

Statement of Deficiencies	(X1) Provider/Supplier/CLIA Identification Number 03D2114951	(X3) Date Survey Completed 01/17/2019
Name of Provider or Supplier Southwest Kidney Institute, Plc	Street Address, City, State 2538 E University Dr, Ste 110, Phoenix, AZ	
For information on the provider's plan to correct this deficiency, please contact the provider or the state survey agency.		

(X4) ID Prefix Tag	Summary Statement of Deficiencies
D2016	SUCCESSFUL PARTICIPATION CFR(s): 493.803(a)(b)(c) (a) Each laboratory performing nonwaived testing must successfully participate in a proficiency testing program approved by CMS, if applicable, as described in subpart I of this part for each specialty, subspecialty, and analyte or test in which the laboratory is certified under CLIA. (b) Except as specified in paragraph (c) of this section, if a laboratory fails to participate successfully in proficiency testing for a given specialty, subspecialty, analyte or test, as defined in this section, or fails to take remedial action when an individual fails gynecologic cytology, CMS imposes sanctions, as specified in subpart R of this part. (c) If a laboratory fails to perform successfully in a CMS-approved proficiency testing program, for the initial unsuccessful performance, CMS may direct the laboratory to undertake training of its personnel or to obtain technical assistance, or both, rather than imposing alternative or principle sanctions except when one or more of the following conditions exists: (1) There is immediate jeopardy to patient health and safety. (2) The laboratory fails to provide CMS or a CMS agent with satisfactory evidence that it has taken steps to correct the problem identified by the unsuccessful proficiency testing performance. (3) The laboratory has a poor compliance history. This CONDITION is not met as evidenced by: Based on review of Proficiency Testing (PT) reports for 2017 and 2018 sent to the State Agency by the PT provider, the laboratory failed to successfully participate in a PT program for the regulated analyte, Platelets, under the specialty of Hematology. Findings include: 1. The laboratory's PT performance was unsatisfactory for the 3rd event of 2017 for the regulated analyte, Platelets, with a score of 0%. 2. The laboratory's PT performance was unsatisfactory for the 2nd event of 2018 for the regulated analyte, Platelets, with a score of 60%.* 3. The laboratory's PT performance was unsatisfactory for the 3rd event of 2018 for the regulated analyte, Platelets, with a score of 0%** 4. *Unsatisfactory participation in the 3rd event of 2017 and the 2nd

	event of 2018 (two out of three testing events) for the regulated analyte , Platelets, constitutes an initial unsuccessful PT performance. 5. **Unsatisfactory participation in the 2nd event of 2018 and 3rd event of 2018 (two consecutive testing events) for the regulated analyte, Platelets, constitutes an unsuccessful PT performance and a subsequent unsuccessful PT to the initial unsuccessful PT as outlined above in #4.
D2128	HEMATOLOGY CFR(s): 493.851(e) (1) For any unsatisfactory analyte or test performance or testing event for reasons other than a failure to participate, the laboratory must undertake appropriate training and employ the technical assistance necessary to correct problems associated with a proficiency testing failure. (2) For any unacceptable analyte or testing event score, remedial action must be taken and documented, and the documentation must be maintained by the laboratory for two years from the date of participation in the proficiency testing event. This STANDARD is not met as evidenced by: Based on information the Proficiency Testing (PT) provider furnishes to the State Agency, it could not be determined if the laboratory underwent training and technical assistance and if remedial action was taken to correct the PT failure for the regulated analyte, Platelets, for the 3rd event of 2017, 2nd event of 2018 and 3rd event of 2018. See D2016 for findings.
D2130	HEMATOLOGY CFR(s): 493.851(f) Failure to achieve satisfactory performance for the same analyte in two consecutive events or two out of three consecutive testing events is unsuccessful performance. This STANDARD is not met as evidenced by: Based on information furnished to the State Agency by the Proficiency Testing (PT) provider, the laboratory failed to achieve satisfactory performance for the regulated analyte, Platelets, for the 3rd event of 2017, 2nd event of 2018 and 3rd event of 2018 resulting in subsequent unsuccessful PT performance. See D2016 for findings.
D6000	MODERATE COMPLEXITY LABORATORY DIRECTOR CFR(s): 493.1403 The laboratory must have a director who meets the qualification requirements of 493.1405 of this subpart and provides overall management and direction in accordance with 493.1407 of this subpart. This CONDITION is not met as evidenced by: The Condition of Laboratory Director was found to be not met based on the failure to provide overall management and direction as evidenced by D6016 - ensuring that the proficiency testing samples are tested as required under Subpart H.
D6016	LABORATORY DIRECTOR RESPONSIBILITIES CFR(s): 493.1407(e)(4)(i)

The laboratory director is responsible for the overall operation and administration of the laboratory, including the employment of personnel who are competent to perform test procedures, and record and report test results promptly, accurate, and proficiently and for assuring compliance with the applicable regulations. (e) The laboratory director must-- (e)(4)(i) Ensure that the proficiency testing samples are tested as required under Subpart H of this part;

This STANDARD is not met as evidenced by:

Based on information furnished to the State Agency by the Proficiency Testing (PT) provider, it was determined that the laboratory director failed to ensure that PT samples are tested in a manner that results in successful participation in a proficiency testing program for the regulated analyte, Platelets. See D2016 and D6000 for findings.