MEMORANDUM

Texas Department of Aging and Disability Services

TO: Regulatory Services Division
Regional Directors and State Office Managers

FROM: Michelle Dionne-Vahalik, Manager
Policy Development and Support Unit
State Office MC E-370

SUBJECT: Regional Survey and Certification (RS&C) Letter No. 07-01

DATE: January 2, 2006

The attached Centers for Medicare and Medicaid Services (CMS), Regional Survey and Certification (RS&C) Letter was issued on December 14, 2006. This letter, which was distributed by e-mail on December 27th, is being provided to you for information purposes and should be shared with all professional staff.

- RS&C Letter No. 07-01 – Termination Notification Letter to the Provider/Supplier and State Medicaid Agencies; Guidance on creating or attaching notices for all non-LTC provider types in any ASPEN program (ACO/ACTS)

If you have any questions, please contact Bevo Morris, Policy Specialist, Policy, Rules, And Curriculum Development, at (512) 438-2363.

[signature on file]

Michelle Dionne-Vahalik

MDV:bbm

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Medicare and Medicaid Services
1301 Young Street, Room 833
Dallas, Texas 75202

Division of Survey and Certification, Region VI

December 14, 2006

REGIONAL SURVEY AND CERTIFICATION LETTER NO. 07-01

TO: All State Survey Agencies (Action)
All Title XIX Single State Agencies (Information)

SUBJECT: Termination Notification Letter to the Provider/Supplier and State Medicaid Agencies; Guidance on creating or attaching notices for all non-LTC provider types in any ASPEN program (ACO/ACTS)

The State Operations Manual section 3012 requires the State agency to notify CMS, the provider, and the State Medicaid agency of any termination recommendation by the 55th calendar day from the date of the survey. In order to eliminate the need to copy CMS on all notification letters for which termination is recommended, effective **October 1, 2006**, State agencies must enter this notification letter into the ASPEN system. Please see the procedures outlined below to assist you in accomplishing this requirement.

Procedure:

The State agency will input all non-long term care termination notification letters in their respective ASPEN state server. The State agency should generate all notices using the "Notices" feature in ACTS and ACO. If this is not possible the State Agency should attach an electronic copy of the letter under the "Attachments" button in ACTS and ACO. Both of these processes are explained below:

1. Notices function

   - ACO - Find the "Notices" button by right clicking on the facility name in the tree menu. Select "Print letters" and then "Generate New Letter" (Exhibit 1). Another option is to click the "Letters" button under citation manager within any certification kit or any survey (Exhibit 2).

     Note: For more specific instructions on how to create a letter in ACO go to page 93 of the ACO manual located at:
     https://www.qtso.com/download/ASPEN/ACO_8.6_PG.pdf

- ACTS - Find the “Notices” button at the bottom of each intake window (Exhibit 3). Another option is to generate letters by clicking on the Notices button within the 562 screen (Exhibit 4).

  Note: For more specific instructions on how to create a letter in ACTS go to page 140 of the ACTS manual located at:
  https://www.qtso.com/download/ASPEN/ACTS_8.6_PG.pdf

2. Attachment function

- ACO - The first option is to right click “attachments” when a facility is accessed from the tree menu (Exhibit 5). The second option is to click on the attachment button on the bottom of the “Certification and Surveys” tab within any certification kit (Exhibit 6). The third option is to click on the attachment button in “Citation Manager” within any survey (Exhibit 7).

  Note: For more specific instructions on how to attach a document in ACO got to page 283 of ACO manual located at:
  https://www.qtso.com/download/ASPEN/ACO_8.6_PG.pdf

- ACTS - The first and most convenient option is to access the attachment function within the 562 screen for any complaint (Exhibit 8). The second option is to click on the “Attach” button at the bottom of each intake (Exhibit 9).

  Note: For more specific instructions on how to attach a document in ACTS got to page 188 of the ACTS manual located at:
  https://www.qtso.com/download/ASPEN/ACTS_8.6_PG.pdf

If you have any questions please contact Jann Caldwell at 214-767-4401 or Sergio Mora at 214-767-5499.

Sincerely,

Molly Crawshaw
Associate Regional Administrator
Division of Survey and Certification

Enclosure: Exhibits 1-9

Exhibit 1

ASPEN Regional Office Current Selection: HOSPITALS

File View Reports Tracking System Help

AR Arkansas | Config | Survey | Facility | Recycle | E-Mail | Print | Export | Import | WWW | Index | Help | ARO | AST | ARO Selection: HOSPITALS

Find

ASPEN Desktop (Alpha View)
- My Selections (Mora, Sergio)
- My Action Items (Mora, Sergio)
- 0-9
- A
  - Advance Care Hospital - ARHO00100 - HOSP-LT - Hot Springs -
  - Advance Care Hospital Of Ft Smith - ARHO00108 - HOSP-ACU -
  - Advance Care Hospital Of Ft Smith - ARHO00138 - HOSP-LT - Fc
  - Allegiance Specialty Hospital Of Lr Llc - ARHO00155 - HOSP-ACU
  - Arkansas Children's Hospital - ARHO00060 - HOSP-CHD - Little R
  - Arkansas Heart Hospital - ARHO00061 - HOSP-ACU - Little Rock
  - Arkansas Methodist Medical Center - ARHO00037 - HOSP-ACU -
  - Arkansas State Hospital Psychiatric - ARHO00062 - HOSP-PSY - I
  - Arkansas Surgical Hospital - ARHO00118 - HOSP-ACU - No Little
  - Ashley County Medical Center - ARHO00003 - HOSP-ACU - Cros
  - Ashley County Medical Center - ARHO00115 - HOSP-CAH - Cros
- B
- C
- D
- E
- F
- G-H
- I-K
- L
- M
- N
- O
- P-Q
- R
- S
- T
- U-V
- W-Z
- Residents
- Regulations
- Internet
- Recycle

Alpha | Type | Cert/Survey | Enforcement | Directory

Create Certification
New Facility...
Facility Properties...
Facility History
Forms...
Print Letters... → View Letter History / Generate New Letter
Send To
Facility Login...
Quick Report
Set Scheduling Target Dates

spen
egional

Click for...

ASPEN Web Support
Casper Website

Message Text	Date	Responsible Party	Action Item Category

Login: GRM2 (AR.WORLD) | Active Surveyor: HI4IG - Mora, Sergio | NUM

Start | ASPEN Complaints/Incide... | Inbox - Microsoft Outlook | UpDated Letter for State... | RS&C Ltr ASPEN Notices.... | ASPEN Regional Office... | 10:51 AM

Exhibit 2

Certification & Surveys > | Tracking >> | Transmittal (CMS-1539) >> | Application Worksheet | Upload

KIT ACCEPTED

Certification Properties
TrackID: OPIC
Category: 02 RECERTIFICATION

Citation List
Health | LSC | Total Health Cites:

Tag	Type	Description

Survey List
Surveys | Total Surveys: 1

	Event ID	Event Type	Start Date	Exit Date	
1	OPIC11	HLTH - STD	07/23/2003	07/23/2003	REC

New | Update | Remove | Citations Mgr | Survey Forms | Update 670 | Create Revisit

Special Fields
Control Fields
Flag Indicator (SF08): 2 - Unflagged
Staff Override (SF12): ☑
Beds Override (SF11): ☑
FOSS Survey: ☐
Related Identifiers
Prior Intermediary # (SF01):
Cross Ref Provider # (SF03): 040106

Print | Notes... | Attach... | Done | Help

Citation Manager for Baptist Health Med Ctr Heber Spings 07/23/2003 - 07/23/2003

Citations

Regulations | Quick Find | (Include leading 0's)

- ACUTE CARE HOSPITAL - FED - A - 16.01
  - 0000 - Initial Comments -
  - 0001 - Non-Participating Hospitals, Emergencies (Condition) -
  - 0002 - Compliance With Federal Laws (Condition) - 482.11
  - 0003 - Compliance With Federal Laws - 482.11(a)
  - 0004 - Licensure Of Hospital - 482.11(b)
  - 0005 - Licensure Of Personnel - 482.11(c)
  - 0006 - Governing Body (Condition) - 482.12
  - 0007 - Medical Staff - 482.12(a)
  - **0008 - Medical Staff - Appointments - 482.12(a)(1)**
  - 0009 - Medical Staff - Appointments - 482.12(a)(2)

Team Roster

ID	Name	Title
05742	Martin, Sharon	Registered Nurse

Roster... | Activate...

Survey Information
Event ID: OPIC11
Medicare ID: 041312
Fac ID: ARH000137
Active Surveyor: Mora, Sergio (HI4IG)
Mode: Supervisor
Survey Dates: 07/23/2003-07/23/2003

Find... | Forms... | Letters... | Attach | Done | Help

Done. | Login: GRM2 (AR.WORLD) | Active Surveyor: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/Incide... | ASPEN Regional Office... | RS&C Ltr ASPEN Notices.... | 7:32 AM

Exhibit 3

Intake | Allegations | Contact/Refer | EMTALA | Deemed | Activities | Investigation | Actions/Close | Upload Intake

Intake Staff

State Agency
Regional Office
Central Office

Staff: ENGLE, KENT
Change Staff

Status: 2 - Pending RO Approval

Assignment

Intake Type: 01 Complaint
Intake Subtype: A Federal COPs, CFCs, RFPs, EMTALA, CLIA
Received by: 7 Fax
Location Received: CENTRAL INTAKE

State Complaint ID
CIS number
External Control #

Responsible Parties

1	ALLEN, DEBRA	SA	
2	CORTEZ, JUANITA	RO	
3	GUIOA, DODJIE	RO	

R.O. =
C.O. =

Add S.A. | Add R.O. | Add C.O. | Delete

Management Unit
Responsible Team: IMB STAFF

Complainants | Residents/Patients/Clients

Add Anonymous | Find/Add | Delete

	Last Name	First Name	Anonymous	Primary	Relationship	Work Phone	Home Phone	Link ID
Modify	WRIGHT	DIANE	☐	☑		(505)546-5885		06UMD8

Source

☐ 01 - Resident/Patient/Client	☐ 06 - Family	☐ 11 - CMS	☐ 16 - Corc
☐ 02 - Entity Self-Reported	☐ 07 - Friend	☐ 12 - Medicare Intermediary/Carrier	☐ 17 - Con
☐ 03 - Current Staff	☐ 08 - Ombudsman	☑ 13 - Other Health Provider	☐ 18 - Mec
☐ 04 - Former Staff	☐ 09 - State Survey Agency	☐ 14 - Quality Improvement Organization	☐ 19 - Othe
☐ 05 - Anonymous	☐ 10 - Other State Agency	☐ 15 - Physician	☐ 20 - Acc

Response Information

Priority: ☐ A - IJ ☐ H - No Action Necessary

Received

Start Date: 11/13/2006
Time: 08:47 a.m. p.m.

Print.. | Notes.. | Notices.. | Attach.. | 562 View/Upload.. | OK | Cancel | Help

Aspen Complaints/Incidents Tracking System

Intake A
Intake B
Investigation (Intake A, Intake B)
OSCAR 562

arty	Action Item Category	Status	Email Status	Comments
0	Forwarded to RO	Open	Not Applic...	
0	Forwarded to RO	Open	Pending	
0	Forwarded to RO	Open	Pending	
0	RO Approval Request...	Open	Pending	
0	Forwarded to RO	Closed	Not Applic...	

Ready | Login: GRM2 (TX.WORLD) | Current User: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/In... | ASPEN Regional Office C... | RS&C Ltr ASPEN Notices.... | 7:38 AM

Exhibit 4

Intake | Allegations | Contact/Re

Intake Staff
- State Agency
- Regional Office
- Central Office

Staff

Assignment
- Intake Type: 01 Com
- Intake Subtype: A Fede
- Received by
- Location Received

Responsible Parties
- 1 COR
- 2 MAR
- 3 MOR

R.O. =
C.O. =

Complainants | Residents/Pat

	Last Name
Modify	ANONYMOUS

Source
- 01 - Resident/Patient/Clie
- 02 - Entity Self-Reported
- 03 - Current Staff
- 04 - Former Staff
- 05 - Anonymous

Response Information
- Priority
- A - IJ

Print.. | *Notes..

Investigation Properties | Upload

Deficiencies

Tag	Type	Description	Is Cert	Is Comp	Completion (X5)	Corrected	Refused	Waived	Status
0339	S	INFECTION CONTROL OFFICER(S)	☐	☑		11/09/2006	☐	☐	7 - Corrected

Regional Office Tracking
- RO Receipt: 11/15/2006
- RO/MSA Action:
- Final Action Signoff: / /

Investigation/Revisit

Event ID	Start Date	Exit Date	Survey Type	Adm SignOff	2567 Issued		POC Approved	Fed Defic	State Defic	Revisit Status
TL6811	10/17/2006	10/17/2006	CMPIVT	11/06/2006	11/17/2006	POC Track	11/09/2006	☑	☐	1 - Required
TL6812	11/14/2006	11/14/2006	CMPIVT,REVST			POC Track		☑	☐	1 - Required

Survey Properties | Citation Manager | Survey Forms | Update 670 | Create Revisit | Export... | Email

Complaints/Incidents Assigned to Investigation TL6811

* Value in column may change intake status.

Intake ID	Received	Intake Type	Intake Status	*Priority	Upload Status	Due Date	*Completed	
AR00006019	09/08/2006	Complaint	6 - Forwarded to RO/C	Non-IJ Medium	No	10/23/2006	11/14/2006	Inv Notes

Link Another Complaint/Incident to Investigation | Modify | Remove from Investigation | Print | Notices

Allegations of All Complaints/Incidents Assigned to Investigation TL6811

		Intake ID	Category	Subcategory	Findings		Seriousness	Included
▶	Details	AR00006019	Dietary Services		2 Unsubstantiated	Find Txt		☑

Print | Attach... | Close | Help

Aspen Complaints/Incidents Tracking System

OSCAR 562

us	Email Status	Comments
en	Not Applic...	
en	Pending	
en	Pending	
en	Pending	
ed	Not Applic...	

Ready | Login: GRM2 (TX.WORLD) | Current User: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter... | ASPEN Complaints/I... | ASPEN Regional Office ... | RS&C Ltr ASPEN Notice... | Inbox - Microsoft Outlook | 3 Reminders | 7:44 AM

Exhibit 5

ASPEN Regional Office Current Selection: HOSPITALS

File View Reports Tracking System Help

AR Arkansas | Config | Survey | Facility | Recycle | E-Mail | Print | Export | Import | WWW | Index | Help | ARO | AST | ARO Selection: HOSPITALS

Find

ASPEN Desktop (Alpha View)
- My Selections (Mora, Sergio)
- My Action Items (Mora, Sergio)
- 0-9
- A
  - Advance Care Hospital - ARHO00100 - HOSP-LT - Hot Springs - 042004
    - *Cert: Recertification-04/25/2003 (T0AO) CURRENT KIT (042004)*
    - Cert: Recertification-12/13/2001 (H24L) PRIOR KIT (042004)
    - Cert: Initial Certification-03/19/1999 (GAU6) PRIOR KIT (042004)
    - Surveys
    - Administration
    - Ownership
    - Beds
    - Affiliations
    - Services
    - Residents
    - Attachments — View/Modify Attachments
  - Advance Care Ho OSP-ACU - Fort Smith - 0401
  - Advance Care Hospital Of Ft Smith - ARHO00138 - HOSP-LT - Fort Smith - 042008
  - Allegiance Specialty Hospital Of Lr Llc - ARHO00155 - HOSP-ACU - Little Rock
  - Arkansas Children's Hospital - ARHO00060 - HOSP-CHD - Little Rock - 043300
  - Arkansas Heart Hospital - ARHO00061 - HOSP-ACU - Little Rock - 040134
  - Arkansas Methodist Medical Center - ARHO00037 - HOSP-ACU - Paragould - 0400
  - Arkansas State Hospital Psychiatric - ARHO00062 - HOSP-PSY - Little Rock - 04401
  - Arkansas Surgical Hospital - ARHO00118 - HOSP-ACU - No Little Rock - 040147
  - Ashley County Medical Center - ARHO00003 - HOSP-ACU - Crossett - 040024
  - Ashley County Medical Center - ARHO00115 - HOSP-CAH - Crossett - 041323
- B
- C
- D
- E
- F
- G-H
- I-K
- L
- M
- N
- O
- P-Q
- R

Alpha | Type | Cert/Survey | Enforcement | Directory

Attachments for : Advance Care Hospital - ARHO00100 - HOSP-LT - Hot Springs - 042004

Event ID	Description	File Name

Done. | Login: GRM2 (AR.WORLD) | Active Surveyor: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/Incide... | ASPEN Regional Office... | RS&C Ltr ASPEN Notices.... | Inbox - Microsoft Outlook | 7:46 AM

Exhibit 6

Certification & Surveys > | Tracking >> | Transmittal (CMS-1539) >> | Application Worksheet | Upload

KIT ACCEPTED

Certification Properties

TrackID: TQAO

Release for CMS Review?

Facility Details

Category: 02 RECERTIFICATION

Status: 01 OPEN

Buildings/Wings

Citation List

Health | LSC

Total Health Cites: 0

Tag	Type	Description	Is Cert	Is Comp	Completion (X5)	Corrected	Refused	Waived	Stat

Survey List

Surveys

Total Surveys: 0

	Event ID	Event Type	Start Date	Exit Date	Survey Category	Status	Adm Signoff (X6)	2567 Issued	Track

New | Update | Remove | Citations Mgr | Survey Forms | Update 670 | Create Revisit

Special Fields

Control Fields

Flag Indicator (SF08): 2 - Unflagged

Staff Override (SF12) ☑

Beds Override (SF11) ☐

FOSS Survey ☐

Related Identifiers

Prior Intermediary # (SF01):

Cross Ref Provider # (SF03): 042003

Print | Notes... | Attach... | Done | Help

00 - HOSP-LT - Hot Springs - 042004

Done. | Login: GRM2 (AR.WORLD) | Active Surveyor: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/Incide... | ASPEN Regional Office... | RS&C Ltr ASPEN Notices.... | Inbox - Microsoft Outlook | 7:47 AM

Exhibit 7

ASPEN Regional Office Cur

File View Reports Tracking

AR Arkansas

ASPEN Desktop (Alpha
My Selections (Mora
My Action Items (Mo
0-9
A
Advance Care H
Cert: Recer
Cert: Recer
Cert: Initial
Surveys
Administrati
Ownership
Beds
Affiliations
Services
Residents
Attachments
Advance Care H
Advance Care H
Cert: Recer
Cert: Initial
Surveys
Administrati
Ownership
Beds
Affiliations
Services
Residents
Attachments
Allegiance Speci
Arkansas Childre
Arkansas Heart
Arkansas Metho
Arkansas State
Arkansas Surgic
Ashley County M
Ashley County M
B
C
D

Alpha Type

Certification & Surveys > | Tracking >> | Transmittal (CMS-1539) >> | Application Worksheet | Upload

KIT ACCEPTED

Certification Properties

TrackID UUC0

Release for CMS Review?

Facility Details

Category 02 RECERTIFICATION

Status 01 OPEN

Buildings/Wings

Citation List

Health | LSC

Tag	Type	D
0006	C	GOVERNING BODY
0067	S	STANDING OR PRN
0141	C	QAPI
0256	S	AFTER-HOURS AC
0303	S	THERAPEUTIC DIET

Survey List

Surveys | LSC 2786 (K9)

	Event ID	Event Type	Sta
1	UUC011	HLTH - STD	05/0
2	UUC012	HLTH - REV	06/2
3	UUC021	LSC - STD	05/0

New | Update

Citation Manager for Advance Care Hospital Of Ft Smith 05/03/2006 - 05/04/2006

Citations

ACUTE CARE HOSPITAL - 16.01
0006 - Governing Body (Condition) -
0067 - Standing Or Prn Orders For Restraint -
0141 - Qapi (Condition) -
0256 - After-Hours Access To Drugs -
0303 - Therapeutic Diet Manual -

Regulations Quick Find (Include leading 0's)

ACUTE CARE HOSPITAL - FED - A - 16.01
0000 - Initial Comments -
0001 - Non-Participating Hospitals, Emergencies (Condition) -
0002 - Compliance With Federal Laws (Condition) - 482.11
0003 - Compliance With Federal Laws - 482.11(a)
0004 - Licensure Of Hospital - 482.11(b)
0005 - Licensure Of Personnel - 482.11(c)
0006 - Governing Body (Condition) - 482.12
0007 - Medical Staff - 482.12(a)
0008 - Medical Staff - Appointments - 482.12(a)(1)
0009 - Medical Staff - Appointments - 482.12(a)(2)

Team Roster

ID	Name	Title
16159	Acre, Paul	Engineer
03485	Gordon, Clarence D.	Pharmacist
15153	Jones, Brett	Registered Nu
13075	Pfeifer, Susan	Nutrition/dietic

Roster... Activate...

Survey Information

Event ID: UUC011
Medicare ID: 042008
Fac ID: ARHO00138
Active Surveyor: Mora, Sergio (HI4IG)
Mode: Supervisor
Survey Dates: 05/03/2006-05/04/2006

Find... Forms... Letters... Attach

Done Help

Special Fields

Control Fields

Flag Indicator (SF08) 1 - Flagged

Staff Override (SF12)

Beds Override (SF11)

FOSS Survey

Related Identifiers

Prior Intermediary # (SF01)

Cross Ref Provider # (SF03) 040144

Print Notes... Attach... Done Help

Done. Login: GRM2 (AR.WORLD) Active Surveyor: HI4IG - Mora, Sergio NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/Incide... | ASPEN Regional Office... | RS&C Ltr ASPEN Notices.... | Inbox - Microsoft Outlook 7:53 AM

Exhibit 8

Intake | Allegations | Contact/Re

Intake Staff
- State Agency
- Regional Office
- Central Office

Staff

Assignment
- Intake Type: 01 Com
- Intake Subtype: A Fede
- Received by
- Location Received

Responsible Parties
- 1 COR
- 2 MAR
- 3 MOR
- R.O. =
- C.O. =

Complainants | Residents/Pat

	Last Name
Modify	ANONYMOUS

Source
- 01 - Resident/Patient/Clie
- 02 - Entity Self-Reported
- 03 - Current Staff
- 04 - Former Staff
- 05 - Anonymous

Response Information
- Priority
- A - IJ

Print.. | *Notes..

Investigation Properties | Upload

Deficiencies

Tag	Type	Description	Is Cert	Is Comp	Completion (X5)	Corrected	Refused	Waived	Status
0339	S	INFECTION CONTROL OFFICER(S)	☐	☑		11/09/2006	☐	☐	7 - Corrected

Regional Office Tracking

RO Receipt 11/15/2006 | RO/MSA Action | Final Action Signoff / /

Investigation/Revisit

Event ID	Start Date	Exit Date	Survey Type	Adm SignOff	2567 Issued		POC Approved	Fed Defic	State Defic	Revisit Status
TL6811	10/17/2006	10/17/2006	CMPIVT	11/06/2006	11/17/2006	POC Track	11/09/2006	☑	☐	1 - Required
TL6812	11/14/2006	11/14/2006	CMPIVT,REVST			POC Track		☑	☐	1 - Required

Survey Properties | Citation Manager | Survey Forms | Update 670 | Create Revisit | Export... | Email

Complaints/Incidents Assigned to Investigation TL6811

* Value in column may change intake status.

Intake ID	Received	Intake Type	Intake Status	*Priority	Upload Status	Due Date	*Completed	
AR00006019	09/08/2006	Complaint	6 - Forwarded to RO/C	Non-IJ Medium	No	10/23/2006	11/14/2006	Inv Notes

Link Another Complaint/Incident to Investigation | Modify | Remove from Investigation | Print | Notices

Allegations of All Complaints/Incidents Assigned to Investigation TL6811

		Intake ID	Category	Subcategory	Findings		Seriousness	Included
▶	Details	AR00006019	Dietary Services		2 Unsubstantiated	Find Txt		☑

Print | Attach... | Close | Help

Aspen Complaints/Incidents Tracking System

OSCAR 562

us	Email Status	Comments
en	Not Applic...	
en	Pending	
en	Pending	
en	Pending	
ed	Not Applic...	

Ready | Login: GRM2 (TX.WORLD) | Current User: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/In... | RS&C Ltr ASPEN Notices.... | Inbox - Microsoft Outlook | 7:54 AM

Exhibit 9

Intake | Allegations | Contact/Refer | EMTALA | Deemed | Activities | Investigation | Actions/Close | Upload Intake

Intake Staff
State Agency
Regional Office
Central Office
Staff: WRIGHT, BRENDA
Change Staff
Status: 6 - Forwarded to RO/CO

Assignment
Intake Type: 01 Complaint
Intake Subtype: A Federal COPs, CFCs, RFPs, EMTALA, CLIA
Received by
Location Received
State Complaint ID: 06-162
CIS number
External Control #

Responsible Parties

1	CORTEZ, JUANITA	RO
2	MARTIN, SHARON	SA
3	MORA, SERGIO	RO

R.O. =
C.O. =
Add S.A.
Add R.O.
Add C.O.
Delete
Management Unit
Responsible Team

Complainants | Residents/Patients/Clients

Add Anonymous | Find/Add | Delete

	Last Name	First Name	Anonymous	Primary	Relationship	Work Phone	Home Phone	Link ID
Modify	ANONYMOUS	ANONYMOUS	☑	☑				02UWZ

Source

☐ 01 - Resident/Patient/Client	☐ 06 - Family	☐ 11 - CMS	☐ 16 - Corc
☐ 02 - Entity Self-Reported	☐ 07 - Friend	☐ 12 - Medicare Intermediary/Carrier	☐ 17 - Con
☐ 03 - Current Staff	☐ 08 - Ombudsman	☐ 13 - Other Health Provider	☐ 18 - Mec
☐ 04 - Former Staff	☐ 09 - State Survey Agency	☐ 14 - Quality Improvement Organization	☐ 19 - Othe
☑ 05 - Anonymous	☐ 10 - Other State Agency	☐ 15 - Physician	☐ 20 - Acc

Response Information
Priority
☐ A - IJ
☐ H - No Action Necessary

Received
Start Date: 09/08/2006
Time: 09:13 a.m. p.m.

Print.. | *Notes.. | Notices.. | Attach.. | 562 View/Upload.. | OK | Cancel | Help

Aspen Complaints/Incidents Tracking System
Intake A
Intake B
Investigation (Intake A, Intake B)
OSCAR 562

Action Item Category	Status	Email Status	Comments
Forwarded to RO	Open	Not Applic...	
Forwarded to RO	Open	Pending	
Forwarded to RO	Open	Pending	
RO Approval Request...	Open	Pending	
Forwarded to RO	Closed	Not Applic...	

Ready | Login: GRM2 (TX.WORLD) | Current User: HI4IG - Mora, Sergio | NUM

Start | Exhibits to RS&C Letter.... | ASPEN Complaints/In... | RS&C Ltr ASPEN Notices.... | Inbox - Microsoft Outlook | 7:56 AM