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Title: Performance Monitoring	Control No. QM-003	Revision: 2
Approved by: Forensic Anthropology Director		Effective Date: 14 March 2022

1. Policy

The Forensic Anthropology Unit (FAU) shall annually monitor staff's performance to verify that all personnel involved in anthropological analyses have maintained sufficient knowledge and skills to perform the tasks they are assigned.

2. Scope

This Quality Manual document applies to all FAU personnel that will be performing anthropological casework analysis.

3. Definitions

Interlaboratory comparison: Interlaboratory comparison is an inspection of the same or similar items by two or more forensic service providers in accordance with predetermined conditions (AR3120:2020).

Intralaboratory comparison: Intralaboratory comparison is an inspection of the same or similar items within the same forensic service provider in accordance with predetermined conditions (AR3120:2020).

Performance monitoring activity: Performance monitoring activity is any activity used to evaluate staff's performance such as proficiency tests, interlaboratory comparisons, intralaboratory comparisons, and observation-based monitoring.

Proficiency testing: Proficiency testing is an evaluation of participant performance against pre-established criteria by means of interlaboratory comparisons (AR3120:2020).

4. Performance Monitoring

Each FAU analyst shall complete one proficiency test, intralaboratory comparison, or interlaboratory comparison annually covering at least one component/parameter of the FAU's laboratory scope of accreditation. Observation-based performance monitoring is also acceptable for monitoring staff performance if a proficiency test, intralaboratory comparison, or interlaboratory comparison is not available or deemed appropriate.

Prior to participating in a performance monitoring activity, the FAU shall ensure:

- results are not known to the FAU analyst(s).
- only approved methods are used.
- the criteria for successful completion have been established.
- a mechanism is in place to check the quality of intralaboratory comparisons, interlaboratory comparisons, and observation-based monitoring.

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Note: Performance monitoring activities are used to assess the individual’s anthropological analytical skills and/or assess their adherence to the FAU laboratory procedures. When the performance monitoring involves both areas of assessment, analytical skills and adherence to FAU laboratory procedures will be assessed separately.

Note: Proficiency tests are not required for non-routine procedures that are not outlined in the FAU’s Standard Operating Procedures.

- 4.1 **Performance Monitoring Plan:** The Quality Assurance (QA) Specialist is responsible for creating and maintaining a 4-year performance monitoring plan that covers the current cycle of accreditation. The 4-year plan should include the annual proficiency test(s), and any additional performance monitoring activities considered necessary to ensure inclusion of a representative sample of the components/parameters and equipment/technologies listed on the scope of accreditation.

Note: The performance monitoring plan is a rolling plan which means every year requires modification and the addition of another year of performance monitoring activities.

- 4.2 **Scheduling:** The QA Specialist is responsible for scheduling, all performance monitoring activities for FAU personnel. The QA Specialist shall give the FAU staff prior notice as to when the performance monitoring activities will be administered.

5. Proficiency Testing

The FAU shall ensure that at least one proficiency test is successfully completed per calendar year.

- 5.1 **Proficiency Test Provider:** When available and appropriate, the FAU shall use a proficiency test provider that is accredited to ISO/IEC 17043 and has applicable proficiency test(s) on its scope of accreditation (see AR302-2020 clause 7.1.5.2). If an accredited proficiency test provider is not available, then the FAU shall seek approval from ANAB to use an alternate proficiency test provider.

5.1.1 **Alternate Proficiency Test Provider Approval:** The FAU shall fill out the appropriate section(s) of the ANAB Form “FM 3041: Forensic Alternative Proficiency Testing Request Form” and submit the form with any supplemental documents (if needed) to QualityMatters@anab.org for review.

6. **Remedial Training:** If an FAU analyst does not successfully complete a performance monitoring activity he/she may be subject to a period of remedial training. The FAU Director will assess whether remedial training is necessary.

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Remedial training may include review of specific SOPS, analytical methods, and proper use of testing equipment/software. After the analyst has completed the required remedial training, he/she may be required to repeat the performance monitoring activity, if appropriate. Instructions for remedial training and date of completion will be documented and kept with the performance monitoring activity results.

If remedial training is not deemed necessary, then the Director will document the reason(s) and include it with the performance monitoring activity results.

If the FAU Director does not successfully complete a performance monitoring activity, then the Deputy Chief Medical Examiner will determine if remedial training is needed. The Deputy Chief's decision will be recorded and kept with the performance monitoring activity results.

7. **Documentation:** Performance monitoring activity records shall be retained for a minimum of one complete accreditation cycle. The QA Specialist is responsible for maintaining the records. The following information should be retained, when appropriate:

- Component/parameter monitored
- Type and design of monitoring activity
- Expected results.
- Successful completion criteria.
- Completion date of monitoring activity.
- Name of monitoring activity provider.
- Original or copies of data and notes that support the conclusions.
- Indication of successful completion.
- Feedback on participant performance.
- Documentation for repeating a monitoring activity.
- Remedial training documentation (whether remedial training is needed), or corrective actions taken.

Additionally, the QA Specialist shall maintain an up-to-date electronic database for all performance monitoring activity records.

8. **References:**

AR 3120: 2020, ANAB Accreditation Requirements Forensic Inspection.

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9. Revision History

REV.	DATE	SUMMARY OF CHANGES
0	19 January 2018	New document.
1	30 December 2020	This document has been significantly updated to cover all requirements from ANAB document AR3120 and to address the FAU changes to the procedures for failing a proficiency test. Nearly all clauses in this SOP have been updated (3.-5.).
2	14 March 2022	This document has been significantly updated to include other types of performance monitoring activities, not just proficiency testing. The title of the document has changed to Performance monitoring. General description of the major changes are listed below: Section 3: Added definitions for interlaboratory comparison, intralaboratory comparison, and performance monitoring activities. Section 4 – 4.2: Restructured to include different types of performance monitoring activities, not just proficiency testing. Previous sections 4.3 – 4.6.2 Section 5 – 5.1.1: This section now covers proficiency testing Section 6: Was updated to cover remedial training regarding all performance monitoring activities, not just proficiency testing. Section 7: Updated what records should be maintained for performance monitoring activities.