National Association For Home Care Teleconference

Competency Assessment
April 4, 2001

Lynda Laff, Laff Associates
JCAHO Home Care Nurse Surveyor
Competence Assessment

Verification of an Individual’s Ability to Perform Skills Required to Do His/Her Job

Combination of Licensure, Written Tests, Interviews, Documentation Reviews & Observations

Validation of Technical, Critical Thinking, Interpersonal & Communication Skills
Performance Evaluation

- Broad Focus
- Conducted at Defined Intervals
- Considers Job Performance
- Incorporates Non-Technical Aspects of Job
  - Adherence to Policies
  - Dependability
  - Professionalism
  - Timeliness
  - Interpersonal Communication With Peers
- Includes Competence Assessment Information
Proposed Conditions of Participation

(Federal Register March 10, 1997 p.11014)

“We expect a HHA to pursue the latest clinical practice guidelines & professional standards for use in its quality assessment & performance program.”

✦ Continuous Improvement
  ✦ Identification & Use of Continuously Updated Information, Techniques, & Practices
  ✦ Determination That Services Provided Are Effective & Safe
Proposed Conditions of Participation

(Federal Register Vol. 52, No. 46, March 10, 1997, p.11014)

Determining the Safety & Effectiveness of Services Provided Should Include

- Complex High Technology Services (if provided)
- Competency of Clinical Staff
- Promptness of Services
- Evidence That Patients Achieve Treatment Goals (through use of measurable outcomes)
Proposed Conditions of Participation

(Federal Register Vol. 52, No. 46, March 10, 1997, p.11014)

- Staff Must Be Able to Demonstrate Skills & Competencies Necessary to Achieve Desired Patient Outcomes

- Agency Is Expected To
  - Include Data-Based, Criterion-Referenced Performance Measures of Staff Skills
  - Maintain Ongoing Staff Competency
  - Provide Training As New Techniques & Technologies Are Introduced
  - Track Staff Skills & Competencies
  - Identify & Address Training Needs
JCAHO Standards

LD.2.1 - Leaders systematically plan & monitor the organization’s care & services to be consistent with the organization’s mission & its patients’ needs.

HR.1 - The organization provides programs for recruitment, retention, & development of all staff members.

HR.4 - The organization assesses, maintains & improves the competence of all staff providing care & services.

HR.6 - The organization provides ongoing education, including in-services, training, & other activities.
Competence Assessment Methods

- Discussions/Interviews
- Written Tests
- Observations
- Audits
- Analysis of Collected Data
Who Needs Assessment?

- All Staff Who Provide Care or Services in the Home Setting
  - Direct Clinical Care Staff
  - Contracted Staff
  - Volunteers
  - Pastoral Care Staff
  - Delivery Staff
Who Needs Assessment?

- Staff Whose Services Directly Impact Home Care Patients
  - Medical Directors
  - Repair/Maintenance Technicians
  - Pharmacists/Technicians
Steps To Achieve Competency Assessment & Improvement

- Identify Your Services
- Identify Staff Categories
- Compile a List of Staff Competencies
- Select Specific Competencies
- Define Competency Assessment Process
- Develop Assessment Tools
- Implement Competency Assessment Process
- Initiate Continuous Improvement Processes
Identify Your Services

List Services Your Organization Provides (example)

- Intermittent Nursing Care
- Home Health Aide Services
- Rehabilitation Services, PT, OT, SLT, MSW
- Maternal/Child Care
- Pediatrics
- Homemaker/Chore Services
- Clinical Respiratory Care Services
- Pharmacy Services
Identify Staff Categories

- Registered Nurses
- Physical Therapists
- Occupational Therapists
- Speech & Language Pathologists
- Medical Social Workers
- Dietitians
- Volunteers
- Home Health Aides
- Homemakers
- Respiratory Therapists
- Delivery Technicians
- Pharmacist
- Pharmacy Technician
Identify Staff Competencies

Qualifications & Experience Needed (example)
- Physical Therapist
  - License in State of Georgia
  - 2 Years Experience As a Therapist in an Acute Care or Outpatient Setting
  - Experience With a Variety of Adult & Pediatric Patient Types

Skills Needed (example)
- Adult Patient Assessment
  - Alzheimer's Patients
- Development of Home Exercise Programs
- Flexion/Abduction Measurements
- Use of Ultrasound
- Use of Tens
- Pediatric Assessment
  - Developmentally Delayed Children
Identify Staff Competencies

Qualifications & Experience Needed (example)
- Intermittent Home Care Registered Nurse
  - License in the State of Georgia
  - 3 Years Experience in an Acute Care Setting Within the Last 5 Years, Experience in Critical Care Preferred

Skills Needed (example)
- Adult Assessment
- Patient Education
- Venipuncture
- Infusion Procedures
  - Line Dressings
  - Line Flushing
  - Pump Management
  - Trouble-Shooting
- Wound Care Procedures
- Trach Care
- Colostomy Care
- CHF Management
- Management of Diabetics
  - Glucometer Testing
  - ADA Diets
Selection Of Competencies

- Problem Prone or High Risk Procedures
- High Volume Procedures
- Low Volume-High Risk Procedures
- Law or Regulation That Dictates Type or Frequency of Assessment
- New Technology or Procedure
Define Competency Assessment Process

- Qualifications Required for Position
  - Education Level
  - Experience in Specific Field/Area
- Orientation Competency Process
- Critical Thinking Skills Necessary
- Core Competencies vs. Specialty
- Determine What Skills Are Assessed at What Intervals
- Determine Assessment Process
- Identify Experts
Develop Assessment Criteria & Tools

✔ Define Each Assessment Process
  ✔ Define Criteria for Pass/Fail
  ✔ Identify Assessment Method
  ✔ Assign Responsibility

✔ Develop Written Materials Used to Document Assessment Process & Outcome(s)
Implement Competency Assessment Process

- Assess Identified Competencies by Discipline & Care/Services Provided
- Reassess Competencies at Pre-Determined Frequencies
- Incorporate Competency Assessment Results in Organization’s Ongoing Staff Education Program
- Include Competency Results in Employees’ Overall Performance Evaluation
Continuous Improvement

- **Staff Surveys & Self Assessments**
  - Used to Assist With Identifying Needs **NOT** As Competency Verification.

- **Analysis of Information**
  - Patient Outcomes
  - Adverse Event Audits
  - Occurrence Reports
  - Customer Satisfaction Results
  - Clinical Record Audits
  - State, Federal & Accreditation Surveys or Audits

- **Timely & Relevant Staff Education**
Survey Process

Surveyors Will Want to See

- Evidence That Your Organization Has Defined Competence for Each Individual
- Evidence That a Competence Assessment Has Been Implemented
- Evidence That Competence Is Assessed at Hire, at the End of Orientation & Periodically Over Time to Maintain Competency
- Evidence That Competence Is Assessed When New Responsibilities, Treatment or Technology Is Introduced
Survey Process

Surveyors Will Want to See

- How Training Needs Are Identified
- How Resources Are Allocated for Competency Assessment
- Process for Tracking Competency
- Reference Based Performance Measures
- Compliance With Organization's Policies & Procedures
- Compliance With Law & Regulations
# Competence Assessment Matrix

Staff Category: ____________________________________________________________

<table>
<thead>
<tr>
<th>Competency/Skill</th>
<th>Skill Characteristics</th>
<th>Frequency Of Competency Assessment</th>
<th>Assessment Method</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Assess At Hire/Orientation</td>
<td>Assess Yearly</td>
</tr>
<tr>
<td>LV</td>
<td>HR</td>
<td>PP</td>
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Reprinted From JCAHO Home Health, Personal Care, and Support Services Staff Competency: Steps To Success Viewer’s Guide V97/04
### HOME HEALTH COMPETENCY LIST (EXCERPTS)

**Typical Staff Category:** Physical Therapist

<table>
<thead>
<tr>
<th>Competency/Skill</th>
<th>Skill Characteristics</th>
<th>Frequency Of Competency Assessment</th>
<th>Assessment Method</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>LV</td>
<td>HR</td>
<td>PP</td>
</tr>
<tr>
<td>Electrical stimulator for chronic pain.</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment and care planning for brain-injured patient.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Safety – Use of mechanical lifts and instruction of HHAs to use lifts.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Care Coordination</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

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**EXAMPLE OF A COMPETENCY LIST**
Community Home Health is hospital based and Medicare certified. The majority of Community Home Health’s patients receive skilled nursing, with 50% also receiving personal care. Physical therapy is another of the major services.

**HOME HEALTH COMPETENCY LIST (EXCERPTS)**
Typical Staff Category: RN

<table>
<thead>
<tr>
<th>Competency/Skill</th>
<th>LV</th>
<th>HR</th>
<th>PP</th>
<th>Frequency Of Competency Assessment</th>
<th>Assessment Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>Glucometer Use</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Assess At Hire/Orientation, Assess Yearly, Assess Other Frequency</td>
<td>Assess By Written Test, On basic functioning of unit.</td>
</tr>
<tr>
<td>Infusion Therapy</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Assess At Hire/Orientation, Assess Yearly, Assess Other Frequency</td>
<td>Assess By Simulation, Use of mannequin. On patient.</td>
</tr>
<tr>
<td>Care Planning</td>
<td></td>
<td>X</td>
<td>X</td>
<td>Assess At Hire/Orientation, Assess Yearly, Assess Other Frequency</td>
<td>Assess By Observation, Case studies. Independent care plan reviewed with preceptor or supervisor.</td>
</tr>
<tr>
<td>Newborn Assessment</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Assess At Hire/Orientation, Assess Yearly, Assess Other Frequency</td>
<td>Assess By Observation, Written post-test after inservice. Pediatric Nurse Practitioner gives overview demonstration of normal assessment. RN demonstrates (return demonstration) on newborn mannequin.</td>
</tr>
</tbody>
</table>

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