Template-based Approach to Delegation of Duties in the Clinical Laboratory

Lisa M. Becker¹, R. Ross Reichard, M.D.²,
Quality Management Services, Department of Laboratory Medicine and Pathology
Mayo Clinic, Rochester, MN

Abstract

Competency assessment is one of the most common deficiencies received in high and moderate complexity clinical laboratories every year. Lab Directors and Managers must understand the roles and responsibilities for all staff, and what may be delegated to whom. Competency assessment is a responsibility that must be delegated in writing to ensure compliance with CLIA and regulatory bodies. The authors developed a standardized process for qualifying assessors and documenting delegated responsibilities with role-based templates, including a centralized electronic storage system to house and maintain all documentation. This template-based approach is scalable to any size laboratory or facility.

Background

The Mayo Clinic Department of Laboratory Medicine and Pathology (DLMP) in Rochester, Minnesota is home to 3,300 allied health staff employees in 63 laboratories performing non-waived patient testing through our intramural and extramural practice. DLMP had a 2017 billable volume of over 25 million tests; 11.2 million in the intramural practice and 14 million in the extramural practice. Standardizing processes has become essential to our quality management program.

CLIA Demographics

<table>
<thead>
<tr>
<th>CLIA Role</th>
<th># of Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lab Directors</td>
<td>5</td>
</tr>
<tr>
<td>Staff Pathologists</td>
<td>71</td>
</tr>
<tr>
<td>Technical Supervisors</td>
<td>97</td>
</tr>
<tr>
<td>Technical Consultants</td>
<td>10</td>
</tr>
<tr>
<td>Clinical Consultants</td>
<td>78</td>
</tr>
<tr>
<td>General Supervisors</td>
<td>54</td>
</tr>
<tr>
<td>Testing Personnel</td>
<td>2,255</td>
</tr>
</tbody>
</table>

Role Demographics

Personnel Roster

Clark: 200 First Street SW
Rochester, MN 55905
Phone: 507-538-4532
Email: Becker.lisa@mayo.edu

Outcomes

- This process allows for a standardized approach to delegation
- Scalable templates allow for easy use in any sized laboratory.
- Documentation is maintained electronically in a central location allowing for quick retrieval during inspections and as needed.
- By using this process, DLMP ensures all personnel with supervisor delegated responsibilities are qualified, delegated assigned responsibilities in writing, and competency assessed annually.

References

1. 42 CFR 493. Clinical Laboratory Improvement Act, 1988 Amendment
2. College of American Pathologists Accreditation and Laboratory Improvement—Accreditation Checklists.
3. New York State Clinical Laboratory Evaluation Program—Laboratory Standards.

Figure 1. Personnel in CLIA defined roles within DLMP

Figure 2. Personnel rooster template

Figure 3. A personnel roster template was created to accommodate the content and formatting of various accrediting and regulatory bodies. This allows for easy maintenance and documentation of personnel record requirements.

Figure 4. Templates were created allowing for person-specific delegation from the CLIA lab director down to an employee performing direct observation at the bench level.

Figure 5. To eliminate ambiguity, worksheets assist laboratory supervisors in determining if personnel are qualified to perform supervisory delegated tasks. It also includes information necessary for the employee’s file.

Figure 6. Annual competency assessment is required to be performed on individuals performing supervisory delegated responsibilities. A template was created allowing for customization of the assessment.

© 2017 Mayo Foundation for Medical Education and Research