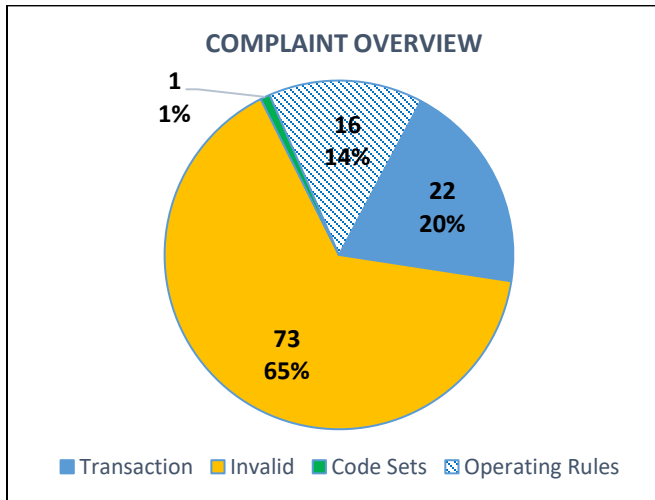


# ASETT - Complaints Received 3<sup>rd</sup> Quarter 2021

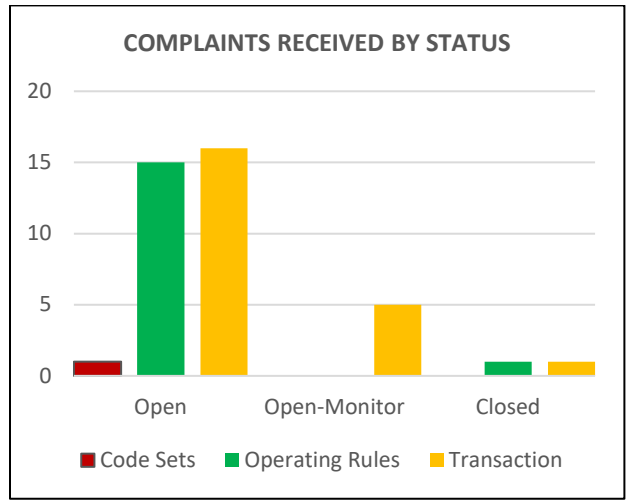
## Received Complaint Overview July 1 - September 30, 2021

Complaints received in the last reporting period, categorized by Complaint Type.



## Received Complaints, by Complaint Type July 1 - September 30, 2021

Valid complaints received in the last reporting period categorized by Current Status.



ASETT also receives complaints that are not enforceable by HIPAA Administrative Simplification Rules. These are labeled "Invalid" within our system. Typical examples of invalid complaints could be Quality of Care or Quality of Service complaints. The National Standards Group (NSG) either works with the complainant to locate the appropriate agency to file their complaint or mediates between them and the filed against entity to achieve a resolution.

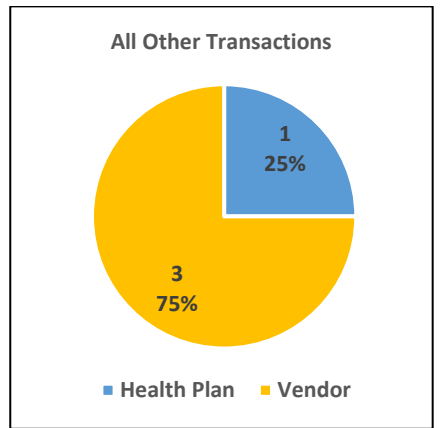
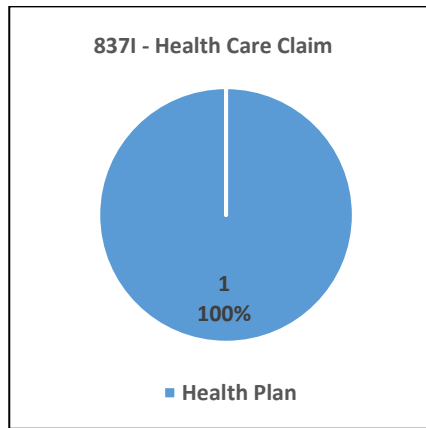
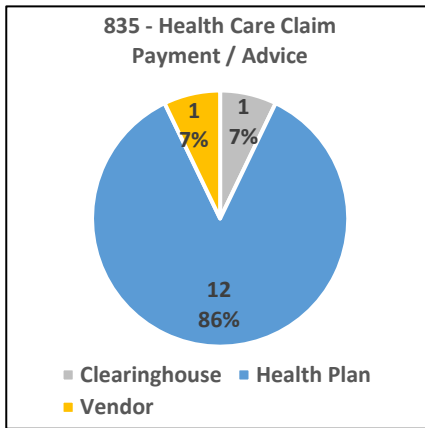
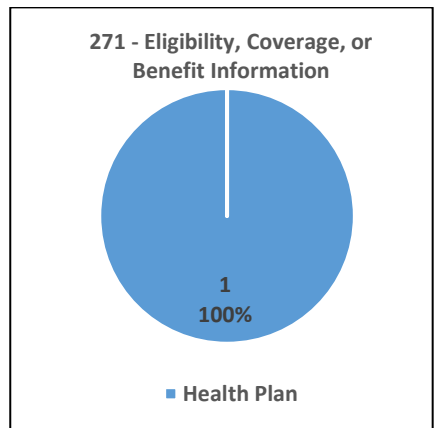
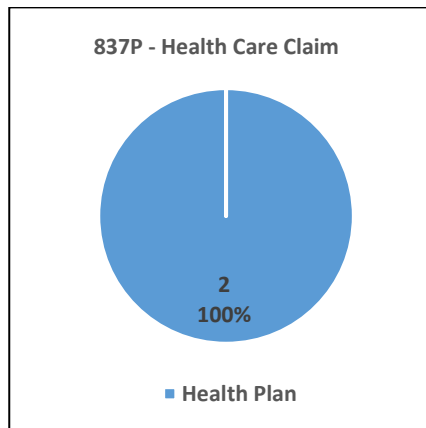
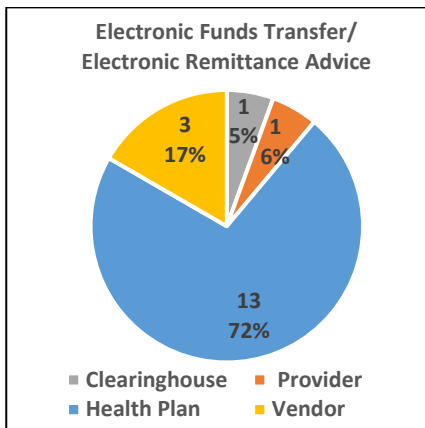
**Open** – As of the reporting period, this number represents complaints in active status, e.g., outstanding issues remain, additional information is being sought from either the complainant, the filed against entity, or both.

**Closed** – All issues have been sufficiently resolved.

**Corrective Action Plan (CAP)** – The written corrective action plan indicates alternative solutions with specific steps to correct the issue(s) and timeframes. Each affected entity under a corrective action plan is in the process of supporting or refuting allegations and/or implementing system updates.

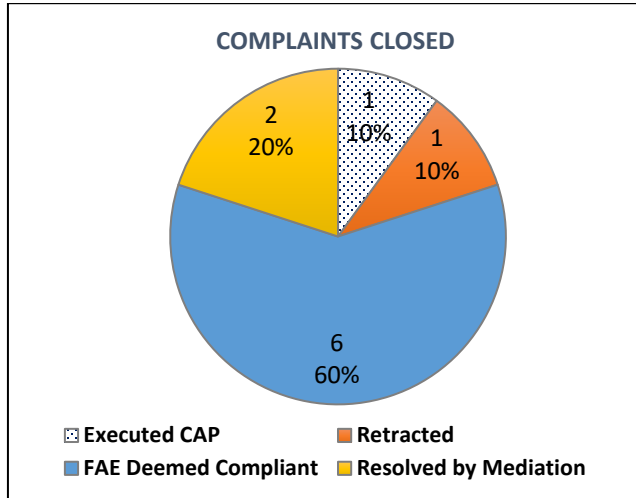
## Received Complaints, by Transaction Type July 1 - September 30, 2021

Complaints received in the last reporting period, categorized by Transaction Type and the filed against entity type.



Percentage of Received Complaints Closed, by Closure Reason  
July 1 - September 30, 2021

Complaints closed during the last reporting period, categorized by closure reason.



**FAE Deemed Compliant** – FAE found not to have violated HIPAA Administrative Simplification rules.

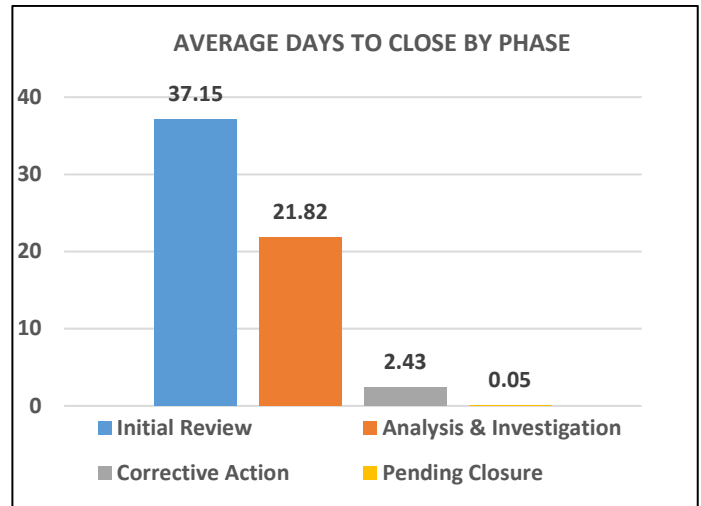
**Resolved by Mediation** – The complaint parties resolved the issue on their own or NSG served as an intermediary to resolve the issue.

**Executed Corrective Action Plan (CAP)** – FAE completed all systematic updates to resolve the issue.

**Retracted** – The complainant withdrew the complaint, e.g. decided not to file or resolved the issue with the FAE, without assistance from NSG.

Received Complaints Aging, by Phase  
July 1 - September 30, 2021

Complaint aging by Processing Phase for the last reporting period.



After receiving a complaint in ASETT, it passes through several stages during the complaint lifecycle. Immediately, it is triaged and categorized as to which HIPAA regulation was violated in the course of conducting business. After first contact with the entities involved, the complaint will pass through each **Processing Phase** until an agreement between the entities and compliance with HIPAA Administrative Simplification Rules is reached. The phases are:

- **Initial Review** – Complaint undergoes initial triage and validation, and the entities are notified a new complaint is underway. The filed against entity (FAE) is given 30 days to provide their response.
- **Analysis and Investigation** – The response from the FAE is reviewed and NSG facilitates communication between the complainant and the FAE. This phase includes policy review, review of the Healthcare EDI Guides (TR3 documents) from X12, etc.
- **Corrective Action** – The FAE submits a Corrective Action Plan (CAP), which is reviewed and approved by NSG. The CAP is then monitored by NSG.
- **Pending Closure** – The complainant verifies that their complaint can be closed after the FAE resolved the HIPAA violation. The agreement to close may involve collaborative testing by the complainant and FAE. NSG sends formal notification of the complaint closure to the entities involved.

