DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

Form Approved
OMB No. 0938-0151

LABORATORY PERSONNEL REPORT (CLIA)

(For moderate and high complexity testing)

1. LABORATORY NAME		2. CLIA IDENTIFICATION NUMBER	
3. LABORATORY ADDRESS *(NUMBER AND STREET)*	CITY	STATE	ZIP CODE

4. Instructions:

a. List below all technical personnel, by name, who are employed by the laboratory. Check (✔) the appropriate column for each position held. For TC and TS follow instructions on reverse. For a moderate complexity laboratory, list the positions of D, CC, TC and TP. For a high complexity laboratory, list the positions of D, CC, TS, GS and TP. For cytology, list D, CC, TS, CT/GS and CT.

b. Indicate highest level of testing for which personnel are qualified: Use (M) for moderate and (H) for high complexity.

Positions:
D-Director
CC - Clinical Consultant
TC - Technical Consultant
TS - Technical Supervisor
GS - General Supervisor
TP- Testing Personnel
CT/GS - Cytology General Supervisor
CT - Cytotechnologist

5. TELEPHONE *(INCLUDE AREA CODE)*

FOR OFFICIAL USE ONLY
(NOT TO BE COMPLETED BY LABORATORY)
QUALIFIES ACCORDING TO SUBPART M

DATE OF SURVEY _____

EMPLOYEE NAMES			a. POSITION HELD								b.
LAST NAME	FIRST NAME	MI	D	CC	TC	TS	GS	TP	CT/GS	CT	M *OR* H

☐ Check (✔) here if additional space is needed to list all technical personnel. Copy this page and attach continuation sheet(s) to the original form.

READ THE FOLLOWING CAREFULLY BEFORE SIGNING

Statement or Entities Generally: Whoever, in any manner within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statements or entry, shall be fined not more than $10,000 or imprisoned not more than five years, or both. (U.S. Code, Title 18, Sec. 1001)

CERTIFICATION: I CERTIFY THAT ALL OF THE INDIVIDUALS LISTED ABOVE QUALIFY, TO FUNCTION IN THE POSITION INDICATED, ACCORDING TO THE PERSONNEL REGULATIONS OF 42 CFR PART 493 SUBPART M.

6. SIGNATURE OF LABORATORY DIRECTOR	7. DATE

INSTRUCTIONS FORM CMS-209

This form will be completed by the laboratory. It will be used by the surveyor to review the qualifications of technical personnel in the laboratory.

Instructions

1. Only one person may be listed as the laboratory director (D).

2. For a moderate complexity laboratory, list the positions of D, CC, TC and TP. For a high complexity laboratory, list the positions of D, CC, TS, GS and TP. For cytology, list D, CC, TS, CT/GS and CT.

3. Do not list individuals that only perform waived testing, no testing, and administrative functions.

4. Use a separate line for individuals performing more than one CLIA position.

5. For 4(a) TC/TS:
   When listing those individuals holding technical consultant/technical supervisor (TC/TS) positions, use the following grid to indicate the specialty(ies)/subspecialty(ies) in which they presently function. Record the number corresponding to the specialty/subspecialty in the appropriate column (TC/TS). When an individual functions as a TC/TS in more than one specialty/subspecialty, use a line for each specialty/subspecialty.

GRID:

1. Bacteriology
2. Mycobacteriology
3. Mycology
4. Parasitology
5. Virology
6. Diagnostic Immunology
7. Chemistry
8. Hematology
9. Immunohematology
10. Clinical Cytogenetics
11. Histocompatibility
12. Radiobioassay
13. Histopathology
14. Oral Pathology
15. Cytology
16. Dermatopathology
17. Ophthalmic Pathology

EXAMPLE

			a.								b.	DATE OF SURVEY _____
EMPLOYEE NAMES			POSITION HELD								M	
LAST NAME	FIRST NAME	MI	D	CC	TC	TS	GS	TP	CT/GS	CT	*OR* H	
Smith	John				1						M	
						4					H	
						6					H	

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Indicate the applicable regulatory citation under which the following individuals are qualified: Each laboratory director, technical consultant, technical supervisor, clinical consultant, general supervisor, cytology supervisor, and those testing personnel and cytotechnologist sampled during the survey process.