

Statement of Deficiencies	(X1) Provider/Supplier/CLIA Identification Number 32D0685329	(X3) Date Survey Completed 11/10/2020
Name of Provider or Supplier Optumcare New Mexico Llc Sunport	Street Address, City, State 2901 Transport Street Se, Albuquerque, NM	
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
D0000	The following deficiency was cited during a complaint survey completed on 11/10 /2020 for the federal requirements of 42 CFR Part 493 for Laboratories. The complaint, intake number NM00042838, was substantiated.
D8103	<p>BASIC INSPECTION REQUIREMENTS CFR(s): 493.1773(b)(c)(d)</p> <p>(b) General Requirements. As part of the inspection process, CMS or a CMS agent may require the laboratory to do the following: (b)(1) Test samples, including proficiency testing samples, or perform procedures. (b)(2) Permit interviews of all personnel concerning the laboratory's compliance with the applicable requirements of this part. (b)(3) Permit laboratory personnel to be observed performing all phases of the total testing process preanalytic, analytic, and postanalytic). (b)(4) Permit CMS or a CMS agent access to all areas encompassed under the certificate including, but not limited to, the following: (b)(4)(i) Specimen procurement and processing areas. (b)(4)(ii) Storage facilities for specimens, reagents, supplies, records, and reports. (b)(4)(iii) Testing and reporting areas. (b)(5) Provide CMS or a CMS agent with copies or exact duplicates of all records and data it requires. (c) Accessible records and data. A laboratory must have all records and data accessible and retrievable within a reasonable time frame during the course of the inspection. (d) Requirement to provide information and data. A laboratory must provide, upon request, all information and data needed by CMS or a CMS agent to make a determination of the laboratory's compliance with the applicable requirements of this part.</p> <p>This STANDARD is not met as evidenced by: Based on interviews with laboratory staff, and review of email communications with the laboratory staff, the laboratory failed to provide the requested documentation needed to assess the complaint. Findings are: The complaint investigation was conducted with an unannounced onsite visit to the facility on 11/10/2020. A. Documents requested but not received: 1. Policy/Procedure stating how a patient</p>

complaint is handled. 2. Documentation of the specific patient complaint and any documented corrective action taken specifically those complaints received from Jan 31st thru March, 2020. 3. CMS Form 116, CMS Form 209, and Ownership Form for the Survey Packet requested on 11/10/20 at 3:27 pm via email to the Technical Consultant. B. Dates the records were requested. 1. During the survey on November 10, 2020. 2. Surveyor called and left message regarding missing documentation on Friday at November 13, 2020 at 3:36 pm. 3. Documentation requested via email on Friday, November 13, 2020 at 4:30 pm. 3. Laboratory Supervisor returned the call from Friday, November 13, 2020 on Monday, November 16, 2020 at 9:58 am and left a message he had sent the request to the corporate office. 4. Surveyor sent an email November 19, 2020 at 7:54 am requesting the documentation. 5. Email from the Laboratory Supervisor on November 19, 2020 at 10:05 am "I have forward your request and forms to our Lab Director and Compliance Team. I am still waiting for a response. I appreciate your patience with this effort." 6. Surveyor sent email on Wednesday December 2, 2020 at 11:05 am giving facility final notice to provide documentation to both the Laboratory Supervisor and Technical Consultant. No response received as of 02/02/2021.