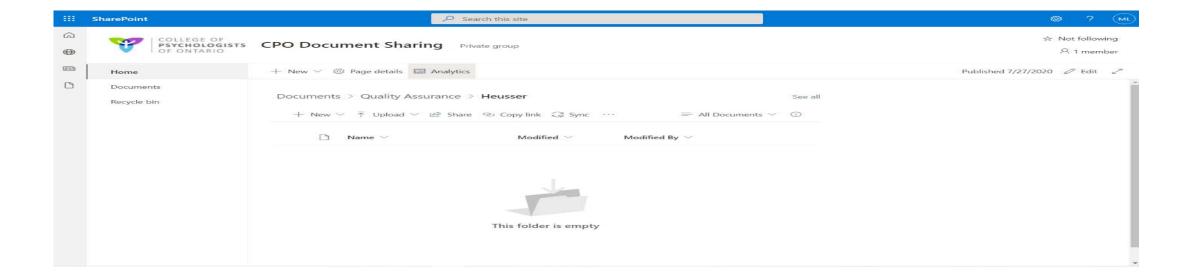
Virtual Reviews

- Use secure videoconferencing platform for interviews
- Videoconferencing- level of security used for client contact sufficient
- Recommended Safeguard: Use first names and initials only, no other identifying information normally required
- When reviewing documents containing identifying data, use College supplied *Sharepoint* platform, or another secure encrypted system suitable for use with highly confidential information which has extra levels of security:
 - Client lists, Client and Supervision Files, PAR reports



Sharepoint

Quality Assurance Coordinator (qualityassurance@cpo.on,ca) will set up secure 3 way file sharing (Reviewee, Assessor & Reviewer) which will be hosted on College server for duration of PAR





Pre-Review Preparation

- Review:
 - Pre- Review Questionnaire
 - Relevant Standards of Professional Conduct, CPA Code of Ethics, Legislation, definitions of authorized areas of practice and populations
- Consider applying questions on report form to own practice
- Reflect on any differences you are aware of between your own practice and the one you are going to review



Discussions with Co-Reviewer

- Talk before review
- Confirm agreement re: roles
- Discuss:
 - Who takes the lead
 - How to deal with challenges, disagreements
 - How to randomly select files
- Ensure tone will be collegial and that both are open-minded and objective
- Be open about own strengths, possible challenges



Assessor Communication with Reviewee

- The earlier the better
- Set tone for collegiality: opportunity for practice enhancement, not investigation
- Confirm and clarify:
 - Where, when, how
 - Method of file selection
 - Remind that all SAG, CPD materials for past
 2 years must be provided at time of review
 - Your duty of confidentiality re: information about them and their clients



- Briefly discuss clinical orientations, professional interests
- In addition to information prompted by structured tool, give member opportunity to offer anything relevant they would like you to review, eg., recent performance reviews, institutional audits results, results of efficacy measures;
- Remind: contact information of past Reviewees provided, all past Reviewee survey results on website;
- Make sure member has an opportunity ask questions, have questions answered



Conducting Review

Knowledge, skill and judgment considered over 9 domains:

- 1. Practice Setting/Office
- 2. Professional Conduct
- 3. Professional Services
- 4. Supervision and/or Consultation and/or Other Non-Direct Services
- 5. Administrative
- 6. Research/Teaching/Academic
- 7. Record Keeping
- 8. File Review
- 9. Self-Assessment and Continuing Professional Development

<u>Sample</u> Questions Provided on Report Form- to stimulate discussion



Facilitating Reflection

- Objective: Safe discussion and reflection
- "When?", "What?", "How?" instead of "Why?"
 - Why didn't you involve the shared custody parent in the consent process?
 - ✓ At what stage of an assessment do you usually look at the Custody/Access agreement?
 - ✓ What do you look for in the agreement?
 - ✓ What factors do you usually consider when deciding whether or not to involve the other parent?
- Invite reviewee into discussion of your observations and whether there are opportunities for growth



1. Practice Setting

- Usually, live and in-person,
- May be brief; no need to provide detailed description, unless anything unusually positive or concerning
- Less detail required in accredited institutional setting, eg., hospital
- Attend to:
 - client's comfort, privacy
 - whether conditions appropriate for the service
 - privacy and security for clients, confidential materials
 - If conducting technology mediated review:
 - Secure video "tour"
 - much can be learned by asking questions



When More Than One Practice Location

- No firm rule and don't need to observe more than one...what information will allow you to provide opinion about knowledge, skill, judgment?
- Regulated/ institutional settings like hospitals, schools, prisons typically not as good a reflection of member's knowledge, skill and judgment than private office is
- Make reasoned, principled decision about which to visit based on:
 - Activities/proportion of time spent at each location
 - Differences re: institutional controls on practice/oversight by others/collaborative work
 - Practice risks at each; peer support v. isolation



2. Professional Services

Suggested areas to explore:

- Are services provided in accordance with member's authorized areas and population?
 - Be familiar with Standard 5.1 (Competence):
 - Practical Application: ...nature of the client's presenting difficulties will generally determine whether the member has the appropriate and required authorization
 - Practical Application: ... not always clear demarcations with respect to population groups, particularly with respect to age. ... determine whether in all the circumstances, the person's status is consistent with the status of those they are authorized to work with. ...whether person's abilities, life circumstances and challenges consistent with those normally expected within the authorized population groups the member is authorized to work with.
 - System leaves room for judgment; If unsure, recommend Reviewee follow up with College, note in report



- Even if authorized, is member competent to provide particular services provided?
- Respect Reviewee's right to choose clinical orientation, tools, techniques, interventions, etc.
- Threshold for concern:
 - Practice contradicted by generally accepted body of evidence
 - Reviewer able to provide cogent argument against practice
- Does member make reasonable clinical decisions, reflect on interventions and tools used?



3. Professional Conduct

- Ethical knowledge, conduct, e.g.,
 - Objectivity
 - Mandatory reporting
 - Billing
 - Contingency plans for unexpected absence
 - Informed consent
 - Communication re: confidentiality



4. Supervision, Consultation, Other Non-Direct Services

- Very important since scope/reach of influence broader than direct one:one client service
- Obtain understanding of scope of activities
- Review adequacy of supervision contracts, formal consultation agreements, supervisee files
- Is relevant level of accountability clear to Reviewee and made clear to supervisees, consultees, other stakeholders, including clients?
- Are billing and advertising practices appropriate in supervision situations?
- Does supervisor "own" the client record?



5. Administrative

- Are member's administrative activities consistent with Standards?
 - Best efforts to ensure that their employment setting adheres to the Standards of Professional Conduct (2017) in the planning, delivery, supervision and billing practices of all psychological services provided
 - Does organization pose obstacles to compliance with Standards?
 - How does member make best efforts to respond to challenges in work setting?
- is member's treatment of colleagues, subordinates, supervisees fair and free from abuse, harassment? Are working relationships positive?



6. Research/Teaching/Academic

- Adherence to ethical principles
- Adherence to Standards



7. Record Keeping

- Awareness of & adherence to relevant privacy legislation?
- Practices appropriate re: consent for collection, use, access/ disclosure of personal and personal health information?
- Contents of Records in keeping with Standards?
- Appropriate security when transmitting information?
- Appropriate retention of records?
- Appointed designated Health Information Custodian with ability to access records, when/if needed?



7. File Review (File Selection)

- Minimum of 2 cases
- Should be representative of current practice
- If practice varied, should be variety of files
- If different storage modalities (paper, electronic), should review each
- Must be random selection by Reviewers
- Method of random selection at discretion of Reviewers
- Can reach into file drawer/ select from list of all files (member could indicate nature of work, size, complexity on list)...
- Virtual: ask to see full list of files at time of selection, develop algorithm for which files to see, e.g., every 10th
- Obtain files, immediately, or as soon as possible, after informing reviewee of selections made
- Assessor and Reviewer must both review files



7. File Review (Contents)

- Adequacy and Quality of information: does the file provide enough information to understand services provided, goals, progress, plans...?
- Does file tell reasonable "story"?
- If you took over case, would the file provide you with sufficient information for continuity of care?



7. File Review (Case Discussion)

- Key opportunity to explore:
 - Quality of service provision
 - Clinical decision- making process
 - Quality of relationships, interactions with clients
 - Awareness of transference/countertransference issues /boundaries
 - Whether member engages in self-reflection, learning from positive and negative experiences



Self Assessment Guide and CPD

- Most recent SAG and CPD documents
 - Must review; if not available, query and explain in report
 - Self awareness of strengths/challenges?
 - Recognition of importance of CPD?
 - Concordance of activities, goals with nature of practice?
 - Goals: specific, measurable, attainable, relevant, and time-based?
 - Self-Care orientation (College does not require disclosure of actual plan)
- If near end of CPD cycle: generally <u>reasonable</u> number and mix of credits?
- Not an audit; If unclear, recommend Reviewee contact College
- ALTERNATE CPD DECLARATION- do they know about it?



Ratings: Subjectivity/Thresholds

- No litmus test for a "Pass"
- In this process you are a "peer", not an "expert"
- Can you provide a reasoned and reasonable explanation for any concerns, based in the information you have reviewed?
- Your report is only one data point;
 - Assessor will have provided Reviewee with an opportunity to provide additional information before QA Committee reviews Report;
 - Committee may also ask questions



Ratings and Outcome

- 1. Meets (not exceeds) standards without any qualification
- 2. Would meet standards with minor modifications
- 3. Significantly below standards

"standard": Minimum reasonably expected of competent, ethical, autonomous practitioner

≠ Gold Standard or Best Practice
Do not create new Standards



If Concerns Apparent

- Remember: objective = identifying learning needs, not censure
- Is member amenable to discussion, suggestions for growth?
- Suggestions could be appropriate when Standards have been met without qualification
- When public interest at risk, must let College know
- Make Recommendations if not at minimum standard reasonably expected for competent, ethical practice



Recommendations:

9. (3) An assessor or assessors shall evaluate the member's knowledge, skill and judgment by way of a peer and practice assessment, prepare a written report **that may include recommendations** and provide the report to the Committee and the member, along with a notice of the member's right to make written submissions to the Committee. O. Reg. 73/15, s. 1.

. . .

(5) ...the Committee may,

. . .

(c) grant the member a specified period of time to address the recommendations in the report; ...

ONTARIO REGULATION 209/94



The Report (1)

- Assessor and Reviewer participate in formulating and sign report
- Primarily written for QA Committee: explain concerns -Committee may ask for more information
- Also written for member
 - validate what's done well
 - constructive, useful information for practice enhancement
- Discuss all reported concerns with Reviewee- do not provide any information to College that Reviewee does not see
- Note Reviewee's receptivity to recommendations



The Report (2)

- May openly reflect on what you have learned
- Helpful ideas discovered may be shared by College with membership
- Ideally, where areas of disagreement between any of the participants (including between Assessor and Reviewer), open discussion will lead to resolution
- A "Peer" Review, not an "Expert" Review
- Legitimate debate can lead to growth
- Can describe areas of disagreement, uncertainty in Report; Committee/Staff can provide input
- Sample Completed Report Available on College Website



The Report (3)

In addition to providing report to College, statute requires:

• **Assessor** must provide member reviewed with the report and inform them of right to make submissions directly to College within 14 days of receiving report

Provide to member no later than time provided to College

Committee requests: typed or printed (new fillable form)



Summary Ratings					
	Meets standards without any qualification	Would meet standards with minor modifications	Significantly below standards	Not Applicable	
Practice Setting/Office		•		0	
Professional Services	•				
Professional Conduct			•	0	
Supervision and/or Consultation and/or Other Non-Direct Services	•		0	0	
Administrative	•			0	
Research/Teaching/Academic	0			•	
Record Keeping	•		0	0	
File Review	•		0	0	
Self-Assessment and Continuing Professional Development	•	0	0	0	



Practice Setting/Office - Brief Description of Practice Setting/Office (e.g., accessibility, privacy, safety, comfort): Reviewers familiar with Vital Clinic, well respected and professionally run, so did not

see need to visit

Visited home office: side door, basement office not easy to access for those with mobility issues

Clean, well lit, soundproof; private- door to rest of house locked and family members have no contact with clients; locked filing cabinet

Washroom has broken lock, sign provided to hang on doorknob if occupied

Overall Rating:

Meets standards without any qualification	
Would meet standards with minor modifications	•
Significantly below standards	
Not Applicable	

Areas of Strength / Areas Requiring Ongoing Learning:

Shows awareness of accessibility issue- member has made arrangements with colleague to use accessible office in professional building for clients who are unable to use steps; would also consider telepsychology if client was amenable, in clinically appropriate cases

Member had not previously considered possible discomfort to client about not being able to control entry to washroom by others when in vulnerable state, also that this might undermine professionalism and provide a confusing message about boundariesmember seemed clearly to understand these things, expressed regret that he had "missed" this, said it was helpful feedback and that he will replace lock immediately;



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Professional Conduct – Sample Questions to Consider:

- Has the member had any experience with dual relationships? How did they handle them?
- In describing their own example of a case that posed an ethical dilemma or a problem of an ethical nature, how did the member address the issues?
- Has the member encountered a 'duty to warn' type of situation? What were the circumstances? What did they have to consider? Did they act appropriately?
- Does the member understand mandatory reporting obligations? Have they
 encountered such a situation and if so, did they act appropriately?
- Does the member provide telepsychology services? If so, do they do so in accordance with the Standards of Professional Conduct?
- Does the member bill clients? If so, do billing and receipt documents conform with the requirements set out in the Standards?
- · How does the member manage collection of overdue accounts?
- How does the member manage collection of accounts from clients who have lost their jobs or are otherwise unable to pay for services?
- What arrangements have been made in the event of vacation leaves, or sudden illness or incapacity?
- . How does the member obtain consent and explain the limits of confidentiality?
- · How does the member explain client access to notes or records?

Overall Rating:

Meets standards without any qualification	0
Would meet standards with minor modifications	0
Significantly below standards	•
Not Applicable	0



Other issues Discussed:

Member discussed case in which he treats both mother and 18-year-old daughter as separate clients in psychotherapy, treatment is mainly CBT, although some supportive work with mother. Each is working on overcoming her own independent traumatic experiences. Mother has expressed worries in her own therapy about the daughter's high-risk behaviour, including substance misuse and staying out all night with "undesirable" boyfriend. She has prohibited him from telling daughter what she has told him. He has decided to "park" daughter's focus on traumatic experiences and is redirecting focus to exploration and psycho-education re: risk taking and safety. We raised issues of consent from daughter to collect information, daughter's consent to change treatment focus and damage to therapeutic alliance if daughter found out about information he was acting on. We also discussed whether becoming mother's agent in protection of daughter was consistent with mother's treatment goals. Although feeling some discomfort about his position in all of this, he still believes that taking this direction is in daughter's best interests. We suggested that there may be some problems with respect to confidentiality, informed consent, dual relationships, self determination of capable individuals and whether this approach is in best interests of mother-daughter relationship. We suggested that treating two members of the same family in individual therapy is not advisable, particularly where there are no shortages of therapists in the area. We also discussed ways in which safety could be addressed in ways which do not compromise ethical principles. He said that he would give all of this further thought.



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Clinical Supervision and/or Consultation and/or Other Non-Direct Services (if Applicable) – Sample Questions to Consider:

- Is the member providing clinical supervision and/or non- supervisory consultation and/or other non-direct services? If so, to how many individuals and to whom (i.e. supervised members, non- regulated individuals, regulated members of another college)?
- Is the member providing supervision and/or non-supervisory consultation and/or other non- direct services within the boundaries of their authorized areas of practice and/or populations?
- Is there a supervision and/or non- supervisory consultation agreement signed by the member and the supervisee/consultee for each supervision and/or nonsupervisory consultation relationship?
- If the member is providing non-supervisory consultation, do they have a clear written agreement signed by all parties that ensures the understanding that they are not taking on responsibility for client care?
- Are supervision records being maintained in accordance with the Standards of Professional Conduct?
- How is the member monitoring services provided under their supervision? How frequently are they with supervisee(s)?
- Are clients being informed of the supervisory relationship, limits to confidentiality, and how to contact the member (supervisor)?
- Are any non-regulated supervisees providing clinical supervision and/or nonsupervisory consultation to others?
- What system is in place to ensure proper clinical supervision and/or nonsupervisory consultation and/or oversight of other non-direct psychological services?
- Do any supervisees work offsite? If yes, does the member have access to the client records?

Overall Rating:

Meets standards without any qualification	•
Would meet standards with minor modifications	
Significantly below standards	
Not Applicable	

FORM REVIEWED: March 15, 2019

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11/8/2022

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Other issues discussed:

Areas of Strength / Areas Requiring Ongoing Learning:

Supervises psychometrist at Vital. Will only allow him to administer new tests if he has observed skillful administration. He provided copy of agreement and supervision record for review. Agreement contains all items required that are not already in the person's employment contact. Detailed documentation of regular supervision meetings showing that he is helping this individual develop as psychometrist. Has recently begun to allow psychometrist to analyze results and prepare first draft of report but reviews all scores and tabulations and develops own independent formulation before reviewing draft.



Areas of Strength/Areas Requiring Ongoing Learning not Included Above:

A highly personable, non-defensive professional is open to constructive feedback.

We were impressed with how simply he had adapted the new requirement for a supervision agreement to his ongoing practice- his building upon the institutional contract with the psychometrist really simplified the process for constructing a supervision agreement and Serge will be adopting a similar practice.

Recommendations:

As discussed we believe Dr. Earnestley would benefit from refreshing his knowledge re: ethical thinking and decision making by reviewing the CPA Code of ethics and taking a course, or courses, that include information about professional boundaries, dual relationships, informed consent and confidentiality. It is likely that this could be done on-line via the CPA or APA. We also recommend that he establish a peer mentorship relationship with an experienced colleague to regularly discuss therapy cases, particularly those in which complex clinical and ethical issues, like those outlined above, can arise.

Additional Comments:

It was a pleasure to review this member's practice. He appears genuinely concerned about the welfare of his clients. The good quality of most of his work far outweighs the difficulties noted and it appears that he is receptive to our recommendations. We thanked him for his candour and for giving us good ideas with respect to implementing the new supervision requirements.

College Appointed Reviewer's Signature Member Nominated Reviewer's Signature



Regulated Health Professions Act, 1991, S.O. 1991, c. 18-Confidentiality

36 (1) Every person employed, retained or appointed for the purposes of the administration of this Act, ...shall keep confidential all information that comes to his or her knowledge in the course of his or her duties and shall not communicate any information to any other person

- Relates to information about the review as well as any client records
- Contact the College or lawyer before disclosing any information beyond making report to College



Compensation

- A voluntary activity
- Currently: token one day per diem compensation in keeping with College policy (half day for review, half day for reporting)
- + partial overhead allowance for private practitioners who derive more than half of their income from self employment
- Reimbursement of reasonable expenses, subject to College Policy on Expense Reimbursement
- Pre- approval of expenses is required if it is necessary to go out of town to conduct a review



Other Benefits

- Knowledge acquisition
- CPD credits (A6): 1 hour=1 credit; maximum of 20 credits every 2 years, no more than 10 credits for a single Review
- Opportunity to build and benefit from an enriched local psychology community



Questions/Feedback

- Questions now ????
- Questions later: qualityassurance@cpo.on.ca
- David Fierro, QA Coordinator <u>dfierro@cpo.on.ca</u>
- Barry Gang, Deputy Registrar & Director of Professional Affairs: bgang@cpo.on.ca

Please complete the survey you will receive shortly. If you are reviewing the presentation at a later date, you may receive a link to the Assessor Survey by contacting the QA Coordinator.

Thank you!!

