

# LABORATORY QUICK START GUIDE TO CMS CLIA CERTIFICATION

OCTOBER 2024

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## STEP 1: Complete Form CMS-116

- Download this fillable form and type your responses in each section. Make sure you save it as a PDF on your computer.
- Include information based on the date of form completion.
- All applicable sections must be completed. Incomplete applications cannot be processed.
- To find out if the testing your laboratory is performing is categorized as waived, moderate, or high complexity—refer to the [FDA website](#). If you are unable to locate the test complexity of your laboratory testing, contact your [State Agency](#).
- For a complete list of instructions, refer to page 6 of [Form CMS-116](#).

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

Form Approved  
OMB No. 0938-0581

### CLINICAL LABORATORY IMPROVEMENT AMENDMENTS (CLIA) APPLICATION FOR CERTIFICATION

**ALL APPLICABLE SECTIONS OF THIS FORM MUST BE COMPLETED.**

**I. GENERAL INFORMATION**

Initial Application **Anticipated Start Date** \_\_\_\_\_

Survey

Change in Certificate Type

Change in Laboratory Director

Other Changes (Specify) \_\_\_\_\_

Effective Date \_\_\_\_\_

FACILITY NAME \_\_\_\_\_

EMAIL ADDRESS \_\_\_\_\_

RECEIVE NOTIFICATIONS INCLUDING ELECTRONIC CERTIFICATES VIA EMAIL

FACILITY ADDRESS — Physical Location of Laboratory (Building, Floor, Suite if applicable). Fee Coupon/Certificate will be mailed to this Address unless mailing or corporate address is specified

NUMBER, STREET (No P.O. Boxes) \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

SEND FEE COUPON TO THIS ADDRESS PICK ONE:

Physical

Mailing

Corporate

SEND CERTIFICATE TO THIS ADDRESS PICK ONE:

Physical

Mailing

Corporate

NAME OF DIRECTOR (Last, First, Middle Initial) \_\_\_\_\_

CREENTIALS \_\_\_\_\_

CLIA IDENTIFICATION NUMBER \_\_\_\_\_

(If an initial application leave blank, a number will be assigned)

FEDERAL TAX IDENTIFICATION NUMBER \_\_\_\_\_

TELEPHONE NO. (Include area code) \_\_\_\_\_ FAX NO. (Include area code) \_\_\_\_\_

MAILING/BILLING ADDRESS (If different from facility address) send Fee Coupon or certificate

NUMBER, STREET \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

CORPORATE ADDRESS (If different from facility) send Fee Coupon or certificate

NUMBER, STREET \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

Laboratory Director's Phone Number \_\_\_\_\_

**FOR OFFICE USE ONLY**

Date Received \_\_\_\_\_

**II. TYPE OF CERTIFICATE REQUESTED (Check only one) Please refer to the accompanying instructions for inspection and certificate testing requirements)**

Certificate of Waiver (Complete Sections I – VI and IX – X)

**NOTE: Laboratory directors performing non-waived testing (including PPM) must meet specific education, training and experience under subpart M of the CLIA regulations. Proof of these qualifications for the laboratory director must be submitted with this application.**

Certificate for Provider Performed Microscopy Procedures (PPM) (Complete Sections I-VII and IX-X)

Certificate of Compliance (Complete Sections I – X)

Certificate of Accreditation (Complete Sections I – X) and indicate which of the following organization(s) your laboratory is accredited by for CLIA purposes, or for which you have applied for accreditation for CLIA purposes.

The Joint Commission  ACHC  AABB  A2LA

CAP  COLA  ASHI

If you are applying for a Certificate of Accreditation, you must provide evidence of accreditation for your laboratory by an approved accreditation organization as listed above for CLIA purposes or evidence of application for such accreditation within 11 months after receipt of your Certificate of Registration.

**PRA Disclosure Statement**  
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0581. Expiration Date: 03/31/2027. The time required to complete this information collection is estimated to average one hour per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850. \*\*\*CMS Disclaimer\*\*\*Please do not send applications, claims, payments, medical records or any documents containing sensitive information to the PRA Reports Clearance Office. Please note that any correspondence not pertaining to the information collection burden approved under the associated OMB control number listed on this form will not be reviewed, forwarded, or retained. If you have questions or concerns regarding when to submit your documents, please contact <https://www.cms.gov/regulations-and-guidance/legislation/clia/downloads/cliaa.pdf> and <https://www.cms.gov/files/document/clia-operations-branch-contacts.pdf>.

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## Complete General Information in section I.

First-time applicants check "Initial Application."

For an initial applicant, the **CLIA Identification Number** is left **blank**. When the application is processed, the number is **assigned**.

**Facility Address** must reflect the physical location where the laboratory testing is performed. The address may include a floor, suite and/or room location, but cannot be a Post Office box or Mail Stop.

Include your laboratory's most up-to-date **email address** so you get important updates from CMS. **Tip:** Include a business email address that many laboratory staff access and use.

When you **check the box** to opt in, CMS will send electronic certificates and fee coupons directly to your email. You won't need to wait for paper versions to come in the mail.



## International

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*Disclaimer: This guide is a restatement of the law intended to assist people in understanding the basics about the CLIA program, and that the reader should consult the relevant statutes and regulations for the full scope of the CLIA requirements.*



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## Complete Type of Certificate Requested in section II.

In section II, **Type of Certificate Requested**, select your certificate based on the highest level of test complexity performed by the laboratory (Note: all CLIA certificates are valid for 2 years):

- **Waived tests** are simple examinations and procedures that have an insignificant risk of an erroneous result. See [CLIA Currently Waived Analytes](#).
- **Moderate complexity tests** require minimal scientific and technical knowledge.
- **High complexity tests** are more difficult to perform or interpret than moderate and waived tests. Specialized scientific knowledge and training are required.

More information about each certificate can be found below:

- **Certificate of Waiver (CoW):** Issued to a laboratory that only performs waived tests.
- **Certificate for Provider Performed Microscopy Procedures (PPM):** Issued to a laboratory in which a physician, midlevel practitioner, or dentist performs only specific microscopy procedures during a patient's visit. See [list of PPM procedures](#), which are a subset of moderate complexity tests.

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**I. GENERAL INFORMATION**

Initial Application      Anticipated Start Date \_\_\_\_\_

Survey

Change in Certificate Type

Change in Laboratory Director

Other Changes (Specify) \_\_\_\_\_

Effective Date \_\_\_\_\_

FACILITY NAME \_\_\_\_\_

EMAIL ADDRESS \_\_\_\_\_

RECEIVE NOTIFICATIONS INCLUDING ELECTRONIC CERTIFICATES VIA EMAIL

FACILITY ADDRESS — Physical Location of Laboratory (Building, Floor, Suite if applicable). Fee Coupon/Certificate will be mailed to this Address unless mailing or corporate address is specified

NUMBER, STREET (No P.O. Boxes) \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP CODE \_\_\_\_\_

SEND FEE COUPON TO THIS ADDRESS      SEND CERTIFICATE TO THIS ADDRESS

PICK ONE:  Physical      PICK ONE:  Physical

Mailing       Mailing

Corporate       Corporate

NAME OF DIRECTOR (Last, First, Middle Initial) \_\_\_\_\_

CREDENTIALS \_\_\_\_\_

**II. TYPE OF CERTIFICATE REQUESTED (Check only one) Please refer to the accompanying instructions for inspection and certificate testing requirements)**

Certificate of Waiver (Complete Sections I – VI and IX – X)

**NOTE: Laboratory directors performing non-waived testing (including PPM) must meet specific education, training and experience under subpart M of the CLIA regulations. Proof of these qualifications for the laboratory director must be submitted with this application.**

Certificate for Provider Performed Microscopy Procedures (PPM) (Complete Sections I-VII and IX-X)

Certificate of Compliance (Complete Sections I – X)

Certificate of Accreditation (Complete Sections I – X) and indicate which of the following organization(s) your laboratory is accredited by for CLIA purposes, or for which you have applied for accreditation for CLIA purposes.

The Joint Commission       ACHC       AABB       A2LA

CAP       COLA       ASHI

If you are applying for a Certificate of Accreditation, you must provide evidence of accreditation for your laboratory by an approved accreditation organization as listed above for CLIA purposes or evidence of application for such accreditation within 11 months after receipt of your Certificate of Registration.

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- **Certificate of Registration (CoR):** A CoR is temporary and permits the laboratory to conduct nonwaived (moderate and/or high complexity) tests until the laboratory is inspected and found to be in compliance with CLIA regulations. The CoR is valid for no more than 2 years. Only laboratories applying for a Certificate of Compliance or a Certificate of Accreditation will receive a CoR. Under a CoR, a laboratory is also permitted to conduct waived tests.

A laboratory performing non-waived tests can choose **Certificate of Compliance** or **Certificate of Accreditation** based on the agency you wish to survey your laboratory.

- **Certificate of Compliance (CoC):** Issued to a laboratory after an inspection by a CLIA state survey agency that finds the laboratory to be in compliance with all applicable CLIA requirements.
- **Certificate of Accreditation (CoA):** Issued to a laboratory on the basis of the laboratory's accreditation by an accreditation organization approved by CMS. A non-profit accreditation organization's requirements must equal or exceed CLIA program requirements to receive CMS approval.



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## Complete Type of Laboratory in section III.

In section III, select the **Type of Laboratory** that is most descriptive of the location where the laboratory testing is performed. If you have questions, contact your [State Agency](#).



## STEP 2: Send Completed Form CMS-116 to the appropriate State Agency

- Send via email (preferred), mail or fax.
  - Include state-specific paperwork.
- As your local CLIA contact, the SA can answer your questions on CLIA certificates and laboratory testing. They can also advise about any state requirements that apply to your laboratory.

### III. TYPE OF LABORATORY (Check the one most descriptive of facility type)

<input type="checkbox"/> 01 Ambulance	<input type="checkbox"/> 11 Health Main. Organization	<input type="checkbox"/> 22 Practitioner Other (Specify)
<input type="checkbox"/> 02 Ambulatory Surgery Center	<input type="checkbox"/> 12 Home Health Agency	
<input type="checkbox"/> 03 Ancillary Testing Site in Health Care Facility	<input type="checkbox"/> 13 Hospice	<input type="checkbox"/> 23 Prison
<input type="checkbox"/> 04 Assisted Living Facility	<input type="checkbox"/> 14 Hospital	<input type="checkbox"/> 24 Public Health Laboratories
<input type="checkbox"/> 05 Blood Bank	<input type="checkbox"/> 15 Independent	<input type="checkbox"/> 25 Rural Health Clinic
<input type="checkbox"/> 06 Community Clinic	<input type="checkbox"/> 16 Industrial	<input type="checkbox"/> 26 School/Student Health Service
<input type="checkbox"/> 07 Comp., Outpatient Rehab Facility	<input type="checkbox"/> 17 Insurance	<input type="checkbox"/> 27 Skilled Nursing Facility/ Nursing Facility
<input type="checkbox"/> 08 End Stage Renal Disease Dialysis Facility	<input type="checkbox"/> 18 Intermediate Care Facilities for Individuals with Intellectual Disabilities	<input type="checkbox"/> 28 Tissue Bank/Repositories
<input type="checkbox"/> 09 Federally Qualified Health Center	<input type="checkbox"/> 19 Mobile Laboratory	<input type="checkbox"/> 29 Other (Specify)
<input type="checkbox"/> 10 Health Fair	<input type="checkbox"/> 20 Pharmacy	
	<input type="checkbox"/> 21 Physician Office	

### IV. HOURS OF LABORATORY TESTING (List time: during which laboratory testing is performed in HH:MM format) If testing 24/7 Check Here

	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
FROM:							
TO:							

(For multiple sites, attach the additional information using the same format.)

### V. MULTIPLE SITES (must meet one of the regulatory exceptions to apply for this provision in 1-3 below)

Are you applying for a single site CLIA certificate to cover multiple testing locations?

No. If no, go to section VI.  Yes. If yes, complete the remainder of this section.

Indicate which of the following regulatory exceptions applies to your facility's operation.

- Is this a laboratory that is not at a fixed location, that is, a laboratory that moves from testing site to testing site, such as mobile unit providing laboratory testing, health screening fairs, or other temporary testing locations, and may be covered under the certificate of the designated primary site or home base, using its address?
  - Yes  No
  - If yes, a list of temporary testing sites must be included on or attached to the Form CMS-116. If a mobile unit is providing the laboratory testing, record the vehicle identification number(s) (VINs) and attach to the application.
- Is this a not-for-profit or Federal, State, or local government laboratory engaged in limited (not more than a combination of 15 moderate complexity or waived tests per certificate) public health testing and filing for a single certificate for multiple sites?
  - Yes  No
  - If yes, provide the number of sites under the certificate \_\_\_\_\_ and list name, address and test performed for each site below.
- Is this a hospital with several laboratories located at contiguous buildings on the same campus within the same physical location or street address and under common direction that is filing for a single certificate for these locations?
  - Yes  No
  - If yes, provide the number of sites under this certificate \_\_\_\_\_ and list name or department, location within hospital and specialty/subspecialty areas performed at each site below.

If additional space is needed, check here  and attach the additional information using the same format.

NAME AND ADDRESS/LOCATION	TESTS PERFORMED/SPECIALTY/SUBSPECIALTY
NAME OF LABORATORY OR HOSPITAL DEPARTMENT	
ADDRESS/LOCATION (Number, Street, Location if applicable)	
CITY, STATE, ZIP CODE	TELEPHONE NO. (Include area code)
NAME OF LABORATORY OR HOSPITAL DEPARTMENT	
ADDRESS/LOCATION (Number, Street, Location if applicable)	
CITY, STATE, ZIP CODE	TELEPHONE NO. (Include area code)

Form CMS-116 (03/24)

**CLIA Fee Coupon**

Payment Due Date: 08/07/2020 Total Payment Due: \$180.00

**Make check payable to: CLIA Laboratory Program**

CLIA ID Number: 22D0981035 Do not send name or address changes with your remittance

STATE UNIVERSITY HEALTH SYSTEM  
12345 MAIN STREET  
1ST FLOOR  
SPRINGFIELD, ST 67890

**Mail check to:**  
CLIA LABORATORY PROGRAM  
P.O. BOX 3056  
PORTLAND, OR 97208-3056

09810350000000000000200623000014000000000000000000000000



## STEP 3: Receive Fee Coupon (i.e., invoice);

See coupon image below

- Refer to [CLIA Fee Schedule](#).
- Receive 10-digit alphanumeric CLIA identification number, with the "D" in the third position identifying the provider/supplier as a laboratory certified under CLIA.
- Amount due will be included on Fee Coupon as the Total Payment Due (outlined below in yellow).



## STEP 4: Pay Applicable Fees

Pay CLIA certification fees by:

- **Using the U.S. Treasury online platform**—include the CLIA Identification Number and charge to a debit or credit card; this secure federal government platform applies payments nightly to outstanding fees—faster than mailing hard-copy checks, which take longer to process.
- **Writing a check**—include the provider number and allow 10 business days for outstanding fees to be applied.



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## STEP 5: Receive Certificate and Begin Testing

- View laboratory certificate data on [CLIA website](#).
- Laboratories with a CoR will usually have an initial survey performed during the first year of testing to confirm compliance with CLIA regulations.
- When you opt-in to get electric certificates via email, you'll get your CLIA certificate sooner.



## STEP 6: Maintain Certificate

- Maintain your valid and current CLIA Certificate per the following schedule:
- Update laboratory's demographics, as needed (e.g. address, specialties).
- Laboratories must notify the appropriate [State Agency](#) (and the accreditation organization as applicable) of any of the following changes. Laboratories with a CoW or a PPM must notify their State Agency immediately to perform testing outside of their current certificate.
- Laboratories with a CoW, CoA or PPM will receive a renewal invoice 6 months prior to the certificate expiration. Laboratories with a CoC will receive a certificate fee invoice following their compliance survey, and a compliance survey fee invoice 1 year before the certificate expiration.

### CERTIFICATE TYPE

### SURVEY SCHEDULE

Certificate of Waiver (CoW)	Not routinely surveyed
Certificate for Provider Performed Microscopy Procedures (PPM)	
Certificate of Compliance (CoC)	Every 2 years
Certificate of Accreditation (CoA)	

REQUIREMENTS/ CHANGE OF:	Certificate of Waiver	Certificate for Provider Performed Microscopy Procedures	Certificate of Registration	Certificate of Compliance	Certificate of Accreditation
Ownership	30 days	30 days	30 days	30 days	30 days
Name	30 days	30 days	30 days	30 days	30 days
Location	30 days	30 days	30 days	30 days	30 days
Director	30 days	30 days	30 days	30 days	30 days
Technical Sup	N/A	N/A	30 days	30 days	N/A
Testing	Immediately	Immediately	6 mos	6 mos	6 mos