



DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
Division of Survey and Certification, Region VI

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March 11, 2004

REGIONAL SURVEY AND CERTIFICATION LETTER NO. 04-02

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

SUBJECT: Regional Office Referral Guidelines for Non-Deemed Provider Complaints.

Background:

These guidelines delineate referral responsibilities between the Regional Office (RO) and the State Agency (SA) for non-deemed provider complaints. The purpose of this letter is to ensure consistent, timely and appropriate RO referral of these complaints to the SA for triage and processing.

Instructions:

When the RO receives a complaint against a non-deemed provider that warrants referral to the SA for triage and management, the RO will:

- Notify the SA's Complaint Intake Unit (CIU) by e-mail within 10 working days of the receipt of the complaint. The notification should specify that a complaint reported to the RO is being referred to the SA for triage and management. The RO will include the Aspen Complaint Tracking System (ACTS) intake number if the RO enters the complaint into ACTS.
- Send the SA's CIU all relevant documents/attachments related to the complaint intake referral via facsimile or email.

Following RO's action the SA CIU will provide relevant contact information to the RO and will:

- Triage and process the intake to survey staff in accordance with the SA's complaint intake management policies and procedures.



These guidelines will be effective the date of this letter and will apply to Region VI. If you have any questions please call Sergio Mora at 214-767-4432.

Sincerely,

Calvin Cline
Associate Regional Administrator
Division of Survey and Certification

