Joint Commission Accreditation: A Systems Approach

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Pathologist Surveyor: June Olson, MD
Objectives

- Define tracer methodology
- Understand how tracer methodology is used during the survey
- Review examples of common tracers
  - Emergency Room
  - Blood Administration
  - Surgical Pathology
  - Cytopathology
  - Non-GYN Cytology
- Review available tools
- Learn how to conduct your own mock tracers
Tracer Methodology

- Uses actual patients as the framework for assessing standards compliance
- Individual tracers follow the experience of care through the entire health care process in the organization
- System tracers evaluate the integration of related processes
  - Coordination and communication among disciplines and departments
  - In-depth discussion and education regarding the use of data in performance improvement

Joint Commission Laboratory Accreditation: A Systems Approach
Tracer Methodology

- Each tracer is unique
- It involves talking with multiple staff, the patient, and even family to learn details about an individual’s health care experience

Surveyors evaluate the following:
- Compliance with standards and National Patient Safety Goals
- Consistent adherence to policy and consistent implementation of procedures
- Communication within and between departments/programs/services
- Staff competency for assignments and workload capacity
- The physical environment as it relates to the safety of patients, visitors, and staff
How Tracers are Used in the Survey Process

Common starting points for tracers
- Sample collection
- Critical results
- Transfusion medicine
- Point of care testing
- Frozen sections

Documents reviewed during tracers
- Order
- Instrument maintenance records, calibration verification, quality control
- Policies and procedures
- Employee competency
- Blood utilization review
- Process improvement
- Patient medical records

Staff interviews and Direct Observations
Emergency Department Tracer

- Point of Care Testing, Waived or Moderately Complex?
- Patient Identification, Specimen Collection
- Order, Report, Quality Control, Maintenance, Reagent Tracking/Storage, Procedures, Calibration, Calibration Verification, Correlation, Operator Competency Assessment, Education of Testing Staff

Joint Commission Laboratory Accreditation: A Systems Approach
Performance Improvement Monitors

- Turnaround Time
- Patient Flow
- Specimen Acceptability
- Critical Values
- Laboratory Report
- Coordination of Services
In the Laboratory

- Specimen Delivery
- Order, Report, Quality Control, Maintenance, Procedures Reagent Tracking/Storage, Calibration, Calibration Verification, Correlation, Operator Competency Assessment and Education
- Reporting the Result
- Follow patient to other locations where tests are done
Transfusions

- Observe transfusion, patient identification, unit identification
- Blood bank testing, quality control, storage conditions of blood products
- Transfusion, transfusion reaction, and laboratory policies and procedures
- Performance Improvement/Blood Utilization
Surgical Pathology

- Lung adenocarcinoma and malignant breast case
- Frozen section protocol, slides and block review, fixation guidelines, specimen processing
- Prognostic and molecular studies
- Final report in the medical record
- Pathologist and prosector credential review
Cytopathology

- GYN: CIN 2 or above, correlation with subsequent biopsy
- Review prior negative pap smears
- Labeling integrity, demographic and clinical information
- Final report in the medical record
- Workload assessments and CT credentials
- Pathologist credentials
- Supplies, storage and distribution, waste management
Non-GYN Cytology

- FNA and body fluid
- Specimen processing including FNA performance
- Cross-contamination considerations, cell block processing and utilization
- Cytology/tissue correlation
- Credential review
- Final report in the medical record
- Waste management
<table>
<thead>
<tr>
<th>Tracer Team Member(s):</th>
<th>Tracer Topic: Data Record(s):</th>
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<tbody>
<tr>
<td>Unit(s) or Department(s):</td>
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**Interview Subject:** Emergency Department Manager

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<tr>
<th>Questions</th>
<th>Correct</th>
<th>Incorrect</th>
<th>Follow-up</th>
<th>Comments</th>
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<tbody>
<tr>
<td>[1] Please provide the patient’s medical record for review.</td>
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<td>[2] How are physicians informed that a stat result has been transmitted to the emergency department?</td>
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<td>[3] Are those results visible to patients and other non-staff?</td>
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**Interview Subject:** Laboratory Supervisor

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<tr>
<td>[4] What is your typical turnaround time for emergency department lab results?</td>
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<td>[5] Have you considered the time from specimen collection to receipt in the laboratory, and the time from results to communication of the result to the physician?</td>
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<td>[6] May I see the procedures, proficiency test results, quality control, calibration, calibration verification, and maintenance and temperature records for the automated chemistry and hematology analyzers?</td>
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<td>[7] Please provide the quality control records for the pregnancy test that was performed on the patient.</td>
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**Interview Subject:** Human Resources Manager

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<td>[8] Please provide the competency and education records for the staff performing these laboratory tests.</td>
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Resources

Centers for Medicare & Medicaid Services (CMS)
CLIA: www.cms.hhs.gov/clia
COPs: www.cms.hhs.gov/CFCsAndCOPs/

Food and Drug Administration CLIA Database Search
(test category and complexity)
www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfCLIA/Search.cfm

The Joint Commission
Frequently Asked Questions (FAQs)
http://www.jointcommission.org/Standards/FAQs
CLSI-Joint Commission Crosswalk
http://www.clsi.org/Content/NavigationMenu/Resources/TJC_CrosswalkWEB.pdf

Useful reference documents
http://www.jointcommission.org/assets/1/18/Lab_Reference_Documents_2_11.pdf

Tracers Scenarios and Workbooks
Tracers, More Mock Tracers, and Even More Mock Tracers,
Joint Commission Resources www.jcrinc.com
Mock Tracers

- Establish a schedule
- Determine the scope
- Choose those playing the roles of surveyors
- Train those playing the roles of the surveyors
- Assign the mock tracer
- Conduct the mock tracer
- Debrief
- Organize and analyze the results
- Report the results
- Develop and implement improvement plans
Tips for Conducting Tracers in a Laboratory Setting

- Use closed records
- Focus on issues of particular concern for your laboratory
- Involve multiple staff
- For laboratories that are part of a hospital, consider the issues related to laboratory integration
- Evaluate the inclusion of laboratory personnel in key committees such as infection prevention and control
- Select a patient who received multiple laboratory tests
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Questions