



Laboratory Management of a Quality System

Module 3: Personal management





ACKNOWLEDGEMENTS

- Ministry of Health and Social Welfare - Tanzania
- Muhimbili University of Health and Allied Sciences
- World Bank
- ECSA- HC





Learning Objectives

After completing this module, you will be able to:

- Describe each of the personnel management functions in a laboratory
- Develop orientation and training checklists
- Define key competencies for staff
- Develop a competency assessment program for the laboratory
- Develop staffing plans and schedules for the laboratory





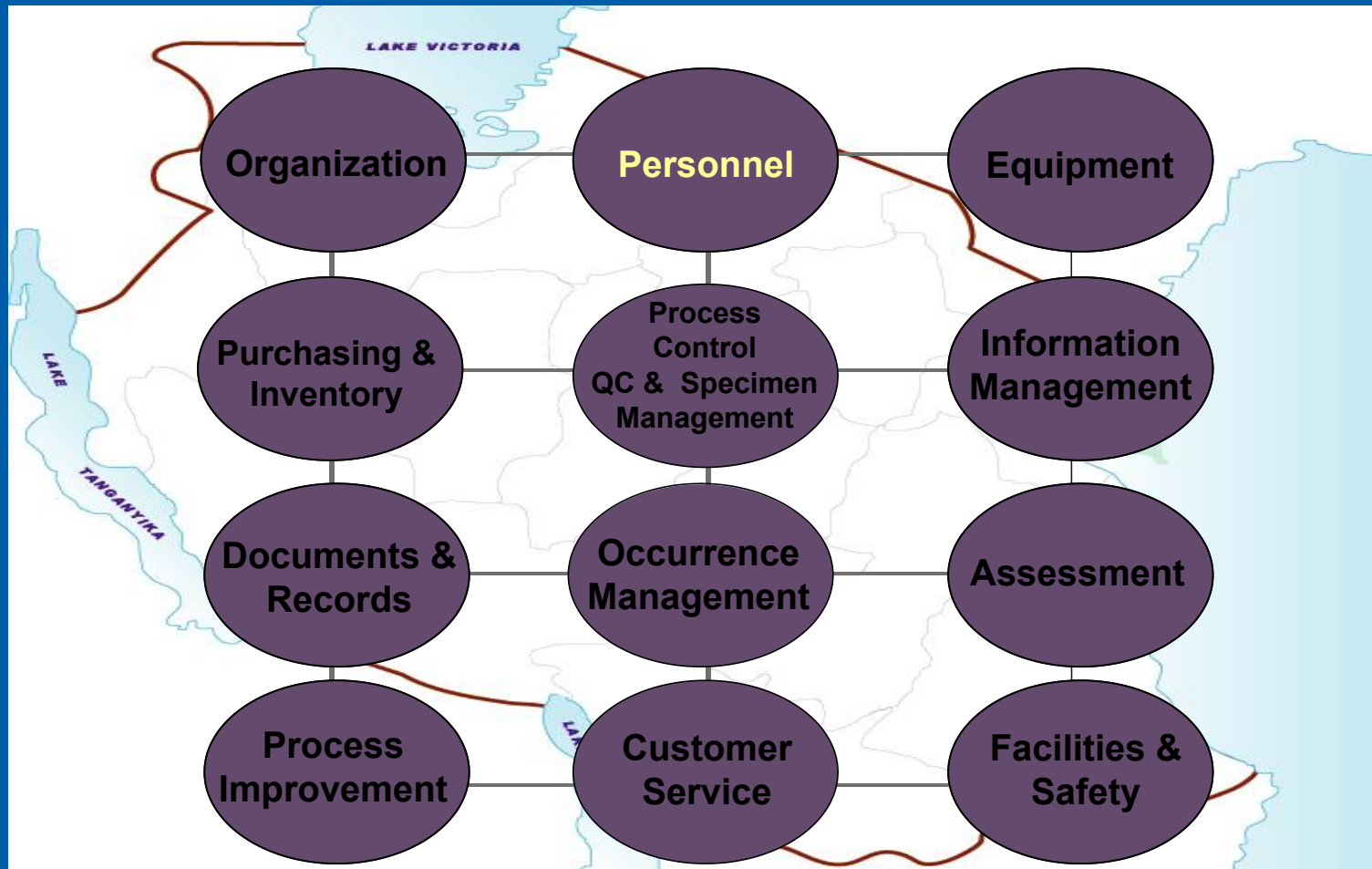
Today's Agenda

- **The Quality System**
- Personnel Management
 - Recruitment & Selection
 - Position & Job Description
 - Training and Orientation
 - Competency Assessment
 - Performance Management
 - Continuing Education
 - Staffing and Scheduling
- Module Summary





The Quality System





The Laboratory Staff

- Well trained laboratory staff are the most important part of a quality system and are the laboratory's greatest asset
- Success of a quality system is dependent on:
 - Staff knowledge and skills
 - Staff motivation and commitment to following the quality system process





Human Resource Planning

- Within a quality system, management must assess the total job to be done to achieve the goals of the organization and determine:
 - What knowledge and skills are needed?
 - How many people with each skill set?
 - When are they needed?
 - How will they be scheduled?
 - How will they be supervised?





Are there
any
questions?





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Personnel Management



- Personnel Recruitment and Selection
- Position/Job Descriptions
- Training and Orientation
- Competency Assessment





Personnel Management (Continued)



- Performance Management
 - Performance Standards
 - Coaching and Counseling
 - Discipline
 - Performance Review
- Continuing Education
- Staffing and Scheduling





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Personnel Recruitment



- Schools
- On-the-job training (certain skills)
- Advertisements
- Family and friends
- Vendors
- Other Laboratorians





Staffing Needs Assessment



- Identify job to be done-gap in service delivery
- Identify skill set needed
- Determine hours needed to fulfill needs (part vs. full time/days or evening)





Personnel Selection



- Process to determine employee fit and qualifications for the position
 - Determine what they can do
 - Determine how willing are they to do it
- Tools - application/CV, job description, assessment tools, and interviews





Personnel Selection (Continued)



- Obtain CV or application
- Review for posted qualifications
 - Level of education
 - Training required by the MOH
- Interview to verify what they can do and their motivation to do the job
- Obtain references
 - Previous employers, co-workers or instructors





Interview Process

- Assess technical skills
 - Problem-solving
 - Manipulation skills (e.g.. pipetting)
 - Mathematical
- Assess non-technical skills such as:
 - Communications (written and oral)
 - Customer Service
 - Commitment
 - Color-blindness





Sample Interview Questions



- Describe a QC problem that you solved independently.
- Describe the last time you did more than was required by your job.
- Describe a time when you were presented with a problem you could not solve.





Job Descriptions

- Perform task analysis and define job duties for each job that needs to be accomplished in the laboratory
- Then write a job description that will:
 - Describe the job tasks to be done
 - Define what will be done, not how well
 - Define why the job exists in the job summary
 - Define principal duties and accountabilities including QA / QC duties





Job Descriptions (Continued)



- Job descriptions also need to define:
 - Education and experience required (define minimum required for the job)
 - Special physical and mental requirements
 - The amount of authority and reporting structure
- Job descriptions must be reviewed annually to keep current





Uses of Job Descriptions

Use

- Selection
- Compensation

Purpose

- Used to evaluate if applicants meet basic requirements
- Used in defining compensation level for each position





Uses of Job Descriptions

(Continued)



use

- Performance management
- Lab Organization

Purpose

- Sets expectations and helps employee understand their duties
- Used to define roles and responsibilities in the organization





**What
questions do
you have
about job
descriptions?**





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Orientation Process

- Orientation is the process of introducing a new staff member to the new work environment and tasks / duties
- An Orientation Checklist is used to ensure every new staff member receives the same information
- At the end of orientation, complete initial competency assessment to assess capability





Orientation Checklist



- ↳ Explain the lab's role in support of organizational goals
- ↳ Review the job description
- ↳ Review performance expectations such as customer service and others
- ↳ Tour the work area and introduce to all management and staff
- ↳ Show where all manuals and resources are kept





Orientation Checklist (Continued)



- ↳ Review and sign for all procedures and policies including safety
- ↳ Explain performance evaluation process
- ↳ Review quality system essentials and QA responsibilities
- ↳ Assign a trainer
- ↳ Train on all methods and equipment including safety equipment





Employee Training - When?



- During orientation
- Based on defined needs
 - Example: new instrument or method introduced
- Based on competency issues
 - Example: identified by competency assessment
- Ongoing - continuing education





Quality Training

- Training is an important element in a quality system
- Quality training follows a systematic and prescribed process
- Training guides, checklists, and just-in-time training modules ensure training is consistent





Discussion

- What kind of training do you perform?
- How do you train employees on a new procedure?





Competency Based Training

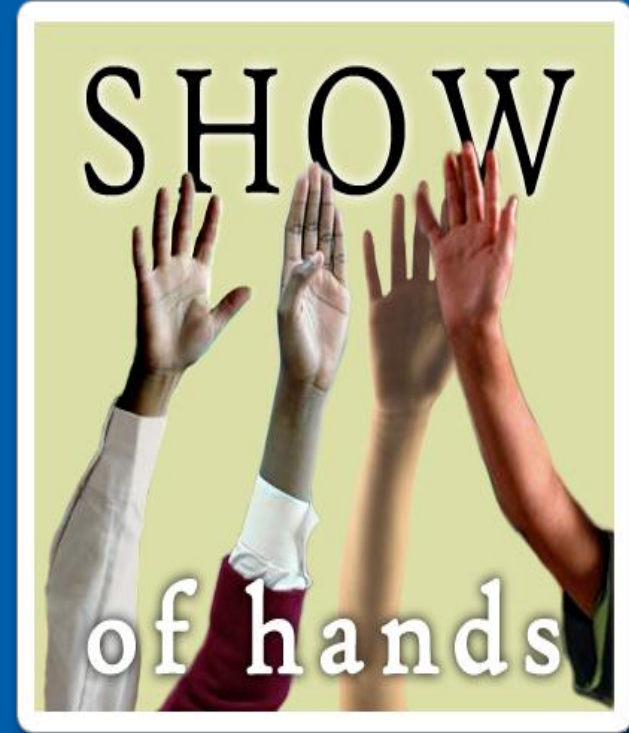


- Designed to help employees develop skills to perform specific job tasks
- Uses SOPs and job-related documents
- Measures training outcomes using competency assessment





What questions do you have about employee orientation, training, and competency-based training?





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Competency

- What is competency
- How is it measured?





What is Competency?

- Competency - having the essential ability to perform specific tasks that are part of the total testing process
- Important competencies - those competencies that are important to job performance and have an important impact on quality of care





E.g.: Accessioning Competencies When Processing Specimens



- Logs in all specimens and assigns unique identifying number (accession number) to all specimens
- Follows specimen rejection policy and rejects specimens appropriately
- Spins specimens appropriately at correct time and speed of centrifugation





E.g.: Phlebotomy Competencies

- Properly identify the patient
use two identifiers
- Label all specimens with
complete patient information
immediately after the specimen
is drawn





E.g.: Technologist Competencies



- Notify clinician of critical results/panic values
- Keeps current on all new and revised policies and adheres to defined procedures at all times





E.g.: Technologist Competencies



(Continued)

- Ensures all quality control and maintenance are performed on schedule.
 - § Assures QC data are within acceptable limits
- Identifies unsuitable specimen and notifies the clinician for recollection.
 - § Documents appropriately on laboratory reports





How is Competency Measured?

- Competency Assessment - a process for determining and documenting the ability of personnel to perform specific key job duties





Competency Assessment Process



- Develop a written policy on competency assessment that identifies when, what, and how competency will be assessed
- Identify important competencies for each process in the laboratory
- Develop competency assessment checklists
- Review policy at least annually
- Communicate the policy to all staff





Competency Assessment Policy

- Example of when the assessment will occur?
 - Initially after orientation on new staff and at least annually on current staff or with introduction of new methods
- Example of what will be assessed?
 - Every important job task and procedure performed (pre-analytical, analytical, and post-analytical)





Competency Assessment Policy

- Example of how the assessment is done?
 - Based on skill assessment of important competencies (those competencies important to the job and that have a direct impact on quality patient care)
 - SOPs reviewed and knowledge assessed
 - Direct observation of performance including trouble-shooting or problem solving capability





Competency Assessment Policy

(Continued)



- Example of how the assessment is done?
 - Review of outcomes of performance such as proficiency testing, quality control, maintenance logs, and patient testing
 - “Blind” testing of samples and slides
 - Case studies and situation-based problem solving
(written exercises)





Establishing a Competency Program



- Prepare a schedule for assessing each employee
- Prepare a checklist of the important competencies
- Determine assessment method
- Document and evaluate results
- Take remedial/corrective action
- Have a plan for addressing competency problems





Group Work - Competency Assessment

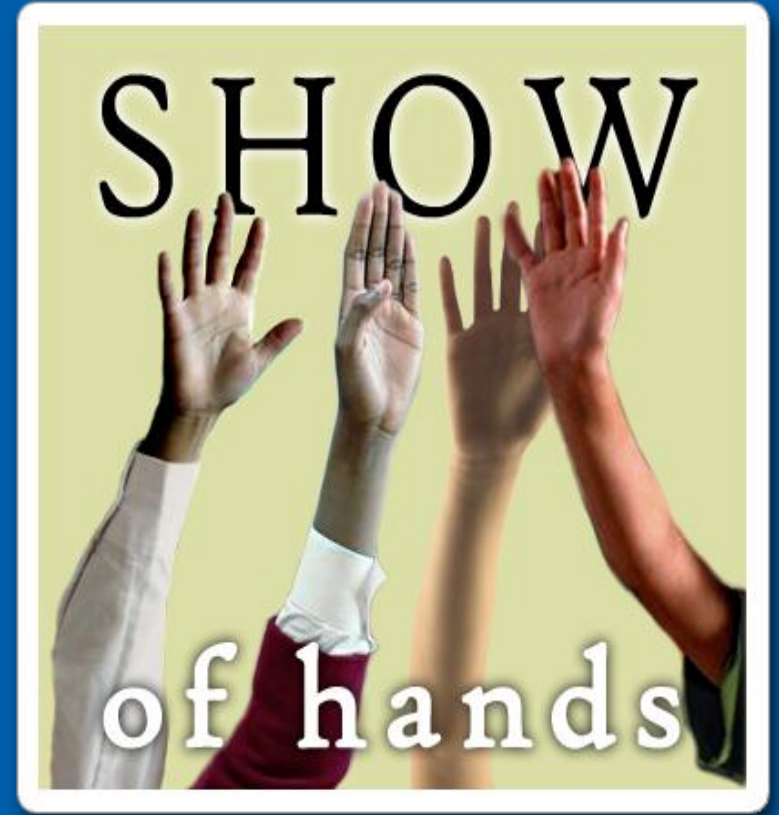


- Work in pairs to identify at least 3 important competencies for chemistry QC
- Develop how you would assess these competencies





What questions do you have about competency, or the competency assessment process?





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Causes of Performance Failure

- Inadequate initial orientation
- Inadequate training
- Equipment or method problem
- Sample problem
- Poor documented procedures or failure to follow procedures
- Difficulty changing behavior





Competency Based Human Resources Strategy



- Effective...
 - Selection Process
 - Orientation and Training
 - Competency Assessment
 - Performance Management
 - Rewards Strategy
 - Recognition Strategy

...enhances retention
of
highly skilled laboratory staff





Performance Management

- Set and communicate achievable, realistic performance expectations/standards
- Define expected performance in the areas of
 - technical tasks
 - communication
 - work habits
 - teamwork





Group Work - Performance



- Work in pairs to define good performance in the following areas for your staff:
 - technical
 - communications
 - work habits
 - teamwork





Performance Management



- Assess performance by observation and work sample
- Provide effective feedback on areas that need improvement
- Assure that poor performance is corrected
- Reinforce and recognize good performance
- Document all aspects of performance - positive and negative





Types of Feedback

- Coaching - Feedback given to help an employee reach his/her maximum performance level (positive approach)
- Counselling - Feedback given and often documented when employee must improve his/her performance (negative)





How to Give Feedback

- Pick an appropriate time and place (always in private)
- Be specific and direct
- Be descriptive, not judgmental
- Point out positive aspects first
- Direct feedback toward improving behavior and stress impact of work on patient care, not toward person





Role Play - Giving Feedback



- Supervisor discusses with a technologist a problem with his documentation of QC results.





Performance Appraisal

- A system to assess overall performance on the standards (usually annually)
- Evaluation is based on:
 - Technical performance standards
 - Customer service expectations
 - Work habits
 - Communication skills
 - Organizational skills - safety





What questions do you have about performance management, giving feedback or the performance appraisal?





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Continuing Education

- An educational program that brings staff up-to-date in a particular knowledge area
- May be used to improve competency in certain problem areas
- Important in maintaining laboratory quality and state of the art systems
- Journal club, vendor support, or computer / online access



Make learning an expectation for





Continuing Education and Competency Assessment



- Focus continuing education on staff needs based on competency assessment.





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- Do you have any questions about staffing and scheduling?





Staffing & Scheduling Model



- Purpose - to define the number and skill mix of staff needed for the workload
- Skill mix defines the proper mix of assistants, technicians, and technologists needed for efficient operation.





Staffing & Scheduling Model

(Continued)



- Staffing model defines the minimum number of each type of personnel needed for each operating shift
- Scheduling of each shift of operation is based on the staffing model





Staffing & Scheduling Model

(Continued)



- Factors to consider:
 - Daily workload
 - Complexity
 - Working hours of lab
 - Space
 - Urgent vs routine
 - Manual vs automated
 - Skill level
 - Training: new employees, students





Group Work - Staffing

- Work in pairs
- Discuss a staffing challenge at your lab?
- Discuss how you have tried to address it?





Case Study Scheduling

- Your outpatient facility sees 60 patients from 0700 to 1700 hours per day.
- Your lab is drawing the patients and running ART testing in Hematology, Chemistry, Flow Cytometry on automated instruments on each patient.
- Prepare a staffing schedule for this laboratory for one week.





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Summary: Personnel Management



- Recruitment and Selection
- Job Descriptions
- Training and Orientation
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Summary: Personnel Files

- Employment record including CV and application
- Orientation and Competency Records
- Performance Documentation
- Performance Appraisal
- Personnel Actions
- Job Description and Performance Standards
- Continuing Education Records
- Work Injury Records





What questions do
you have on the
Quality System
and Personnel
Management?





THANK YOU

