



COLLEGE of AMERICAN
PATHOLOGISTS

Is Your Lab Competency Assessment a Competent Assessment?

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November 9, 2021

Objectives

- Understand the difference between training and competency
- Understand the requirements of competency assessments
- Understand who is qualified to assess competency
- Understand and learn to avoid Common Mistakes

Training and Competency Assessment

- **Training is a process to provide and develop the knowledge, skills, and behaviors to meet established requirements. Documentation of training is separate from competency assessment.**
- **Competency is the application of the knowledge, skills and behaviors for performance.**
- **The difference between training and competency is that training happens before someone begins testing and competency assessment confirms that they are doing the testing correctly.**



What's a Test System?

Process that includes pre-analytic, analytic, and post-analytic steps used to produce a test result or set of results.

- **May be manual, automated or single use**
 - Kit testing
 - Dipsticks
- **May encompass multiple identical devices**
 - Glucose meters
 - Single-use devices
- **May be Waived or Non-Waived**



Six Methods for Competency Assessment

1. Direct Observation of Patient Testing
2. Reporting Test Results
3. Review of Worksheets, QC, PT, Maintenance
4. Observation of Instrument Maintenance
5. Blind Testing or PT testing
6. Problem-Solving Skills



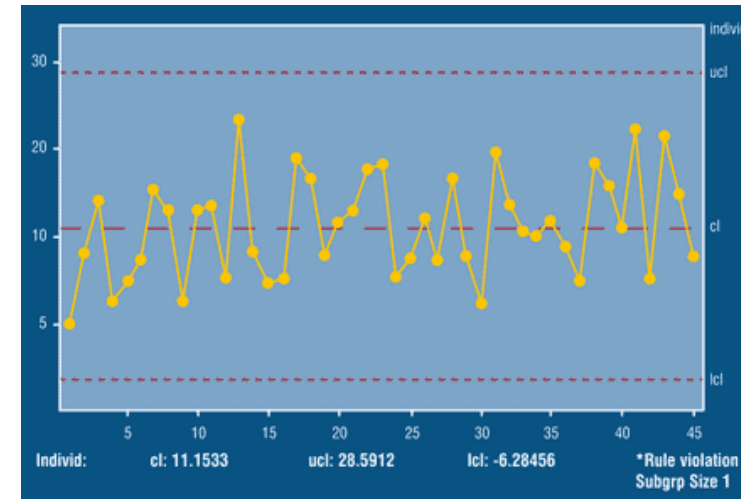
1. Direct observations of routine patient test performance



2. Monitoring the recording and reporting of test results



3. Review of intermediate test results or worksheets, quality control records, proficiency testing results, and preventive maintenance records

[illegible]

4. Direct observation of performance of instrument maintenance and function checks



5. Assessment of previously analyzed specimens, internal blind testing samples or external proficiency testing samples



6. Assessment of Problem-Solving Skills

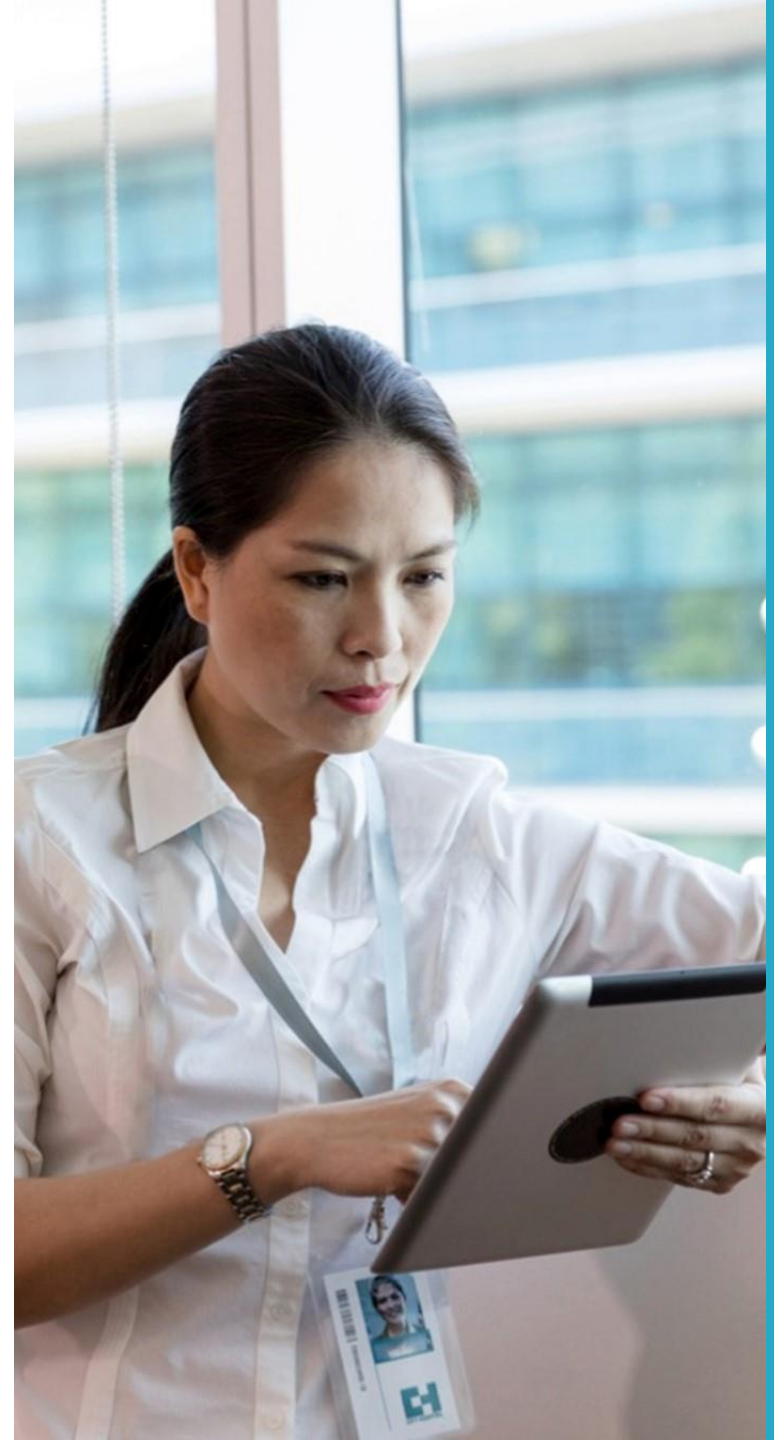


Do you have to assess all six elements?

- **Waived**
 - No, for waived test systems, it is not necessary to assess all six elements at each assessment event. The POCT program may select which elements to assess.
- **Non-Waived**
 - Yes, the six required elements of competency assessment include but are not limited to....

“I Don’t Have Time For This!!!!”

- Don’t make this difficult



“I’m Running Out of Time”

- Don’t wait until the due date



Don't Just Check The Boxes

Employee	Direct observation of routine test performance	Direct observation of test report	Review of intermediate test results or worksheets	Direct observation of performance of instrument maintenance and function checks	Direct observation of performance of instrument maintenance and function checks	Assessment of problem solving skills
Peter	✓	✓	✓	✓	✓	✓
Fatima	✓	✓	✓	✓	✓	✓
Eyad	✓	✓	✓	✓	✓	✓
Rose	✓	✓	✓	✓	✓	✓
Mary	✓	✓	✓	✓	✓	✓
Ahmed	✓	✓	✓	✓	✓	✓
Richard	✓	✓	✓	✓	✓	✓
Yasmin	✓	✓	✓	✓	✓	✓
Gene	✓	✓	✓	✓	✓	✓

When and How Often for Waived?

- After individual has performed assigned duties for one year
- At least annually thereafter
- When problems are identified with an individual's performance



When and How Often for Non-Waived?

- At least semiannually in first year of employment before 7 months & 12 months
- At least annually after first year
- When problems are identified with an individual's performance



Unsatisfactory performance?

- **Plan of corrective action to retrain and reassess the employee's competency.**
- **Employee should be re-educated and allowed to retake the portions of the assessment.**
- **Reassignment of duties**
- **Other actions deemed appropriate by the laboratory director**
- **Written procedure for competency assessment corrective action**

Who Can Assess Waived Competency?

- **Determined by the laboratory director**



Who Can Assess Non-Waived Competency?

- **Moderate Complexity: Technical Consultant or individual meeting those qualifications**
 - Minimum Bachelor's degree in chemical, physical, biological, clinical laboratory science, or medical technology
 - AND at least two years training/experience in nonwaived testing
 - BSN ok
 - ADN not qualified
 - BSRT ok



Who Can Assess Non-Waived Competency?

- **High Complexity: General Supervisor qualifications**
 - Must qualify as testing personnel and possess a minimum of an Associate degree in laboratory science/medical technology or equivalent
 - And at least two years training/experience in high complexity testing
 - **Additionally**
 - A Section director (technical supervisor) must be identified on CAP's Laboratory Personnel Evaluation Roster
 - Minimum Bachelor's degree in chemical, physical, biological, clinical laboratory science, or medical technology
 - AND at least four years training/experience in nonwaived testing

Performance Assessment of Supervisors



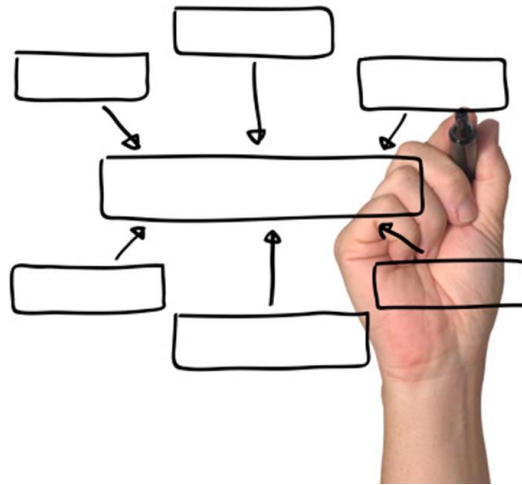
- Delegated duties
 - Laboratory Director is the only one who can delegate duties
 - No sub delegation allowed
 - Must be in writing
 - Can be delegated to individual or by job title
 - Frequency defined in lab policy

Common Mistakes in Competency Assessment



Competency Assessed at the Mothership

- *The competency of personnel performing **nonwaived** testing is assessed at the required frequency **at the laboratory (CAP/CLIA number) where testing is performed.***
 - All test performance variations must be included in the competency assessment specific to the site or laboratory.
 - Records of competency assessment may be maintained centrally within a healthcare system but must be available upon request.
 - Separate requirement for waived testing (GEN.55499).



All Six Elements for Non-Waived Testing

Technologist															
1. Direct Observation of Routine Test Performance															
2. Monitoring Recording and Reporting of Test Results															
3. Review of Intermediate Test Results or Worksheets															
4. Direct Observation of Performance of Instrument Maintenance and Function Checks															
5. Assessment of previously Tested															
6. Assessment of Problem Solving Skills															

Test Systems Not Defined

Point of Care is NOT a Test System

Supervisors who also perform testing



Those who assess competency and perform patient testing also need to have their competency assessed

If They Perform Testing... There **MUST** be a Competency Assessment

- Testing personnel (TP)
- Clinical consultant (CC)
- Technical consultant (TC)
- Technical supervisor (TS)
- General supervisor (GS)



Don't forget Agency & PRN staff

Every Test,

Every Method,

Every Employee,

Every Year



Documentation

**If you didn't document it.....
You didn't do it!**



CAP Competency Assessment Program

- First released in January 2007
- Developed to assist laboratories in documenting the assessment of competency of their laboratory staff, thus helping to satisfy LAP checklist requirement GEN.55500 as well as CLIA requirements.
- Program is designed for laboratory professionals (non-MDs).

A Variety of Courses, Tools, & Reports

- **Dozens of CE courses in 11 disciplines**
 - Competency Assessment courses
 - Pro Courses
- **Safety and Compliance Courses (separate fee)**
- **More than 130 instrument-specific observation checklists**
- **Three tools to customize your subscription**
 - CourseBuilder
 - ChecklistBuilder
 - Competency profiles
- **Reports**
- **Resources**

Easy Online Access

The screenshot displays the College of American Pathologists (CAP) website interface. At the top, a dark navigation bar contains the text "Access e-LAB Solutions Suite" (circled in green), "Join the CAP", "Shop", and a user profile "Keri". Below this, the CAP logo and name are on the left, and a search bar is on the right. A secondary navigation bar includes links for "Member Resources", "Advocacy", "Laboratory", "Anatomic Pathology Program", "Protocols and Guidelines", and "Publications". A large background image shows a female lab technician in a white coat and blue gloves working at a computer. A dropdown menu is open from the "Access e-LAB Solutions Suite" link, listing several options: "Organization Profile", "Result Form Data Entry", "Anatomic Pathology Program", "Evaluation Reports", "Checklists", and "Competency Assessment Program" (circled in green). To the right of the dropdown, a section titled "Join the CAP" lists several actions with right-pointing arrows: "View, enter, or submit PT Results", "Claim CME/CE credit for faxed AP results", "Access the Cancer Protocols", "Search our Learning courses", "Renew your membership or join the CAP", and "Access your Competency Assessment Program" (circled in red).

COLLEGE of AMERICAN PATHOLOGISTS

Access e-LAB Solutions Suite

Join the CAP Shop Keri

Member Resources Advocacy Laboratory Anatomic Pathology Program Protocols and Guidelines Publications

Organization Profile

Result Form Data Entry

Evaluation Reports

Checklists

Competency Assessment Program

Join the CAP

View, enter, or submit PT Results →

Claim CME/CE credit for faxed AP results →

Access the Cancer Protocols →

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Renew your membership or join the CAP →

Access your Competency Assessment Program →

Competency Assessment Progress Chart

Employee	Direct observation of routine test performance	Direct observation of test report	Review of intermediate test results or worksheets	Direct observation of performance of instrument maintenance and function checks	Direct observation of performance of instrument maintenance and function checks	Assessment of problem solving skills
Peter	✓	✓	✓	✓	✓	Pending
Fatima	✓	✓	✓	Pending	✓	Pending
Eyad	✓	✓	✓		Pending	Pending
Rose	✓	✓	✓	✓	Pending	Pending
Mary	✓	✓	✓	✓	✓	Pending
Ahmed	✓	✓	✓	✓	✓	Pending
Richard	✓	✓	✓	✓	✓	Pending
Yasmin	✓	✓	✓	Pending	✓	Pending
Gene	✓	✓	✓	✓	✓	✓
Rommel	✓	✓	✓	✓	✓	✓

Don't Just Check the Boxes

Technologist	John					Angela					Suzan				
ACT using xxx instrument	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
1. Direct Observation of Routine Test Performance	X					X					X				X
2. Monitoring Recording and Reporting of Test Results		X					X					X			X
3. Review of Intermediate Test Results or Worksheets			X					X				X			X
4. Direct Observation of Performance of Instrument Maintenance and Function Checks				X						X				X	X
5. Assessment of previously Tested					X					X				X	X
6. Assessment of Problem Solving Skills					X					X					X

Employee Name:		Edward C. Ella, MT(ASCP)				
Date of Hire:		5/1/2013	Evaluation Period:	1/1/20 - 12/31/20		
Evaluator(s):		Bertha Boss, Core Lab Spvr, Ken Byrd, Lab Manager				
1. Direct observations of routine patient test performance, including, as applicable, patient identification and preparation; and specimen collection, handling, processing and testing						1st Semi-Annual
2. Monitoring the recording and reporting of test results, including, as applicable, reporting critical results						2nd Semi-Annual
3. Review of intermediate test results or worksheets, quality control records, proficiency testing results, and preventive maintenance records						Annual
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						
6. Evaluation of problem-solving skills						
	Specify Instrument / Assay	UA Analyzer Non-Waived	UA Dipstick (Manual) Waived	hCG-serum Kit Non-waived	hCG - urine Kit Waived	ACT Analyzer Non-Waived
1	Patient ID/Prep	Access # 294249 4/7/20 ok kb	NA	Access # 293746 1/28/20 ok kb	NA	Access # 294821 8/4/20 ok kb
1	Specimen Collection	NA	NA	1/28/20 ok kb	NA	NA
1	Processing	Access # 294249 4/7/20 ok kb	NA	9/3/20 ok kb	NA	Access # 294821 8/4/20 ok kb
1	Testing	Access # 294249 4/7/20 ok kb	NA	9/3/20 ok kb	NA	Access # 294821 8/4/20 ok kb
2	Reporting Criticals	NA	NA	NA	NA	NA
2	Reporting Normals	Access # 313263 4/20 ok kb	NA	9/5/20 ok kb	4/20 ok kb	Access # 313927 4/20 ok kb
3	Review worksheets	NA	NA	9/5/20 ok kb	NA	Access # 313927 4/20 ok kb
3	Review QC	6/20 ok kb	NA	9/5/20 ok kb	NA	4/20 ok kb
3	Review PT raw data	UAA-B 2020	NA	9/5/20 ok kb	NA	ACT-C 2020
3	Review PM records	8/20 ok kb	NA	NA	NA	NA
4	Maintenance	8/23/11 daily ok kb	NA	NA	NA	Microscope Cleaning 6/20
5	Proficiency Testing, or	UAA-B 2020 100%	NA	S-B 2020 100%	NA	ACT-C 2020 100%
5	Blind Samples	NA	Prev Samp comparison 9/5/20 ok kb	NA	NA	NA
6	Problem Solving	UA Quiz 90%	NA	Spec Rej Log 10/8/20	NA	QC Failure 11/2/20 bb
	Comments					
I have had an opportunity to review and ask questions about policies and procedures related to equipment and testing above.						
	Edward C. Ella	12/18/2020				
	Employee Signature	Date				
Following successful completion of this competency assessment, the employee is deemed competent to perform patient testing unsupervised.						
	Ken Byrd, Mgr.	12/18/2020				
	Manager Signature	Date				

Who Can Assess Competency / Is the Assessor Qualified?

Waived testing – appointed by Laboratory Director

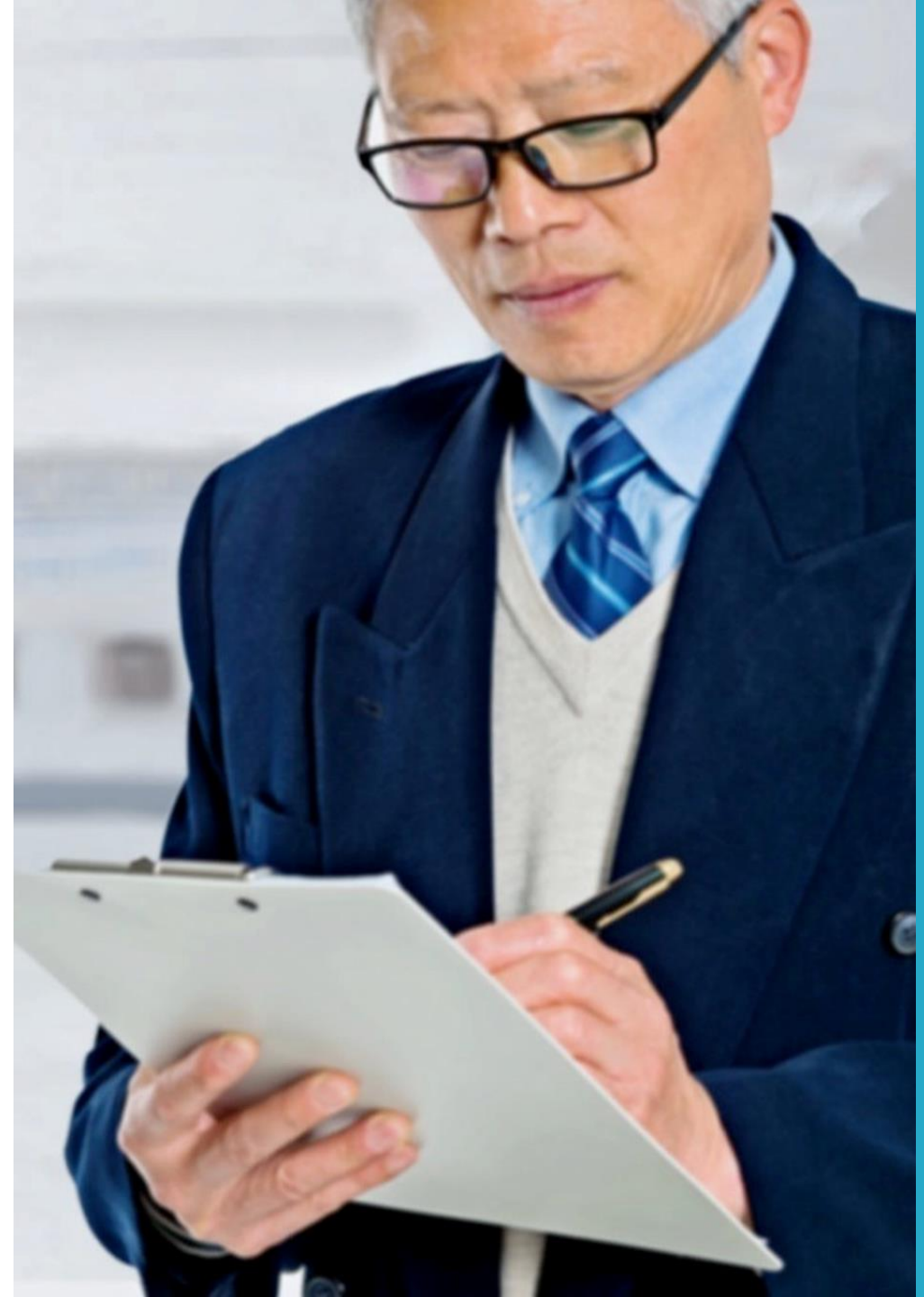
Moderate complexity testing – Technical Consultant

High complexity testing – General Supervisor or Technical Supervisor



“Can I fill out the form and have the Medical Director sign it?”

- The person who assesses competency **MUST** be qualified
- Having a qualified individual sign the form as the assessor is not acceptable



Value of Competency Assessment

- **Competent staff are your greatest asset**
- **You need to report the right test result at the right time, for the right specimen and from the right patient**
- **Competent staff bring the confidence, integrity and professionalism to the healthcare community**

Summary

The only thing worse than training your employees and having them leave is not training them and having them stay.

— Henry Ford, Founder, Ford Motor Company

Questions?

Questions?

- **Contact the CAP Accreditation Technical Specialists at:
1-800-323-4040 extension 6065**
- **Send email inquiries to accred@cap.org**
- **Visit our Accreditation Resources for CAP Accredited laboratories at CAP.ORG.**



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