



DIVISION OF QUALITY ASSURANCE  
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**Date:** November 26, 2008 DQA 08-027

**To:** Facilities for the Developmentally Disabled (FDD) FDD 13  
 Home Health Agencies HHA 10  
 Hospices HSPC 12  
 Hospitals HOSP 14  
 Nurse Aide Training Programs NATP 09  
 Nursing Homes NH 19  
 Rural Health Clinics RHC 06  
 Certified Mental Health and AODA CMHA 06  
 Ambulatory Surgery Centers ASC 07  
 End Stage Renal Dialysis Units ESRD 06  
 Outpatient Rehabilitation Facilities OPT/SP 05

**From:** **Alfred C. Johnson, Director**  
**Bureau of Technology, Licensing and Education**

**Via:** **Otis Woods, Administrator**  
**Division of Quality Assurance**

**Change in the Statement of Deficiency (SOD) numbering system**

The Division of Quality Assurance has recently implemented a new database, the ASPEN Licensing Information System (ALIS), to replace its former Facility Licensing and Certification Information System (FL/CIS.) ALIS is a companion database that complements the federal survey ASPEN database. ALIS captures necessary state information that the federal ASPEN database does not include. Since ALIS complements the ASPEN system, it works in conjunction with ASPEN and eliminates the need for duplicate data entry, a vast improvement from the former FLCIS.

Along with this change, DQA finds it necessary to change the Statement of Deficiency numbering system. Currently SODs have a six-digit number stamped toward the center of the bottom of the first page. Beginning January 1, 2009, this six-digit number will no longer exist. SODs will be identified by a unique “event ID.” This event ID number will be found at the bottom of each page of an SOD. This 6-character event ID is characterized by a mixture of letters and numbers. For example: 45NG11, C77111, or 3FHX11. The numbers are randomly assigned by the ASPEN database and correspond to a specific survey “event” captured and stored in ASPEN.

The new event ID will identify the specific SOD and is to be used when corresponding with DQA regarding the SOD. This event ID must also be used when requesting informal dispute resolution (IDR) or when appealing a citation or forfeiture.

If you have any questions, please contact your regional office.