



Center for Clinical Standards and Quality/Survey & Certification Group

Admin Info: 17-19-ESRD

DATE: June 29, 2017

TO: State Survey Agency Directors

FROM: Director
Survey and Certification Group

SUBJECT: End Stage Renal Disease (ESRD) Application and Survey and Certification Report Form CMS-3427 Reinstated Under Paperwork Reduction Act (PRA) with Updates

Memorandum Summary

- **Form CMS-3427**, “ESRD Application and Survey and Certification Report Form,” has been reinstated under the PRA, with updates.
- **Updates are located at fields 20, 21, and 22.** The Form CMS-3427 now collects information on current and new modalities/services, including Hemodialysis (HD) and Peritoneal Dialysis (PD) provided in long-term care (LTC) settings. Also, the form now collects the number of dialysis residents, by modality, receiving dialysis within a LTC facility.
- **The updated Form CMS-3427** will be available with the next ASPEN release, scheduled for late June 2017.

Background

Form CMS-3427 “ESRD Application and Survey and Certification Report” (OMB No. 0938-0360) is required for each new ESRD facility seeking initial certification and for each existing facility seeking recertification, relocation, expansion/change of service(s), or change of ownership.

Discussion

Form CMS-3427 has been reinstated under the PRA. Updates to the previous form are located at fields 20-22. These fields collect information on current and new modalities/services, including HD and PD provided in a LTC facility, and the number of dialysis residents by modality receiving dialysis within a LTC facility.

Staff should begin using this OMB approved form immediately, however the updated Form CMS-3427 will be available in ASPEN with the next release, scheduled for late June 2017. All forms should be held until ASPEN updates have been completed.

Note: Surveys held between this notification and the ASPEN 10.7 release will not affect the 70-day uploading SPSS metrics.

Please note that the data now collected in fields 20-22, pertaining to services provided by the ESRD to residents in a LTC facility, **is intended only as a *notification to the State Survey Agency (SA)* that these services are in place or are being added.** This notification assists the SA in their planning and preparation for survey.

Page three of the form does state that, **for new requests for dialysis services in LTC, the ESRD facility must complete field 22 of the form and submit it to the SA prior to survey.** While this does imply that a survey must be done before an ESRD facility may add LTC services, there is no requirement for additional or separate survey or certification activity with the addition of these services **as long as the ESRD is currently certified for Home Training and Support.**

Contact: Please email any questions to the ESRD mailbox at ESRDQuestions@cms.hhs.gov.

Effective Date: Immediately. This information should be communicated to all survey and certification staff, their managers and the State/Regional Office training coordinators within 30 days of this memorandum.

/s/

David R. Wright

Attachment: CMS 3427 ESRD Application and Survey Certification Form

cc: Survey and Certification Regional Office Management