

# MEMORANDUM

## Texas Department of Aging and Disability Services

**TO:** Regulatory Services Division  
Regional Directors and State Office Managers

**FROM:** Dana McGrath, Unit Manager  
Policy, Rules and Curriculum Development Unit  
State Office MC E-370

**SUBJECT:** Regional Survey and Certification (RS&C) Letter No. 12-02

**DATE:** February 17, 2012

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The referenced Region VI Centers for Medicare and Medicaid Services (CMS) Regional Survey and Certification (RS&C) Letter was issued on November 17, 2011. This letter, which was distributed by e-mail on February 15, 2012, is being provided to you for information and action purposes and should be shared with all professional staff.

- RS&C Letter No. 12-02 – Procedural Instructions for Processing Certifications Concerning Legal Names and Doing Business as Names of Providers and Suppliers

If you have any questions, please contact a policy program specialist in the Policy, Rules and Curriculum Development Unit at (512) 438-3161.

Attachment



## **Division of Survey and Certification, Region VI**

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### **REGIONAL SURVEY AND CERTIFICATION LETTER NO. 12-02**

Date: November 17, 2011

To: All State Survey Agencies

**Subject: Procedural Instructions for Processing Certifications Concerning Legal Names and Doing Business as Names of Providers and Suppliers**

The Dallas Regional Office has identified discrepancies regarding the legal names and doing business as (dba) names of providers and suppliers in certification packets submitted. We are providing this letter to clarify the process for legal and dba names on certification documents such as initial and change of ownership (CHOW) certification packets.

The legal business name and doing business as name of providers and suppliers must be consistent with the name identified on the Form CMS-855, Section 2.B. CMS regulations and manuals require the Medicare Administrative Contractor (MAC) to verify the information provided on the enrollment application; therefore, the MAC is responsible for verification of the approved names as reflected on the Form CMS-855 and the MAC approval letter. The MAC approval letter may or may not include both the legal and dba names.

States must ensure that certification documents reflect the exact names that are reported on the approved CMS 855 in Section 2.B. The legal and dba names should match exactly on the Form CMS-1539, the Health Insurance Benefits Agreement (if applicable), and any required legal documents such as sales and lease agreements. If a facility legal or dba name has an “and” or an “&” in the name this should be consistent throughout. Compound words should be consistent; for example, “Westlake” is not the same as “West” and “Lake.”

When States find discrepancies between the MAC-approved names and the names on certification documents, they should contact the facility to obtain the corrected documents prior to sending the certification recommendation to CMS. It is the providers/suppliers responsibility to work with the MAC and State to ensure the matching of the names on all documents.

If any name discrepancies are found on letters or documents from Accrediting Organizations, please contact Sergio Mora at [Sergio.Mora@cms.hhs.gov](mailto:Sergio.Mora@cms.hhs.gov).

If the RO finds discrepancies in the names, State Agencies will be contacted to obtain the appropriate corrected forms. However, it is fully expected that State Agency staff review legal and dba names prior to forwarding to CMS.

If you have any questions, please contact Jann Caldwell at 214-767-4401 or email to [jann.caldwell@cms.hhs.gov](mailto:jann.caldwell@cms.hhs.gov)

Sincerely,

Ginger Odle,  
Acting Associate Regional Administrator  
Dallas Division of Survey and Certification