



**Center for Clinical Standards and Quality/Survey & Certification Group**

---

**Admin Info: 15-03-CLIA**

**DATE:** October 3, 2014

**TO:** State Survey Agency Directors

**FROM:** Director  
Survey and Certification Group

**SUBJECT:** New Process for Generating CASPER 0850D (“Current Certificates Expiring Before Survey Upload”) Report

**Memorandum Summary**

- **CASPER 850D Report:** As of October 1, 2014, the Centers for Medicare and Medicaid Services (CMS) CO will no longer generate and disseminate the CASPER 850D report to the ROs. Instead, each State Agency (SA) will be responsible for creating its CASPER 850D report and initiating the appropriate follow up.
- **Goal:** SAs will be able to identify and address expired CLIA certificates in a timely manner.
- **Impact on SAPR:** A performance indicator has been added to the SAPR in order to evaluate the SA’s response to expired CLIA certificates.

**Background**

We are experiencing an increase in the number of expired certificates in many States. To facilitate management and timely attention to these expired certificates, the CASPER 850D report is used to identify CLIA certificates (Certificates of Registration and Certificates of Compliance) which will expire in the next six (6) months or have expired as of the date of the report. This report helps the SA identify, prioritize and address CLIA certificates that are about to, or have, expired. For the past several years, the CMS Central CO has been generating the 850D report and forwarding it to the RO. The report, in turn is forwarded by the ROs to each SA, so that the SA can address the laboratories listed in the CASPER 850D report. All SAs have the ability to generate the 850D report. Instructions to do so are included with this memo.

## **Objectives and Goals**

The objective of transferring the responsibility to the SA for generating this report is to have the State directly accountable for addressing expired CLIA certificates and more knowledgeable and capable to manage its workload. The goal is to reduce significantly the amount of expired CLIA certificates in a timely manner.

## **Policy**

As of October, 1, 2014, the SA will be responsible for generating the CASPER 850D report. The 850D report should be generated once per quarter during the FFY (Federal fiscal year) in October, January, April, and July. In addition, the SA will be evaluated on the SAPR for FFY2014 by adding a performance indicator to Criterion #6: Survey Time Frames.

If you have any questions regarding this memo, please contact Sarah Bennett at 410-786-3354 or [Sarah.Bennett1@cms.hhs.gov](mailto:Sarah.Bennett1@cms.hhs.gov).

**Effective Date: October 1, 2014.** This policy should be communicated with all survey and certification staff, their managers and the State/Regional Office training coordinators within 30 days of this memorandum.

/s/

Thomas E. Hamilton

Attachment: Instructions for Printing CASPER 850D

cc: Survey and Certification Regional Office Management