

## Blood Parasite Identification

### BP-01 Introduction

Thick and thin Giemsa-stained smears were obtained from a febrile patient with recent travel to Togo. A response of "No parasite(s) seen" or "Specimen screened for blood parasites, no organisms seen" was considered satisfactory.

BP-01	<b>Parasite Identification</b>	<b>Referees</b>	<b>(31)</b>	<b>Participants</b>	<b>(395)</b>
		<b>No.</b>	<b>%</b>	<b>No.</b>	<b>%</b>
	No parasite(s) seen	31	100.0	395	100.0
	<b>Parasite Screen</b>	<b>Referees</b>	<b>(17)</b>	<b>Participants</b>	<b>(784)</b>
		<b>No.</b>	<b>%</b>	<b>No.</b>	<b>%</b>
	Specimen screened for blood parasites, no organisms seen	16	94.1	765	97.6

### Discussion

#### Identification

Careful examination of multiple thin and thick blood films is imperative to exclude the diagnosis of blood parasites, particularly for patients living in endemic areas. For thin films: (1) all blood components (erythrocytes, white blood cells, and platelets) should be intact, (2) the background should be clean and free from debris, (3) erythrocytes should stain a pale grayish-pink, and neutrophilic leukocytes should have deep purple nuclei and well defined granules, and (4) erythrocytes at the terminal, feathered end of the film should be adjacent, but not overlap (one layer thick). For thick films: (1) the background should be clean, free from debris, with a pale mottled-gray color derived from lysed erythrocytes, (2) leukocytes should stain deep purple with pale purple cytoplasm, and (3) eosinophilic granules should stain a bright purple-red and neutrophilic granules should stain deep pink-purple.

Thick films are most useful for screening since they provide a larger quantity of blood for examination. Thin films, on the other hand, are most useful for speciation since they provide the best red blood cell (RBC) and parasite morphology. All requests for peripheral blood smear examination to detect *Plasmodium* spp. should be performed without delay. Both thick and thin films should first be fully screened at low power (ie, using the 10x objective) to detect microfilaria which may be present in low numbers anywhere on the slides and which may not be detected in the standard 300 field slide review at higher magnification.

Due to the severe implications of a misdiagnosis, laboratory personnel should then examine at least 300 oil immersion fields (using the 100X oil immersion objective) for each thick and thin blood film. In addition, one set of blood films is not sufficient to exclude the diagnosis of malaria and the laboratory should recommend collection of multiple blood specimens approximately at 6-8 hour intervals to definitively exclude the presence of blood parasitemia. This comment should accompany the final report "No blood parasites seen."

### References

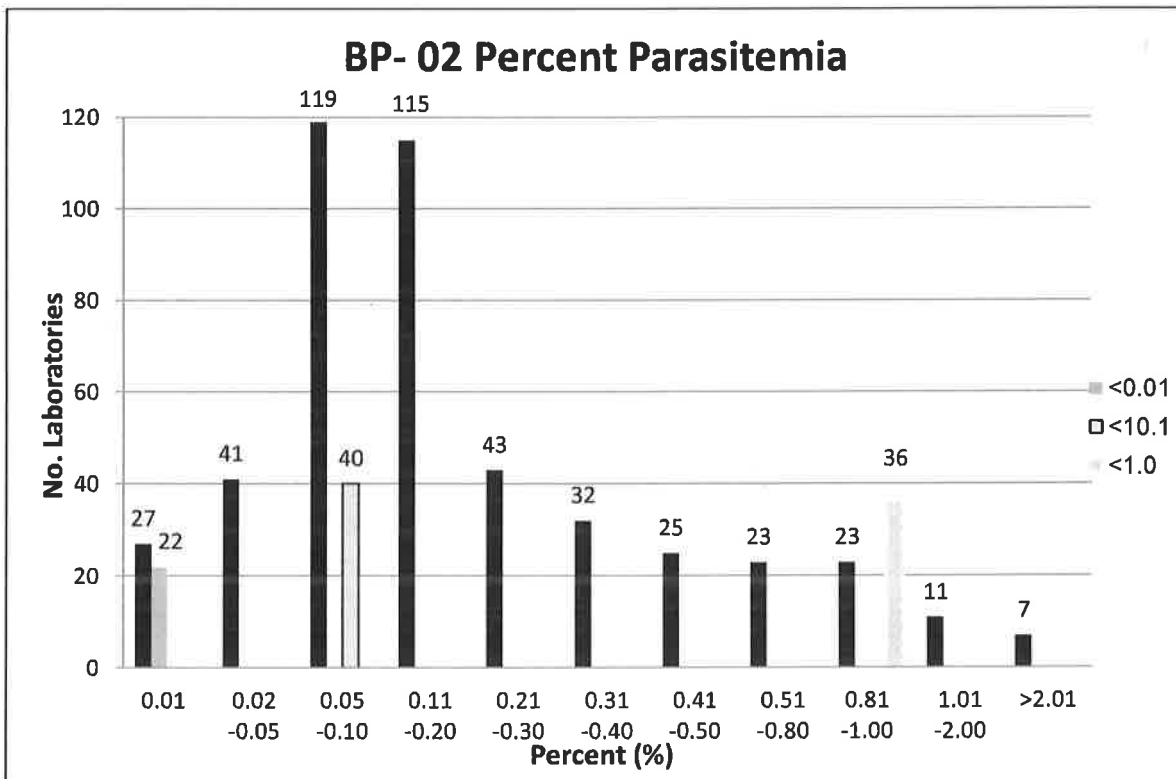
1. Garcia LS. 2007. *Diagnostic Medical Parasitology*, 5<sup>th</sup> ed., Washington, DC. ASM Press.
2. CDC: Malaria surveillance - United States 2008. *MMWR* 2010;59(SS07);1-15.
3. Greenwood BM, Bojang K, Whitty CJ, Targett GA. Malaria. *Lancet*. 2005;365:1487-1498.

**BP-02 Introduction**

Thick and thin Giemsa-stained smears were obtained from a missionary with fever and cough. The specimen contained *Plasmodium falciparum*. A response of “*Plasmodium falciparum*”, “*Plasmodium* sp., NOS would refer or request another specimen, or perform additional molecular testing” and “*Plasmodium* sp./*Babesia* sp. seen, referred for identification” were considered satisfactory.

BP-02	Parasite Identification		Referees (31)		Participants (429)	
		No.	%	No.	%	
	<i>Plasmodium falciparum</i>	28	90.3	373	87.0	
	<i>Plasmodium</i> sp., NOS would refer or request another specimen, or perform additional molecular testing	1	3.2	45	10.5	
BP-02	Parasite Screen		Referees (17)		Participants (759)	
		No.	%	No.	%	
	<i>Plasmodium</i> sp./ <i>Babesia</i> sp. seen, referred for identification	17	100.0	740	97.5	

**BP-02** If you have identified a *Plasmodium* sp. or *Babesia* sp.: Report percent of infected RBCs seen (number of infected RBCs per 100 red blood cells). (Ungraded)



Key morphologic features on thin blood film that suggests a diagnosis of *P. falciparum* may include:

- Normal size and shape of infected erythrocytes
- Smaller, more delicate ring-form trophozoites (approximately 1/5 the diameter of the erythrocyte) frequently with two chromatin dots (so-called “head phone” forms)
- Erythrocytes infected with multiple parasites
- Presence of ring-form trophozoites at the edge of the erythrocyte (appliqué forms)
- Usually an absence of mature trophozoites and schizonts in the peripheral blood film (may be seen if there is a delay in processing the blood specimen, or in patients with a very high parasitemia or underlying conditions)
- Presence of crescent-shaped gametocytes (not always seen)
- Absence of Schüffner’s stippling. Larger, comma-shaped dots (Maurer’s clefts) may be seen, especially when the stain buffer is at a pH of 7.2

Distinguishing *P. falciparum* from *Babesia* spp. can be challenging, given that both have a predominance of small ring forms, infect RBCs of all ages, and there may be multiple parasites per erythrocyte. The presence of Maurer’s clefts, malarial pigment, and crescent-shaped gametocytes eliminate *Babesia* infection from consideration. Furthermore, *Babesia* parasites are usually more pleomorphic with spindled, elliptical and ovoid forms. Extracellular forms are also more common in babesiosis. Finally, identification of the classic “Maltese cross” or tetrad form of *Babesia* sp. is diagnostic for babesiosis although it may rarely be observed. Molecular or antigen-detection methods, in addition to clinical/travel history may be useful adjuncts for distinguishing between these two similar appearing parasites.

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## Discussion

### Causal Agents:

There are four species of *Plasmodium* that cause human malaria: *P. falciparum*, *P. malariae*, *P. ovale*, and *P. vivax*. In addition, there are at least six species of simian *Plasmodium* that have been documented to cause zoonotic infections in humans, the most notable being *P. knowlesi*, infections of which appear to be increasing on the Malaysian peninsula.

*Plasmodium falciparum* occurs nearly worldwide in the tropics and subtropics, particularly in Africa and Southeast Asia. *Plasmodium malariae* also occurs nearly worldwide in the tropics and subtropics, but has a more patchy distribution than *P. falciparum*; most common in tropical Africa, Indian subcontinent, and Southeast Asia. *Plasmodium ovale* occurs primarily in tropical western Africa, but also New Guinea and Southeast Asia; *P. ovale* has not yet been documented from the New World. *Plasmodium vivax* occurs nearly worldwide in the tropics, subtropics, and some regions of northern and eastern Africa, the Middle East, the Indian subcontinent, Southeast Asia, and the Americas.

### Biology and Life Cycle:

*Plasmodium* spp. are transmitted by mosquitoes in the genus *Anopheles*. Infected female mosquitoes inject sporozoites when taking a blood meal. Sporozoites are carried via blood to the liver where they invade hepatocytes and form schizonts. The liver schizonts rupture, releasing large numbers of merozoites that then invade erythrocytes starting the erythrocytic cycle. Early ring forms develop into mature trophozoites and take one of two pathways: 1) they develop into schizonts (which rupture and continue the erythrocytic cycle) or 2) develop into gametocytes. Gametocytes are a dead-end stage in the human host but are required for sexual reproduction in the mosquito. In the mosquito host, microgametocytes (=males) exflagellate and fertilize macrogametocytes (=females), resulting in an ookinete. Ookinetes further develop into oocysts, which when mature rupture and release the infective sporozoites. In *P. falciparum*, late trophozoites and schizonts express a protein on the surface of the

erythrocytic membrane causing the infected erythrocyte to adhere to the endothelial lining of capillaries in internal organs. Thus, only ring forms and gametocytes are usually seen in well-prepared peripheral blood smears.

#### Diagnosis:

The ideal specimen for laboratory identification of malaria is fresh capillary blood from a finger or heel stick, with immediate preparation of thick and thin blood films. Since this is not feasible in most settings, however, venous blood collected in EDTA anticoagulant is also acceptable. It is important to transport the blood as quickly as possible to the laboratory for examination since prolonged exposure to EDTA may result in distortion of the malaria parasites and compromised morphology.

Malaria is primarily diagnosed by the identification of *Plasmodium* parasites on thin and thick blood films stained with Giemsa, Wright, or Wright-Giemsa stain. Molecular methods such as PCR may be employed when an identification cannot be made morphologically or there is morphologic evidence of a mixed infection. Rapid diagnostic tests are also commonly used to distinguish *P. falciparum* from other malaria infections. Serology is not used for routine diagnosis but may be helpful during transfusion investigations.

Typically, thick films are used for the recognition of *Plasmodium*, with a species-level identification performed on the thin film. Thin films should be read at 1000x magnification with oil for at least 100 microscopic fields. Immunologically naïve patients (eg, returning travelers born in non-endemic areas) may present with stronger clinical manifestations at a lower parasitemia. Severe malaria is currently defined as a parasitemia  $\geq 2\%$  in immunologically naïve patients and  $\geq 5\%$  in non-naïve patients.

#### Morphologic Identification:

Two important questions regarding morphologic identification of malaria are:

- 1) Is it malaria?
- 2) Is it *Plasmodium falciparum*?

Recognition of *Plasmodium* is based on observing stages of the parasite inside infected red blood cells. In a well-prepared specimen, the cytoplasm will stain blue and the chromatin red. Pigment (which is absent in *Babesia* infections) will present as golden-brown to black flecks. In some species, structures such as Schüffner's stippling or Maurer's clefts may be present when stained at an appropriate pH. Identification of *Plasmodium* to the species level is extremely important for patient management, as different species may be treated differently (for example, it is important to target the liver stages of *P. ovale* and *P. vivax* to prevent relapse of the disease).

The following table compares the morphologic features of the four stages of human *Plasmodium* spp.

Morphologic Criteria	<i>Plasmodium falciparum</i>	<i>Plasmodium malariae</i>	<i>Plasmodium ovale</i>	<i>Plasmodium vivax</i>
Size of infected RBC	Normal	Normal to smaller	Enlarged	Enlarged
Rings (early trophozoites)	Common; usually with thin, delicate cytoplasm and double chromatin dots; often multiple rings per infected RBC; appliqué forms common	Cytoplasm sturdy, usually with single, large chromatin dot; occasional 'birds-eye' forms	Cytoplasm sturdy, with 1-2 large chromatin dots	Large, sturdy cytoplasm, usually with large, single chromatin dot
Developing trophozoites	Rare, but may be seen if a delay in processing; form compact, pigment usually evident	Variable; may be compact to elongate (band-form) or pleomorphic and vacuolated (basket-form); pigment coarse	Compact to slightly amoeboid with dark pigment; elongation and fimbriation may be observed	Pleomorphic to grossly amoeboid; pigment diffuse and golden-brown to nearly black
Schizonts	Rare in peripheral blood; 8-24 small merozoites when mature; pigment dark, compact	6-12 merozoites when mature, often in a rosette pattern around central mass of pigment	6-14 merozoites when mature; pigment dark brown to black and discrete when mature; elongation and fimbriation may be present	12-24 merozoites when mature; may fill entire RBC; often noticeable enlarged
Gametocytes	Crescent-shaped; chromatin discrete (macrogametocyte) or diffuse (microgametocyte); Laveran's bib may be present	Small, round, compact; pigment coarse and diffuse	Round to oval, compact; if elongated and fimbriated may not fill entire infected RBC; pigment coarse, dark	Large and round to pleomorphic (may 'hug' surrounding RBCs); may fill most of infected RBC; pigment golden-brown to nearly black
Other Features	Maurer's clefts may be present; ring-form trophozoites usually predominate	Generally smaller; pigment coarse; Ziemann's stippling may be present; all stages seen	Schüffner's stippling may be present at appropriate pH; elongation and fimbriation may be observed; all stages seen	Schüffner's stippling may be present at appropriate pH; enlargement of infected RBCs usually pronounced; all stages seen

### Calculating Percent Parasitemia:

The percent parasitemia is very important to calculate for prognostic purposes and also to evaluate response to antimalarial therapy.

Parasitemia can be calculated on a thin blood film as follows:

1. Count the number of infected RBCs per 100 RBCs in different oil immersion fields.
2. Apply the formula:

$$\frac{\text{\# of infected RBCs}}{\text{total \# of RBCs counted}} \times 100 = \% \text{ parasitemia}$$

### Notes:

- 1) At least 500 RBC's should be counted, with counting 2000 or more RBCs providing the most accurate estimation of parasitemia
- 2) An infected RBC containing multiple parasites is calculated only once
- 3) Fields devoid of parasites should be included, if encountered
- 4) Gametocytes should not be included in the count. Justification is because: a) many antimalarial drugs are not gametocidal and the presence of gametocytes post-treatment is not indicative of the effectiveness of the treatment and b) gametocytes are a dead-end stage in the human host.

### Clinical Significance:

In 2014, ninety seven countries and territories had ongoing malaria transmission. Over half a million people die from malaria each year. Most malaria cases and deaths occur in children in sub-Saharan Africa. In 2011, a 40-year high of 1,925 cases of malaria were reported to the CDC in the United States, almost all in recent travelers and immigrants. Although the *Anopheles* mosquito is endemic in parts of North America, malaria transmission was largely eradicated in the 1940s through public health efforts.

Malaria infection can be classified as either uncomplicated or severe (complicated). In uncomplicated infections, patients present with nonspecific symptoms including fever, chills, sweats, headaches, nausea/vomiting, body aches and malaise. Symptoms classically (but infrequently observed) recur either in a two-day cycle (*P. falciparum*, *P. vivax* and *P. ovale*) or in three-day cycle (*P. malariae*). In severe infections, organ failure and/or metabolic abnormalities occur including severe anemia, acute respiratory distress syndrome, acute kidney failure, metabolic acidosis, cerebral infection, and coagulation abnormalities. Severe infection is considered a medical emergency requiring urgent treatment. *Plasmodium falciparum* can cause severe illness and death whereas *P. vivax*, *P. malariae* and *P. ovale* tend to cause less severe illness. The hypnozoite form of *P. vivax* and *P. ovale* can remain dormant in a patient's liver and cause relapsing infection.

### Treatment:

Treatment of malaria should ideally wait until a laboratory diagnosis has been made. Treating "presumptively" should occur only when no other option exists. Therapy is guided by the infecting species of *Plasmodium*, the clinical status of the patient and the drug susceptibility of the infecting parasites (dependent on geographic area and previous anti-malarial treatment). Because of the rapid progression of *P. falciparum* infections and a high risk of fatality, urgent treatment is essential.

If the infection is uncomplicated, oral anti-malarial medication can provide effective treatment. However, severe infections necessitate parenteral therapy. *Plasmodium falciparum* and *P. vivax* have different drug resistance patterns in different geographic regions. Although not readily available in North America, the WHO recommends artemisinin-based combination therapy as first-line treatment in uncomplicated *P. falciparum* malaria (oral administration), severe malarial infections (intravenous administration) and *P. vivax* infections in areas of known chloroquine resistance. Other, non-artemisinin based combination treatments include sulfadoxine-pyrimethamine

plus either chloroquine, amodiaquine, or atovaquone-proguanil. In recent years, resistance to artemisinins has been detected in Cambodia, Laos, Myanmar, Thailand and Vietnam. For confirmed *P. vivax* and *P. ovale* infections, radical cure can be achieved with treatment using primaquine and in order to prevent relapse due to the hypnozoite form. In high-transmission settings re-infection with *P. vivax* is likely. Mixed-species malarial infections are not common but may be underestimated by routine microscopy.

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## References

1. Centers for Disease Control and Prevention. Treatment of Malaria: Guideline for Clinicians. Available at: [http://www.cdc.gov/malaria/diagnosis\\_treatment/clinicians3.html](http://www.cdc.gov/malaria/diagnosis_treatment/clinicians3.html). Accessed March 2, 2018.
2. World Health Organization. Guidelines for the Treatment of Malaria. 3<sup>rd</sup> ed. Geneva, 2015.
3. World Health Organization. Malaria: Fact Sheet #94. Updated December 2014. Available at: <http://www.who.int/mediacentre/factsheets/fs094/en/> Accessed online March 2, 2018.
4. Garcia LS. *Diagnostic Medical Parasitology*. 5<sup>th</sup> ed. Washington, DC. ASM Press; 2007.
5. CDC: Malaria surveillance – United States 2005. *MMWR* 2007;56(SS06);23-38.
6. Greenwood BM, Bojang K, Whitty CJ, Targett GA. Malaria. *Lancet*.2005;365:1487-1498

## BP-03 Introduction

Thick and thin Giemsa-stained smears were obtained from an immigrant from Venezuela with fever and malaise. The specimen contained *Trypanosoma cruzi*. A response of "*Trypanosoma cruzi*", "Blood flagellate, NOS, referred for identification" and "Blood or tissue parasite, not *Plasmodium* sp. or *Babesia* sp., referred for identification" were considered satisfactory.

Parasite Identification	Referees (31)		Participants (408)	
	No.	%	No.	%
<i>Trypanosoma cruzi</i>	31	100.0	405	99.3

Parasite Screen	Referees (17)		Participants (776)	
	No.	%	No.	%
Blood flagellate, NOS, referred for identification	16	94.1	670	86.3
Blood or tissue parasite, not <i>Plasmodium</i> sp. or <i>Babesia</i> sp., referred for identification	-	-	87	11.2

## Discussion

### Causal Agent

American Trypanosomiasis (also called Chagas disease) is caused by *Trypanosoma cruzi*, a flagellated protozoan endemic to the American tropics. Although *T. cruzi* is enzootic in the United States, the feeding/defecation patterns of the Nearctic triatomine bugs, in combination with improved living conditions, do not allow for efficient vector-borne transmission.

### Biology and Life Cycle

*Trypanosoma cruzi* is transmitted by triatomine ('kissing') bugs as the bug releases infective trypomastigotes in the feces while taking a blood meal. Trypomastigotes enter the bite site when scratched into the wound, or other mucus membranes such as the conjunctiva. *Trypanosoma cruzi* has also been transmitted in fruit juices and other foods, when infected bugs contaminate fruits and other food sources. At the infection site, parasites differentiate into intracellular amastigotes. Amastigotes multiply by binary fission and differentiate into trypomastigotes and are released into the bloodstream. Trypomastigotes infect cells from a variety of tissues and transform into intracellular amastigotes in the new infection sites. Only amastigotes replicate; trypomastigotes do not divide (unlike with the African trypanosome, *T. brucei*). Triatomine bugs become infected when they take a blood meal from an infected human or animal with circulating trypomastigotes. Ingested trypomastigotes transform into epimastigotes in the midgut and multiply there. Epimastigotes migrate to the hindgut where they become infective metacyclic trypomastigotes.

### Diagnosis

*Trypanosoma cruzi* can be challenging to diagnose. During the acute stage of the disease, trypomastigotes may be observed in peripheral blood or CSF. Trypomastigotes are approximately 20 µm long, have a central nucleus, and a large subterminal kinetoplast at the pointed posterior end. The single flagellum is anteriorly directed. Dividing forms are not seen.

During the chronic stage of the disease, amastigotes may be found in tissue biopsy specimens, although serologic testing is recommended. Molecular diagnosis (PCR) is often employed in cases of transplant or transfusion transmission or when congenital cases are suspected. PCR can also be useful for early detection of *T. cruzi* in



transplant-transmitted recipients of organs from donors with chronic disease. The diagnosis of chronic Chagas in patients without immunosuppression should be performed with serology.

#### Clinical Significance

Between six and seven million people are thought to be infected with *T. cruzi* in the Americas. The clinical presentation of Chagas is biphasic. Acutely, over a period of two months, individuals can be asymptomatic or present with skin changes such as swelling of eyelids accompanied with fever, myalgia, and lymphadenopathy. Disease with this pathogen can be cured if treated early. Complications of chronic disease include heart (30%), gastrointestinal (10%), neurological (5%), and mixed disease. If untreated, cardiomyopathy and neurological deficits can lead to sudden death. Blood donor and organ screening is critical to prevent transfusion or organ related transmission. Other forms of transmission include consumption of food contaminated with triatomine excrement, congenital infection, and laboratory accidents usually with infected human specimens.

#### Treatment

Specific anti-Chagas drug therapy can be achieved with benznidazole and nifurtimox. Both agents are effective in the acute phase, but efficacy is proportionally lower as the disease progresses into the chronic phase. Treatment in the acute phase can be protracted (up to 2 months) and complicated by adverse drug reactions such as kidney and liver injury. Cardiac and gastrointestinal disease may require targeted therapy to correct the anatomical dysfunction caused by chronic disease. Immunosuppressive regimens associated with autoimmune or neoplastic disease can lead to reactivation of Chagas which also requires anti-parasitic therapy.

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#### References

1. Ash LP, Orihel TC. *Atlas of Human Parasitology*, 5th ed. Chicago, IL: ASCP Press; 2007.
2. Centers for Disease Control and Prevention, Division of Parasitic Diseases (DPD). *Laboratory Identification of Parasites of Public Concern*. <http://www.cdc.gov/dpdx>
3. Mandell GL, Bennett JE, Dolin R. *Mandell, Douglas, and Bennett's Principles and Practice of Infectious Diseases*, 7th ed. Philadelphia, PA: Churchill Livingstone Elsevier, 2009.

## BP-04 Introduction

Thick and thin Giemsa-stained smears were obtained from a college student with fever. A response of "No parasite(s) seen" or "Specimen screened for blood parasites, no organisms seen" was considered satisfactory.

BP-04	<b>Parasite Identification</b>	<b>Referees (31)</b>		<b>Participants (395)</b>	
		<b>No.</b>	<b>%</b>	<b>No.</b>	<b>%</b>
	No parasite(s) seen	31	100.0	391	99.0
BP-04	<b>Parasite Screen</b>	<b>Referees (17)</b>		<b>Participants (786)</b>	
		<b>No.</b>	<b>%</b>	<b>No.</b>	<b>%</b>
	Specimen screened for blood parasites, no organisms seen	17	100.0	771	98.1

## Discussion

See discussion for BP-01 on page 2.

**BP-05 Introduction**

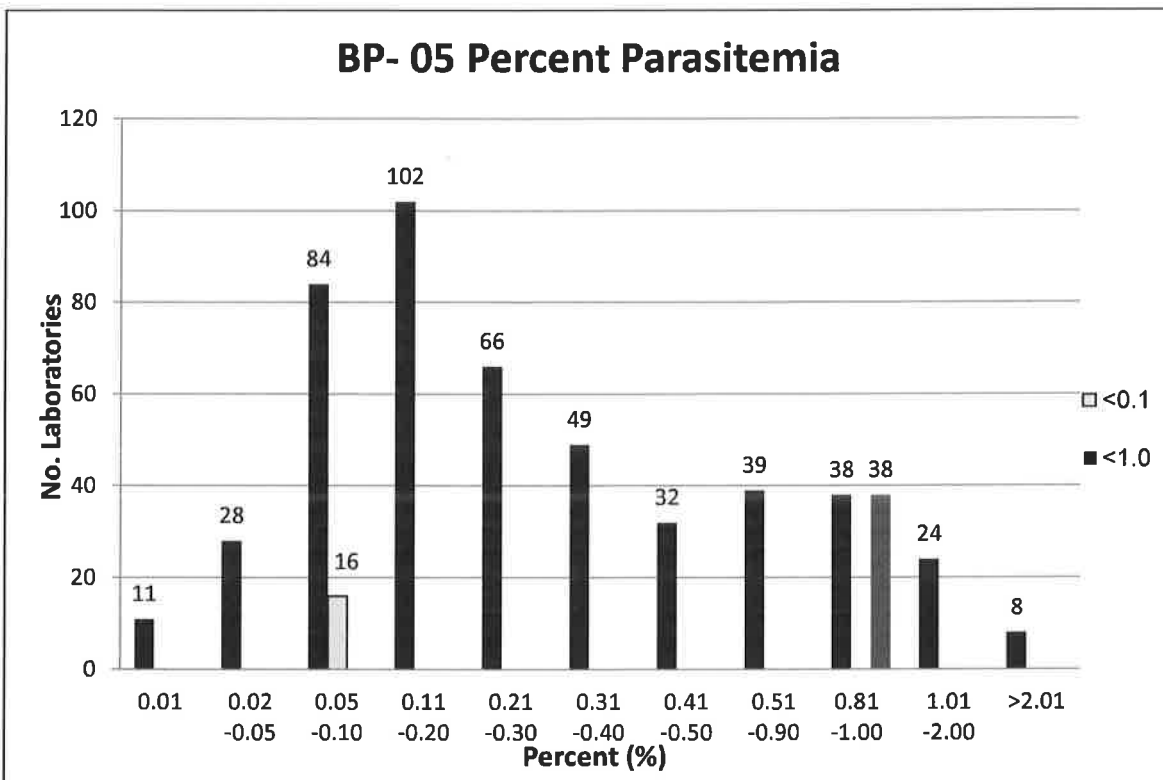
Thick and thin Giemsa-stained smears were obtained from a nature photographer returning from a 3 month expedition to the Brazilian Amazon. The specimen contained *Plasmodium vivax*. A response of "*Plasmodium vivax*", "*Plasmodium vivax/ovale*, NOS", "*Plasmodium* sp., not *P. falciparum*, referred for identification", "*Plasmodium* sp., NOS would refer or request another specimen, or perform additional molecular testing", and "*Plasmodium* sp./*Babesia* sp. seen, referred for identification" was considered satisfactory.

Parasite Identification	Referees (31)		Participants (433)	
	No.	%	No.	%
<i>Plasmodium vivax</i>	18	58.1	223	51.5
<i>Plasmodium vivax/ovale</i> , NOS	5	16.1	94	21.7
<i>Plasmodium</i> sp., not <i>P. falciparum</i> , referred for identification	7	22.6	88	20.3
<i>Plasmodium</i> sp., NOS would refer or request another specimen, or perform additional molecular testing	1	3.2	18	4.2

Parasite Screen	Referees (17)		Participants (755)	
	No.	%	No.	%
<i>Plasmodium</i> sp./ <i>Babesia</i> sp. seen, referred for identification	17	100.0	741	98.2

**BP-05** If you have identified a *Plasmodium* sp. or *Babesia* sp.: Report percent of infected RBCs seen (number of infected RBCs per 100 red blood cells). (Ungraded)



Key morphologic features on a thin blood film that would suggest the diagnosis of *P. vivax* are:

1. Enlarged size of the infected RBCs compared to the uninfected cells.
2. The ring-form trophozoites usually with sturdy cytoplasm and one or two (often more commonly one) chromatin dots.
3. Developing trophozoites ameboid.
4. Gametocytes round to pleomorphic (in the latter, may appear to 'hug' surrounding RBCs).
5. Schüffner's dots are typically present in all cells except early ring forms, when stained with Giemsa at a pH of 8-7.2.
6. Mature schizonts with 12-24 merozoites.
7. All stages are usually present.

In the case of an actual patient specimen, both thick and thin blood films should be prepared for evaluation of malaria. Examination of the thick blood film is considered the gold standard for diagnosis because a larger blood volume can be examined enabling the detection of low levels of parasitemia. Thin blood films are helpful with species identification. In this specimen the primary challenge was the identification of *P. vivax*. In this particular challenge, the travel history to the Brazilian Amazon was also important, as transmission of *P. ovale* is not known from the New World.

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## Discussion

See discussion for BP-02 on page 4.

## Actions Laboratories Should Take when a PT Result is Not Graded

The College uses Exception Reason Codes that signify the proficiency testing (PT) for an analyte has not been graded. The Exception Reason Code is located on the evaluation report in brackets to the right of the result. Your laboratory must identify all analytes with an exception reason code, review and document the acceptability of performance as outlined below and retain documentation of review for at least 2 years. The actions laboratories should take include but are not limited to:

<b>Code</b>	<b>Exception Reason Code Description</b>	<b>Action Required</b>
11	Unable to analyze.	Document why the specimens were not analyzed (eg, instrument not functioning or reagents not available). Perform and document alternative assessment (ie, split samples) for the period that commercial PT was not tested to the same level and extent that would have been tested.
20	No appropriate target/response; cannot be graded.	Applies to a response that is not formally evaluated when a peer group is not established due to fewer than 10 laboratories reporting. Document that the laboratory performed a self-evaluation using the data presented in the Participant Summary and compared its results to a similar method, or all method, or all participant statistics if provided. Perform and document the corrective action of any unacceptable results. If comparison is not available, perform and document alternative assessment (ie, split samples) for the period that commercial PT was not tested to the same level and extent that would have been tested.
21	Specimen problem.	Document that the laboratory has reviewed the proper statistics supplied in the Participant Summary. Perform and document alternative assessment for the period that commercial PT was not tested to the same level and extent that would have been tested. Credit is not awarded in these cases.
22	Result is outside the method/instrument reportable range.	Document the comparison of results to the proper statistics supplied in the Participant Summary. Verify detection limits. Perform and document the corrective action of any unacceptable results.
24	Incorrect response due to failure to provide a valid response code.	Document the laboratory's self-evaluation against the proper statistics and evaluation criteria supplied in the Participant Summary. Perform and document the corrective action of any unacceptable results. Document corrective action to prevent future failures.
25	Inappropriate use of antimicrobial.	Document the investigation of the results as if they were unacceptable and review the proper reference documents to gain knowledge of the reason your response is not appropriate.
26	Educational challenge.	Review participant summary report for comparative results and document performance accordingly. Evaluation criteria are not established for educational challenges. Laboratories should determine their own evaluation criteria approved by their laboratory director for self-evaluation. Response to the CAP is not required.
27,31	Lack of participant or referee consensus.	Document that the laboratory performed a self-evaluation and compared its results to the intended response when provided in the Participant Summary. If comparison is not available, perform and document alternative assessment (ie, split samples) for the period that commercial PT reached non-consensus to the same level and extent that would have been tested.
28	Response qualified with a greater than or less than sign; unable to quantitate.	Applies to a response that is not formally evaluated when a less than or greater than sign is reported. Document that the laboratory performed a self-evaluation and compared its results to the proper statistics supplied in the Participant Summary. Verify detection limits. Perform and document the corrective action of any unacceptable results.
30	Scientific Committee decision.	Applies to a response that is not penalized based on Scientific Committee Decision. Document that the laboratory has reviewed the proper statistics supplied in the Participant Summary.

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<b>Code</b>	<b>Exception Reason Code Description</b>	<b>Action Required</b>
33	Specimen determined to be unsatisfactory after contacting the CAP.	Document that the laboratory has contacted the CAP and no replacements specimens were available. Perform and document alternative assessment (ie, split samples) for the period that commercial PT was not tested to the same level and extent that would have been tested.
40	Results for this kit were not received.	Document why results were not received, corrective action to prevent recurrence and the laboratory's self-evaluation of the results by comparing results to the proper statistics and evaluation criteria supplied in the Participant Summary. If PT specimens were not analyzed, perform and document alternative assessment (ie, split samples) for the period that commercial PT was not tested to the same level and extent that would have been tested.
41	Results for this kit were received past the evaluation cut-off date.	
42	No credit assigned due to absence of response.	The Participant Summary indicates which tests are graded (see evaluation criteria) and which tests are Not Evaluated/Educational. Updates to grading will also be noted. If a test is educational, the laboratory is not penalized for leaving a result(s) blank. The code 42 that appears on the evaluation is not a penalty. However, if a test is graded (regulated and non-regulated analytes) and your laboratory performs that test, results cannot be left blank. The laboratory is required to submit results for all challenges within that test or use an appropriate exception code or indicate test not performed/not applicable/not indicated. Exceptions may be noted in the Kit Instructions and/or the Result Form. Document corrective actions to prevent future failures.
44	This drug is not included in our test menu. Use of this code counts as a correct response.	Verify that the drug is not tested on patient samples and document to ensure proper future reporting.
45	Antimicrobial agent is likely ineffective for this organism or site of infection	Document that the laboratory performed a self-evaluation of written protocols and practices for routine reporting of antimicrobial susceptibility reports to patient medical records. Document that routine reporting of this result to clinicians for patient care is compliant with specific recommendations of relevant Medical Staff and Committees (eg, infectious Diseases, Pharmacy and Therapeutics, Infection Control). Response to the CAP is not required.
77	Improper use of the exception code for this mailing.	Document the identification of the correct code to use for future mailings.
91	There was an insufficient number of contributing challenges to establish a composite grade.	Document the investigation of the result as if it were an unacceptable result. Perform and document the corrective action if required.
35, 43, 88, 92	Various codes.	No action required.



## Attestation of Participation of Self-Reported Training\*

We the participants below have completed the review of the CAP BP-A 2018 Participant  
Product Mailing, Year

Summary/Final Critique report and can self-report the recommended 0.5 hours towards  
Education Hours

fulfilling education and certification of maintenance requirements.

Participant	Date	Participant	Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Director (or Designee) Signature** - I have verified that the individuals listed above have successfully participated in this activity. \_\_\_\_\_ Date

**Retain this page for record-keeping and auditing purposes.**

1. Go to [www.cap.org](http://www.cap.org)
2. Click **LOG IN / LOG IN** and enter your User ID and Password.
  - If you are unsure whether you have an *individual* web account with the CAP, or do not remember your user ID and password, click on **PASSWORD HINT**.
  - If you do not have an *individual* web account, click **CREATE AN ACCOUNT**. Complete and submit the account request form. You will be notified within one business day that your individual account has been activated.
3. Click **Learning** from the top menu bar
4. Click **Learning Transcript** from the menu bar
5. Click **Add My Own Activity**
6. Follow prompts to enter 'Self-Reported Training Activities'.

For assistance, call our Customer Contact Center at 800-323-4040 or 847-832-7000 option 1.

*\*CAP Self-Reported Training activities do not offer CE credit, but can be used towards fulfilling requirements for certification of maintenance by agencies such as the American Society of Clinical Pathology (ASCP). Please verify with your certifying agency to determine your education requirements.*

