POC Boot Camp
Camp Pittsburgh, PA

Fall in with Training Tactics and Competency Assessment Warfare

November 2019
Peggy A. Mann, MS, MT(ASCP), CPP
University of Texas Medical Branch
No related conflict of interest

Disclosures 2019:
For profits (honorarium) – BioFire Advisory Council, August 3, 2019
Nonprofits (travel to meetings) – AACC
Learning Objectives:

After this 30 minute session, participants will be able to:

1. Build a basic training program which includes components, tools and strategies
2. Discuss competency assessment
“Problem-solving skills are the most commonly missed elements.”

Competency assessment continues to top challenging standards list for laboratories

Human Resources (HR) standard HR.01.06.01: *Staff are competent to perform their responsibilities*, leads the list of 10 requirements identified most frequently as “not compliant” during laboratory surveys from Jan. 1, 2017, through Dec. 31, 2017.

<table>
<thead>
<tr>
<th>Noncompliance percentage</th>
<th>Standard Label</th>
<th>Standard Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>50 %</td>
<td>HR.01.06.01</td>
<td><em>Staff are competent to perform their responsibilities.</em></td>
</tr>
</tbody>
</table>
Permission. Jean Ball, MBA, MT(ASCP), Whitehat
Webinar SWRPOC Group, Presented Aug. 2018
Education & Instruction:
Learn the theory; Reinforce knowledge;
General concepts
   Journal article, poster, lecture

Training:
Specific to needs or vocation;
Improve a specific ability & performance;
Develop skill & apply knowledge

End of successful training = trainee has demonstrated the ability to perform the required procedure(s)

Note: training assessment is not the same as competency assessment
Instruction vs training

http://va.newsrepublic.net/article/i6582903566946533893?user_id=6499086706619188233&language=en&region=us&app_id=1239&impr_id=6598926574089668870&gid=6582903566946533893&c=sys&language=en
Design a Training Program

Start with the lab Quality Management System

- Build & document processes, procedures, and responsibilities
- Improve effectiveness and efficiency on a continuous basis

Build the POC Training Program

- Programs provide employees with information, new skills, or professional development opportunities
- May be new employee orientation or on-the-job training

Competency Assessment Policy & Plan

- Expected outcome of Training
- Training & Competency Assessments
- Criteria for passing (Handling ‘failures’ → remedial)
Quality Management System (QMS)

Resource: Clinical & Laboratory Standards Institute

11 Quality System Essentials

- Includes Personnel

CAP GEN. 13806 Quality Management Program Phase II

Lab has a written QM program

Document describing lab's approach to quality;

Usually focused on patient care and compliance issues

Reviewed annually & demonstrate effectiveness of QM Program

- Related to training/competency assessments:
  - Job Description Development Process
  - New Staff Orientation Process
  - Training Process and Programs
  - Competence Assessment Process
  - Continuing Education Program
  - Professional Development Program
  - Performance Evaluation Process
  - Communicating Concerns About Quality or Safety Process
  - End of Employment Process
Design a Training Program
Components:

1. Instructors & trainers
   Who trains the instructors/trainers?
   Who are the trainers?
2. Participants

“What’s in it for me?”
Respect trainee background!
GENERational influences

Learning characteristics
- Visual, kinesthetic, auditory;
- Right brain - left brain - both
Consider educational backgrounds

Testing personnel education requirement

WT and nonWT

**Minimum** requirement is a high school diploma or equivalent
and training for the testing performed.
### LABORATORY PERSONNEL REPORT (CLIA)
(For moderate and high complexity testing)

<table>
<thead>
<tr>
<th>1. LABORATORY NAME</th>
<th>2. CLIA IDENTIFICATION NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. LABORATORY ADDRESS (NUMBER AND STREET)</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. Instructions:
   a. List below all technical personnel, by name, who are employed by the laboratory. Check (✓) the appropriate column for each position held. For TC and TS follow instructions on reverse. For a moderate complexity laboratory, list the positions of D, CC, TC, and TP. For a high complexity laboratory, list the positions of D, CC, TS, GS, and TP. For cytology, list D, CC, TS, CT/GS, and CT.
   b. Indicate highest level of testing for which personnel are qualified: Use (M) for moderate and (H) for high complexity.

#### EMPLOYEE NAMES

<table>
<thead>
<tr>
<th>LAST NAME</th>
<th>FIRST NAME</th>
<th>MI</th>
<th>D</th>
<th>CC</th>
<th>TC</th>
<th>TS</th>
<th>GS</th>
<th>TP</th>
<th>CT/GS</th>
<th>CT</th>
</tr>
</thead>
</table>

5. TELEPHONE (INCLUDE AREA CODE)

6. SIGNATURE OF LABORATORY DIRECTOR

7. DATE

READ THE FOLLOWING CAREFULLY BEFORE SIGNING

Statement or Entities Generally: Whoever, in any manner within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statements or entry, shall be fined not more than $10,000 or imprisoned not more than five years, or both. (U.S. Code, Title 18, Sec. 1001)

CERTIFICATION: I CERTIFY THAT ALL OF THE INDIVIDUALS LISTED ABOVE QUALIFY, TO FUNCTION IN THE POSITION INDICATED, ACCORDING TO THE PERSONNEL REGULATIONS OF 42 CFR PART 493 SUBPART M.

IF CONTINUATION SHEET PAGE OF_
Design a Training Program
Components:

3. Facilities & Setting for training

On-site clinic/unit vs Off-site class/conf rm vs No site?

Class conference room
(fit to size, comfort/temp)
Design a Training Program

Components:

3. Facilities & Setting for training

No site virtual classroom, skype
Design a Training Program
Components:

4. Goals

Objectives
Targets & Metrics
SMARTer goals
Design a Training Program
Components, Con’t.:

5. Content
   • Build curriculum each new class
   • Key elements from SOPs
Key Elements to include in training

1) Principle/Significance
2) Test Procedure
3) Maintenance - Cleaning
4) QC
5) Limitations
6) Results Documentation
7) Safety
THE BREAKDOWN

Alexa, tell me what’s wrong.

THIS IS THE LAST THING I EXPECTED WHEN I CALLED ALEXA SUPPORT.
Design a Training Program
Components, Con’t.: 

6. Financial … who pays?

Training supplies
Labor (trainer, trainee)

Purchasing commercial competency assessment subscription or functions of middleware (‘add-ons’)
Design a Training Program
Components, Con’t.:

7. Time

- # minutes/class
- # classes/implementation
- Participants learn at different rates
8. Evaluations & Assessments
   • Of trainers
   • Of class experience
Learning Objective #2: Discuss Competency Assessment
**Competency**: the ability to do something successfully or efficiently

**Competency Assessment**: after operator performs a period of time; identify potential problems; meet defined critical components; **perform it correctly over time**?

*Note: training assessment is not the same as competency assessment*
CAP Accreditation – Training & Comp Assessment

Written procedure required

POC.06850 Personnel Training Phase II
Evidence of Compliance:
✓ **Written procedure for training of POCT personnel**
✓ Records of training in personnel file (e.g. training certificate of completion)

POC.06910 Competency Assessment - Nonwaived Testing Phase II
Evidence of Compliance:
✓ **Written procedure defining the method and frequency for assessing competency**
✓ Records for new and existing personnel reflecting the specific skills assessed and the method of evaluation at the required frequency

Competency assessment can be done throughout the entire year by coordinating it with routine practices and procedures to minimize impact on workload.

TJC WT Chapter 03.01 Staff Training

✓ Staff performing waived tests are competent & follow MIFU

✓ 2 means of competency for annual assessment

✓ Instrument use must include cleaning, maintenance training
CLIA, TJC, CAP, COLA Moderate

Competency Assessment required initially, at least semiannually (6 mo) during the first year; thereafter, at least annually

**CAP Non-WT Notes from an inspector...**

- POC Operator adding a new test does not ‘restart’ clock
- POC Operator moving to another CLIA Certificate location does restart clock
- Keep documentation of competency assessment for 2 years
1. For POC waived testing, Competency is assessed according to organization policy at defined intervals, but at least at the time of orientation and annually thereafter. The person whose name is on the CLIA Certificate is responsible (WT.03.01.01 EP 1) for signing off on competency and he/she may delegate the responsibilities to individuals he/she feels are qualified.

2. All CLIA 6 methods of assessment may not apply to initial competency assessment.

3. Sequence of training/comp assessment for a new employee performing non-waived testing is:

   - Initial training – HR.01.04.01 EP 9
   - Initial competence – HR.01.04.01 EP 10
   - 6-month competence – HR.01.06.01 EP 19
   - Annual competence – HR.01.06.01 EP 20

   EXISTING STAFF must be trained and competence assessed on new non-waived methods and instruments HR.01.06.01 EP 21

   NOTE: None of these steps can be combined
Records of competency assessment may be retained centrally within a healthcare system, but must be available upon request.

Competency of nonwaived testing personnel must be assessed at the laboratory where testing is performed (CAP/CLIA number). If there are variations on how a test is performed at different test sites, those variations must be included in the competency assessment specific to the site or laboratory.

Competency assessment records must include all six elements described below for each individual on each test system during each assessment period, unless an element is not applicable to the test system.
Elements of competency assessment include but are not limited to:
1. Direct observations of routine patient test performance;
2. Monitoring the recording and reporting of test results, including, as applicable, reporting critical results
3. Review of intermediate test results or worksheets, QC records, PT results, and PM records
4. Direct observation of performance of instrument maintenance and function checks
5. Assessment of test performance through testing previously analyzed specimens, internal blind testing samples or external proficiency testing samples; and
6. Evaluation of problem-solving skills

A test system may encompass multiple identical analyzers or devices. Different test systems may be used for the same analyte.
Every operator, each CLIA Certificate location where operator performs.

Direct Observation Documentation

<table>
<thead>
<tr>
<th>Steps</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open back of slide</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applies 2 drops of correct developer over each smear</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applies 1 drop of correct developer between + and - internal controls</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correctly reads patient and control results within 60 seconds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correctly records slide lot #, expiration date on hemocult log</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correctly records developer lot # and expiration date on hemocult log</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correctly records patient and control results on hemocult log</td>
<td></td>
<td></td>
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Evaluation of competence
- Satisfactory
- Unsatisfactory

Corrective Action/Comments:

Courtesy of Jean Ball, MT(ASCP) CAP Inspector, 11/2017 SWRPOC Group annual meeting
Unacceptable Competency Assessment

Who - What Failed?

Analyze

Every piece of information helps
Unacceptable Competency Assessment

Who or What Failed?

Determine Cause

Untrainable employee?

✓ the class (event, event series)
✓ the training program (goals, techniques)

Quality Management System inadequate?
Unacceptable Competency Assessment

Who - What Failed?

Remedial Action

Retraining

Retraining and reassessment of competency must also occur when problems are identified with an individual's performance.

Reassessment

Remove authority

According to your written training program
Ongoing Process Improvement

- Quality Management Program
- Training Program
- Competency Assessment Program
POC Bootcamp Counselor Contact Info:

Peggy Mann, M.S., MT(ASCP)
University of Texas Medical Branch
Clinics Administration
Program Manager
pmann@utmb.edu

“Your personal armor includes a bulletproof vest for stopping enemy bullets, and a personal glass-ceiling for stopping your career aspirations”