



**Centers for Medicare & Medicaid Services**

# **Internet Quality Improvement & Evaluation System (iQIES)**

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## **Survey and Certification (S&C) Manage a Survey for Clinical Laboratory Improvement Amendments (CLIA) User Manual**

**Version 1.0**

**October 14, 2026**

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# 1. Introduction

---

This user manual addresses how to add, review, manage, and edit surveys. This manual does not apply to Nursing Home surveys or the Long Term Care Survey Process. Please review [Manage a Survey: Long Term Care Facilities User Manual](#).

Limited survey information from all states can be viewed, but findings, intakes, notes, attachments, and letters cannot be viewed.

For information on other modules, review the [Reference & Manuals](#) on QTSO.

## 1.1 Getting Started in S&C – Important Information to Know

Below is important general information about iQIES.

- Log in to iQIES at <https://iqies.cms.gov/> with Health Care Quality Information Systems (HCQIS) Access Roles and Profile ([HARP](#)) login credentials. Review the [iQIES Onboarding Guide](#) for further information, if necessary.
- All screenshots included in this manual contain only test data. Current screens in iQIES may be different from what is shown in screenshots below.
- Screenshots are dependent on user role and may not be an exact representation.
- Words highlighted in blue are clickable links.
- A red asterisk (\*) indicates a required field.
- Blank fields may have a limited number of characters allowed in that field. If so, the character limit is shown on the bottom left. The blank fields may also be expanded. Click the two 45° parallel lines and drag to the right to enlarge the box. See *Figure 1, Expandable Field*.

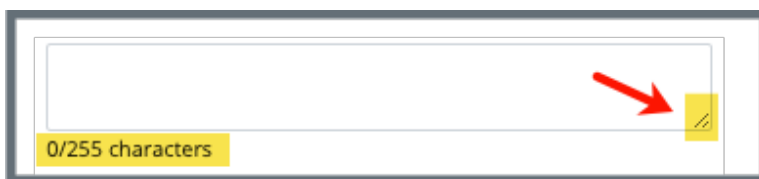


**Figure 1: Expandable Field**

- iQIES times out after 30 minutes of nonuse and reverts to the login page.
  - iQIES remains up and active as long as it is in use.
  - iQIES gives a five-minute warning before timing out.
  - The session resumes at the last accessed page after reauthentication.
  - Be sure to save data regularly. Pages that require saving are noted in this document, and have a **Save** button on the page.
- iQIES uses a smart search. Once three letters/digits are typed in the search bar, results are shown based on letters/digits entered. The more letters/digits entered, the narrower the search. If any of the results is the correct result, click the result to open.
- Review any notification banners. Some banners may have links to review further information; others may be a reminder of a task that must be completed. See *Figure 2, Notification Banner* and *Table 1, Notification Banner Color Descriptions*. These banners can be closed at any time.

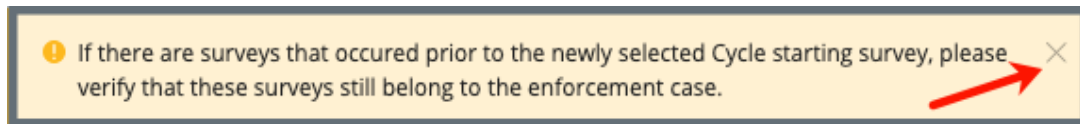


**Figure 2: Notification Banner**

**Table 1: Notification Banner Color Descriptions**

| Notification Banner Color | Reason                                                               |
|---------------------------|----------------------------------------------------------------------|
| Green                     | Action was successful                                                |
| Blue                      | Informational only                                                   |
| Yellow                    | Warning. Review for information.                                     |
| Red                       | Stop and review. The banner explains the actions that must be taken. |

- Review any Tool Tips for additional information to perform an action. Hover over the i icon to see the tip. Tool Tips provide additional information in iQIES. Look for the information icon. See *Figure 3, Tool Tip Icon*.

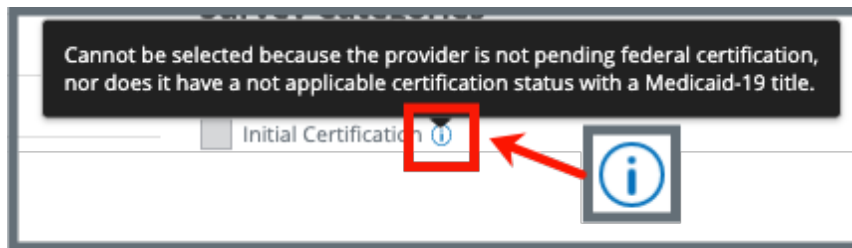


*Figure 3: Tool Tip Icon*

- Below are the supported browsers for access to iQIES. Be sure to keep your browser updated.

[Chrome](#)

[Edge](#)

## 1.2 iQIES Service Center

The iQIES Service Center supports users working within the various iQIES components: S&C, Patient Assessment, and Reporting.

**Assistance Accessing iQIES:** Contact the iQIES SO for your organization

**Technical Support:** Contact the iQIES Service Center:

**Phone:** 888-477-7876 (select Option 1)

**Email:** [iQIES@cms.hhs.gov](mailto:iQIES@cms.hhs.gov)

**Idea Portal:** Feedback for future iQIES software development: [CCSQ Support Central](#). Click **Idea Portals**.

**More information on iQIES:** Refer to the [QIES Technical Support Office](#) (QTSO) and the [Quality, Safety, & Education Portal](#) (QSEP). Logging in to HARP may be required before accessing some documentation in QTSO and QSEP.

iQIES reference materials include:

- Links to Training Videos for facilities
- Assessment Management User Manual
- Quick Reference Guides
- Onboarding Guide
- Managing User Information
- Other helpful iQIES material

iQIES training materials on QSEP include S&C Foundation Series Videos.

## 1.3 Roles and Permissions

iQIES roles allow users to access information pertinent to their area of work. The examples in this document pertain to S&C and require a State Agency or Centers for Medicare & Medicaid Services (CMS) role with the permission to view or edit the information.

Permissions are ultimately governed by HARP access privileges. Contact the Security Official (SO) for your organization or the iQIES Service Center for issues relating to access and permissions. Review the [iQIES User Roles Matrix](#) for detailed information on roles.

For additional help, refer to <https://iqies.cms.gov/iqies/help> or click the help icon in the top right corner of the screen, see *Figure 4, Help Icon*, for further information.



*Figure 4: Help Icon*

## 1.4 My Tasks Landing Page

**Purpose:** **My Tasks** Landing Page is a tool used to track and display data for individual users. It consolidates information and processes into one area so that the user can see at a glance what actions must be performed.

1.4.1 Log in to iQIES. The landing page displays the **My Tasks** tool. See *Figure 5, My Tasks Landing Page* and *Table 2, My Tasks Landing Page Detailed Callout*.

### Notes:

- The **My Tasks** landing page defaults to **Active tasks**. Click the drop-down menu and select **Closed tasks** to view completed tasks.
- CLIA Tasks appear under **Providers, Surveys, Intakes, and Enforcements** and not under **CLIA Providers, CLIA Surveys, CLIA Intakes** and **CLIA Enforcements**.

Welcome, Pat

**My Tasks**

Providers Surveys Intakes Enforcements

**My Surveys Tasks**

Expand All Tasks Active tasks

| Survey ID                  | Provider                                                    | Category                      | Exit Date      | Assigned Tasks | Track Status |
|----------------------------|-------------------------------------------------------------|-------------------------------|----------------|----------------|--------------|
| 1DF83D-H1 <span>New</span> | Marion Manor NH<br>123 Test Provider<br>Test, Alabama 41232 | Complaint,<br>Recertification | No information | Survey Team    | 1DF83D 15%   |
| 1CCD24-H1                  | Marion Manor NH<br>123 Test Provider<br>Test, Alabama 41232 | Recertification,<br>Complaint | 08/02/2024     | Survey Team    | 1CCD24 15%   |

ASSIGNED TASK DUE DATE TASK STATUS COMMENTS

|                  |                |       |  |
|------------------|----------------|-------|--|
| Letters          | No information | To Do |  |
| Review PoC       | No information | To Do |  |
| Schedule Surveys | No information | To Do |  |
| Send 2567        | No information | To Do |  |

**Figure 5: My Tasks Landing Page**

**Table 2: My Tasks Landing Page Detailed Callout**

| No. | Name                       | Description                                                                                                                                                                                                                                                                                               |
|-----|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a   | <b>Survey tab</b>          | Click each tab ( <b>Providers, Surveys, Intakes</b> ) to review the respective tasks. Not all tabs are available in all user roles.<br><br>Click <b>Enable Offline</b> to enable the survey offline. For more details on how to enable offline, review the <a href="#">S&amp;C User Manual: Offline</a> . |
| b   | <b>Survey ID</b>           | The survey ID shows as a link directly under <b>Survey ID</b> . Click the link to go directly to the Survey Basic Information page.<br><br>Click the caret next to the survey ID to view task status details about the survey. See step 1.4.2.                                                            |
| c   | <b>Provider</b>            | The provider ID and address show as a link directly under <b>Provider</b> . Click the link to go directly to the Provider Basic Information page.                                                                                                                                                         |
| d   | <b>Category</b>            | Shows the survey category.                                                                                                                                                                                                                                                                                |
| e   | <b>Exit Date</b>           | Shows the survey exit date.                                                                                                                                                                                                                                                                               |
| f   | <b>Assigned Tasks</b>      | Lists the assigned tasks                                                                                                                                                                                                                                                                                  |
| g   | <b>Track Status</b>        | Tracks the completion status of the survey track. Click the status ID to see details. See <a href="#">Certification Event</a> for a detailed explanation.                                                                                                                                                 |
| h   | <b>Active/Closed Tasks</b> | Toggle between <b>Active</b> and <b>Closed</b> tasks.                                                                                                                                                                                                                                                     |
| i   | <b>New</b>                 | A blue <b>New</b> in an oval shape (badge) next to the <b>Survey ID</b> in the Survey tab indicates that the survey task's status is <b>New</b> .                                                                                                                                                         |
| j   | <b>Assigned Tasks</b>      | Shows tasks assigned to the user. See <a href="#">Task Detail</a> .                                                                                                                                                                                                                                       |

- 1.4.2 Click **My Tasks** under **Survey & Certification** on the top menu to access **My Tasks** at any time. See *Figure 6, My Tasks Login*. **My Tasks** landing page opens.

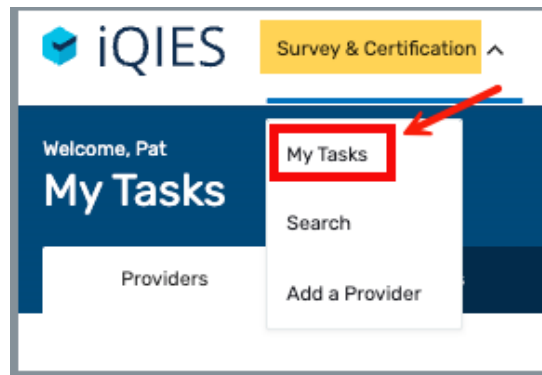


*Figure 6: My Tasks Login*

**Notes:**

- Click the iQIES logo on the top left of the screen or **Home** to return to the **My Tasks** landing page at any time. See *Figure 7, iQIES Logo*.

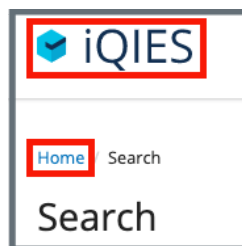


*Figure 7: iQIES Logo*

- If there are no tasks, then a message appears below the selected tab. See *Figure 8, No Active Tasks*, for an example from the **Surveys** tab.

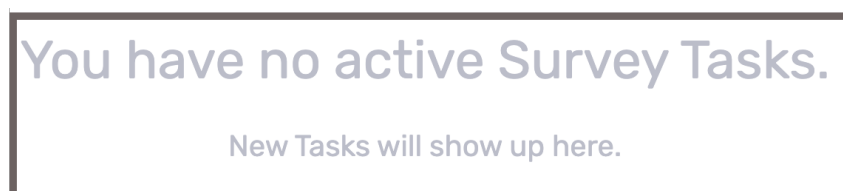


*Figure 8: No Active Tasks*

**1.4.3 Task Detail:** Click caret next to the survey ID and details open about tasks assigned to the survey. See *Figure 9, Task Status Details* and *Table 3, Task Status Details Detailed Callout*.

1A6456-H1 La Maison Suisse Deux Initial Certification 05/14/2024 Survey Team 1A6456 0%

[Enable Offline](#) 123 Main St Anytown, Florida 88990

| <b>a</b><br>ASSIGNED TASK | <b>b</b><br>DUE DATE | <b>c</b><br>TASK STATUS | <b>d</b><br>COMMENTS |
|---------------------------|----------------------|-------------------------|----------------------|
| Letters                   | No information       | To Do                   | Existing Comment     |
| Review PoC                | No information       | To Do                   | No comment           |
| Schedule Surveys          | No information       | To Do                   |                      |

**Figure 9: Task Status Details**

**Table 3: Task Status Details Detailed Callout**

| No. | Name                 | Description                                                                                       |
|-----|----------------------|---------------------------------------------------------------------------------------------------|
| a   | <b>ASSIGNED TASK</b> | The name of the task assigned.                                                                    |
| b   | <b>DUE DATE</b>      | The date the task is due, if available.                                                           |
| c   | <b>TASK STATUS</b>   | The task status. Task statuses are: <b>To Do, In Progress, Complete</b> .                         |
| d   | <b>COMMENTS</b>      | Comments. A + (plus sign) indicates a comment has not been left. See <a href="#">step 1.4.3</a> . |

- 1.4.4 **Comments:** Click the + to leave a comment. The side menu opens. See *Figure 10, My Tasks Comments*.

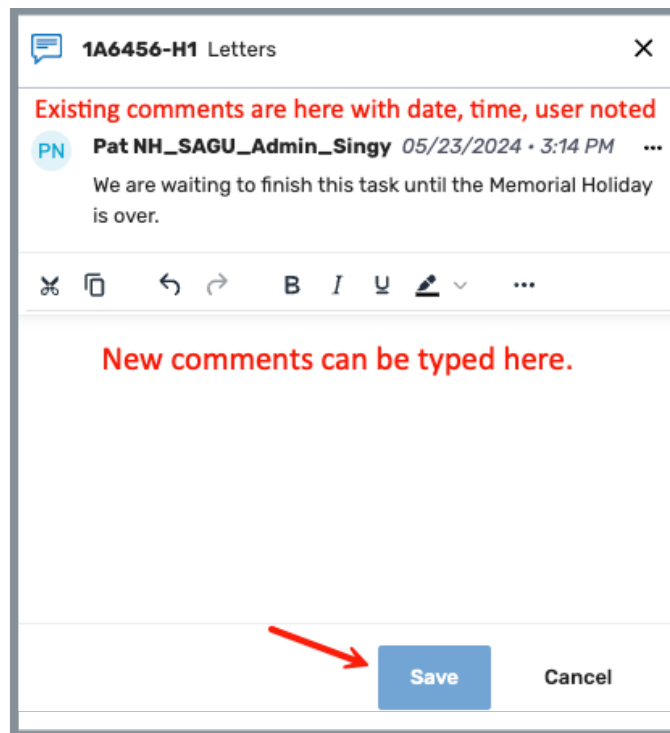


*Figure 10: My Tasks Comments*

- 1.4.5 Click **Save** to save comments. The side menu closes.

## 2. Manage a Survey Overview

---

**Purpose:** This user manual addresses how to add, review, manage, and edit surveys for CLIA.

**Important Note:** This manual provides technical instruction on system functionality and does not replace CMS policy. Refer to official CMS guidance for policy requirements.

Limited information from surveys from all states can be viewed, but findings, intakes, notes, attachments, and letters cannot be viewed.

### 3. Search for a Survey

**Purpose:** To search for a survey.

- 3.1 Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.
- 3.2 Click **CLIA Search**. The **CLIA Search** screen opens. See *Figure 11, CLIA Search*.

**Note:** The **CLIA Facilities** tab is the default landing tab.

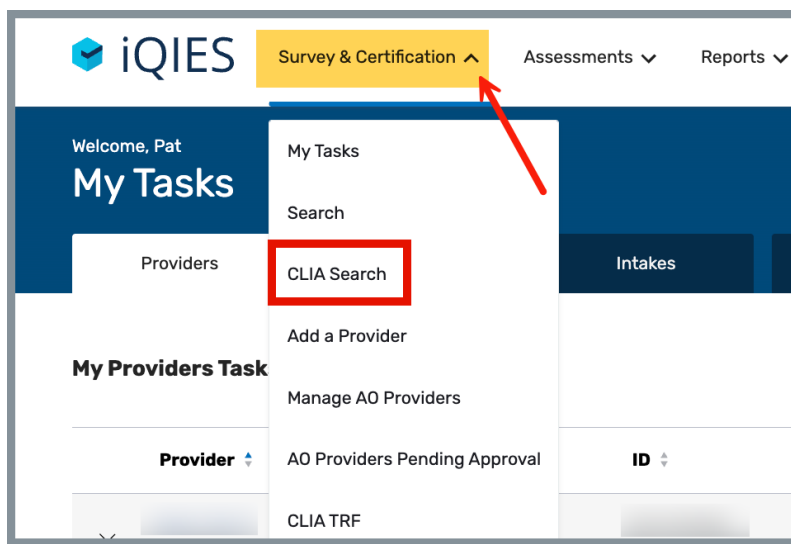
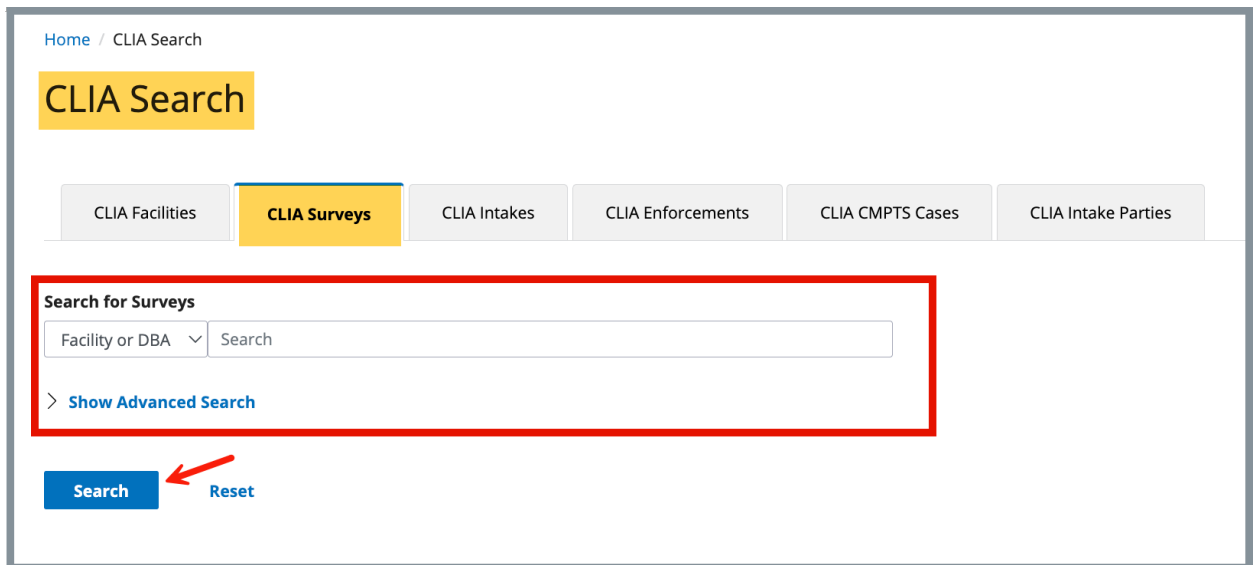


*Figure 11: CLIA Search*

3.3 Click **CLIA Surveys** tab. See *Figure 12, CLIA Surveys Tab*.



The screenshot displays the 'CLIA Search' interface. At the top, there is a breadcrumb 'Home / CLIA Search' and a yellow header 'CLIA Search'. Below this is a horizontal tab bar with six tabs: 'CLIA Facilities', 'CLIA Surveys' (highlighted in yellow), 'CLIA Intakes', 'CLIA Enforcements', 'CLIA CMPTS Cases', and 'CLIA Intake Parties'. Under the 'CLIA Surveys' tab, there is a section titled 'Search for Surveys'. This section contains a dropdown menu labeled 'Facility or DBA' with a downward arrow, followed by a text input field labeled 'Search'. Below the input field is a link '> Show Advanced Search'. At the bottom of the search section, there is a blue 'Search' button and a 'Reset' link. A red arrow points to the 'Search' button.

*Figure 12: CLIA Surveys Tab*

3.4 Select **Facility** or **DBA** (Doing Business As), **CCN** (CMS Certification Number) or **Survey ID** from the drop-down menu under **Search for Surveys**.

3.5 Type search criteria.

3.6 Click **Search**. The survey information shows below. See *Figure 13, Survey Advanced Search*.

**Note:** Click **Show Advanced Search** for a more detailed search.

3.7 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria, if desired. Otherwise, go to step 3.9.

**Note:** Click **Hide Advanced Search** to close the **Advanced Search** menu.

**CLIA Search**

CLIA Facilities **CLIA Surveys** CLIA Intakes CLIA Enforcements CLIA CMPTS Cases CLIA Intake Parties

Search for Surveys  
 Facility or DBA  Search

Hide Advanced Search

**CATEGORY**

**Federal Categories**

Select...  
Select one or more

**State Categories**

Select...  
Select one or more

**EXIT DATES**

**Survey Exit Dates**

From

To

**STATUS**

**Survey Status**

Select...  
Select one or more

☐ Show only surveys with IJs

**FACILITY INFO**

**State**

Select...  
Select one or more

**Search** **Reset**

**Figure 13: Surveys Advanced Search**

- 3.8 Type the survey ID, facility name, DBA, or CCN.
- 3.9 Click **Search**. The facility information shows below. See *Figure 14, Search Results*.

Hide Advanced Search

**CATEGORY**

**Federal Categories**

Select...  
Select one or more

**State Categories**

Select...  
Select one or more

**EXIT DATES**

**Survey Exit Dates**

From

To

**STATUS**

**Survey Status**

Select...  
Select one or more

☐ Show only surveys with IJs

**FACILITY INFO**

**State**

Select...  
Select one or more

**Search** **Reset**

1 - 10 of 53 Surveys

| Facility                                                                       | Survey                  | Survey Category       | Survey Status | Citations | Exit Date      |
|--------------------------------------------------------------------------------|-------------------------|-----------------------|---------------|-----------|----------------|
| <b>ASCENSION AFH INC</b><br>4812 80TH AVE W, UNIVERSITY PLACE, WA 98467        | CLIA<br><b>3761F-C1</b> | Initial Certification | New           | 0         | No information |
| <b>CCN 50D2263894</b>   FACID WA22029782   Clinical Laboratory                 |                         |                       |               |           |                |
| <b>ASCENSION AT HOME</b><br>2211 S HIGHWAY 77 SUITE 203A, LYNN HAVEN, FL 32444 | CLIA<br><b>3A269-C1</b> | Initial Certification | New           | 0         | No information |

**Figure 14: Search Results**

3.10 Click the survey number to view survey Basic Information. The **Basic Information** window opens. The top gray menu bar shows:

- Survey status
- Survey category
- Start and exit dates
- Revisit status
- [Track status](#)
- Survey actions drop-down menu, when survey actions are available.

The survey basic information shows:

- Survey Type
- Enforcement Case ID
- Survey Categories
- Regulation Sets
- Survey Status

See *Figure 15, Survey Basic Information*.

Home / Search / HEALTH + / Survey 11148-C1

| Status | Category              | Start Date     | Exit Date      | Revisit Status | Track Status | Survey action |
|--------|-----------------------|----------------|----------------|----------------|--------------|---------------|
| New    | Initial Certification | No information | No information | Not Determined | 11148 100%   |               |

**Basic Information**  
Manage the basic information for this survey.

**Survey Type**  
CLIA

**Enforcement Case ID**  
No information

**Survey Categories**  
Federal Categories: Initial Certification  
State Categories: No information

**Regulation Sets**  
Federal Regulation Sets: ACUTE CARE HOSPITAL (FED - A - 09.00)  
State Regulation Sets: No information

**Survey Status**  
Survey Status: Open  
Offsite Survey: No information  
Start Date: No information  
Exit Date: No information

[Edit](#)

**Figure 15: Survey Basic Information**

## 4. Add a Survey

---

**Purpose:** This section describes how to create a CLIA survey.

**Note:** CLIA only supports the **CLIA Survey Type**.

4.1 Click the desired facility record. The **Provider History** page opens.

4.2 Click **Add Survey** on the **Provider History** page. See *Figure 16, Add Survey*. The **Basic Information** page opens.

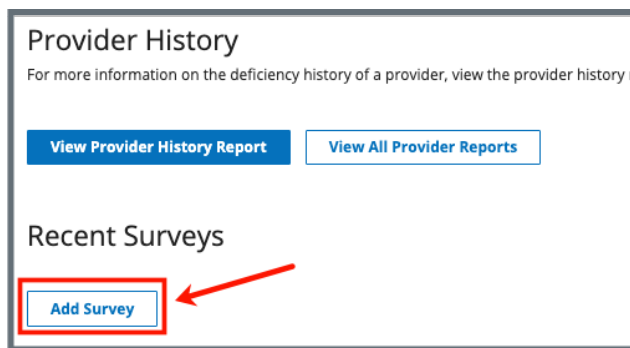


*Figure 16: Add Survey*

4.3 Fill out the information. See *Figure 17, New Survey Basic Information* and *Table 4, New Survey Basic Information Detailed Callout*.

**Notes:**

- **Federal Categories** include **Other-Fed**. Selection of **Other-Fed** enables additional subcategories. **Other-Fed** can be selected in conjunction with some other federal categories, but not all.
- **State Categories** include **Other-State**, which is not functional at the time of this writing.
- Grayed-out fields cannot be edited. They are disabled based on the facility's information.
- **Regulation Sets** are applicable to the survey category selected.
- Click **Show Older Regulation Sets** to see older regulation sets, if desired.

## Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.  
All required fields are marked with an asterisk (\*)

a
**Survey Type \***  
☒ CLIA  
☐ Life Safety Code

b

**Survey Categories \***

**Federal Categories**  
☐ Initial Certification ⓘ  
☐ Recertification  
☐ Complaint ⓘ  
☐ Federal Monitoring Survey  
☐ PT Desk Review  
☐ Validation ⓘ  
☐ Other-Fed  
**Subcategory**  
☐ Addition of Specialties  
☐ Cytology  
☐ Operational Verification

**State Categories**  
☐ Initial Licensure  
☐ Re-Licensure  
☐ Licensure Complaint ⓘ  
☐ Other-State

c

**Regulation Sets \***

**Federal Regulation Sets ⓘ**  
☐ CLIA REGULATIONS (FED - D - 10.00)  
  
[Show Older Regulation Sets](#)

**State Regulation Sets ⓘ**

d

**Survey Status**

**Start Date**  
  
MM/DD/YYYY

**Exit Date**  
  
MM/DD/YYYY

e
☐ Offsite Survey

f

Save Basic Information

Cancel

**Figure 17: New Survey Basic Information**

**Table 4: New Survey Basic Information Detailed Callout**

| No.      | Name                          | Description                                                                                                                                                                                                                                                                                                                                                                       |
|----------|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>a</b> | <b>Survey Type</b>            | CLIA only supports the CLIA survey type. Other options are disabled.                                                                                                                                                                                                                                                                                                              |
| <b>b</b> | <b>Survey Categories</b>      | Select from federal or state categories.                                                                                                                                                                                                                                                                                                                                          |
| <b>c</b> | <b>Regulation Sets</b>        | Select the corresponding federal or state regulation sets.                                                                                                                                                                                                                                                                                                                        |
| <b>d</b> | <b>Survey Status</b>          | Type start and exit dates. Citations cannot be locked without these dates. They can be added later.                                                                                                                                                                                                                                                                               |
| <b>e</b> | <b>Offsite Survey</b>         | <p>Click to enable Offsite survey.</p> <p>Offsite survey work enables surveyors to evaluate laboratory documents, quality records, and personnel qualifications remotely through electronic record review and, when necessary, virtual interviews or observations.</p> <p>When this box is selected, the CMS-670 (Time) <b>On-site</b> and <b>Travel</b> fields are disabled.</p> |
| <b>f</b> | <b>Save Basic Information</b> | Click to save the basic information.                                                                                                                                                                                                                                                                                                                                              |

4.4 Click **Save Basic Information** to save new survey. The new survey opens.

**Notes:**

- CMS General Users see a selection for **Federal Monitoring Survey** under **Survey Categories**.
- Once the survey is saved, a survey ID is generated.
- The letter **C** in the survey ID signifies a CLIA survey. The **1** signifies that this is the first visit for this survey. See *Figure 18, Survey ID Explanation*. Subsequent numbers represent revisit surveys. For example, the first revisit survey has the same prefix, but it is followed by **C2**. Each subsequent revisit CLIA survey will have a number increase. See [Create a Revisit Survey](#) for further information about revisit surveys.

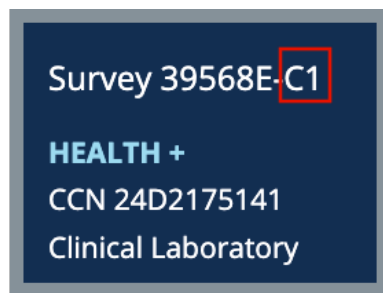


*Figure 18: Survey ID Explanation*

4.5 Click **Edit** in the top right corner to edit the survey, if desired.

## 5. Delete a Survey

---

**Purpose:** To delete a survey that should not be in the system.

**Notes:**

- Only the State Agency Admin and Survey Admin user roles can delete a survey.
- Once a survey is deleted, it cannot be reinstated.
- Surveys cannot be deleted under the following conditions:
  - When a survey has citations
  - When a survey has a POC
  - When a survey has CMS-670 time entered
  - When the survey is associated with:
    - A revisit
    - An enforcement
  - Additional circumstances may prevent a survey from being deleted. Pay attention to the red notification banners. The banners explain what the issue is and show a link as to where to go to resolve the specific condition, if possible.
- Contact the [iQIES Service Center](#) if there is an enforcement attached to the survey.
- Surveys cannot be deleted when an intake is associated with it.
- **Only Designated State and CMS Users can perform the actions in steps 5.1 and 5.2 below.**
- Contact the [iQIES Service Desk](#) to request the deletion of a survey created by CMS staff. Include the Event ID, the CCN, the name of the facility and a statement that none of the conditions listed in the third note above exists for the survey being deleted.

- 5.1 Click **Delete** this survey under **Survey action** on top right of **Basic Information** screen. See *Figure 19, Delete a Survey*. The **Delete survey?** pop-up window opens.



**Figure 19: Delete a Survey**

**Note:** When a survey cannot be deleted, a red notification explains the reason why. See *Figure 20, Survey Cannot Be Deleted*. Click the link in the notification to review the specific citation or enforcement.

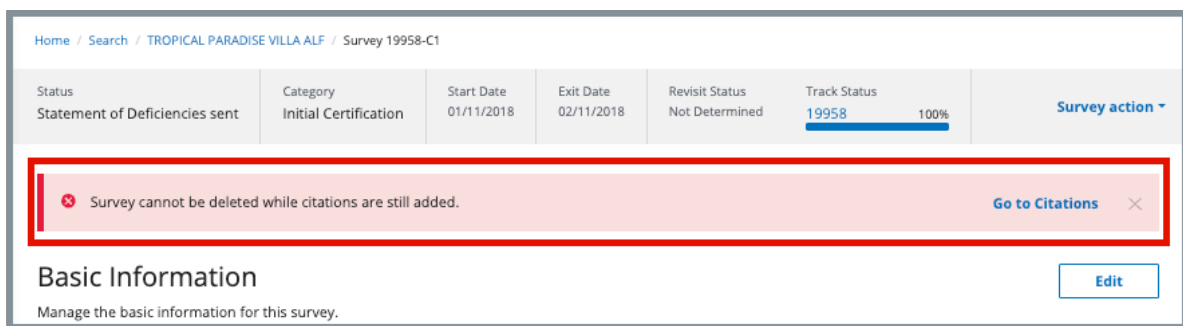


**Figure 20: Survey Cannot Be Deleted**

- 5.2 Click **Yes, delete**. See *Figure 21, Delete Survey? Pop-up Window*. The survey is deleted.

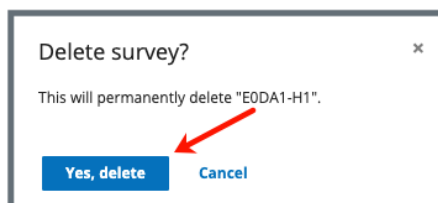


**Figure 21: Delete Survey? Pop-up Window**

## 6. Certification Event

**Purpose:** To organize certification documents for facility certification.

**Note:** It may be necessary to refresh the page to update track status when changes are made.

6.1 Go to the **Provider History** page. See *Figure 22, Provider History Page Certification Progress*.

| Sets & Survey ID | Survey Type | Survey Category | Exit Date | Status | Track ID   | Actions |
|------------------|-------------|-----------------|-----------|--------|------------|---------|
| 3956C0-C1        | CLIA        | PT Desk Review  |           | New    | 206DCA 20% |         |
| 3956BF-C1        | CLIA        | PT Desk Review  |           | New    | 206DCA 20% |         |
| 3956BE-C1        | CLIA        | Recertification |           | New    | 207FC8 25% |         |

[View All Surveys \(4\)](#)

**Figure 22: Provider History Page Certification Progress**

6.2 Click survey number under **Track ID** to see detailed information on certification status.

6.3 Click the carets next to the survey number or Track Forms to view additional details. See *Figure 23, Detailed Certification Status*.

Track 37AE26 Status

✓ Track Forms

| Name     | Status     | Completed Date |
|----------|------------|----------------|
| CMS-1539 | ✓ Complete | 10/28/2019     |

✓ Survey 37AE26-C1

| Name          | Status        | Completed Date |
|---------------|---------------|----------------|
| CMS-670       | ⦿ Not Started | -              |
| Closed Status | ● In Progress | -              |

Close

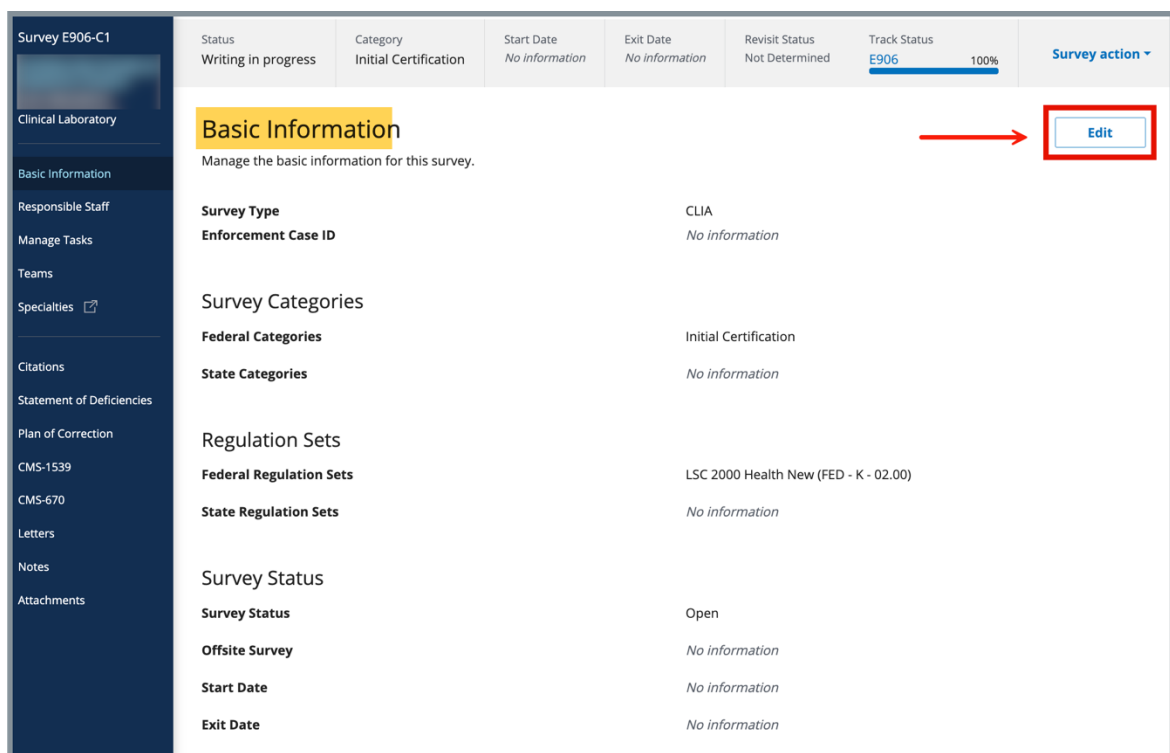
**Figure 23: Detailed Certification Status**

## 7. Basic Information

**Purpose:** The **Basic Information** page is the landing page when a survey is opened.

7.1 Click **Edit** to edit **Basic Information**. The information shows the editable areas. See *Figure 24, Edit Button*. See *Figure 25, Basic Information Edit Screen*.

**Note:** The system assigns the **Survey Due Date** based on the oldest linked intake due date.



The screenshot displays the 'Basic Information' page for Survey E906-C1. The left sidebar contains a navigation menu with options like Clinical Laboratory, Basic Information, Responsible Staff, Manage Tasks, Teams, Specialties, Citations, Statement of Deficiencies, Plan of Correction, CMS-1539, CMS-670, Letters, Notes, and Attachments. The main content area shows the 'Basic Information' section with a description: 'Manage the basic information for this survey.' Below this, there are several sections with fields and values:

- Survey Type:** CLIA
- Enforcement Case ID:** No information
- Survey Categories:**
  - Federal Categories:** Initial Certification
  - State Categories:** No information
- Regulation Sets:**
  - Federal Regulation Sets:** LSC 2000 Health New (FED - K - 02.00)
  - State Regulation Sets:** No information
- Survey Status:**
  - Survey Status:** Open
  - Offsite Survey:** No information
  - Start Date:** No information
  - Exit Date:** No information

In the top right corner, there is a 'Survey action' dropdown menu. A red box highlights the 'Edit' button within this menu, and a red arrow points to it from the left.

**Figure 24: Edit Button**

7.2 Click **Save Basic Information** to save changes.

## Basic Information

Manage the basic information for this survey.  
All required fields are marked with an asterisk (\*)

**Survey Type**

CLIA

**Survey Categories \***

Survey categories that are associated with citations cannot be removed.

**Federal Categories**

☒ Initial Certification ⓘ

☐ Recertification

☐ Complaint ⓘ

☐ PT Desk Review

☐ Validation ⓘ

☐ Other-Fed

**Subcategory**

☐ Addition of Specialties

☐ Cytology

☐ Operational Verification

**State Categories**

☐ Initial Licensure

☐ Re-Licensure

☐ Licensure Complaint ⓘ

☐ Other-State

**Regulation Sets \***

**Federal Regulation Sets**

☐ CLIA REGULATIONS (FED - D - 05.00)

☐ CLIA REGULATIONS (FED - D - 06.03)

☐ CLIA REGULATIONS (FED - D - 07.02)

☐ CLIA REGULATIONS (FED - D - 07.03)

☐ CLIA REGULATIONS (FED - D - 08.00)

☐ CLIA REGULATIONS (FED - D - 08.01)

☐ CLIA REGULATIONS (FED - D - 09.00)

☐ CLIA REGULATIONS (FED - D - 09.01)

☐ CLIA REGULATIONS (FED - D - 09.02)

☐ CLIA REGULATIONS (FED - D - 09.03)

☐ CLIA REGULATIONS (FED - D - 10.00)

☒ LSC 2000 Health New (FED - K - 02.00)

**State Regulation Sets ⓘ**

☐ Core Licensure (ST - Z - 2.24)

☐ Core Licensure (ST - Z - 2.25)

☐ Core Licensure (ST - Z - 2.26)

▼ [Hide Older Regulation Sets](#)

**Survey Status**

**Start Date**

MM/DD/YYYY

**Exit Date**

MM/DD/YYYY

**Survey Status \***

☒ Open

☐ Closed

☐ Offsite Survey

[Save Basic Information](#) [Cancel](#)

Figure 25: Basic Information Edit Screen

## 8. Responsible Staff

**Purpose:** Add new, delete, or view existing staff responsible for the survey.

**Note:** Responsible Staff are HARP ID users.

8.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 26, Add Responsible Staff*.

**Add Responsible Staff**  
Find and add the responsible staff for this survey.

First Name:  Last Name:  Organization:

Management Unit:  Work Unit:

1 - 20 of 2220 Staff Members

| Select                   | Name | Organization | Management Unit | Work Unit |
|--------------------------|------|--------------|-----------------|-----------|
| <input type="checkbox"/> | CMS  | 0            | 0               |           |

*Figure 26: Add Responsible Staff*

8.2 Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.

8.3 Click **Search**. The search results appear below.

8.4 Check the box under **Select** next to the correct name. Click **Save**.

**Notes:**

- Only staff members in the list can be added. It is not possible to add someone manually.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

8.5 Verify the staff member was added.

8.6 Click **Delete** under **Actions** to delete a staff member. See *Figure 27, Delete a Responsible Staff*. A confirmation pop-up window opens.

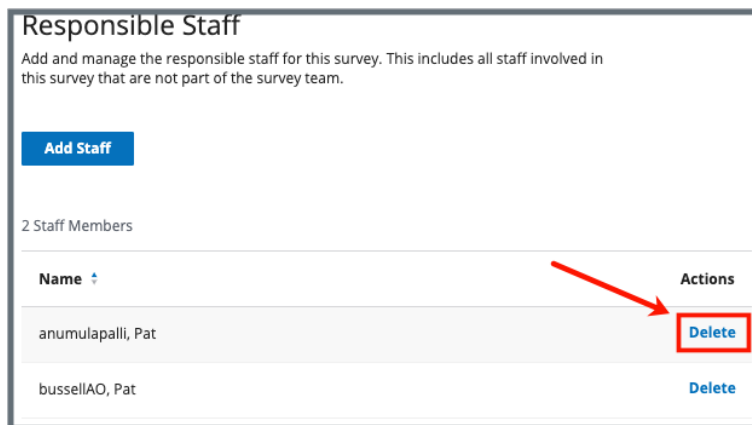


*Figure 27: Delete a Responsible Staff*

- 8.7 Click **Delete**.
- 8.8 Verify that the **Responsible Staff** is no longer on the list.

## 9. Manage Tasks

**Purpose:** To manage and assign tasks for Responsible Staff.

Click **Manage Tasks** on the left menu. The **Manage Tasks** screen opens. See *Figure 28, Manage Tasks*. See *Table 5, Manage Tasks Detailed Callout*.

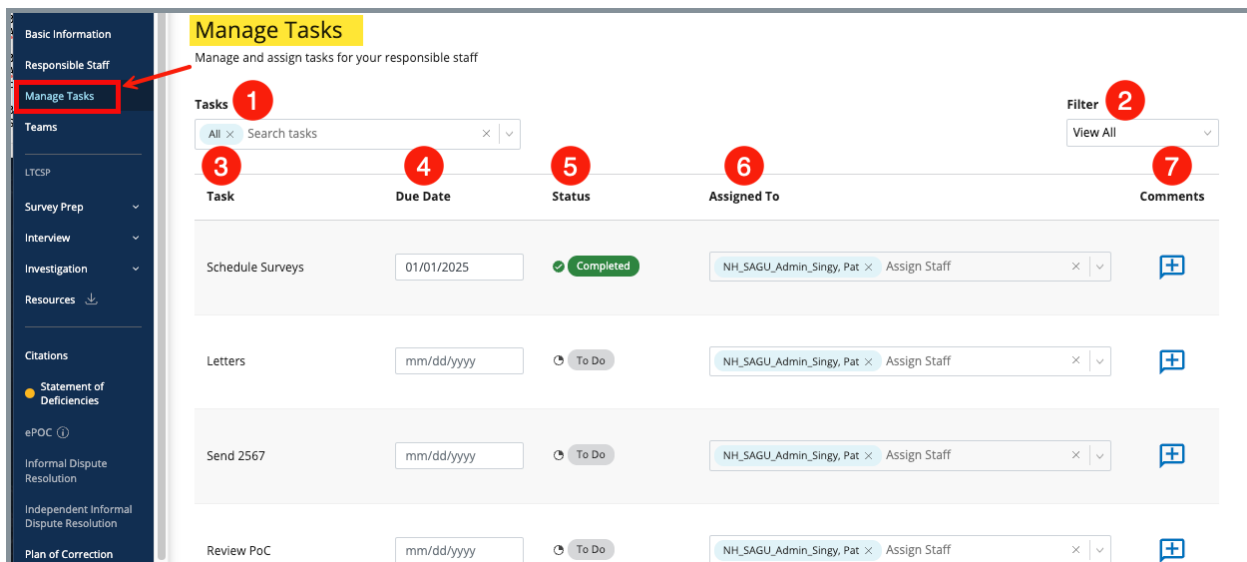


**Figure 28: Manage Tasks**

**Table 5: Manage Tasks Detailed Callout**

| No. | Description                                                                                                                       |
|-----|-----------------------------------------------------------------------------------------------------------------------------------|
| 1   | Select individual tasks from the drop-down menu under <b>Tasks</b> to assign to the <b>Responsible Staff</b> or select <b>All</b> |
| 2   | Select <b>View All</b> , <b>Assigned</b> , or <b>Unassigned</b> from the drop-down menu. <b>View All</b> is the default.          |
| 3   | Each task that is selected shows under <b>Task</b>                                                                                |
| 4   | The <b>Due Date</b> of the task                                                                                                   |
| 5   | The <b>Status</b> of the task.                                                                                                    |
| 6   | The Responsible Staff assigned to the task. More than one Responsible Staff can be assigned the task.                             |
| 7   | Click the <b>+</b> icon to add a comment.<br>Click the letter icon to view an existing comment or to add a new comment.           |

## 10. Teams

**Purpose:** Add, edit, or review staff who perform surveys, write citations, send statements of deficiency, and review plans of correction.

**Notes:**

- QA Team members are assigned in Teams and are given permissions to act on behalf of surveyors on the survey team for specific functions.
- QA team members can add and manage team members' [Citations](#).
- QA team members can add and manage team members' time in CMS-670. Review the [Manage a Form User Manual](#) for more information, if needed.

9.1 Click **Teams** on the left menu. The **Teams** window opens. See *Figure 29, Teams*.

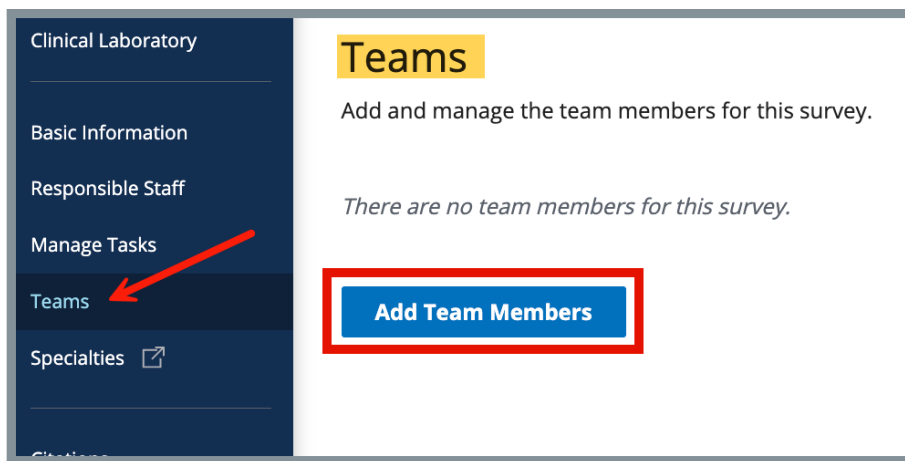


*Figure 29: Teams*

- 9.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 30, Add Teams*.

**Notes:**

- Members can be added to both the **Survey Team** and the **QA Team**. Click the desired team at the top of the page to add a staff member.

**Add Teams**

**Survey Team** **QA Team**

Select staff members for this survey. The first staff member selected will be designated as team coordinator by default.

First Name Last Name Organization

Disciplines

Select...

Search

1 - 20 of 30 Staff members

| Selected                 | Name                 | Organization | Disciplines                                                               |
|--------------------------|----------------------|--------------|---------------------------------------------------------------------------|
| <input type="checkbox"/> | amd, Pat             | CMS          | Registered Nurse, Licensed Practical (Vocational) Nurse, Home Health Aide |
| <input type="checkbox"/> | ashleydolet28ux, Pat | CMS          | Laboratorian, Registered Nurse, Medical Records Administrator             |

**Figure 30: Add Teams**

- QA Team members must have a team function. Click the team member, then choose from the drop-down list under **Team Function**. See *Figure 31, Add a QA Member*.

**Selected** **Name** **Team Function**

☒ ADO\_AUTO\_USER\_CMSCO\_GU, Pat Support Staff

☒ ADO\_AUTO\_USER\_CMS\_GU, Pat

☐ ADO\_AUTO\_USER\_CMSRO\_GU, Pat

☐ ADO\_AUTO\_USER\_CMSRO\_GU\_test1, Pat

Support Staff

Select one

Supervisor

Quality Assurance

Support Staff

Stand-in

Other

**Figure 31: Add a QA Member**

- 9.3 Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.

**Notes:**

- It is only possible to add staff that are in the list of staff members.
- Only one staff can be primary.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

- 9.4 Click **Search**. The search results appear below.

- 9.5 Check the box under **Select** next to the correct name. Click **Save**. A green notification box appears at the top of the screen, verifying the member was successfully added. See *Figure 32, Survey Team Member Successfully Added Popup*.

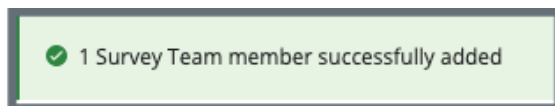


*Figure 32: Survey Team Member Successfully Added Popup*

- 9.6 Click **Delete** under **Actions** to delete a team member. See *Figure 33, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 34, Deletion Confirmation Popup*.

**Note:** The **Team Coordinator** role cannot be deleted (there must be a **Team Coordinator**). The **Team Coordinator** role can be assigned to another team member and then that person can be deleted. The **Team Coordinator** has a blue circle next to their name.

| 4 Staff Members                  |                                  |              |             |         |
|----------------------------------|----------------------------------|--------------|-------------|---------|
| Team Coordinator                 | Name                             | Organization | Disciplines | Actions |
| <input type="radio"/>            | CMSGU_Singy, Pat                 | CMS          |             | Delete  |
| <input checked="" type="radio"/> | CMSGU_Singy_Test, Pat            | CMS          |             | Delete  |
| <input type="radio"/>            | Contract_Survey_Admin_Singy, Pat |              |             | Delete  |
| <input type="radio"/>            | NH_ActiveProviderRole_Singy, Pat | CMS          |             | Delete  |

*Figure 33: Delete a Team Member*

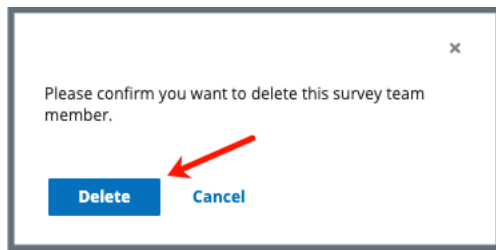


*Figure 34: Deletion Confirmation Popup*

- 9.7 Click **Delete**.
- 9.8 Verify that the team member is no longer on the list.

## 11. Specialties

---

**Purpose:** This page is a link to the **Specialties** section in CLIA Demographics and opens in a separate tab.

Review [CLIA Demographics User Manual](#) for more information.

## 12. Citations

---

**Purpose:** Add, delete, edit, or review a citation.

**Notes:**

- The Citations process works the same regardless of the facility type.
- Citation findings, memo text, and deficient practice statements are automatically saved as they are entered into iQIES.
- Only team members who created a citation can delete that citation.
- QA team members can act on behalf of surveyors and have the same privileges as survey team members.
- Click **Return to Citations** to get to the **Citations** screen, if desired.
- Notifications are shown in yellow boxes. See *Figure 35, Citation Notification Example*. Read the notification and follow the directions, if necessary. These banners can be closed at any time.

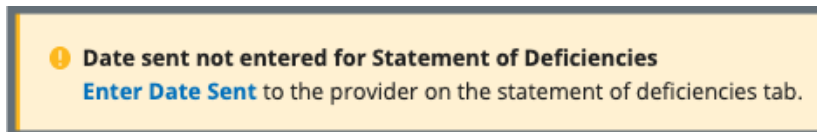


*Figure 35: Citation Notification Example*

## 12.1 Citation Overview

### Notes:

- Citation Statuses are:
  - **Not Started**
  - **In Progress**
  - **Ready for Merge**
  - **Merged – In Progress**
  - **Writing Complete**
  - **Corrected**
- The **Actions** menu has the following choices: **Add New Findings, Edit Findings, Delete Citation, View Findings**. The selection is dependent on the citation status.

12.1.1 Click **Citations** on the left menu. The **Citations** window opens. See *Figure 36, Citations*.

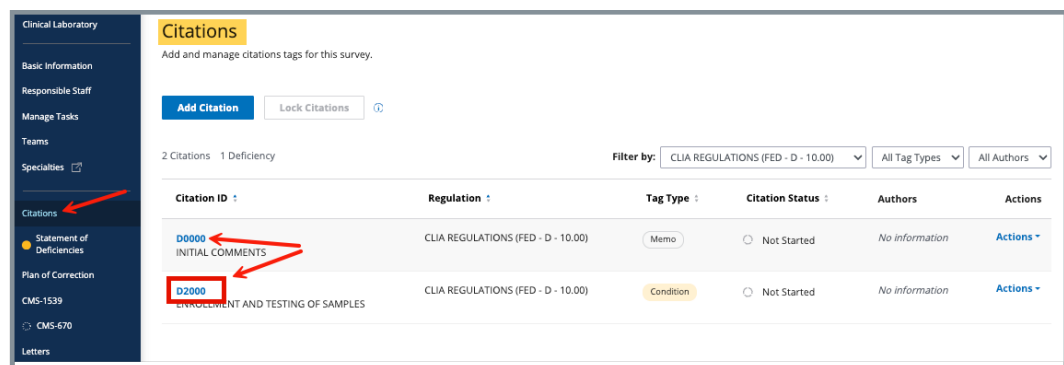


*Figure 36: Citations*

- 12.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 37, Citation Overview*.

**Note:** The **Edit** button is only viewable if the citation contains editable fields, i.e., the associated tag has a **Tag Type** of **Condition**.

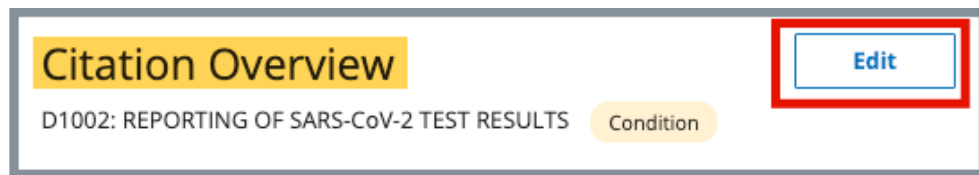


*Figure 37: Citation Overview*

- 12.1.3 Click **Edit** to edit the Overview. The **Edit Citation Overview** window opens. See *Figure 38, Edit Citation Overview*.

*Figure 38: Edit Citation Overview*

- 12.1.4 Click **Save**. The screen returns to the **Citation Overview**.

## 12.2 Add a Citation for a CLIA Survey

- 12.2.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. See *Figure 39, Citations Window*. The **Add Citations** window opens.

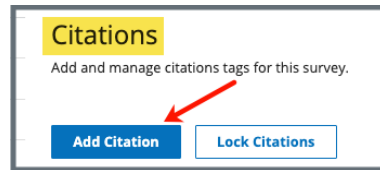


*Figure 39: Citations Window*

### Notes:

- Search for citations in the **Search by citation tag number, title, or keyword** text box. Click the magnifying glass icon to search.
- Filter citations by **Regulation Sets** and **Tag Types**, if desired.

- 12.2.2 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 40, Added Citations* and *Table 6, Added Citations Detailed Callout*.

### Notes:

- Click any citation to view details about the citation.
- Click the **X** next to **Added Citations** to remove a citation before saving, if desired.

**Add Citations**

Find and add citation tags for this survey.

**a** Search by citation tag number, title, or keyword

**b** - 10 of 542 Citations

**c** Filter by: CLIA REGULATIONS (FED - D - 10.00) **d** All Tag Types

**e** **D0000 - INITIAL COMMENTS** Memo  
CLIA REGULATIONS (FED - D - 10.00)

**D1000 - CERTIFICATE OF WAIVER TESTS** Standard **g** Add

**D1001 - CERTIFICATE OF WAIVER TESTS** Standard Add

**D1002 - REPORTING OF SARS-CoV-2 TEST RESULTS** Condition Add

**D2000 - ENROLLMENT AND TESTING OF SAMPLES** Condition

**D2001 - ENROLLMENT** Standard Add

**f** **Added Citations (2)**

D1001 - CERTIFICATE OF WAIVER TESTS ×

D1002 - REPORTING OF SARS-CoV-2 TEST RESULTS ×

**h** Save Cancel

Figure 40: Added Citations

Table 6: Added Citations Detailed Callout

| No.      | Name                   | Description                                                                                                                                    |
|----------|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>a</b> | Search field           | Type by citation tag number, title, or keyword to find a specific citation                                                                     |
| <b>b</b> | Caret                  | Click caret to review additional details about the citation                                                                                    |
| <b>c</b> | Regulation sets        | Filter by all regulation sets or CLIA Regulations                                                                                              |
| <b>d</b> | Tag Types              | Filter by tag type                                                                                                                             |
| <b>e</b> | Information            | The tag has already been added                                                                                                                 |
| <b>f</b> | <b>Added Citations</b> | The citations that have just been selected. Click the X to remove a citation.                                                                  |
| <b>g</b> | <b>Add</b>             | Click to add the citation to the <b>Added Citations</b> filed. This does not automatically add the citation. The added citation must be saved. |
| <b>h</b> | <b>Save</b>            | Click to save the added citations.                                                                                                             |

- 12.2.3 Click **Save** to save citations to the survey. The screen returns to the **Citations** window.

## 12.3 Delete a Citation

**Note:** The citation cannot be deleted by the user if another team member has added findings. A Team Coordinator or a QA Team member can delete the findings when findings are merged.

- 12.3.1 Click **Delete Citation** under the **Actions** menu on the Citations page. See *Figure 41, Actions Delete Citation Drop-Down Menu*. A confirmation pop-up window appears.

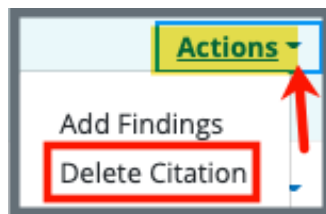


*Figure 41: Actions Delete Citation Drop-Down Menu*

- 12.3.2 Click **Confirm**. See *Figure 42, Delete Citation Confirmation Pop-up Window*. The citation has been deleted.

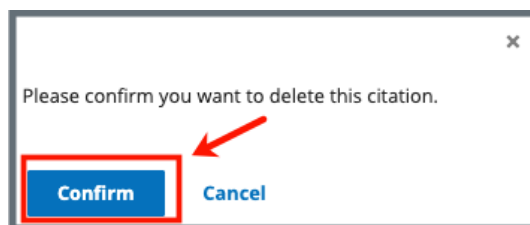


*Figure 42: Delete Citation Confirmation Pop-up Window*

## 12.4 Add a Deficient Practice Statement

**Note:** The Content Library stores reusable content. Review [Content Library](#), for more information.

12.4.1 Click the **Citation ID**. The **Citation Overview** window opens. See *Figure 43, Citation Overview*.

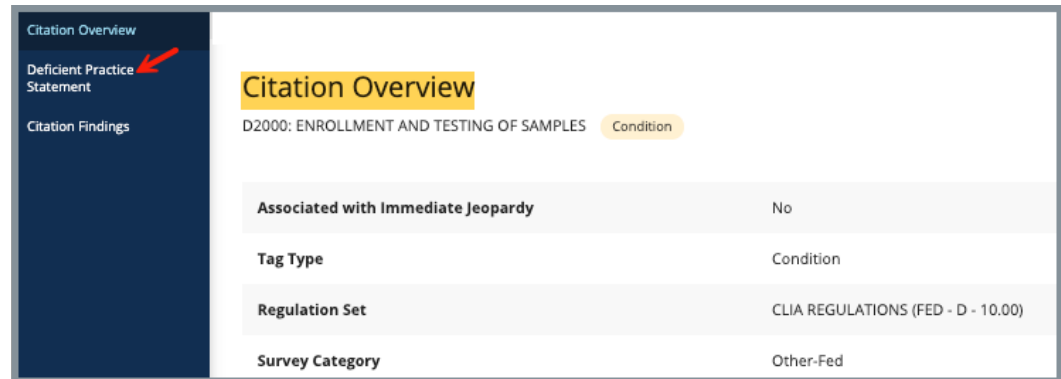


*Figure 43: Citation Overview*

12.4.2 Click **Deficient Practice Statement** on the left menu. The **Deficient Practice Statement** window opens. See *Figure 44, Deficient Practice Statement*.

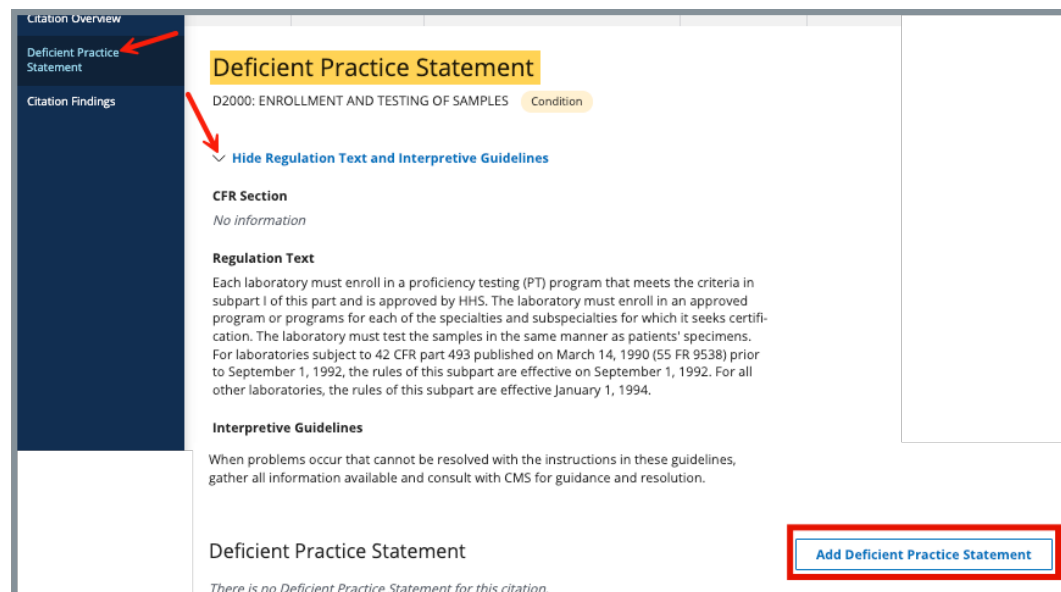


*Figure 44: Deficient Practice Statement*

12.4.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**.

**Note:** The **Regulation Text and Interpretive Guidelines** are helpful to write the **Deficient Practice Statement**.

12.4.4 Type the Deficient Practice Statement in the text box. See *Figure 45, Deficient Practice Statement Text Box*.

**Notes:**

- Click **Show Regulation Text and Interpretive Guidelines** for helpful text and guidelines in filling out the Deficient Practice Statement. Click again to hide the text.
- Click **AI Assistant** to have the AI Assistant help write the Deficient Practice Statement. Review [AI Assistant](#) for details.

*Figure 45: Deficient Practice Statement Text Box*

**Note:** Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 46, Concurrent Editor Notification*.

Changes saved by one user can overwrite another user's changes.

- Exit **Edit** mode if either of these notifications appears: *Figure 53: Concurrent Editor Notification* or *Figure 54: DPS Pencil Icon*.
- Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.

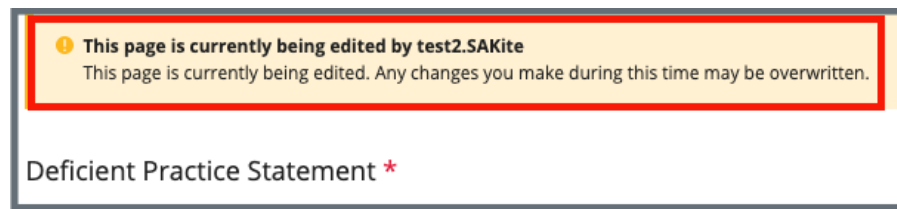


*Figure 46: Concurrent Editor Notification*

- A pencil icon is shown next to **Deficient Practice Statement** on the left menu when another user is editing the text area.
- Click the pencil and an explanatory text shows the name of the user who is editing the **Deficient Practice Statement**. See *Figure 47, DPS Pencil Icon*.

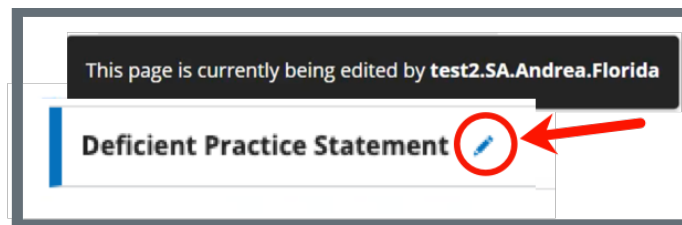


*Figure 47: DPS Pencil Icon*

12.4.5 Click **Add Deficient Practice Statement**.

12.4.6 Click **Save**.

## 12.5 Add Findings to a Citation

### Notes:

- Findings is a required field.
- The Content Library stores reusable content for **Findings**. Review [Content Library](#), for more information.

12.5.1 Click **Add Findings** in the **Actions** menu next to the correct citation on the **Citations** window. See *Figure 48, Citation Add Findings*. The Citation Findings window opens.

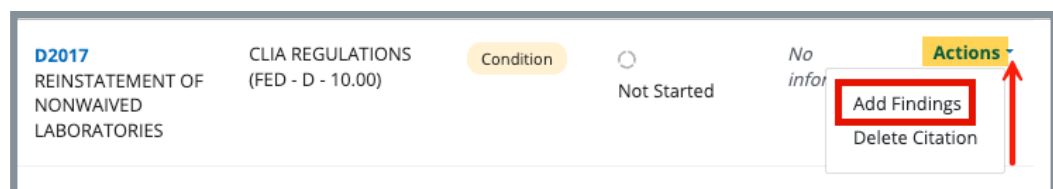


*Figure 48: Citation Add Findings*

**Note:** To view findings, edit comments, or delete memo for an existing citation, click the **Actions** drop-down menu in the **Citations** window. See *Figure 49, Actions Drop-Down Menu*. The respective window opens and the specific action can be performed.

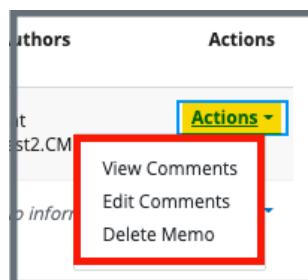


*Figure 49: Actions Drop-Down Menu*

12.5.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 50, Add Citation Findings*.

**Note:** Click **AI Assistant** to have the AI Assistant help write the findings. Review [AI Assistant](#) for details.

**Add Citation Findings**

D2017: REINSTATEMENT OF NONWAIVED LABORATORIES Condition

All required fields are marked with an asterisk (\*)

> [Show Regulation Text and Interpretive Guidelines](#)

**Deficient Practice Statement** Add Deficient Practice Statement

There is no Deficient Practice Statement for this citation.

**Findings \***

AI Assistant

Save Status

**Figure 50: Add Citation Findings**

**Note:** Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 51, Concurrent Editor Notification*.

Changes saved by one user can overwrite another user's changes.

- Exit **Edit** mode if either of these notifications appears: *Concurrent Editor Notification* or *Findings Pencil Icon* is shown.
- Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.

**This page is currently being edited by test2.CMSSingy**  
This page is currently being edited. Any changes you make during this time may be overwritten.

**Findings \***

**Figure 51: Concurrent Editor Notification**

- A pencil icon is shown next to **Citation Findings** on the left menu when another user is editing the text area.
- Click the pencil and an explanatory text shows the name of the user who is editing the **Findings**. See *Figure 52, Findings Pencil Icon*.

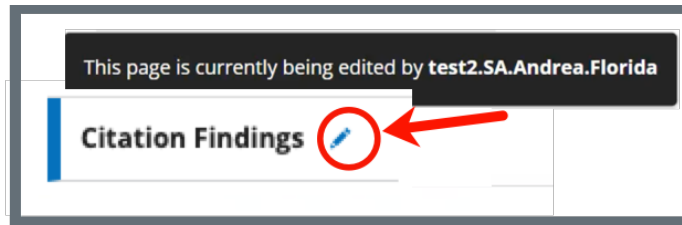


*Figure 52: Findings Pencil Icon*

12.5.3 Type details in the **Findings** fields. Once writing starts, the **Citation Findings Status** opens below.

**Note:** It is possible to copy existing text and paste it in the citation field. Copy the text (right click or **Ctrl + C**) and use **Ctrl + V** on the keyboard to paste.

12.5.4 Select **In Progress** or **Writing Complete** for the status.

12.5.5 Click **Save Status**. The **Citation Findings** window opens. Citation details are shown.

## 12.6 AI Assistant

**Purpose:** The Citation AI Assistant provides examples of completed Deficient Practice Statements and Findings for the current citation. Users can review, filter, copy or insert relevant citation examples when developing survey documentation.

**Notes:**

- The AI Assistant can be accessed from both the **Deficient Practice Statement Edit** window and the **Citations Findings** or **Edit** window.
- The AI Assistant matches examples to the current citation, regulation set, and provider type
- Users can filter examples by user name, state, or date range
- Up to 30 examples appear at a time
- Examples have a status of **Writing Complete** and may include corrected text

12.6.1 Click the citation on **Citations** page. The **Citation Overview** opens.

12.6.2 Click **Deficient Practice Statement** on the left menu. The **Deficient Practice Statement** opens.

12.6.3 Click **Add Deficient Practice Statement**. The **Add Deficient Practice Statement** window opens with the AI Assistant. See *Figure 53, AI Assistant Button*.

Note: The AI Assistant works the same way in Citation Findings.

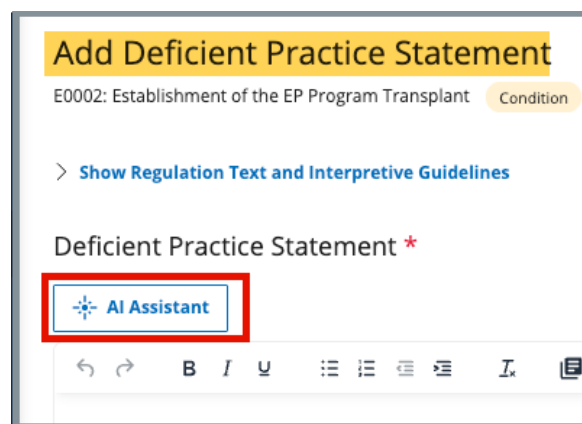


*Figure 53: AI Assistant Button*

12.6.4 Click **AI Assistant**. The AI Assistant opens in a slide-out panel on the right. See *Figure 54, AI Assistant* and *Table 7, AI Assistant Detailed Callout*.

**Note:** Click **Close AI Assistant** or the **X** to close the panel.

12.6.5 Review examples.

**Note:** Filter examples by user name, state, or date range.

**Examples:**

- Show writings for [user]
- Show writings in [state]
- Show writings in [date]
- Show writings for [user] in [state] in [date]

12.6.6 Click **Insert Text** to insert text at cursor in **Deficient Practice Statement** or **Findings** field.

12.6.7 Click **Copy Text** to copy text to clipboard.

**Citation F0553**  
New Wingo Test - CCN 065999 - NH

| Tag Type    | Regulation Set                              | Survey Category | Citation Status |
|-------------|---------------------------------------------|-----------------|-----------------|
| Requirement | LONG TERM CARE FACILITIES (FED - F - 22.00) | Recertification | Not Started     |

### Add Deficient Practice Statement

F0553: Right to Participate in Planning Care Requirement

> [Show Regulation Text and Interpretive Guidelines](#)

#### Deficient Practice Statement \*

[Close AI Assistant](#) **a**

**b**

**c**

**d**

**e**

**f**

**g**

**EXAMPLES** 05:03 PM

Here are Deficient Practice Statements examples for **F0553**. Click the row to view details. Ask me to filter or find different examples

**P. cmsgu\_e2e\_1\_impl2** Aug 13, 2024 [Hide Details](#)

The facility failed to provide reasonable accommodations for residents' individual needs and preferences related to daily routines, dining choices, communication, and personal activities. This failure had the potential to negatively affect residents' quality of life, dignity, and right to make choices regarding their care and services.

[Insert Text](#) [Copy Text](#)

**P. cmsgu\_e2e\_1\_impl2** Aug 13, 2024 [View Details](#)

The facility failed to provide reasonable accommodations for residents' individual needs and preferences related to daily routines, dining...

**P. cmsgu\_e2e\_1\_impl2** Aug 13, 2024 [View Details](#)

The facility failed to provide reasonable accommodations for residents' individual needs and preferences related to daily routines, dining...

**P. cmsgu\_e2e\_1\_impl2** Aug 13, 2024 [View Details](#)

The facility failed to provide reasonable accommodations for residents' individual needs and preferences related to daily routines, dining...

**P. impl2\_CMSGU\_Wingo** Aug 07, 2026 [View Details](#)

lorem ipsum dolor sit amet consectetur adipiscing elit qui dolore ipsum provident mollitia duis vel labore non eum in laborum pariatur qui et...

[Back](#) Page 1 of 3 [Next](#)

Ask AI Assistant to filter down examples by user's name(s), state(s) or date range

[Reset](#) [Submit](#)

**Findings**

There are no findings for this citation.

Figure 54: AI Assistant

*Table 7: AI Assistant Detailed Callout*

| No. | Name                                        | Description                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a   | <b>AI Assistant/<br/>Close AI Assistant</b> | Click to expand or collapse the AI Assistant panel.                                                                                                                                                                                                                                                                                                                                                           |
| b   | User name/date                              | Displays the user name and the most recent date the text was marked as <b>Writing Complete</b> .<br><b>Note:</b> Hover over user name to view the entire user name.                                                                                                                                                                                                                                           |
| c   | <b>Show/Hide Details</b>                    | Click caret to show or hide complete citation text.                                                                                                                                                                                                                                                                                                                                                           |
| d   | <b>Insert Text /<br/>Copy Text</b>          | Click <b>Insert Text</b> to insert text directly into the DPS or <b>Findings</b> field.<br><b>Note:</b> Inserted text appears at the cursor location in the <b>DPS</b> or <b>Findings</b> window.<br>Click <b>Copy Text</b> to copy text. Text can be pasted into the DPS or into a text editor or Word for revisions.<br><b>Note:</b> Text inserted into the DPS or Findings fields can be revised directly. |
| e   | <b>Next</b>                                 | Click to view additional pages of DPS or Findings examples.                                                                                                                                                                                                                                                                                                                                                   |
| f   | Ask AI field                                | Filter examples by user name, state, or date range.<br><b>Examples:</b> <ul style="list-style-type: none"> <li>• Show writings for [user]</li> <li>• Show writings in [state]</li> <li>• Show writings in [date]</li> <li>• Show writings for [user] in [state] in [date]</li> </ul>                                                                                                                          |
| g   | <b>Reset/Submit</b>                         | Click <b>Submit</b> to apply the filter. Click <b>Reset</b> to reset examples after filtering.                                                                                                                                                                                                                                                                                                                |

## 12.7 Content Library

**Purpose:** The Content Library is a place where reusable text content can be stored.

**Note:** The Content Library can be accessed from both the **Deficient Practice Statement Edit** window and the **Citations Findings** or **Edit** window. See *Figure 55, Content Library Icon*.

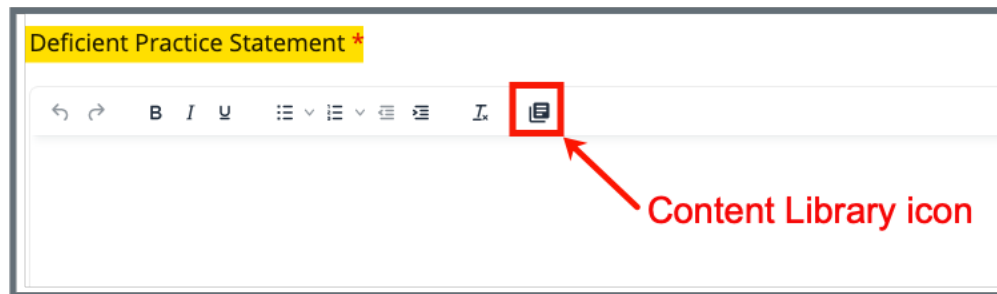
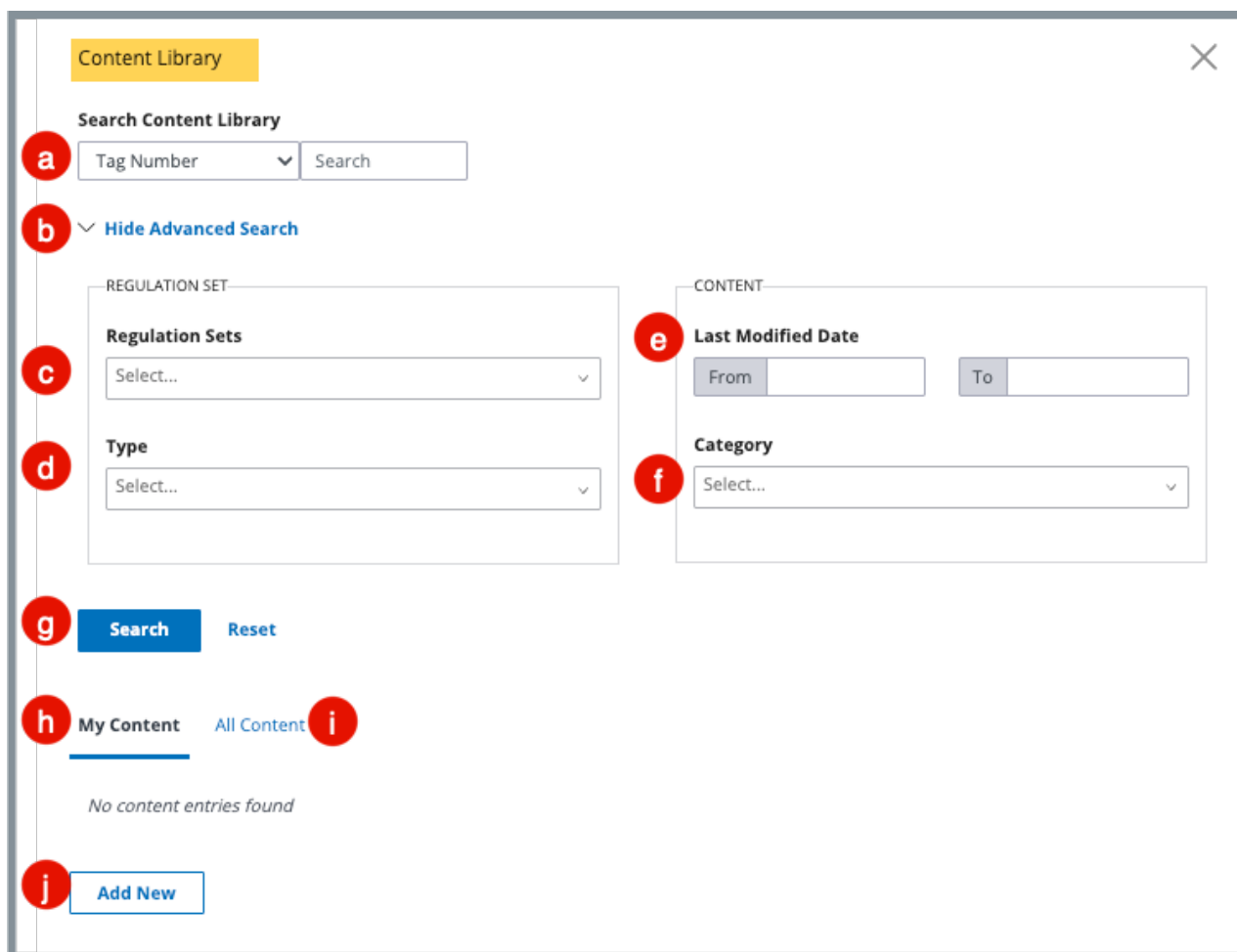


*Figure 55: Content Library Icon*

12.7.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 56, Content Library Pop-up Window* and *Table 8, Content Library Pop-up Window Detailed Callout*.

**Notes:**

- The Content Library is optional.
- Once opened, some fields in the Content Library are required.



The image shows a 'Content Library' pop-up window with a close button (X) in the top right corner. The window is divided into several sections:

- Search Content Library:** Contains a dropdown menu labeled 'Tag Number' (a) and a 'Search' button.
- Hide Advanced Search:** A toggle switch (b) currently set to 'Hide'.
- REGULATION SET:** Contains two dropdown menus: 'Regulation Sets' (c) and 'Type' (d), both with 'Select...' options.
- CONTENT:** Contains two sections:
  - Last Modified Date:** (e) Includes 'From' and 'To' date input fields.
  - Category:** (f) Includes a 'Select...' dropdown menu.
- Search and Reset:** (g) Includes a blue 'Search' button and a 'Reset' link.
- Content Tabs:** (h) Includes 'My Content' (active) and 'All Content' (i).
- Content List:** Displays 'No content entries found'.
- Add New:** (j) Includes a blue 'Add New' button.

**Figure 56: Content Library Pop-up Window**

**Table 8: Content Library Pop-up Window Detailed Callout**

| No. | Name                             | Description                                                                                                                                                                                                               |
|-----|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a   | <b>Search Content Library</b>    | Search by Author, Tag, Regulation Set Title, Description, Keyword                                                                                                                                                         |
| b   | <b>Show/Hide Advanced Search</b> | Click <b>Show Advanced Search</b> to view additional selections. Click <b>Hide Advanced Search</b> to remove selections                                                                                                   |
| c*  | <b>Regulation Set</b>            | Select from a list of regulation sets                                                                                                                                                                                     |
| d*  | <b>Type</b>                      | Type options are State or Federal, not active regulation sets                                                                                                                                                             |
| e*  | <b>Last Modified Date</b>        | The Last Modified Date is the date the content was initially created or last changed/modified                                                                                                                             |
| f*  | <b>Category</b>                  | Search from <b>All, Deficient Practice, Findings</b>                                                                                                                                                                      |
| g   | <b>Search</b>                    | Click <b>Search</b> to search for the content                                                                                                                                                                             |
| h   | <b>My Content</b>                | This tab has a list of all content created by the user                                                                                                                                                                    |
| i   | <b>All Content</b>               | This tab has a list of all content that has been made available by all users                                                                                                                                              |
| j   | <b>Table Headers</b>             | Content in My Content and All Content can be filtered by the headers. Click the upward and downward arrows to filter by any of the selections: <b>Tag, RegSet, Content Type, Last Modified, Description, or Status.</b>   |
| k   | <b>Add New</b>                   | Click <b>Add New</b> to add new content.                                                                                                                                                                                  |
| l   | <b>Actions</b>                   | Click the <b>Actions</b> drop-down menu next to any content under <b>My Content</b> to <b>Edit, Insert, or Delete</b> content. The <b>Actions</b> drop-down menu under <b>All Content</b> only can be inserted or viewed. |
| m   | <b>X</b>                         | Click to close the <b>Content Library</b> window                                                                                                                                                                          |

\*These fields appear when **Show Advanced Search** is selected.

12.7.2 Click **Add New** in the **Content Library** window to add a new piece of content. The **New Content** window opens. See *Figure 57, New Content Pop-up Window* and *Table 9, New Content Popup Detailed Callout*.

The screenshot shows the 'Add New Content' pop-up window. It features a title bar with a back arrow and 'Return to Content Library' (a), and a close button (X). The main area is titled 'Add New Content'. It contains several form fields: 'Provider Type' (b) with a dropdown menu showing 'Clinical Laboratory'; 'Survey Type' (c) with a dropdown menu showing 'Health'; 'Regulation Set' (d) with a dropdown menu showing 'CLIA REGULATIONS (FED - D - 10.00)'; 'Tag' (e) with a dropdown menu showing 'D0000 - INITIAL COMMENTS'; a 'Publish Content' checkbox (f); 'Content Category' (g) with radio buttons for 'Findings' and 'Deficient Practice Statement'; and a 'Description' (h) text area. Below the text area is a rich text editor toolbar (i) with icons for undo, redo, bold, italic, underline, bulleted list, numbered list, link, unlink, and insert link. At the bottom are two buttons: 'Save' (j) and 'Save and Insert' (k).

**Figure 57: New Content Pop-up Window**

**Table 9: New Content Popup Detailed Callout**

| No. | Name                             | Description                                                                                                                                                                                                                                                                  |
|-----|----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a   | <b>Return to Content Library</b> | Return to the <b>Content Library</b> window and cancel <b>New Content</b> .                                                                                                                                                                                                  |
| b*  | <b>Provider Type</b>             | Select the provider type from the drop-down menu.                                                                                                                                                                                                                            |
| c*  | <b>Survey Type</b>               | Select the survey type from the drop-down menu.                                                                                                                                                                                                                              |
| d*  | <b>Regulation Set</b>            | The regulation associated with the citation automatically appears. Click the caret to select a different regulation set from the drop-down menu.                                                                                                                             |
| e*  | <b>Tag</b>                       | The tag associated with the citation automatically appears. Click the caret to select a different tag from the drop-down menu.                                                                                                                                               |
| f   | <b>Publish Content</b>           | Check this box when the content created can be publicly accessed. This content then appears under <a href="#">All Content</a> .                                                                                                                                              |
| g   | <b>Content Category</b>          | Select <b>Findings</b> or <b>Deficient Practice Statement</b> .                                                                                                                                                                                                              |
| h   | <b>Description</b>               | Type a description. This description is how the content can be found in the Content Library.                                                                                                                                                                                 |
| i   | Text Box                         | The content can be typed or pasted in the box.                                                                                                                                                                                                                               |
| j   | <b>Save</b>                      | Click <b>Save</b> to save the content.                                                                                                                                                                                                                                       |
| k   | <b>Save and Insert</b>           | Click to insert the information in the text box into the Deficient Practice Statement (DPS) or the Findings.<br><b>Save and Insert</b> saves any changes made to the content and inserts the content in the DPS or Citations Findings and closes the Content Library window. |

\*These fields are automatically generated but can be changed.

### 12.7.3 Insert, Edit, or Delete Information from the Content Library.

**Note:** Only content in **My Content** can be edited or deleted. Content from **All Content** can be viewed, inserted, or [duplicated](#).

- Open the Content Library.
- Click **Insert** under the **Actions** menu to insert existing content. See *Figure 58, Content Library: Insert, Edit, Delete*.
- Click **Edit** under the **Actions** menu to edit existing content.
- Click **Delete** under the **Actions** menu to delete existing content. A pop-up window opens and asks for confirmation to delete. Once deleted, the content is deleted from **My Content** and **All Content**.

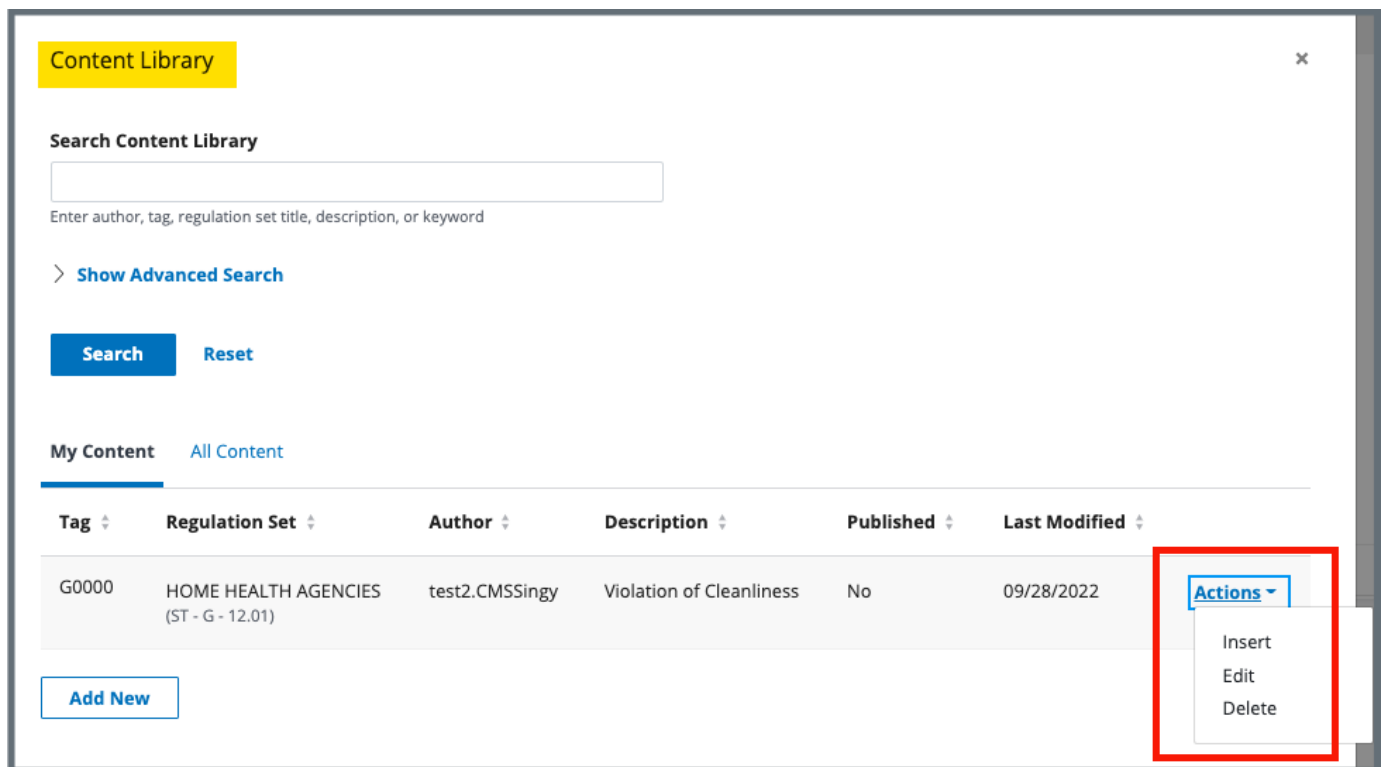


*Figure 58: Content Library: Insert, Edit, Delete*

### 12.7.4 Duplicate existing content

**Purpose:** Use **Duplicate** when there is existing content in **All Content** that you would like to use, but that may need to be edited.

- a. Click the **All Content** tab and search for content.
- b. Select **View** from the **Actions** drop-down menu. See *Figure 59, View Drop-Down Menu*.

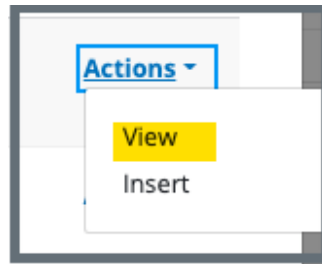


*Figure 59: View Drop-Down Menu*

- c. Click **Duplicate**. See *Figure 60, Duplicate*. The **Add New Content** window opens.

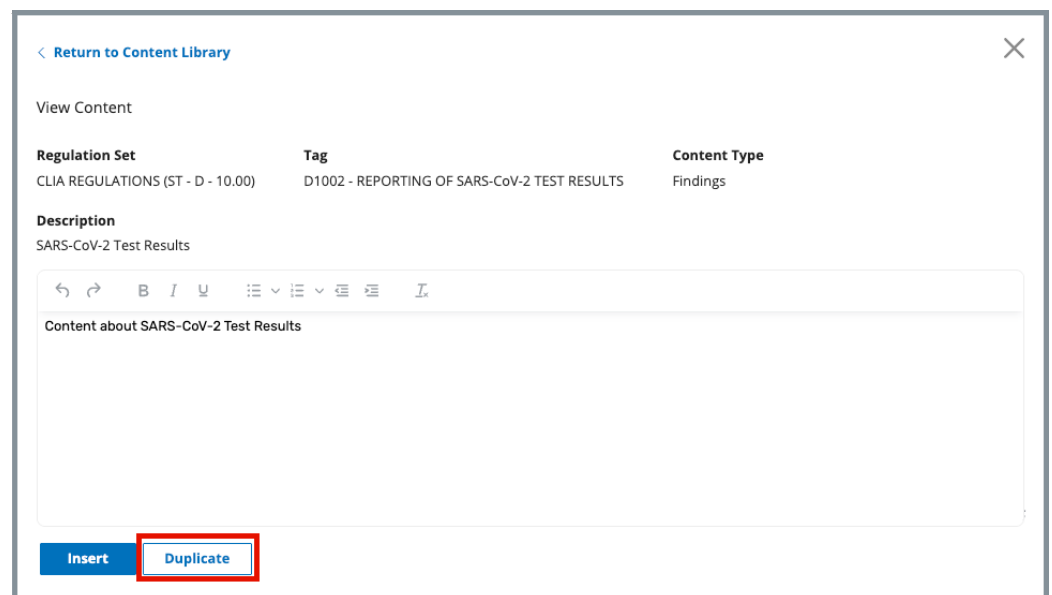


*Figure 60: Duplicate*

- d. Make any desired changes.
- e. Click **Save** to save the content to **My Content**. See *Figure 61, Edit Duplicated Content*.

- f. Click **Save and Insert** to save the content to **My Content** and insert the content into the DPS or the Findings.

< Return to Content Library

Add New Content

Provider Type \*  
Clinical Laboratory

Survey Type \*  
Health

Regulation Set \*  
CLIA REGULATIONS (FED - D - 10.00)

Tag \*  
D1002 - REPORTING OF SARS-CoV-2 TEST RESULTS

☒ Publish Content

Content Category \*  
☒ Findings 
 ☐ Deficient Practice Statement

Description \*  
COPY - SARS-CoV-2 Test Results

Content about SARS-CoV-2 Test Results

Edit content, if desired

Save Save and Insert

**Figure 61: Edit Duplicated Content**

**Note:** Duplicated Content has **COPY** in the description. See *Figure 62, Duplicated Content with COPY in Description*. To remove the word **COPY** from the description, select **Edit** from the **Actions** drop-down menu and delete the word from the description.

| <div><div>My Content</div><div>All Content</div></div> |                                   |                |                                       |             |                 |                           |
|--------------------------------------------------------|-----------------------------------|----------------|---------------------------------------|-------------|-----------------|---------------------------|
| Tag ▾                                                  | Regulation Set ▾                  | Author ▾       | Description ▾                         | Published ▾ | Last Modified ▾ |                           |
| D1002                                                  | CLIA REGULATIONS (ST - D - 10.00) | NH_CMSGU_Singy | <b>COPY</b> - SARS-CoV-2 Test Results | Yes         | 09/16/2026      | <a href="#">Actions ▾</a> |
| D1001                                                  | CLIA REGULATIONS (ST - D - 10.00) | NH_CMSGU_Singy | CLIA Paperless Notification           | No          | 08/25/2026      | <a href="#">Actions ▾</a> |

**Figure 62: Duplicated Content with COPY in Description**

## 12.8 Conditions to Lock a Citation

The following conditions must be met to lock a citation:

- Review the [Immediate Jeopardy section](#) for locking citations with IJ
- All citation statuses are marked **Writing Complete**
- The survey has a start date and an exit date

### Notes:

- The **Citations ready to be locked** notification banner appears when all citation writing has been marked complete.
- Unlock the citation to add a new citation or edit a locked citation.

## 12.9 Lock/Unlock a Citation

12.9.1 Click **Lock Citations** on the Citations page. See *Figure 63, Citations Ready to be Locked*.

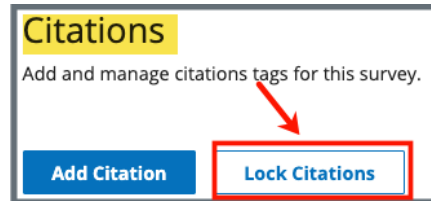


*Figure 63: Citations Ready to be Locked*

12.9.2 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 64, Lock Citations*.

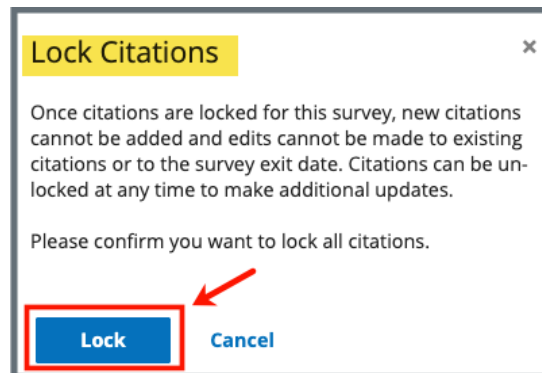


*Figure 64: Lock Citations*

- 12.9.3 Click **Lock** to lock citations. The **Citations** window opens and citations are locked.
- 12.9.4 Click **Unlock Citations** on the **Citations** window to unlock citations. See *Figure 65, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

**Note:** A citation cannot be unlocked once a Revisit Survey has been started.



*Figure 65: Unlock Citations Pop-Up Window*

- 12.9.5 Click **Unlock Citations**. The **Citations** window opens, and citations are unlocked.



12.10.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens.  
See *Figure 68, Merge*.

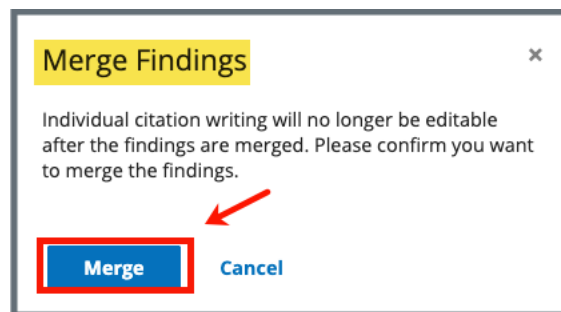


*Figure 68: Merge*

12.10.4 Click **Merge**. The **Findings** window opens with the merged findings.  
See *Figure 69, Ready for Merge*.

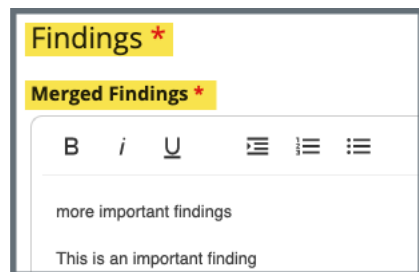


*Figure 69: Ready for Merge*

12.10.5 Update or edit findings, if desired. See *Figure 70, Findings*.

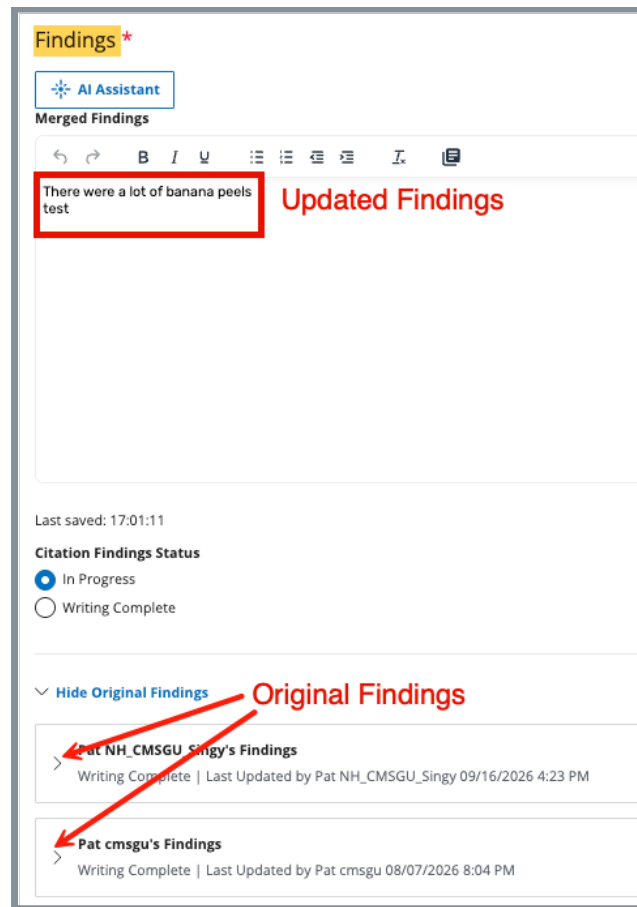


**Figure 70: Findings**

- Click **Edit Findings** to edit the findings. The **Citations Findings Status** automatically changes to **In Progress**.
- Click **Save Status** to save the edits. The **Citation Status** on the top menu is updated to **In Progress**.

#### 12.10.6 Click **Save**.

##### **Notes:**

- View **Merged Findings** under **Citation Findings**. Click **Show Original Findings** and the original findings open. Click **Hide Original Findings** to hide original findings.
- Only a Team Coordinator or a QA Team member can delete a merged citation.
- A merged citation can be edited to remove one of the merged citations.

## 12.11 Create a Revisit Survey

### Notes:

- A revisit is required for condition level or standard level deficiencies to document compliance.
- A revisit is recommended when there are federal standard level deficiencies or state licensure deficiencies.
- The revisit can be set to **Not Required** on the [Plan of Correction](#) for any no deficiency citations to override the revisit recommendation for standard or licensure deficiencies. The revisit survey is then updated so that the citations that are marked **No Revisit Needed** in the original survey do not carry over to the revisit survey.
- **No Revisit Needed** cannot be unchecked for federal standard level deficiencies associated with condition level citations that remain open.
- A follow-up visit can be scheduled as necessary until all deficiencies are corrected.
- Confirm the following before creating a revisit survey:
  - All citations and findings have been added
  - The survey has an exit date
  - Citations are locked
  - The Plan of Correction (POC) information is complete
- Once a revisit survey is created, it cannot be deleted. Contact the [iQIES Service Center](#) for help, if necessary.
- If carried-over citations have been corrected during the follow up visit, go to the [Plan of Correction](#) on the revisit survey and add the corrected dates.
- A revisit may not be necessary for all citations. Review [Create a Revisit Survey for Specific Citations](#) for what to do when all citations do not need to have a revisit survey created.
- All revisits can be seen back to the previous survey. See [View Older Revisit Surveys](#).

- 12.11.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 71, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

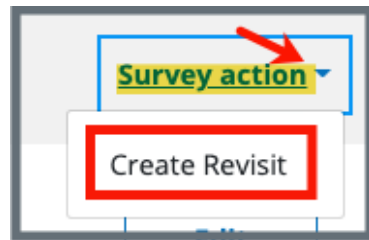


*Figure 71: Create Revisit Drop-Down Menu*

**Note:** When citations are issued, a notification message appears in **Citations** and states: **A revisit is required for this survey.** A link to create a revisit survey is in the notification.

- 12.11.2 Update the page as necessary. Be sure to click **Save Basic Information**.

## 12.12 Create a Revisit Survey for Specific Citations

**Purpose:** To create a revisit survey for some, but not all, of the citations on a survey.

**Notes:**

- Once a revisit survey is created, it cannot be deleted. Contact the [iQIES Service Center](#) for help, if necessary.
- All federal citations in the survey are carried over to the revisit survey when a survey contains federal citations with condition-level tags. When this happens, all the **Needs Revisit** checkboxes are checked and disabled (grayed out).
- Once a revisit survey is created, all the **Needs Revisit** checkboxes in the survey prior to the revisit survey are disabled and cannot be edited.

12.12.1 Go to the **Plan of Correction** page and scroll to **Corrective Actions**.

12.12.2 Each citation has a **Needs Revisit** column. See *Figure 72, Needs Revisit Column*.

**Note:** The default response to **Needs Revisit** is **Yes**.

Corrective Actions

Enter dates once the POC/AOC has been accepted.

Sort by: Citation ID

| Citation ID                                       | Immediate Jeopardy | Complete Date    | Corrected Date   | Correction Status | Needs Revisit |
|---------------------------------------------------|--------------------|------------------|------------------|-------------------|---------------|
| D1000<br>CERTIFICATE OF<br>WAIVER TESTS           | No                 | No information ⓘ | No information ⓘ | Not Corrected     | Yes           |
| D1002<br>REPORTING OF SARS-<br>CoV-2 TEST RESULTS | No                 | No information ⓘ | No information ⓘ | Not Corrected     | Yes           |

**Figure 72: Needs Revisit Column**

12.12.3 Click **Edit All Actions**. The fields are now editable. See *Figure 73, Needs Revisit Editable Fields*.

**Corrective Actions**

Enter dates once the Plan of Correction has been accepted.

| Citation ID                                     | Immediate Jeopardy | Complete Date (XS)   | Corrected Date   | Correction Status | Needs Revisit                         |
|-------------------------------------------------|--------------------|----------------------|------------------|-------------------|---------------------------------------|
| <b>CZ800</b><br>Applicability; Definitions      | No                 | <input type="text"/> | No information ⓘ | Not Corrected     | <input type="checkbox"/> ⓘ            |
| <b>G0372</b><br>Encoding and transmitting OASIS | No                 | <input type="text"/> | No information ⓘ | Not Corrected     | <input checked="" type="checkbox"/> ⓘ |
| <b>H0103</b><br>Accreditation                   | No                 | <input type="text"/> | No information ⓘ | Not Corrected     | <input checked="" type="checkbox"/> ⓘ |

**Save** **Cancel**

*Figure 73: Needs Revisit Editable Fields*

12.12.4 Uncheck the boxes under **Needs Revisit** for each citation that does not need to be corrected in a follow up visit.

12.12.5 Click **Save**.

## 12.13 View Older Revisit Surveys

12.13.1 Go to the latest revisit survey and click **Plan of Correction** on the left menu. Scroll down to **Corrective Actions**. See *Figure 74, Revisits Corrective Actions*.

**Corrective Actions** Edit All Actions

Enter dates once the POC/AOC has been accepted. Sort by: Citation ID

| Citation ID                                          | Immediate Jeopardy | Complete Date    | Corrected Date   | Correction Status | Needs Revisit |
|------------------------------------------------------|--------------------|------------------|------------------|-------------------|---------------|
| <b>D1000</b><br>CERTIFICATE OF WAIVER TESTS          | No                 | No information ⓘ | No information ⓘ | Not Corrected     | Yes           |
| <b>D1002</b><br>REPORTING OF SARS-CoV-2 TEST RESULTS | No                 | No information ⓘ | No information ⓘ | Not Corrected     | Yes           |

**Figure 74: Revisits Corrective Actions**

12.13.2 Click **Edit All Actions**.

12.13.3 Add the **Corrected Date** to any citations that have been corrected. See *Figure 75, Citation Corrected Dates*.

**Corrective Actions**

Enter dates once the POC/AOC has been accepted.

| Citation ID                                          | Immediate Jeopardy | Complete Date (X5) | Corrected Date       | Correction Status | Needs Revisit                         |
|------------------------------------------------------|--------------------|--------------------|----------------------|-------------------|---------------------------------------|
| <b>D1000</b><br>CERTIFICATE OF WAIVER TESTS          | No                 | 09/24/2026         | <input type="text"/> | Not Corrected     | <input checked="" type="checkbox"/> ⓘ |
| <b>D1002</b><br>REPORTING OF SARS-CoV-2 TEST RESULTS | No                 | 09/24/2026         | <input type="text"/> | Not Corrected     | <input checked="" type="checkbox"/> ⓘ |

**Figure 75: Citation Corrected Dates**

12.13.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 76, Revisits Linked in Corrective Actions*.

12.13.5 Click the link to view details about the revisit survey.

| Corrective Actions                                              |                          |                                  |                                                                    |                                    |                                                        |
|-----------------------------------------------------------------|--------------------------|----------------------------------|--------------------------------------------------------------------|------------------------------------|--------------------------------------------------------|
| Enter dates once the POC/AOC has been accepted.                 |                          |                                  |                                                                    |                                    |                                                        |
| Citation ID<br>D1000<br>CERTIFICATE OF WAIVER<br>TESTS          | Immediate Jeopardy<br>No | Complete Date (XS)<br>09/24/2026 | Corrected Date<br>09/24/2026 ⓘ<br><a href="#">Survey 32F4E5-H2</a> | Correction Status<br>Not Corrected | Needs Revisit<br><input checked="" type="checkbox"/> ⓘ |
| Citation ID<br>D1002<br>REPORTING OF SARS-CoV-2<br>TEST RESULTS | Immediate Jeopardy<br>No | Complete Date (XS)<br>09/24/2026 | Corrected Date<br>09/24/2026 ⓘ<br><a href="#">Survey 32F4E5-H2</a> | Correction Status<br>Not Corrected | Needs Revisit<br><input checked="" type="checkbox"/> ⓘ |

*Figure 76: Revisits Linked in Corrective Actions*

## 13. Immediate Jeopardy

**Purpose:** Immediate Jeopardy (IJ) is a situation in which the facility's noncompliance with one or more requirements of participation has caused or is likely to cause serious injury, harm, impairment, or death to a patient. Review the [Immediate Jeopardy Job Aid](#) for detailed information, including the IJ workflow.

### 13.1 Add IJ to a citation.

13.1.1 Add a citation. See [Citations](#) for more details.

13.1.2 Check the **Associated with Immediate Jeopardy** box. See *Figure 77, Add IJ to a Citation*.

The screenshot shows the 'Add Citations' window. At the top, there is a search bar with the placeholder text 'Search by citation tag number, title, or keyword' and a 'Reset' button. Below the search bar, it says '1 - 10 of 542 Citations'. There are two filter dropdowns: 'Filter by: CLIA REGULATIONS (FED)' and 'All Tag Types'. The main area displays a list of citations. Each citation has a title, a tag, and an 'Add' button. The citations are:

- D0000 - INITIAL COMMENTS (Memo) - CLIA REGULATIONS (FED - D - 10.00)
- D1000 - CERTIFICATE OF WAIVER TESTS (Standard) - CLIA REGULATIONS (FED - D - 10.00)
- D1001 - CERTIFICATE OF WAIVER TESTS (Standard) - CLIA REGULATIONS (FED - D - 10.00)
- D1002 - REPORTING OF SARS-CoV-2 TEST RESULTS (Condition-IJ) - CLIA REGULATIONS (FED - D - 10.00)
- D2000 - ENROLLMENT AND TESTING OF SAMPLES (Condition) - CLIA REGULATIONS (FED - D - 10.00)

A red box highlights the checkboxes for 'Associated with Immediate Jeopardy'. The checkbox for D1002 is checked, and a red arrow points from it to the 'Condition-IJ' tag. The checkbox for D2000 is unchecked.

*Figure 77: Add IJ to a Citation*

13.1.3 Click **Add**.

**Note:** The **Condition** badge updates to **Condition-IJ** when **Associated with Immediate Jeopardy** is selected.

13.1.4 Click **Save**. The **Citations** window opens.

**Note:** A Statement of Deficiency can be generated with IJ, but the date sent and a revisit survey cannot be created. **Lock IJs** bypasses this requirement and allows the citations not associated with IJ to move forward. All other citations must be updated.

13.2 Update any citations not associated with IJ. See [Add Findings](#), if necessary.

13.3 Click **Lock IJs**. See *Figure 78, Lock IJs*. The **Lock IJ Citations** window opens.

#### Notes:

- The **Lock IJs** box highlights in solid red when all conditions have been met.
- All citations associated with the survey are locked. They can be unlocked once the SOD is generated with **Date Sent**.

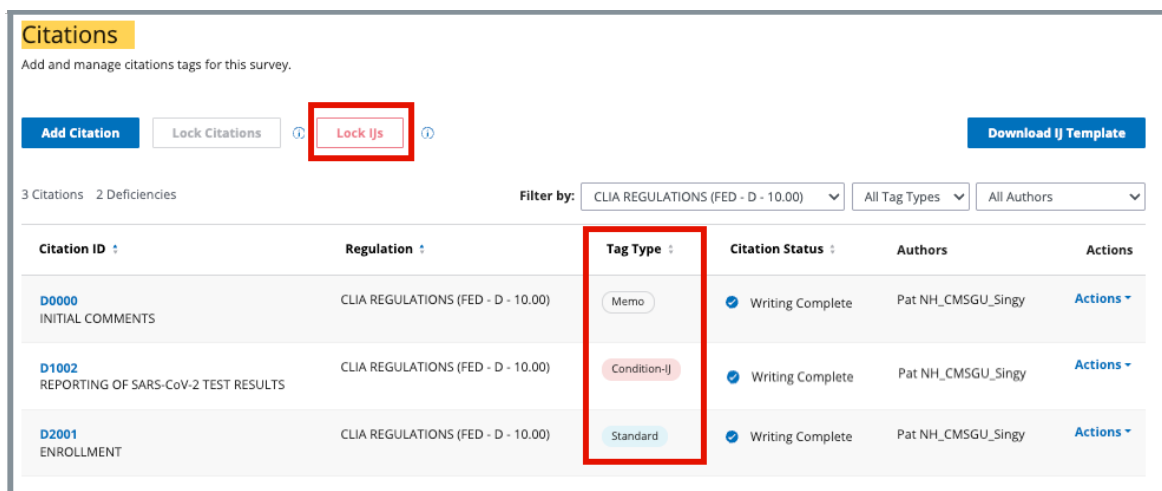


*Figure 78: Lock IJs*

13.4 Click **Lock as IJ**. See *Figure 79, Lock IJ Citations Popup Window*. The **Citations** page opens and a Statement of Deficiencies can now be generated with **Date Sent**.

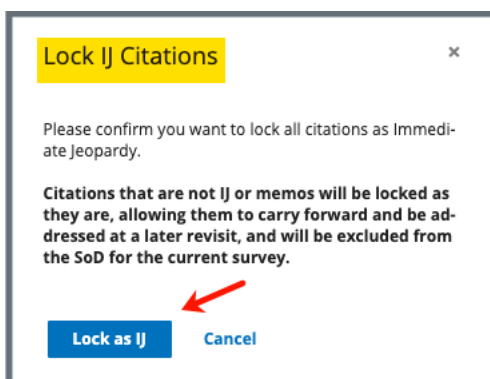
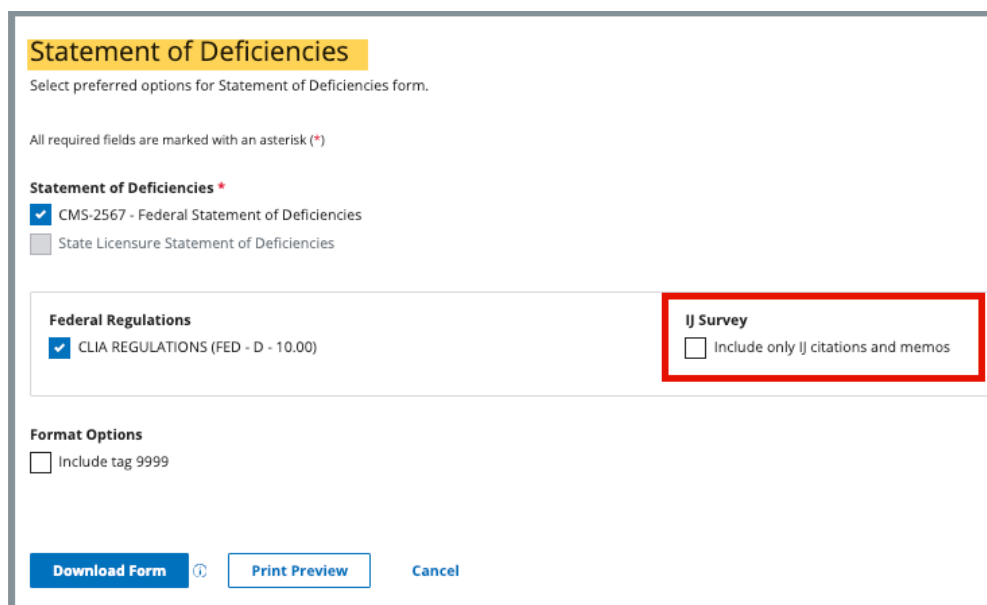


*Figure 79: Lock IJ Citations Popup Window*

- 13.5 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** page opens.
- 13.6 Click **Generate Statement of Deficiencies**. The **Statement of Deficiencies** page shows additional fields.
- 13.7 Click the box next to **Include only IJ citations and memos** under **IJ Survey** on the **Statement of Deficiencies** page. See *Figure 80, IJ Citation Check Box*. Only the IJ citation is included on the SOD.

**Notes:**

- When an IJ citation is locked, an SOD can be generated with **Date Sent** when the non-IJ citation status is **Citation Status is Not Started**.
- An SOD can be created, but it cannot be generated with **Date Sent** prior to locking citations.



The screenshot displays the 'Statement of Deficiencies' form. At the top, the title 'Statement of Deficiencies' is highlighted in yellow. Below it, a subtitle reads 'Select preferred options for Statement of Deficiencies form.' A note states 'All required fields are marked with an asterisk (\*)'. The form is divided into sections: 'Statement of Deficiencies \*' with two radio buttons ('CMS-2567 - Federal Statement of Deficiencies' selected and 'State Licensure Statement of Deficiencies' unselected), 'Federal Regulations' with a checked radio button for 'CLIA REGULATIONS (FED - D - 10.00)', and 'IJ Survey' with an unchecked checkbox for 'Include only IJ citations and memos'. The 'IJ Survey' section is highlighted with a red rectangle. At the bottom, there are buttons for 'Download Form', 'Print Preview', and 'Cancel'. A 'Format Options' section with an unchecked checkbox for 'Include tag 9999' is also visible.

**Figure 80: IJ Citation Check Box**

## 14. Statement of Deficiencies

**Purpose:** To issue CMS-2567 form when the survey or investigation identifies violations of federal regulations.

**Note:** Citations must be complete, merged, and locked before CMS-2567 is completed.

### 14.1 Create the CMS-2567 form.

14.1.1 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** screen opens. See *Figure 81, Statement of Deficiencies*.

**Note:** **Edit** is not active for Statements of Deficiencies until the survey has an exit date.

**Statement of Deficiencies**

Generate the statement of deficiencies and enter the date sent once the form has been sent to the provider.

**Generate Form**

Due to Provider: No information

Date Sent: No information

Due Back from Provider: No information

**Edit**

History

| Version | Generated By | Date & Time Published | Due to Provider | Date Sent | Due Back from Provider | Actions |
|---------|--------------|-----------------------|-----------------|-----------|------------------------|---------|
|         |              |                       |                 |           |                        |         |

*Figure 81: Statement of Deficiencies*

14.1.2 Click **Generate Form**. Preferred options are shown. See *Figure 82, Statement of Deficiencies: Preferred Options*.

14.1.3 Check the CMS-2567 box under **Statement of Deficiencies**.

**Statement of Deficiencies**

Select preferred options for Statement of Deficiencies form.

All required fields are marked with an asterisk (\*)

**Statement of Deficiencies \***

☒ CMS-2567 - Federal Statement of Deficiencies

☐ State Licensure Statement of Deficiencies

**Format Options**

☐ Include tag 9999

**Download Form** **Cancel**

*Figure 82: Statement of Deficiencies: Preferred Options*

14.1.4 Click **Download Form**. The **Statement of Deficiencies** form downloads.

**Notes:**

- If the form does not show at the bottom of the screen, go to the **Downloads** folder on the computer.
- See [CMS-2567 example](#).

14.2 Edit the Statement of Deficiencies dates.

**Note:** The Statement of Deficiencies can only be edited when a survey has an exit date.

14.2.1 Click **Edit**. See *Figure 83, Statement of Deficiencies*.

**Statement of Deficiencies**

Generate the statement of deficiencies and enter the date sent once the form has been sent to the provider.

**Generate Form**

| Due to Provider | Date Sent      | Due Back from Provider |
|-----------------|----------------|------------------------|
| No information  | No information | No information         |

**Edit**

*Figure 83: Statement of Deficiencies*

14.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 84, Statement of Deficiencies Edit Screen*.

**Note:** The **Due to Provider** date is automatically set to ten (10) days after the survey exit date.

**Statement of Deficiencies**

Generate the statement of deficiencies and enter the date sent once the form has been sent to the provider.

**Generate Form**

**Due to Provider** **Date Sent** **Due Back From Provider**

10/19/2021

MM/DD/YYYY MM/DD/YYYY MM/DD/YYYY

**Save** **Cancel**

*Figure 84: Statement of Deficiencies Edit Screen*

14.2.3 Click **Save**. See *Figure 85, CMS-2567*.

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         |                                                                                                                          |                                                           |                                   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|-----------------------------------|
| DEPARTMENT OF HEALTH AND HUMAN SERVICES<br>CENTERS FOR MEDICARE & MEDICAID SERVICES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         |                                                                                                                          | PRINTED: 08/25/2026<br>FORM APPROVED<br>OMB NO. 0938-0391 |                                   |
| STATEMENT OF DEFICIENCIES<br>AND PLAN OF CORRECTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | (X1) PROVIDER/SUPPLIER/CLIA<br>IDENTIFICATION NUMBER:<br><br>15D1057396 | (X2) MULTIPLE CONSTRUCTION<br>A. BUILDING<br>B. WING                                                                     | (X3) DATE SURVEY COMPLETED<br><br>08/25/2026              |                                   |
| NAME OF PROVIDER OR SUPPLIER<br><br>1019 BELLE'S PLACE OF CRAWFORDSVILLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         | STREET ADDRESS, CITY, STATE, ZIP CODE<br><br>100 BICKFORD LN , CRAWFORDSVILLE, Indiana, 47933                            |                                                           |                                   |
| (X4) ID<br>PREFIX<br>TAG                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | SUMMARY STATEMENT OF DEFICIENCIES<br>(EACH DEFICIENCY MUST BE PRECEDED BY FULL<br>REGULATORY OR LSC IDENTIFYING INFORMATION)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | ID<br>PREFIX<br>TAG                                                     | PROVIDER'S PLAN OF CORRECTION<br>(EACH CORRECTIVE ACTION SHOULD BE<br>CROSS-REFERENCED TO THE<br>APPROPRIATE DEFICIENCY) | (X5)<br>COMPLETION<br>DATE                                |                                   |
| D0000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | INITIAL COMMENTS<br><br>Bananas were everywhere - on the floor, the tables,<br>the people.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | D0000                                                                   |                                                                                                                          |                                                           |                                   |
| D1002                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | REPORTING OF SARS-CoV-2 TEST RESULTS<br><br>CFR(s): 493.41<br><br>During the Public Health Emergency, as defined in §<br>400.200 of this chapter, each laboratory that<br>performs a test that is intended to detect<br>SARS-CoV-2 or to diagnose a possible case of<br>COVID-19 (hereinafter referred to as a "SARS-CoV-2<br>test") must report SARS-CoV-2 test results to the<br>Secretary in such form and manner, and at such<br>timing and frequency, as the Secretary may<br>prescribe.<br><br>This CONDITION is NOT MET as evidenced by:<br><br>more stuff                                                                | D1002                                                                   |                                                                                                                          |                                                           |                                   |
| D2001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | ENROLLMENT<br><br>CFR(s): 493.801(a)(1)(2)(i)<br><br>The laboratory must--<br><br>(1) Notify HHS of the approved program or programs<br>in which it chooses to participate to meet<br>proficiency testing requirements of this subpart.<br><br>(2)(i) Designate the program(s) to be used for each<br>specialty, subspecialty, and analyte or test to<br>determine compliance with this subpart if the<br>laboratory participates in more than one proficiency<br>testing program approved by CMS; and<br><br>This STANDARD is NOT MET as evidenced by:<br><br>Grapes were everywhere - on the floor, the tables,<br>the people. | D2001                                                                   |                                                                                                                          |                                                           |                                   |
| Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See reverse for further instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         |                                                                                                                          |                                                           |                                   |
| LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         | TITLE                                                                                                                    | (X6) DATE                                                 |                                   |
| FORM CMS-2567 (02/99) Previous Versions Obsolete                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                         | Event ID: 396789-C1                                                                                                      | Facility ID: IN22006166                                   | If continuation sheet Page 1 of 1 |

*Figure 85: CMS-2567*

## 15. Plan of Correction (POC) / Allegation of Compliance

**Purpose:** To identify steps that must be taken, and time required to comply with regulation.

### Notes:

- For accepted POCs – Both the **Provider Sign-off Date (X6)** and the **Received Date** are required.
- For rejected POCs – New POCs can be entered until the status is **Accepted**. Only the most recent POC is available for viewing.
- Click **Edit** on the **Plan of Correction** page to make edits, if necessary.
- POC information is kept for the life of the survey.
- Citations must be locked before creating a POC.
- The **Due Date** is automatically populated to ten (10) days after the sent date as long as the Statement of Deficiencies **Date Sent** has been entered.

15.1 Click **Plan of Correction** on the left menu. The **Plan of Correction** screen opens. See *Figure 86, Plan of Correction*.

Clinical Laboratory

Basic Information

Responsible Staff

Manage Tasks

Teams

Specialties

Citations

Statement of Deficiencies

Plan of Correction

CMS-1539

CMS-670

Letters

Notes

Attachments

### Plan of Correction / Allegation of Compliance

Add and manage the status and dates for the Plan of Correction (POC) or Allegation of Compliance (AOC)  
All required fields are marked with an asterisk (\*)

Statement of Deficiencies Sent Date  
08/25/2026

**Due Date**  
09/04/2026  
MM/DD/YYYY

**Provider Sign-off Date (X6)**  
MM/DD/YYYY

**Received Date**  
MM/DD/YYYY

**Status \***

☐ Pending Review

☐ Accepted

☐ Not Accepted

**Save**

*Figure 86: Plan of Correction*

## 15.2 Fill out the information.

### Notes:

- The **Provider Sign-off Date (X6)** and the **Received Date** are not required when the status is **Not Accepted**.
- The **Complete Date** can be any date. It is editable at any point.
- The **Corrected Date** can be any date prior to or equal to the **Exit Date** of the survey.

## 15.3 Click **Save**. The **Plan of Correction** page updates.

## 16. CMS-670

**Purpose:** To demonstrate how to add or manage time team members spent on the survey.

**Notes:**

- Only surveyors can enter CMS-670 information.
- QA team members can act on behalf of surveyors and have the same privileges as survey team members.
- CMS-670 can only be accessed from the survey record.
- The CMS-670 (Time) **On-site** and **Travel** fields are disabled when **Offsite** is selected in the basic survey.

### 16.1 Add CMS-670 Time

16.1.1 Go to the survey record.

16.1.2 Click **CMS-670** on the left menu of the survey record to go to Time Entries. See *Figure 87, CMS-670*.

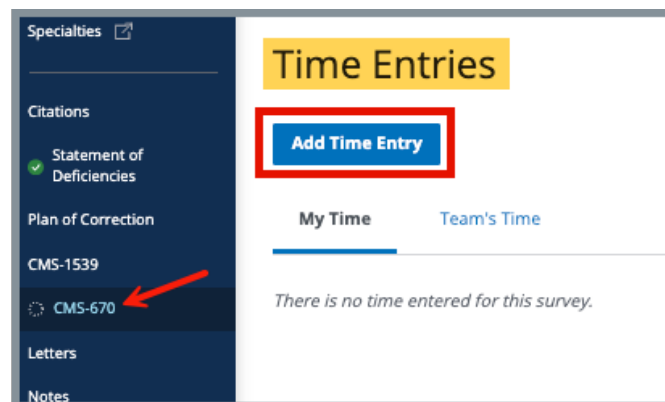
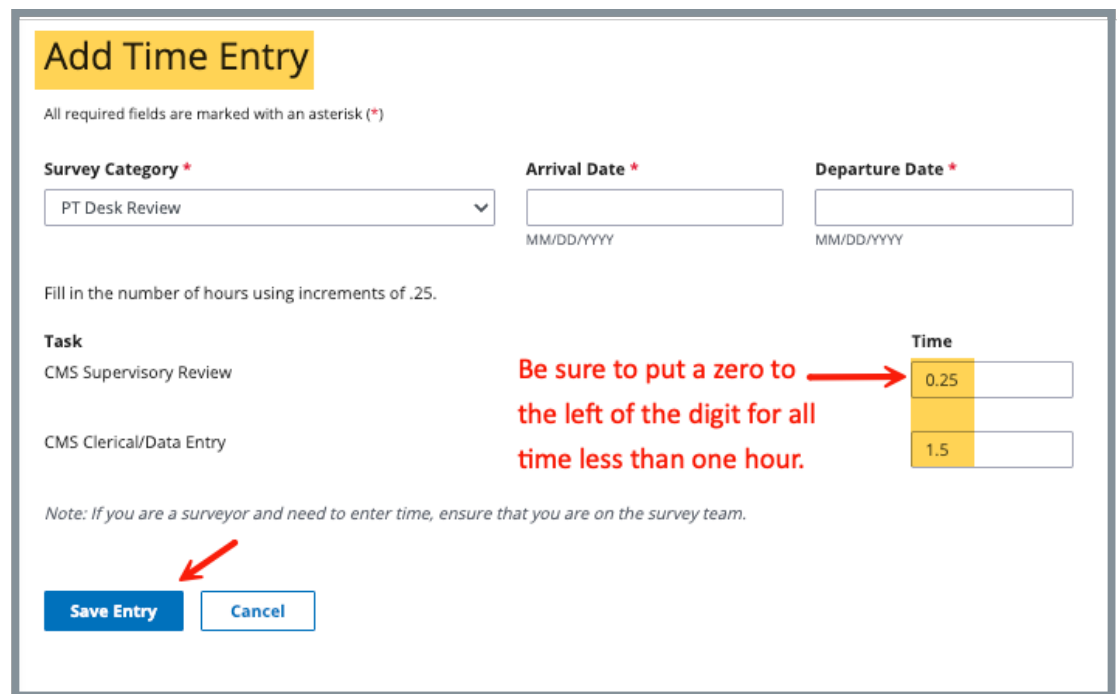


*Figure 87: CMS-670*

16.1.3 Click **Add Time Entry** to add time. The **Add Time Entry** window opens. See *Figure 88, Add Time Entry*.



**Add Time Entry**

All required fields are marked with an asterisk (\*)

**Survey Category \***  
PT Desk Review

**Arrival Date \***  
MM/DD/YYYY

**Departure Date \***  
MM/DD/YYYY

Fill in the number of hours using increments of .25.

**Task**  
CMS Supervisory Review  
CMS Clerical/Data Entry

**Time**  
0.25  
1.5

Be sure to put a zero to the left of the digit for all time less than one hour.

Note: If you are a surveyor and need to enter time, ensure that you are on the survey team.

**Save Entry** **Cancel**

**Figure 88: Add Time Entry**

#### 16.1.4 Fill out the information.

##### Notes:

- Fill out time in increments of .25. Time less than one (1) hour must have a zero to the left of the decimal point. For example, 30 minutes is written as **0.5**. Fifteen minutes is written as **0.25**.
- CMS-670 time entries cannot exceed the number of hours available in a day (for example, 8 AM to 6 PM)

#### 16.1.5 Click **Save Entry**. Detailed combined time information is shown.

**Note:** The surveyor can view **My Time** or **Team's Time** on the **Time Entries** page.

#### 16.1.6 Click **Edit** to edit information, if desired.

## 16.2 Edit or Delete CMS-670 Time

### Notes:

- Hours can only be deleted by the surveyor who entered the time or the QA team member.
- If the QA team member or the surveyor is unavailable, any staff may be assigned as QA staff and edit or delete the time entry. Review the [Manage a Provider User Manual](#) for further information on how to add a QA team member.

16.2.1 Go to the survey record.

16.2.2 Click **CMS-670** on the left menu of the survey record to go to Time Entries.

16.2.3 Select the **Team's Time** tab to edit or delete time. See *Figure 89, Team's Time*.

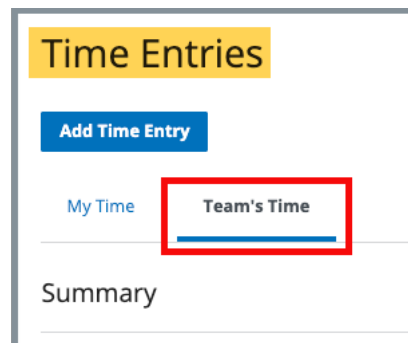


*Figure 89: Team's Time*

- 16.2.4 Click **Edit** next to the surveyor whose time needs to be edited or deleted. See *Figure 90, Edit or Delete Surveyor's Time*. The **Edit Time Entry** page opens.

Pat NH\_SAGU\_Surveyor\_Singy

**Initial Certification**  
04/08/2026 - 04/08/2026

Last Updated by Pat NH\_SAGU\_Surveyor\_Singy 04/14/2026 8:55 AM

| Task                   | Time |
|------------------------|------|
| Pre-Survey Preparation | 0    |
| On-site (12am-8am)     | 0    |
| On-site (8am-6pm)      | 0    |
| On-site (6pm-12am)     | 0    |
| Travel                 | 0    |
| Off-site Hours         | 0    |
| Subtotal:              | 0    |

| Supervisory Task        | Time |
|-------------------------|------|
| CMS Supervisory Review  | 0    |
| CMS Clerical/Data Entry | 0    |
| SA Supervisory Review   | 0    |
| SA Clerical/Data Entry  | 8    |
| Subtotal:               | 8    |

**Figure 90: Edit or Delete Surveyor's Time**

### 16.2.5 Update **Arrival/Departure Date** or **Time**. See *Figure 91, Edit Time Entry*.

**Edit Time Entry**

All required fields are marked with an asterisk (\*)

**Team Member**  
Select one

**Survey Category**  
Initial Certification

**Arrival Date \***  
04/08/2026  
MM/DD/YYYY

**Departure Date \***  
04/08/2026  
MM/DD/YYYY

Fill in the number of hours using increments of .25.

| Task                   | Time |
|------------------------|------|
| SA Supervisory Review  | 0    |
| SA Clerical/Data Entry | 8    |

Note: If you are a surveyor and need to enter time, ensure that you are on the survey team.

**Save Entry** **Cancel** **Delete**

**Figure 91: Edit Time Entry**

### 16.2.6 Click **Save Entry**.

#### Notes:

- Repeat steps for as many time or date entries as needed.
- All time must be removed from the CMS-670 before a survey can be deleted.

## 17. Letters, Notes, Attachments

---

**Note:** **Letters, Notes, and Attachments** information can be found in the S&C User Manual: **Letters, Notes, and Attachments** on [QTSO](#).