Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Survey and Certification (S&C)
Manage a Survey
User Manual

Version 2.0

April 8, 2025

Table of Contents

List of Figures

List of Tables

1. Introduction

This user manual addresses how to add, review, manage, and edit surveys. This manual is not for Nursing Home or Long Term Care Survey Process. Please review Manage a Survey: Long Term Care Facilities User Manual.

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

For information on other modules, refer to 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. Refer to 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*.

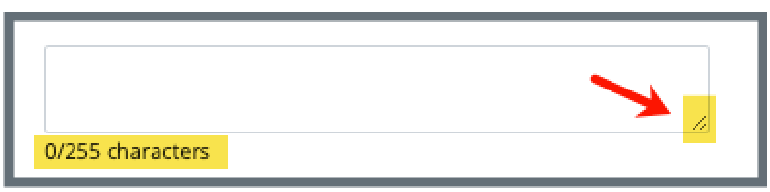


Figure 1: Expandable Field

- iQIES times out after 15 minutes of nonuse and reverts to the login page. Be sure to save data regularly. iQIES remains up and active as long as it is in use.

- 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 (X'd out) at any time.

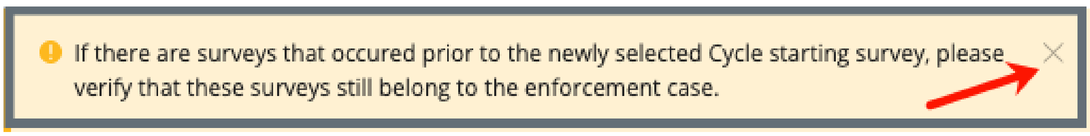


Figure 2: Notification Banner

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 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 are in iQIES to communicate information. 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
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 providers • 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 provided in this document pertain to S&C and require a State Agency or Centers for Medicare & Medicaid Services (CMS) role with the capability to view or edit this 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. Refer to 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 Workload Management tool. See *Figure 5, Workload Management Landing Page.*

Note: The **My Tasks** landing page defaults to **Active tasks**. Click the drop-down menu and select **Closed tasks** to view completed tasks.

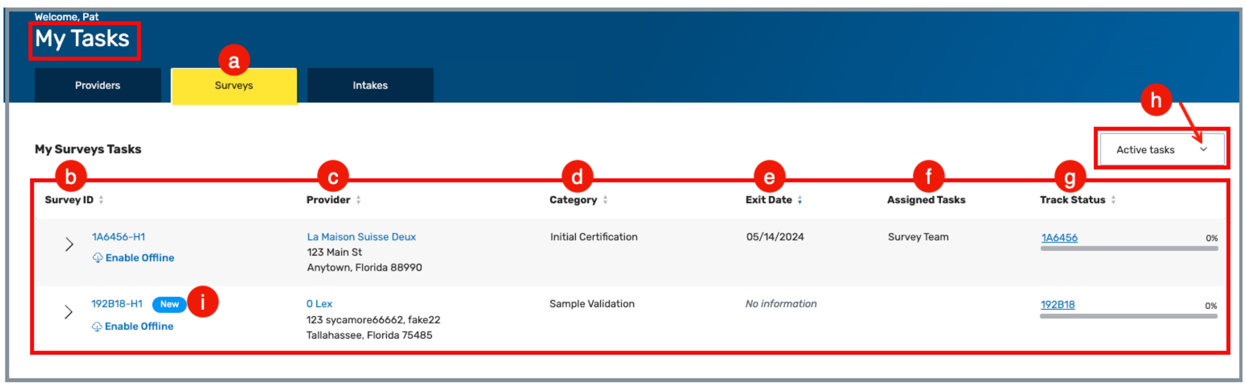


Figure 5: My Tasks Landing Page

Table 2: My Tasks Landing Page Detailed Callout

No.	Name	Description
a	**Survey** tab	Click each tab (**Providers**, **Surveys**, **Intakes**) to review the respective tasks. Not all tabs are available in all user roles. Click **Enable Offline** to enable the survey offline. For more details on how to enable offline, refer to S&C User Manual: Offline.
b	**Survey ID**	The survey ID shows as a link directly under **Survey ID**. Click the link to go directly to the Survey Basic Information page. Click the caret next to the survey ID to view task status details about the survey. See step 1.4.2.

No.	Name	Description
c	**Provider**	The provider ID and address shows as a link directly under **Provider**. Click the link to go directly to the Provider Basic Information page.
d	**Category**	Shows the survey category.
e	**Exit Date**	Shows the survey exit date.
f	**Assigned Tasks**	Lists the assigned tasks
g	**Track Status**	Tracks the completion status of the survey track. Click the status ID to see details. See Certification Event for a detailed explanation.
h	**Active/Closed Tasks**	Toggle between **Active** and **Closed** tasks.
i	**New**	A blue **New** in an oval shape (badge) next to the **Survey ID** in the Survey tab indicates that the survey task's status is **New**.

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 6, iQIES Logo*.

Figure 6: iQIES Logo

- If there are no tasks, then a message appears below the selected tab. See *Figure 7, No Active Tasks*, for an example from the **Surveys** tab.

Figure 7: No Active Tasks

1.4.1 Click caret next to the survey ID and details open about tasks assigned to the survey. See *Figure 8, Task Status Details* and *Table 2, Task Status Details Detailed Callout*.

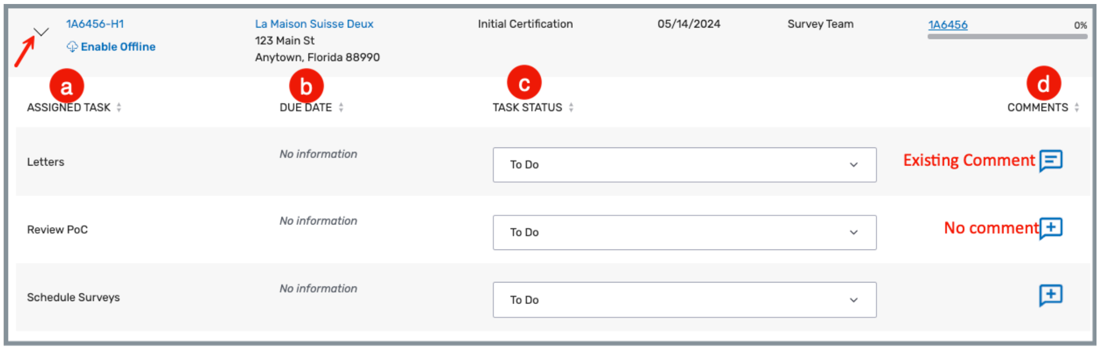


Figure 8: Task Status Details

Table 3: Task Status Details Detailed Callout

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

1.4.2 Click the **+** to leave a comment. The side menu opens. See *Figure 9, My Tasks Comments.*

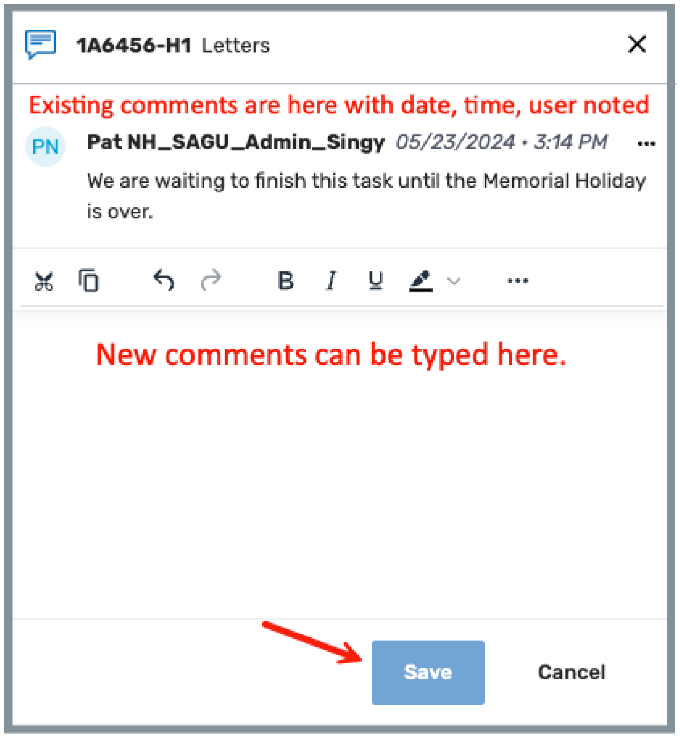


Figure 9: My Tasks Comments

1.4.3 Click **Save** to save comments. The side menu closes.

2. Manage a Survey Overview

This user manual addresses how to add, review, manage, and edit surveys.

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 **Search**. The **Search** screen opens. See *Figure 10, S&C Search*.

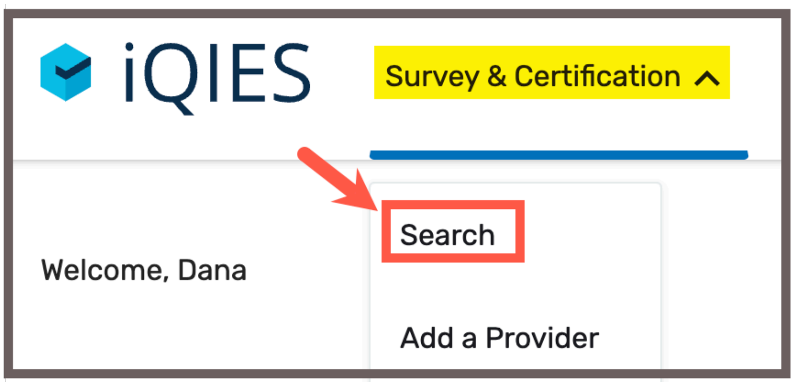


Figure 10: S&C Search

3.3 Click the **Surveys** tab. See *Figure 11, Surveys Search*.

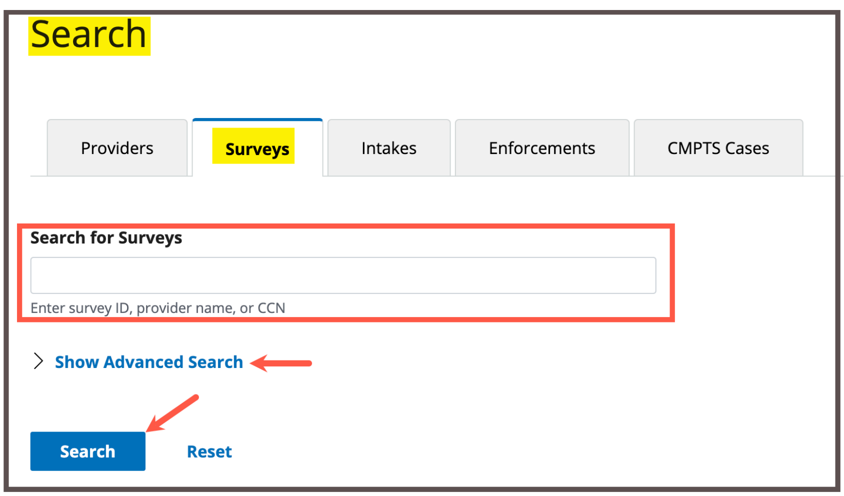


Figure 11: Surveys Search

3.4 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria, if desired. See *Figure 12, Surveys Advanced Search*. Otherwise, go to step 3.5.

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

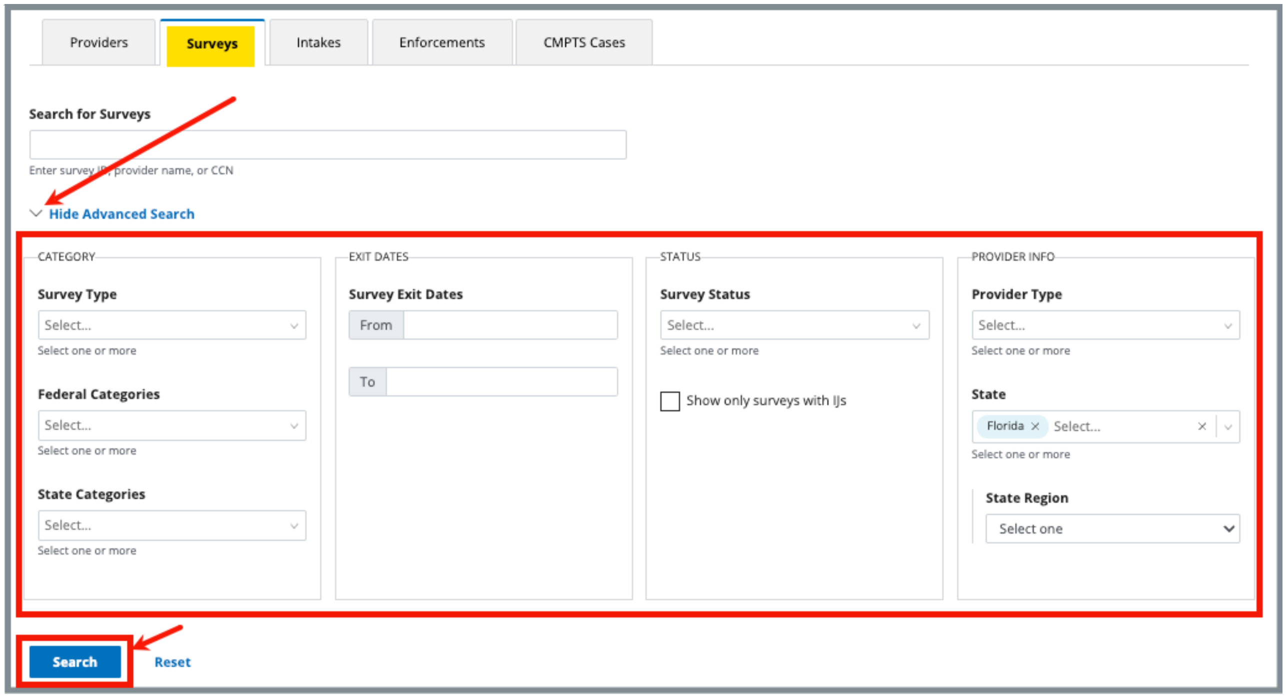


Figure 12: Surveys Advanced Search

3.5 Type the survey ID, provider name, or CCN.

3.6 Click **Search**. The provider information shows below. See *Figure 13, Search Results.*

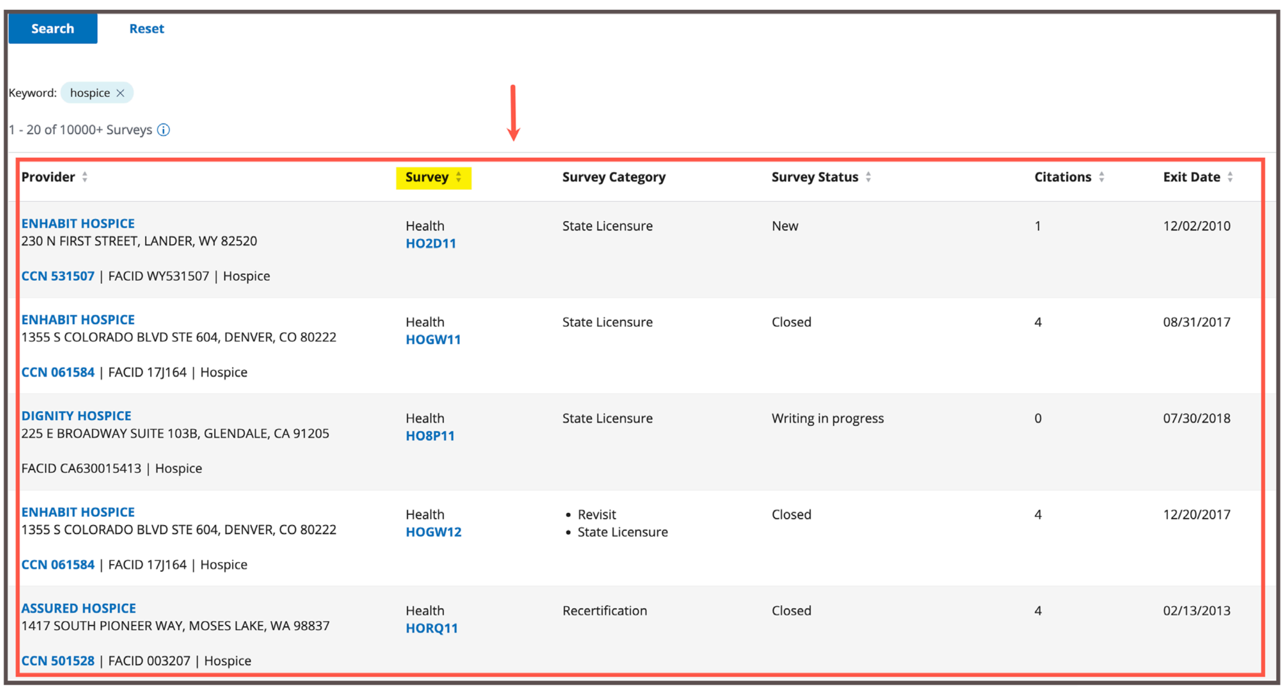


Figure 13: Search Results

3.7 Click the survey number to view 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

The survey basic information shows:

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

See *Figure 14, Survey Basic Information*.

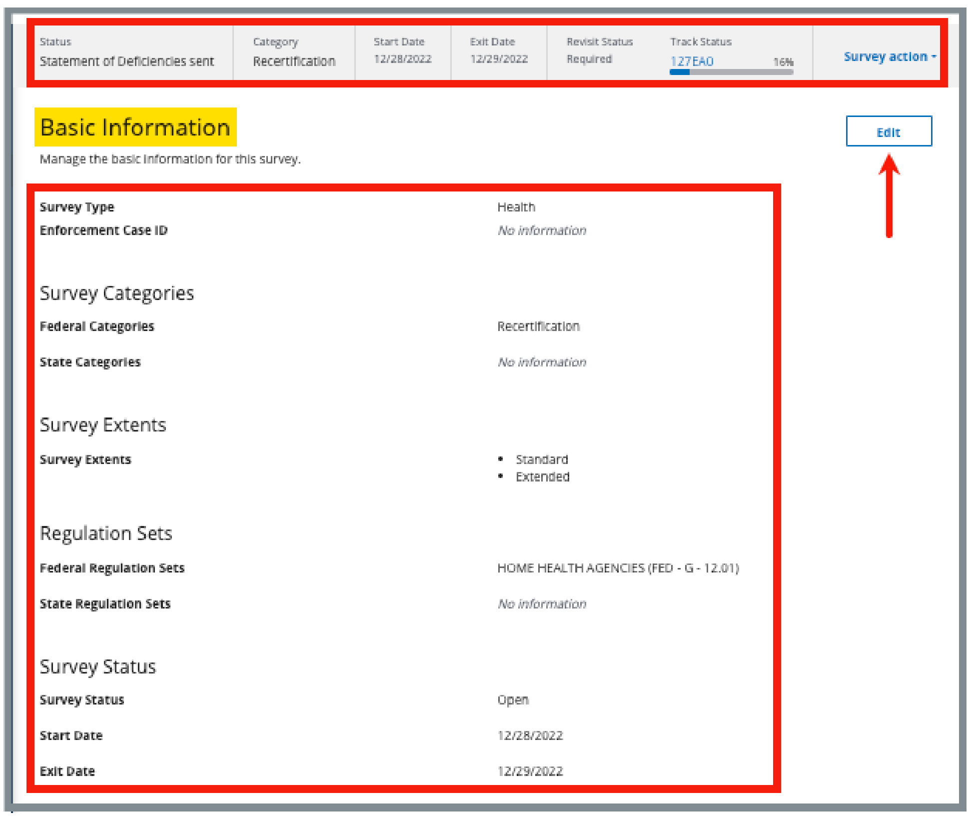


Figure 14: Survey Basic Information

4. Add a Survey

4.1 Add a Health Survey

Purpose: This section describes how to create a health survey that is not associated with an LSC survey. To create a health survey that is associated with an LSC survey, see Link a Health Survey and an LSC Survey.

Note: An LSC survey does not have to be linked to a health survey for state surveys. Federal surveys must be linked to a health survey.

4.1.1 Click the desired provider record. The **Provider History** page opens. For more information on searching for and accessing a provider, refer to the Manage a Provider User Manual on QTSO.

4.1.2 Click **Add Survey** on the **Provider History** page. See *Figure 15, Add Survey*. The **Basic Information** page opens.

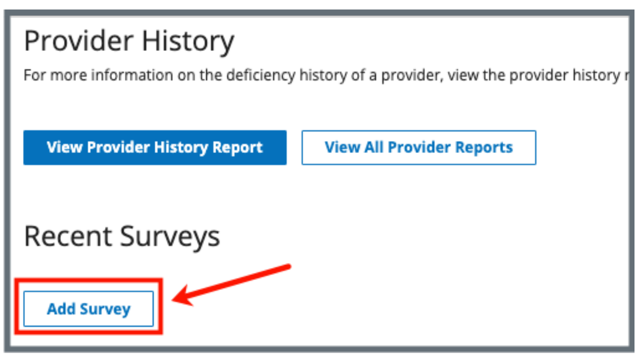


Figure 15: Add Survey

4.1.3 Select **Health**. See *Figure 16, Health Survey Type.*

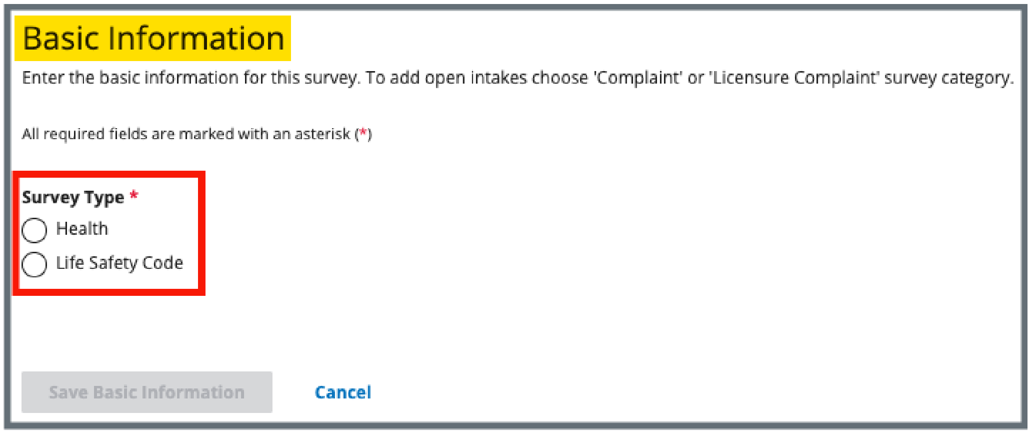


Figure 16: Health Survey Type

4.1.4 Fill out the information. See *Figure 17, New Survey Basic Information.*

Notes:

- Grayed out areas cannot be filled out. They are disabled based on the provider’s information.
- **Regulation Sets** are applicable to the survey category selected.
- Click **Show Older Regulation Sets** to see older regulation sets, if desired.

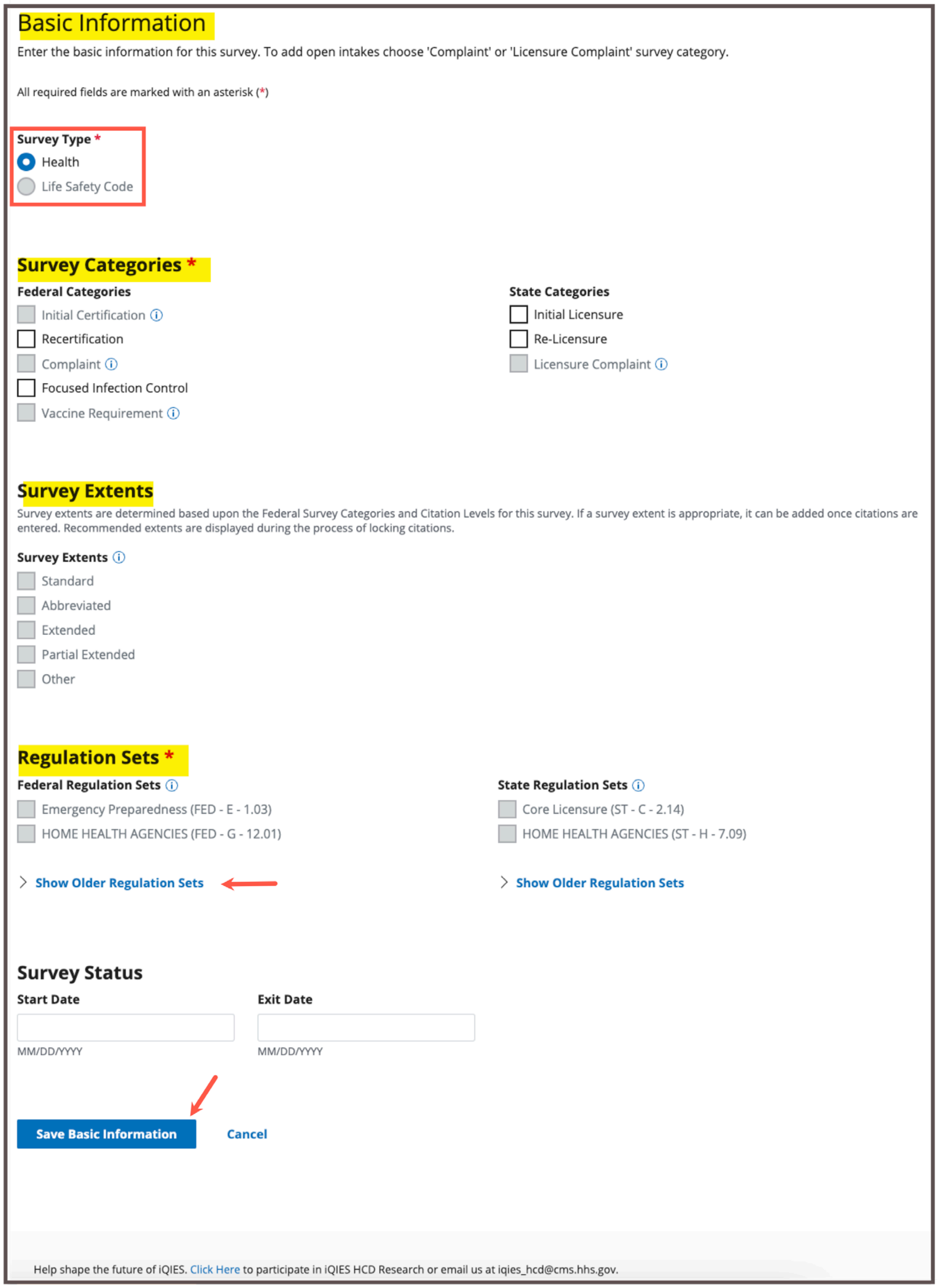


Figure 17: New Survey Basic Information

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

Notes:

- CMS General Users will see a selection for **Federal Monitoring Survey** under **Survey Categories**.
- Once the survey is saved, a survey ID is generated.
- The **H** in the survey ID signifies a health survey.
  The **1** signifies that this is the first visit for this health survey. See *Figure 18, Health Survey ID Explanation*. Subsequent numbers represent revisit surveys. For example, the first revisit survey will have the same prefix, but it will be followed by **H2**. Each subsequent revisit health survey will have a number increase. See Create a Revisit Survey for further information about revisit surveys.

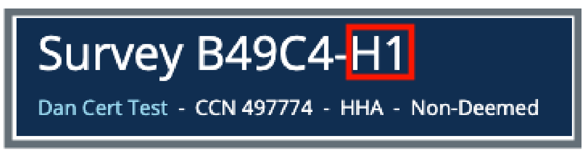


Figure 18: Health Survey ID Explanation

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

4.2 Add an LSC Survey

Purpose: To create an LSC survey that is not associated with a health survey. To create an LSC survey that is associated with a health survey, see Link a Health Survey and an LSC Survey.

Notes:

Before an LSC survey can be created, the following must occur:

- A provider must be added to iQIES with its primary physical location.
- A building must be added to the provider. See the Manage a Provider User Manual on QTSO for further details, if needed.
- Each building has an LSC Form Indicator (LSC Regulation Set specific to provider types).

4.2.1 Click **Add Survey** on the **Provider History** page. See *Figure 19, Add Survey*. The **Basic Information** page opens.

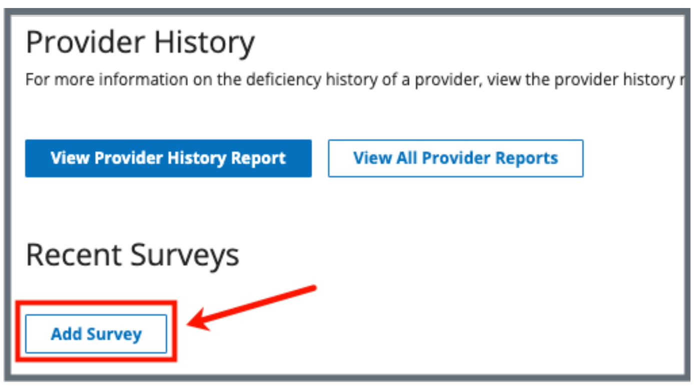


Figure 19: Add Survey

4.2.2 Select **Survey Type**. See *Figure 20, Survey Type.*

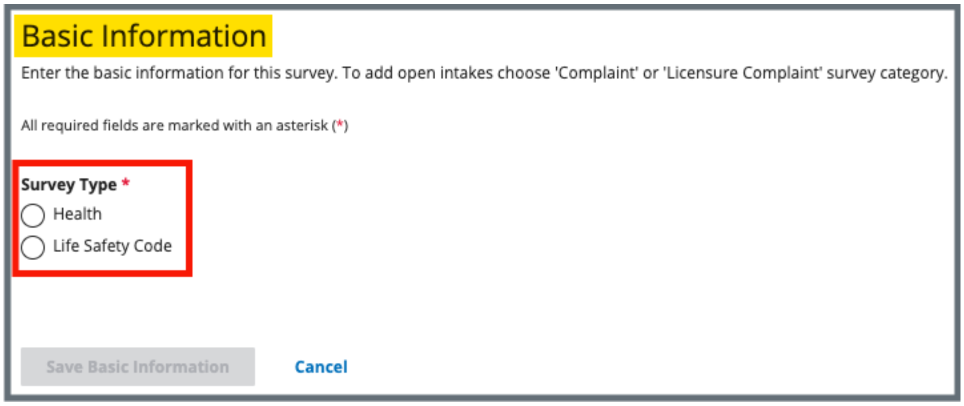


Figure 20: Survey Type

Note: Verify whether **Locations** is set up if Life Safety Code is disabled (grayed out).

4.2.3 Fill out the information. Fields are dependent on the type of survey chosen.

Notes:

- Grayed out areas cannot be filled out. They are disabled based on the provider’s information.
- **Regulation Sets** are applicable to the survey category selected.

4.2.4 Click **Save Basic Information** to save new survey. The new survey opens and can be edited.

Notes:

- The **L** in the survey ID signifies an LSC survey.
- The **1** signifies that this is the first visit for this survey. See *Figure 21, LSC Survey ID Explanation*.

Figure 21: LSC Survey ID Explanation

4.3 Link a Health Survey and an LSC Survey

Purpose: To create an LSC survey that is associated with a health survey in order that both surveys have the same ID prefix. To create an LSC survey that is not associated with a health survey, see Add an LSC Survey.

Notes:

- There must be a building associated with the provider to link surveys. The **Life Safety Code Survey Type** radio button is disabled when there is no building associated with the provider.
- There must be an existing health survey to perform this action.
- The example below shows how to create a new LSC survey and link it to an existing health survey. The process works the same way when creating a new health survey and linking it to an existing LSC survey.

4.3.1 Go to the **Provider History** page for the provider.

4.3.2 Click **Create Life Safety Code Survey** under the **Survey action** menu on the survey line. See *Figure 22, Create Life Safety Code Survey.* The **New Survey Basic Information** page opens.

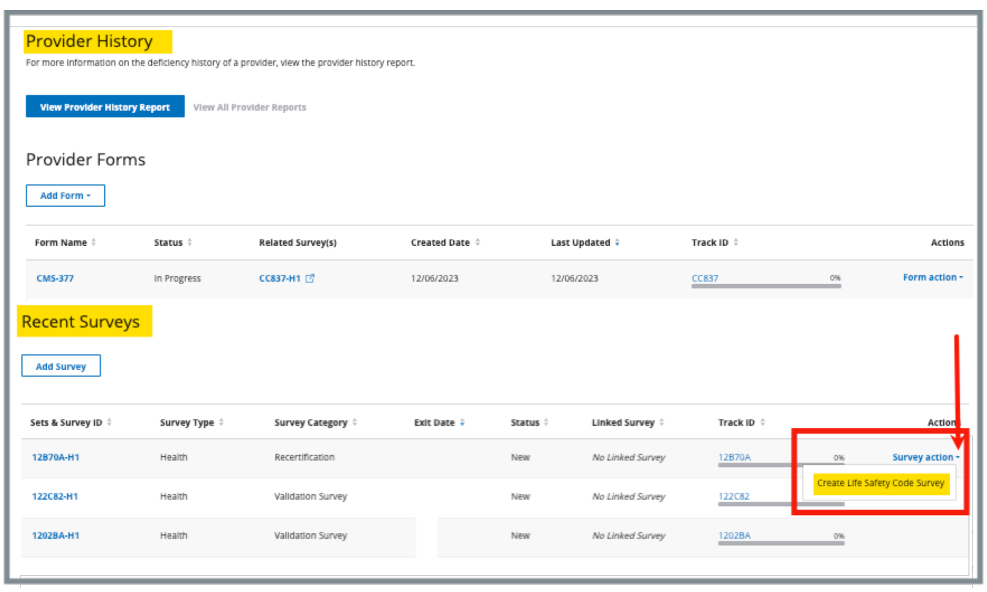


Figure 22: Create Life Safety Code Survey

Note: If there is an existing linked survey, the linked survey will show in the **Linked Survey** column.

4.3.3 Verify the linked survey is correct and fill out the information. Some information is prepopulated. See *Figure 23, Linked Health Survey Basic Information.*

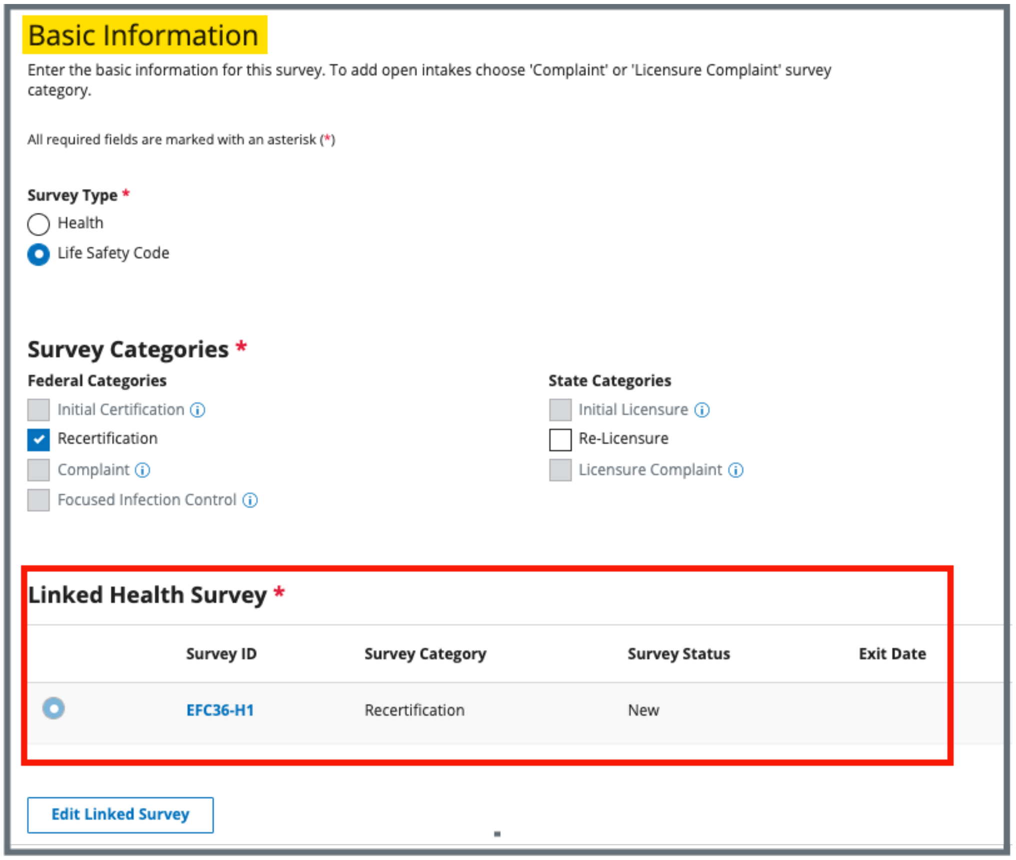


Figure 23: Linked Health Survey Basic Information

4.3.4 Click **Save Basic Information** at the bottom of the form. The page returns to **Survey Basic Information** and can be edited.

Note: Both the Health and LSC surveys have the same survey prefix ID. The same ID helps locate the surveys. See *Figure 24, Linked Survey IDs.*

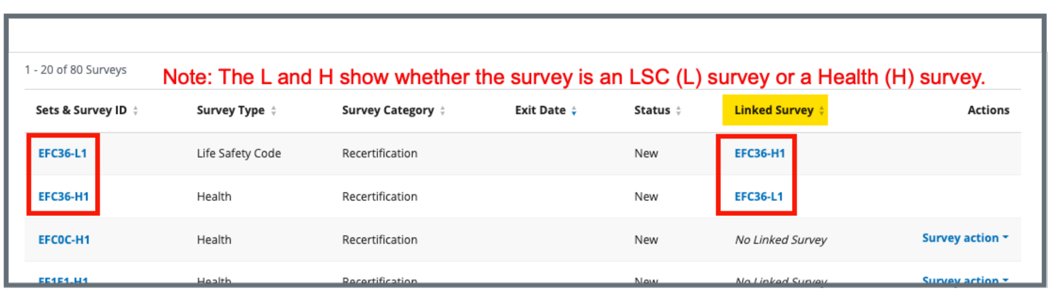


Figure 24: Linked Survey IDs

4.4 Add a Federal Monitoring Survey (FMS)

Notes:

- An FMS can only be created and edited by a CMS General User (CMSGU). A revisit survey with an FMS can be created by the State Agency General User (SAGU).
- Only CMSGUs can add an attachment.
- There must be a linked Health survey.
- The CMSGU can restrict the SAGU from viewing the FMS.

4.4.1 Click **Add Survey** on the **Provider History** page. The **Survey Basic Information** page opens.

4.4.2 Select **Federal Monitory Survey**. See *Figure 25, Federal Monitoring Survey.*

4.4.3 Fill out the rest of the information.

4.4.4 Click **Save Basic Information.**

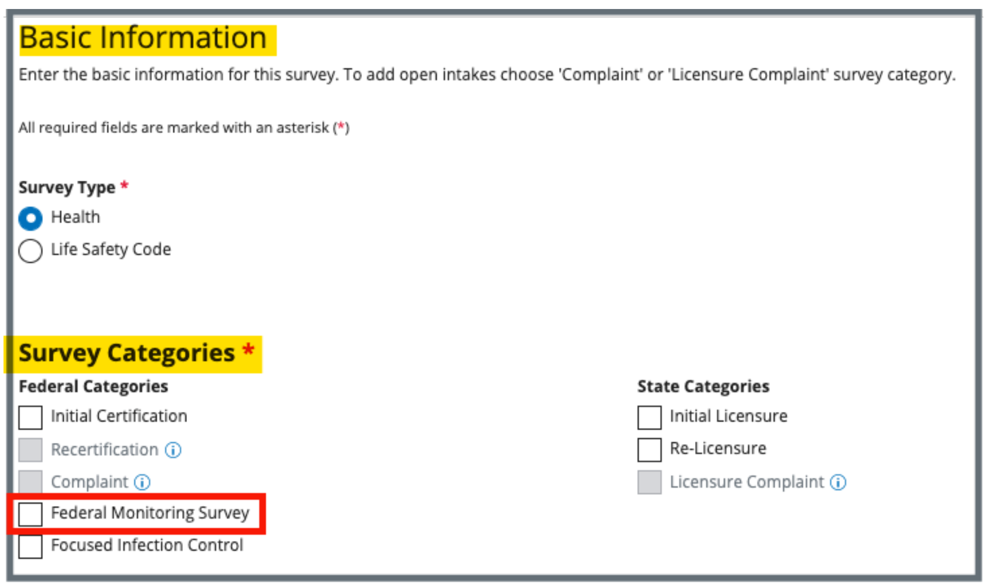


Figure 25: Federal Monitoring Survey

5. Delete a Survey

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

Notes:

- Only State Security Officials who are also SA General Users 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 an IDR
  - When a survey has a POC
  - When a survey has CMS-670 time entered

    Note: To remove time from the CMS-670, follow instructions in the Manage a Form User Manual on QTSO.
  - If the survey is associated with:
    - A revisit
    - A Federal Monitoring Survey (FMS)
    - An enforcement
  - There may be other circumstances when a survey cannot be deleted without additional actions. 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 can 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.**

- CMS staff must follow the following process to request the deletion of a survey created by CMS staff:
  - Send an email to: iqiessogdelreq@cms.hhs.gov
  - Copy user's manager
  - Include the Event ID, the CCN, the name of the provider 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 26, Delete a Survey*. The **Delete survey?** pop-up window opens.

Figure 26: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 27, Survey Cannot Be Deleted.* Click the link in the notification to review the specific citation or enforcement.

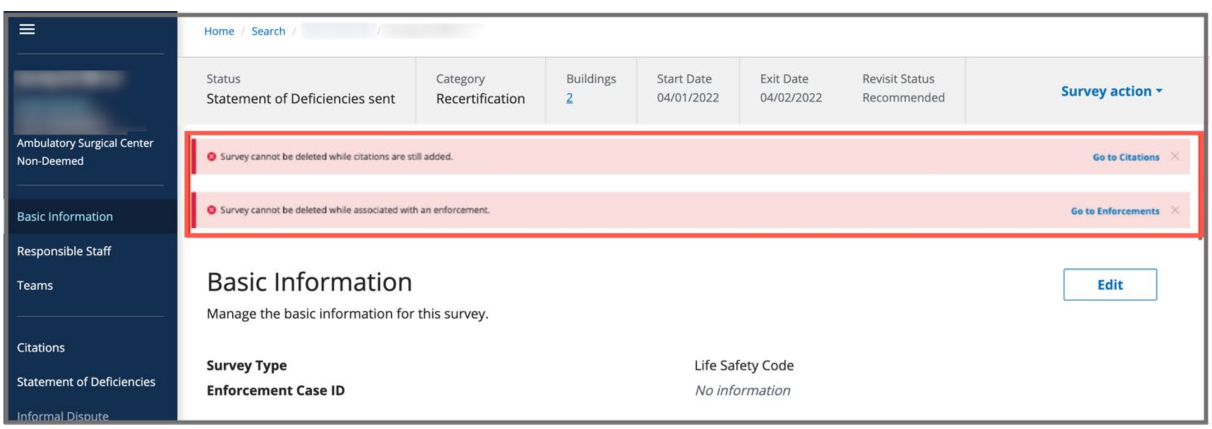


Figure 27: Survey Cannot Be Deleted

5.2 Click **Yes, delete**. See *Figure 28, Delete Survey? Pop-up Window*. The survey is deleted.

Figure 28: Delete Survey? Pop-up Window

6. Certification Event

Purpose: To organize certification documents for provider certification.

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

View Certification Progress in My Tasks

View Certification Progress in Survey

View Certification Progress in Provider History Page

6.1 View Certification Progress in Workload Management

6.1.1 Go to My Tasks.

6.1.2 Click the **Survey** tab.

6.1.3 View certification status under **Track Status** for each survey in Workload Management.

6.1.4 Click survey number to view details. See *Figure 29, Workload Management Track Status.*

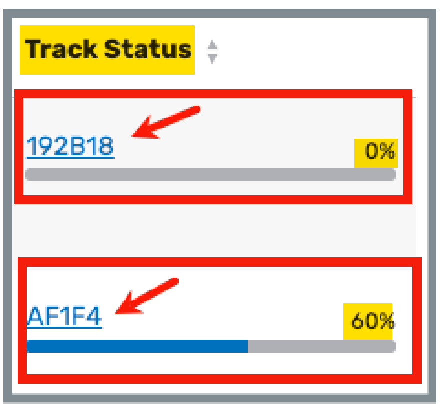


Figure 29: Workload Management Track Status

6.1.5 Click the survey number to view detailed certification status. The track status for the selected survey opens.

6.1.6 Click the carets next to the survey number or **Track Forms** to view additional details. See *Figure 30, Detailed Certification Status.*

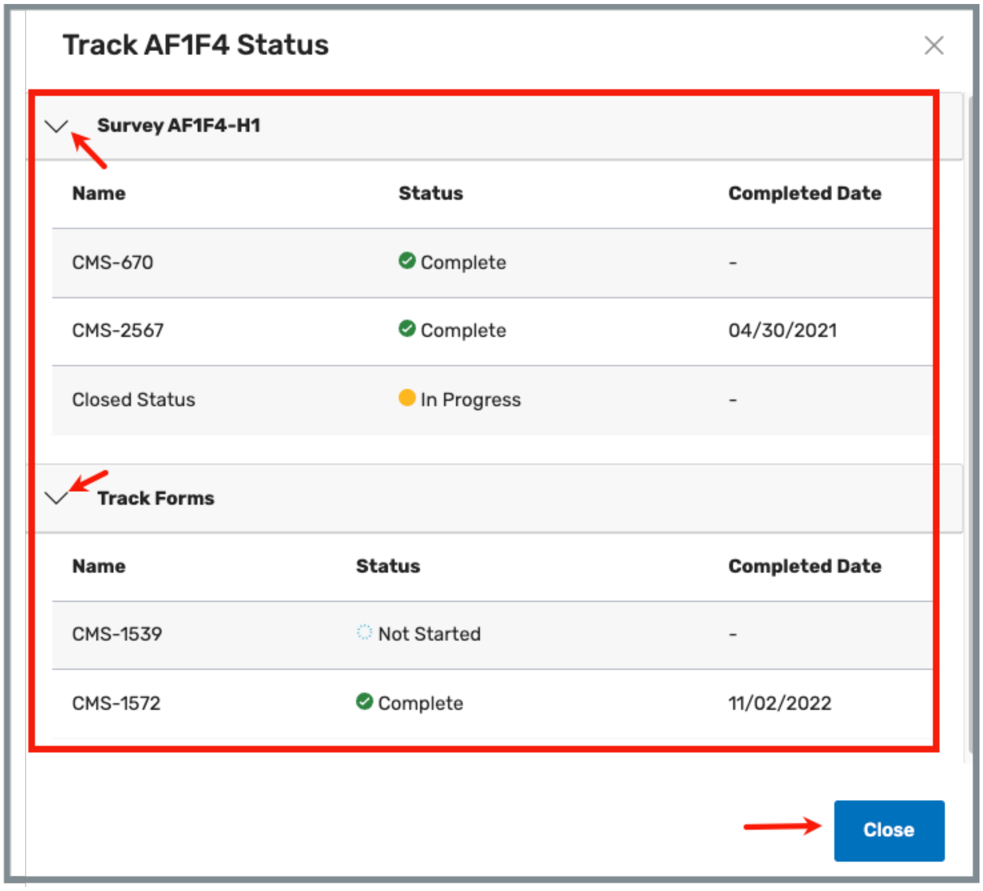


Figure 30: Detailed Certification Status

6.2 View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 31, Survey Basic Information Page Certification Progress* and *Table 2, Basic Information Page Certification Progress Callout Details*.

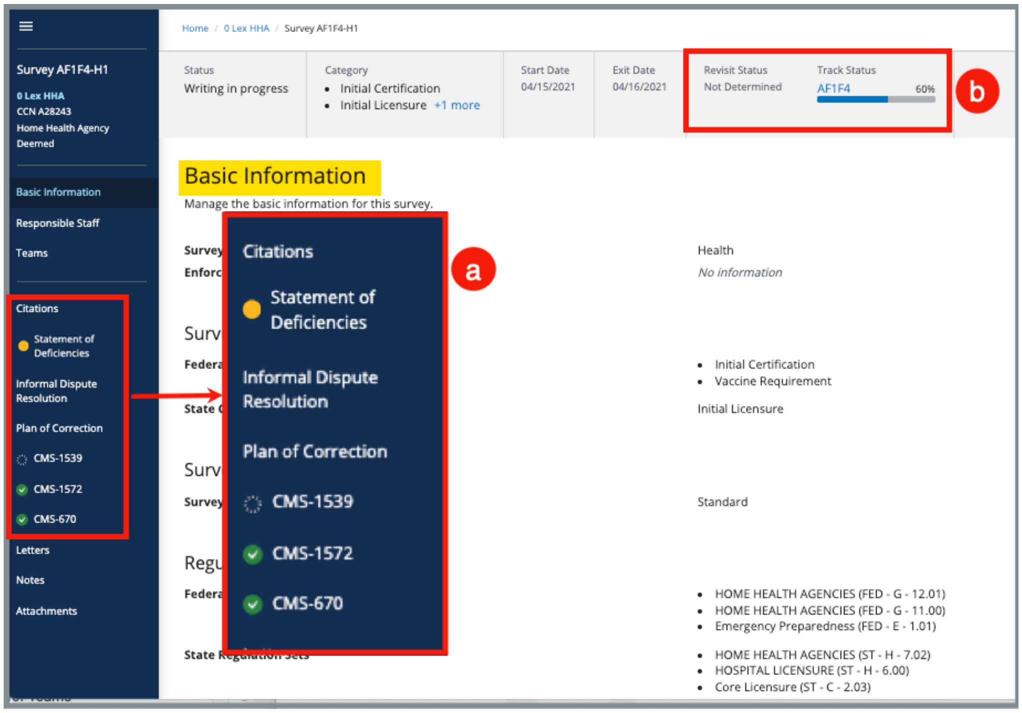


Figure 31: Survey Basic Information Page Certification Progress

Table 4: Basic Information Page Certification Progress Callout Details

Callout	Action	
a	The left menu shows the status at a glance.	
	No fill	**Not Started**: Form or information hasn’t been started
	Yellow fill	**In Progress**: Form or information has been started, but it is incomplete
	Green fill	**Complete**: Form or information is complete
b	The gray status bar shows the certification track status. Click survey number under **Track Status** to see detailed information on certification status. See step 6.1.6 for further details.	

6.3 View Certification Progress on Provider History Page

6.3.1 Go to the **Provider History** page. See *Figure 32, Provider History Page Certification Progress*.

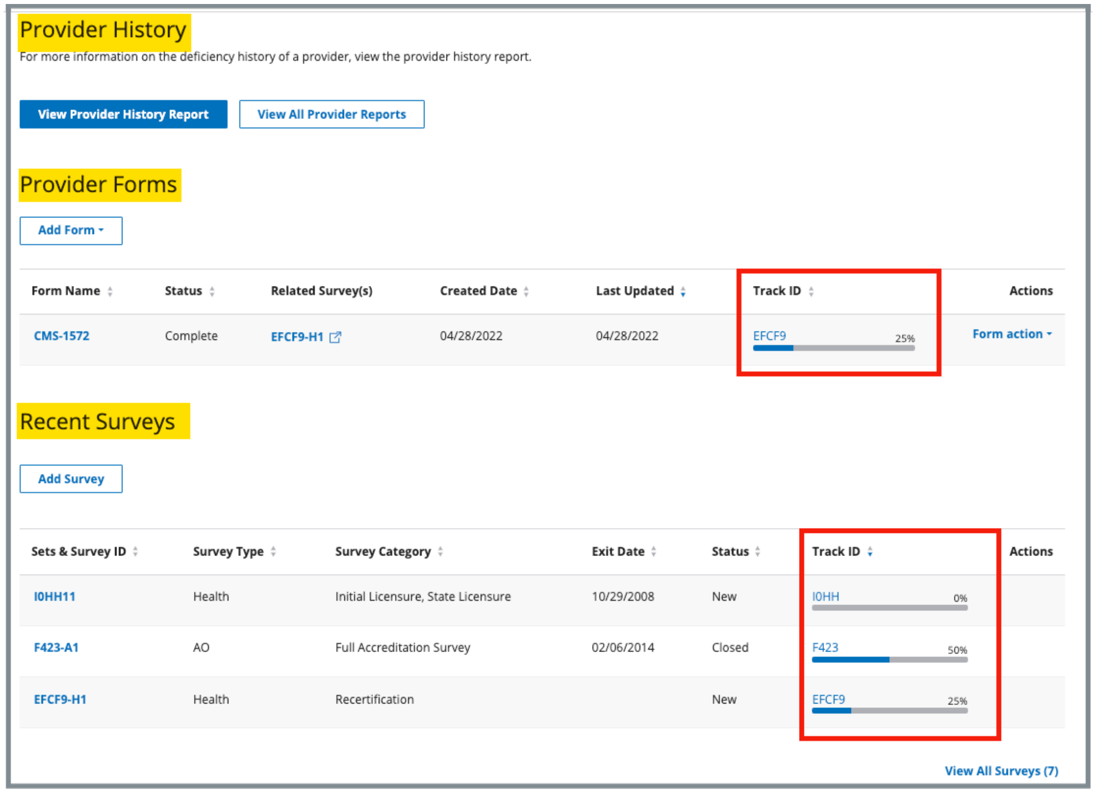


Figure 32: Provider History Page Certification Progress

6.3.2 Click survey number under **Track ID** to see detailed information on certification status. See step 6.1.6 for further details.

7. Survey Review

Notes:

- Refer to Search for a Survey to access surveys.
- To view more than the three latest surveys, click **View All Surveys**.
- Click the arrow to the right of each of the titles to sort the surveys.
- It is not possible to make changes to a closed survey.
- Surveys can be reopened.
- Surveys are organized in sections and described in detail in steps below. See *Figure 33, Survey Data Information Section*.

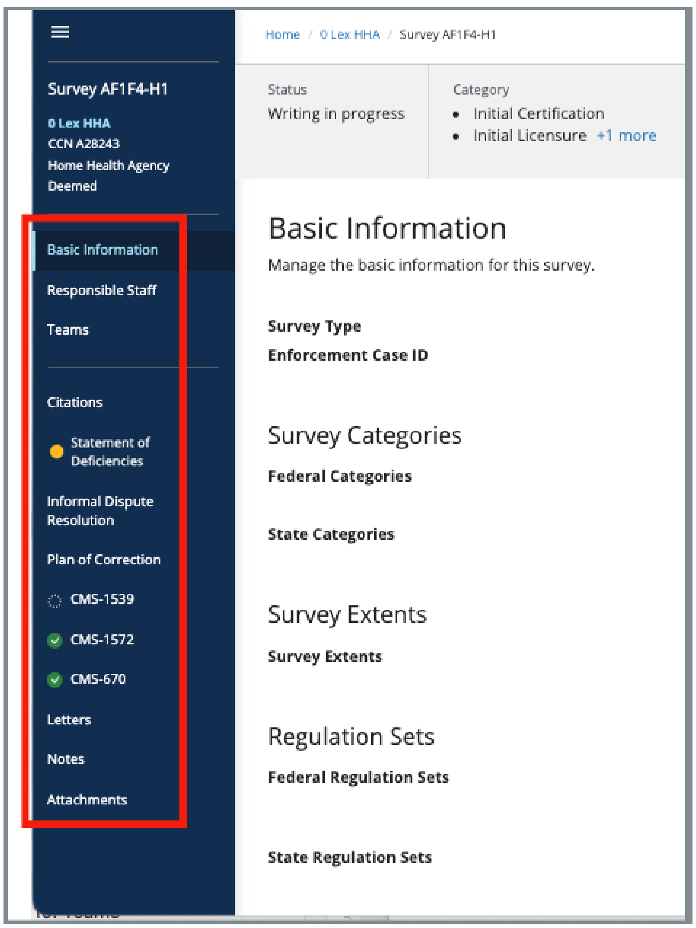


Figure 33: Survey Data Information Section

8. Basic Information

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

8.1 Click **Edit** to edit **Basic Information**. The information shows the editable areas. See *Figure 34, Edit Button*. See *Figure 35, Basic Information Edit Screen*.

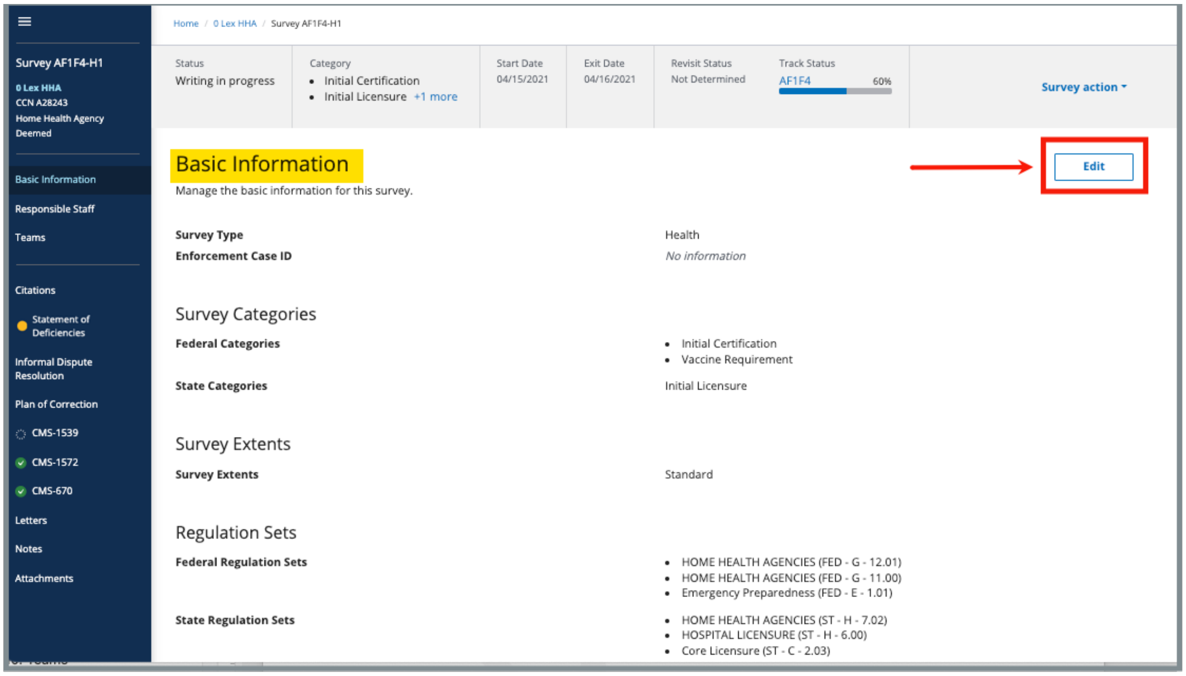


Figure 34: Edit Button

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

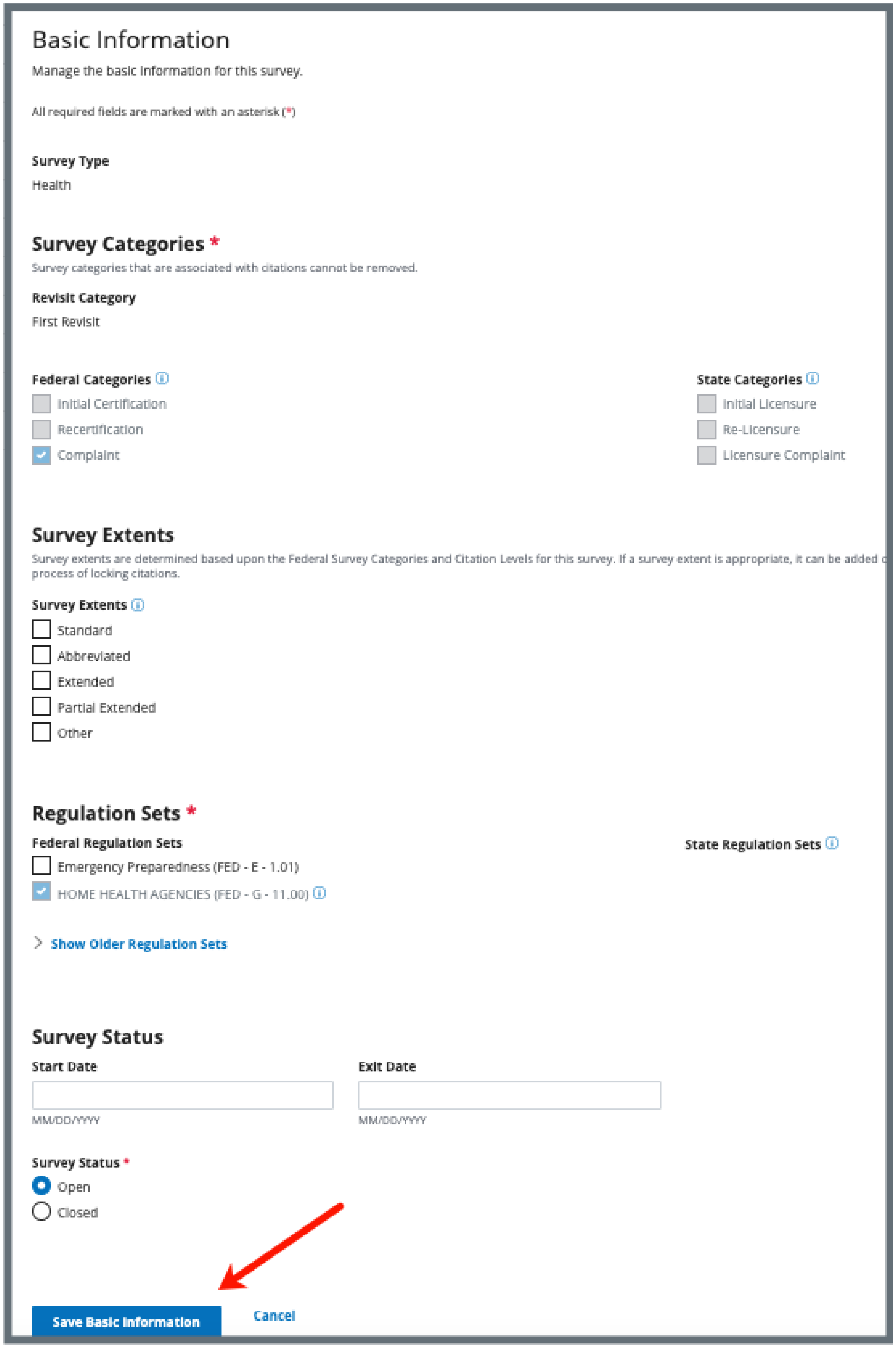


Figure 35: Basic Information Edit Screen

9. Responsible Staff

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

Notes:

- A hospice survey:
    - Requires the use of a multidisciplinary team of individuals for surveys conducted with more than one surveyor
    - Must include at least one registered nurse.
- Responsible Staff are HARP ID users.
- A hospice survey requires the use of a multidisciplinary team of individuals for surveys conducted with more than one surveyor and must include at least one registered nurse. See *Figure 36, Hospice Survey Banner.*

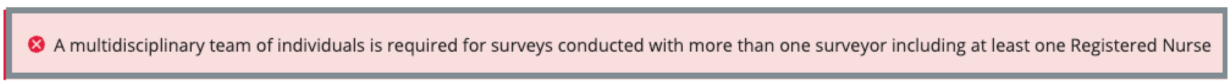


Figure 36: Hospice Survey Banner

9.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 37, Add Responsible Staff*.

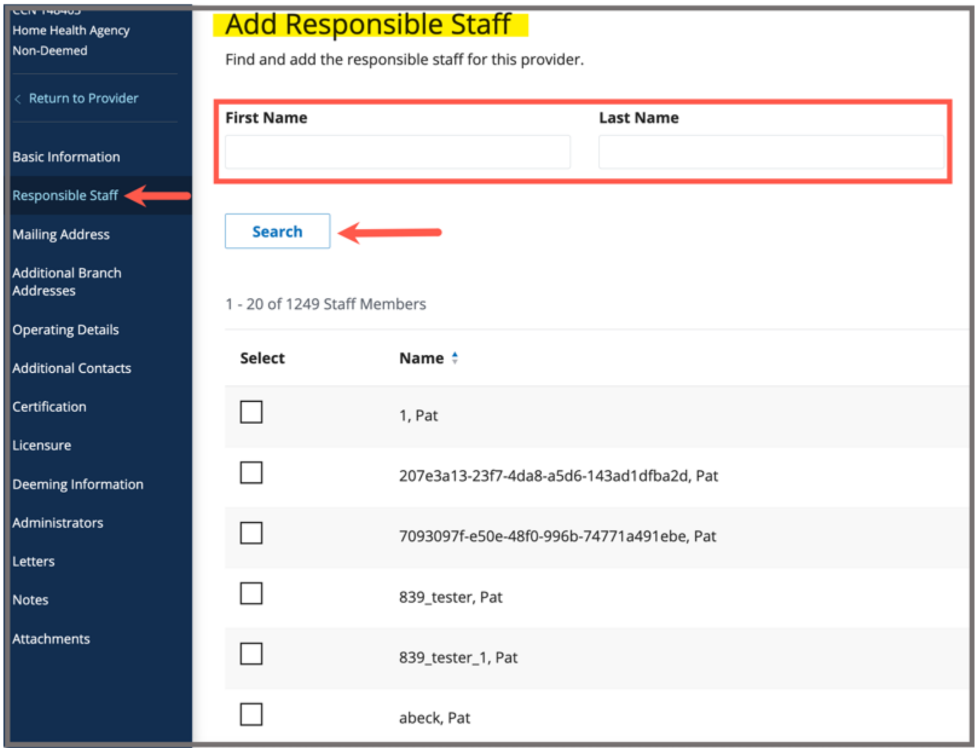


Figure 37: Add Responsible Staff

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

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

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

Notes:

- It is only possible to add staff that are in the list of staff members. It is not possible to add someone manually.
- Click the arrow next to Name to sort names in alphabetical or reverse alphabetical order.

9.5 Verify the staff member was added.

9.6 Click **Delete** under **Actions** to delete a staff member. See *Figure 38, Delete a Responsible Staff*. A confirmation pop-up window opens.

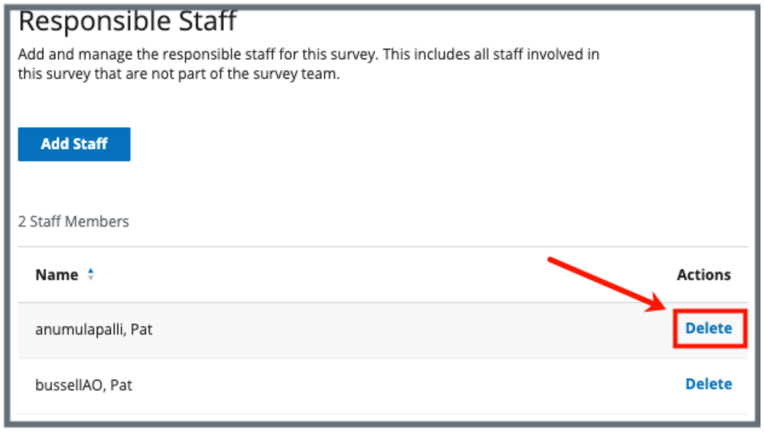


Figure 38: Delete a Responsible Staff

9.7 Click **Delete**.

9.8 Verify that the **Responsible Staff** is no longer on the list.

10. 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 39, Manage Tasks.* See *Table 3, Manage Tasks Detailed Callout.*

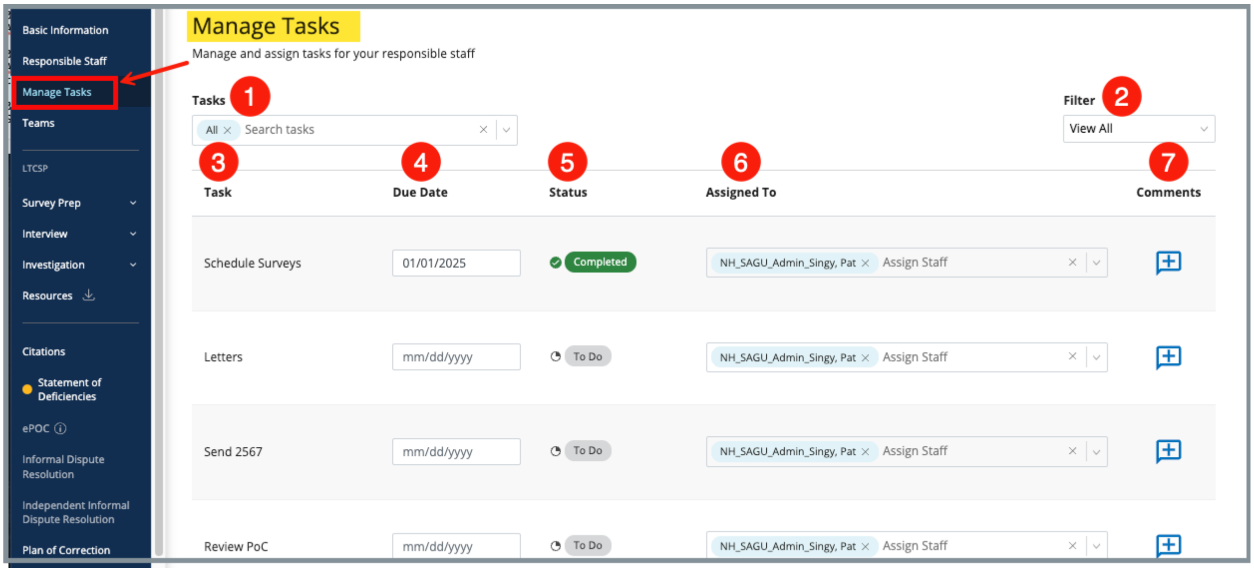


Figure 39: Manage Tasks

Table 5: Manage Tasks Detailed Callout

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

11. Teams

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

Notes:

- When a specific role is required to be on the team, an orange warning message appears on the top of the screen. Click the **X** to remove the notice. See *Figure 40, Teams*.
- 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. Refer to the Manage a Form User Manual for more information, if needed.
- All hospice team members must acknowledge/accept a Conflict of Interest Attestation before the survey can be locked. Review the Conflict of Interest step, if necessary.

9.1 Click **Teams** on the left menu. The **Teams** window opens.

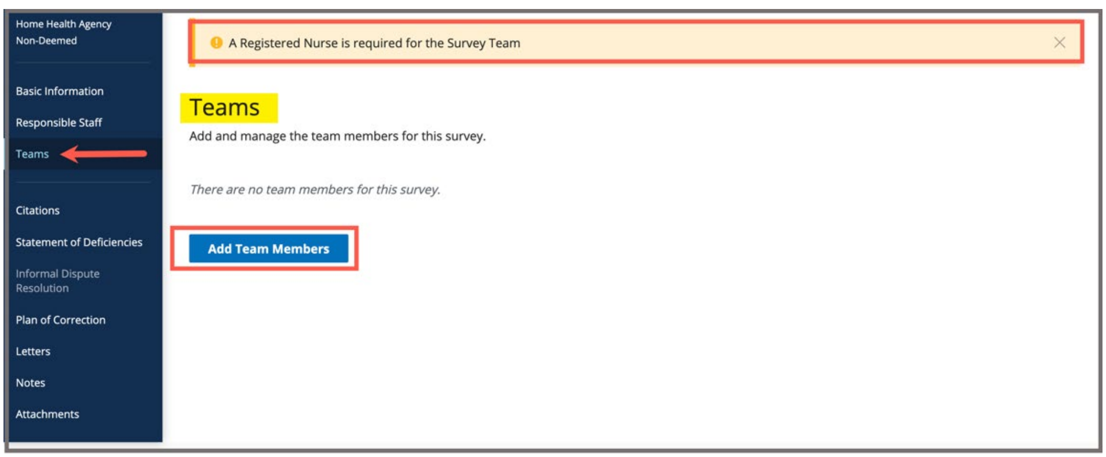


Figure 40: Teams

9.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 41, 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.

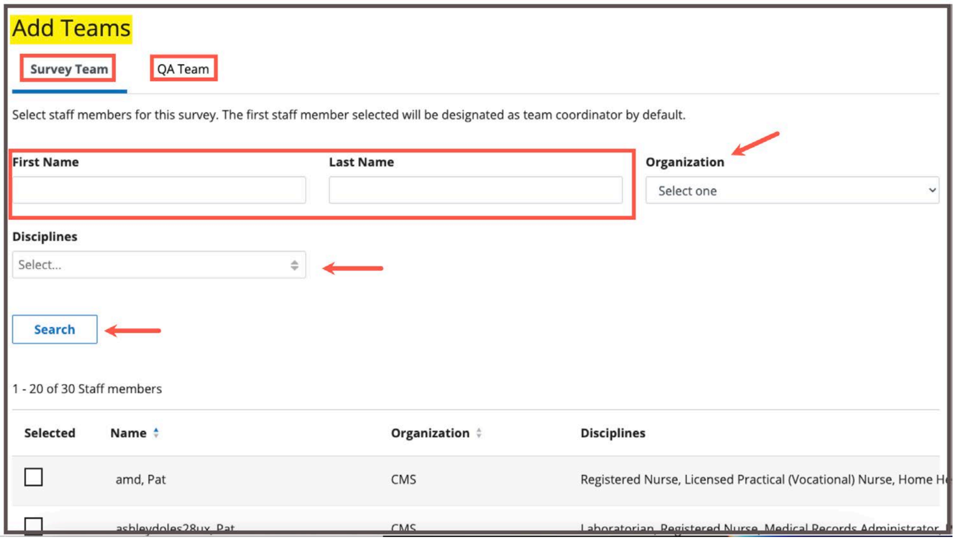


Figure 41: Add Teams

- QA Team members must have a team function. Click the team member, then choose from the drop-down list under **Team Function**. See *Figure 42, Add a QA Member*.

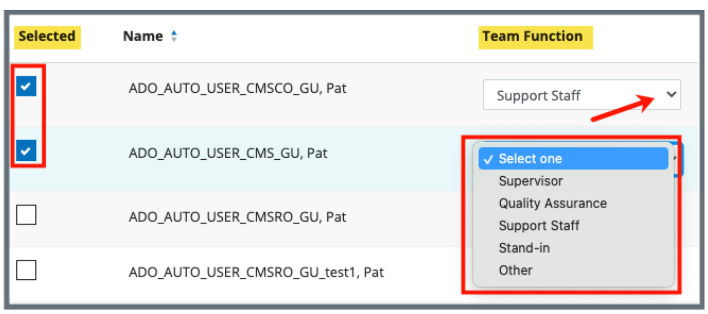


Figure 42: Add a QA Member

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 43, Survey Team Member Successfully Added Popup.*

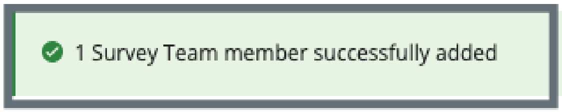
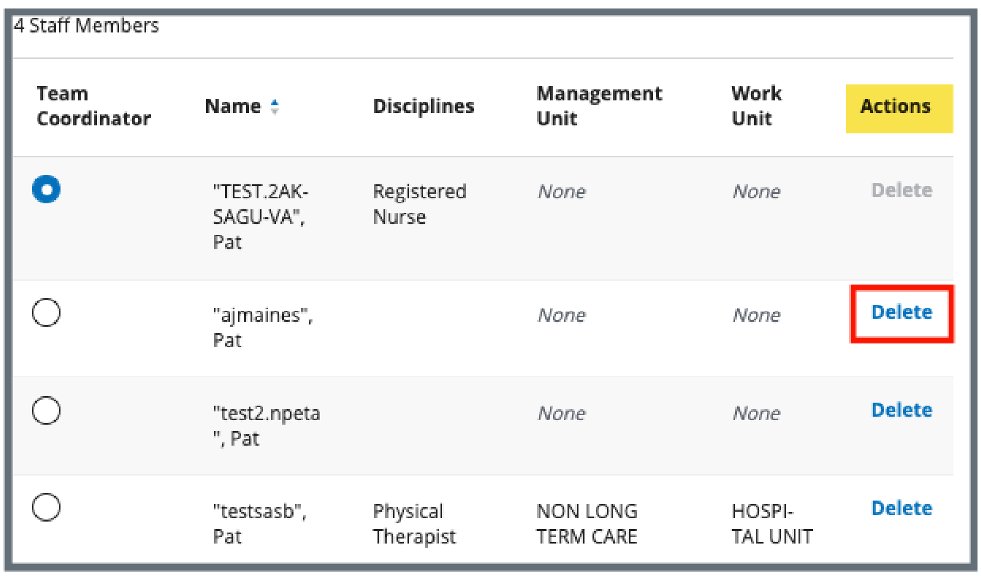


Figure 43: Survey Team Member Successfully Added Popup

9.6 Click **Delete** under **Actions** to delete a team member. See *Figure 44, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 45, 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	Disciplines	Management Unit	Work Unit	Actions
	"TEST.2AK-SAGU-VA", Pat	Registered Nurse	*None*	*None*	Delete
	"ajmaines", Pat		*None*	*None*	Delete
	"test2.npeta ", Pat		*None*	*None*	Delete
	"testsasb", Pat	Physical Therapist	NON LONG TERM CARE	HOSPI-TAL UNIT	Delete

Figure 44: Delete a Team Member

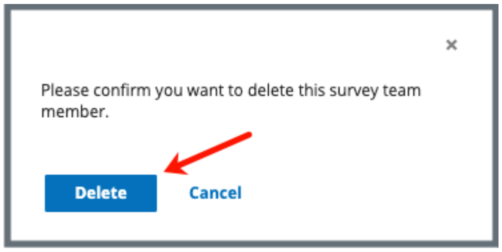


Figure 45: Deletion Confirmation Popup

9.7 Click **Delete**.

9.8 Verify that the team member is no longer on the list.

12. Conflict of Interest Attestation

Purpose: To confirm that the entire team on a hospice survey has attested to having no Conflict of Interest with the facility in order to proceed with the survey and citations.

Note: Conflict of Interest Attestation is for Hospice only.

12.1 Add Team members. Refer to Teams, if necessary. See *Figure 46, Pending Conflict of Interest Attestation*. The **Conflict of Interest Attestation** column appears and shows as **Pending**.

Notes:

- An automatic email is sent to the user with a link to the Conflict of Interest attestation. See *Figure 47, Sample Conflict of Interest Attestation Email.*
- The Team member must acknowledge/accept the attestation before the survey citations can be locked. See *Figure 48, Conflict of Interest Acknowledgement*.

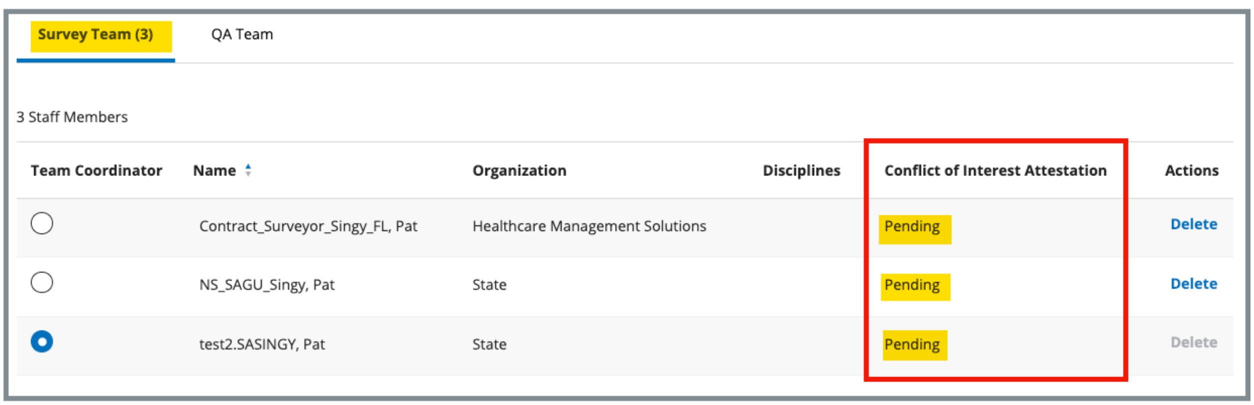


Figure 46: Pending Conflict of Interest Attestation

Dear Pat NS_SAGU_Singy

You have been assigned to the survey team for Hickory House Hospice

As a Surveyor you are required to attest that you do not have any actual or perceived conflicts of interest with the Hospice Program.

To complete your attestation follow this link:

https://

If you do not confirm conflict of interest attestation you will be removed from the team.

Any of the following circumstances disqualifies a surveyor from surveying a particular hospice program:

(1) The surveyor currently serves, or, within the previous 2 years has served, with the hospice program to be surveyed as one of the following:

(i) A direct employee.
(ii) An employment agency staff at the hospice program.
(iii) An officer, consultant, or agent for the hospice program to be surveyed concerning compliance with conditions of participation specified in or in accordance with sections 1861(dd) of the Act.

(2) The surveyor has a financial interest or an ownership interest in the hospice program to be surveyed.

(3) The surveyor has an immediate family member, as defined at § 411.351 of this chapter , who has a financial interest or an ownership interest with the hospice program to be surveyed.

(4) The surveyor has an immediate family member, as defined at § 411.351 of this chapter , who is a patient of the hospice program to be surveyed.

Figure 47: Sample Conflict of Interest Attestation Email

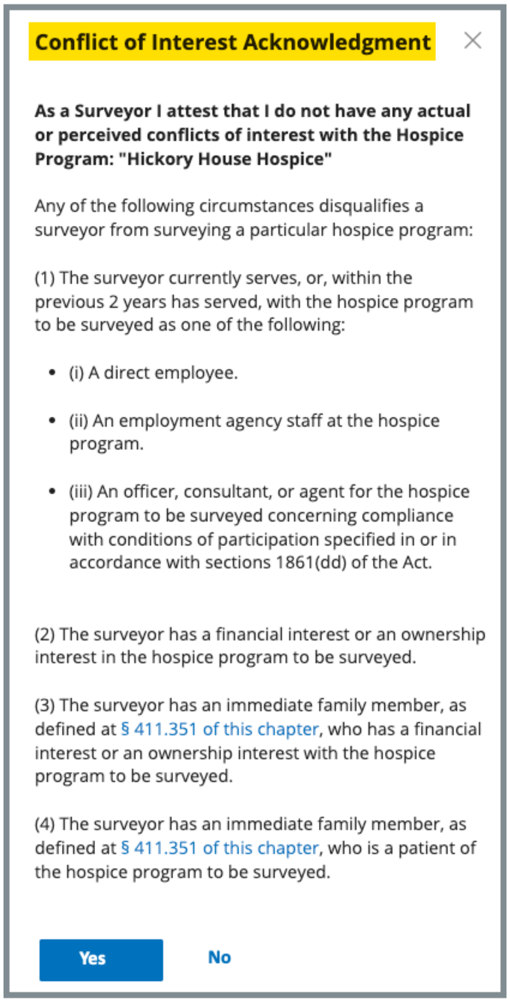
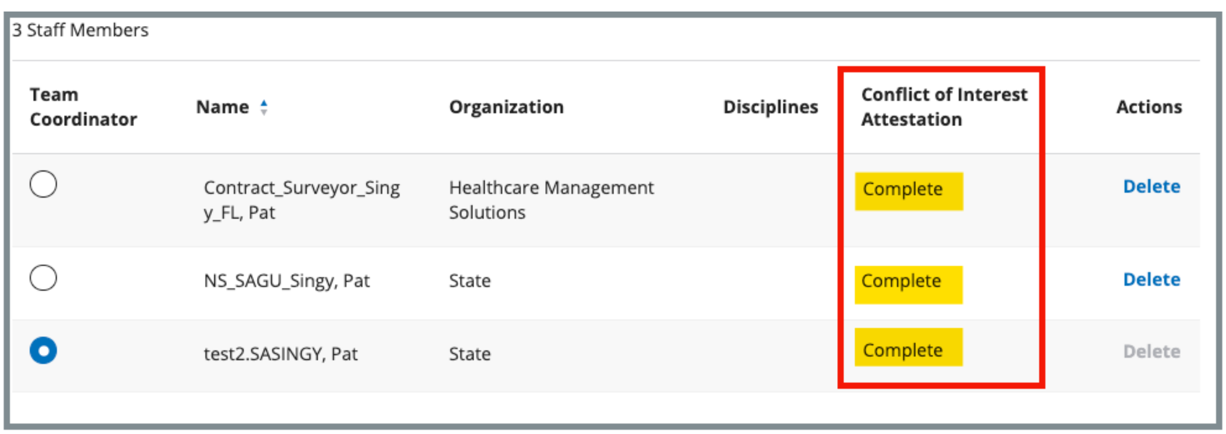


Figure 48: Conflict of Interest Acknowledgement

12.2 Verify the **Conflict of Interest Attestation** on the Teams page is **Complete**. See *Figure 49, Complete Conflict of Interest Attestation.*


3 Staff Members

Team Coordinator	Name	Organization	Disciplines	Conflict of Interest Attestation	Actions
	Contract_Surveyor_Singy_FL, Pat	Healthcare Management Solutions		Complete	Delete
	NS_SAGU_Singy, Pat	State		Complete	Delete
	test2.SASINGY, Pat	State		Complete	Delete

Figure 49: Complete Conflict of Interest Attestation

13. Citations

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

Notes:

- The Citations process works the same regardless of the provider 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 a survey team member does.
- Click **Return to Citations** to get to the **Citations** screen, if desired.
- Notifications are shown in yellow boxes. Refer to *Figure 50, Citation Notification Example*. Read the notification and follow the directions, if necessary. Close the notification to continue.

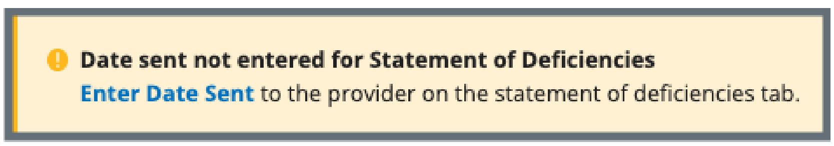


Figure 50: Citation Notification Example

Click any of the following links to go directly to the process:

Citation Overview
Add a Citation to a Health Survey
Add a Citation to an LSC Survey
Delete a Citation
Add a Deficient Practice Statement
Add Findings to a Citation
Content Library
Add an Attachment
Conditions Needed to Lock a Citation
Lock/Unlock a Citation
Merge Citation Findings
Create a Revisit Survey
Create a Revisit Survey for Specific Citations
View Older Revisits
Immediate Jeopardy

13.1 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.

13.1.1 Click **Citations** on the left menu. The **Citations** window opens. See *Figure 51, Citations*.

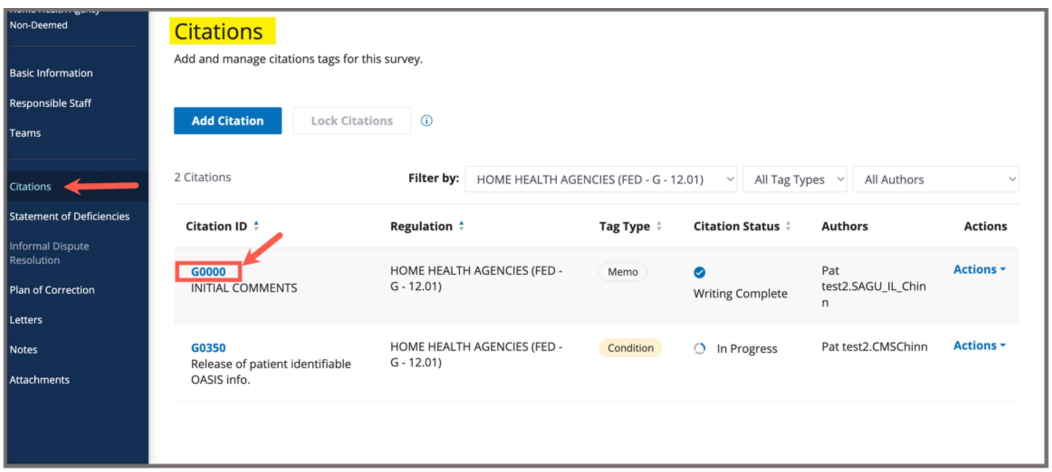


Figure 51: Citations

13.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 52, Citation Overview*.

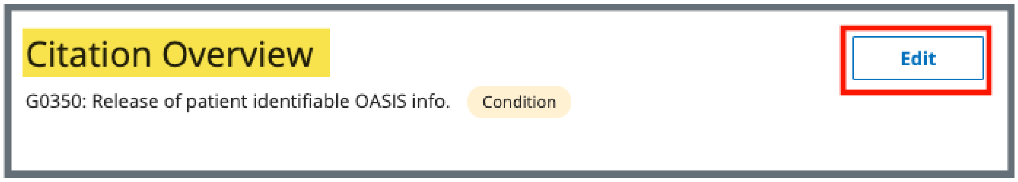


Figure 52: Citation Overview

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

13.1.3 Click **Edit** to edit the Overview. The **Edit Citation Overview** window opens. See *Figure 53, Edit Citation Overview.*

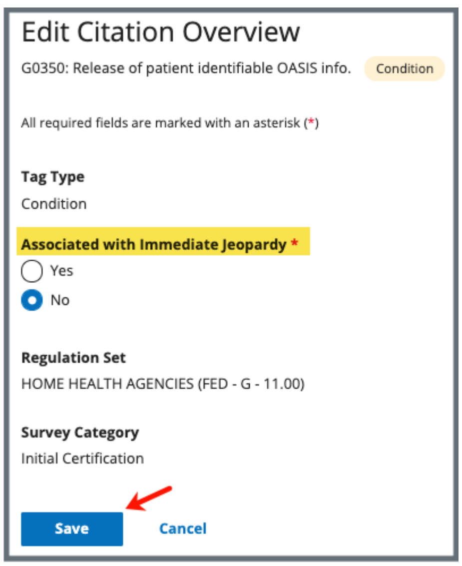


Figure 53: Edit Citation Overview

Note: Only the **Yes/No** radio buttons for **Associated with Immediate Jeopardy** can be edited.

13.1.4 Click **Save**. The screen returns to the **Citation Overview**.

13.2 Manage Survey Categories

Note: Citations that are associated with a complaint survey category can only be removed after the allegation is removed from the citation page.

13.2.1 Click **Manage Survey Categories**. See *Figure 54, Manage Survey Categories.* The **Manage Survey Categories** window opens.

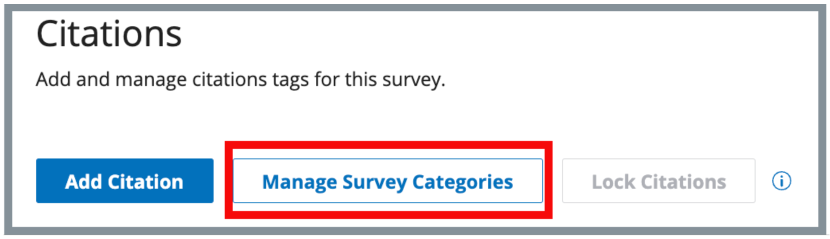


Figure 54: Manage Survey Categories

13.2.2 Check the box next the correct survey category. See *Figure 55, Manage Survey Categories Window*.

Note: More than one category can be checked.

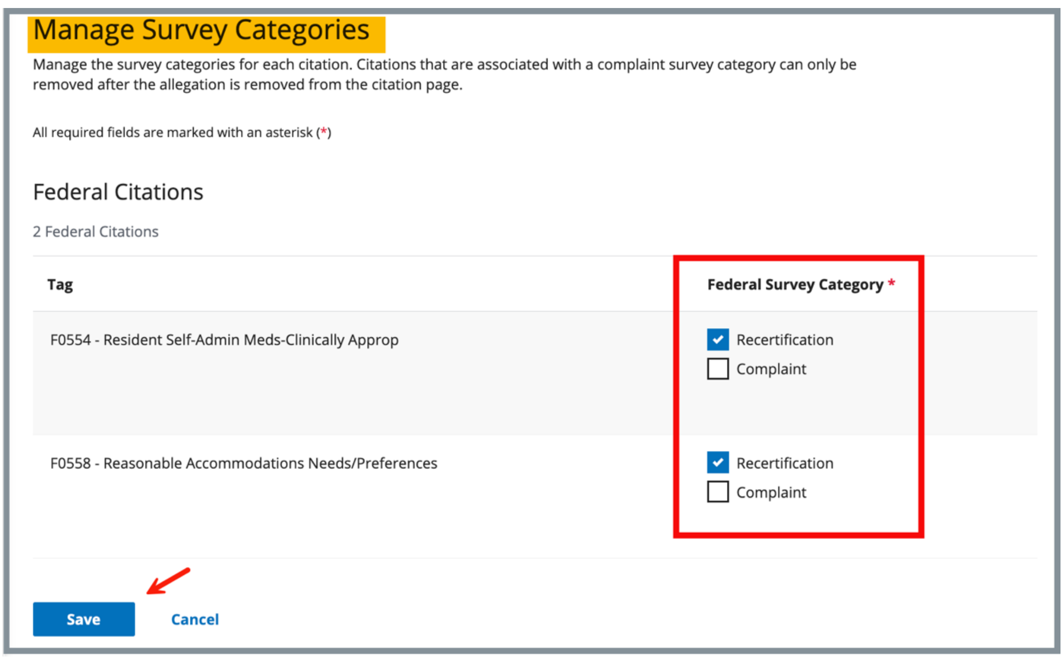


Figure 55: Manage Survey Categories Window

13.2.3 Click **Save**.

13.3 Add a Citation for a Health Survey

13.3.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. The **Add Citations** window opens. See *Figure 56, Add Citation Window*.

Figure 56: Add Citation 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.

13.3.2 Click **Add** next to any citation to add it. The citation will be added to the **Added Citations** list on the right. See *Figure 57, Added Citations*.

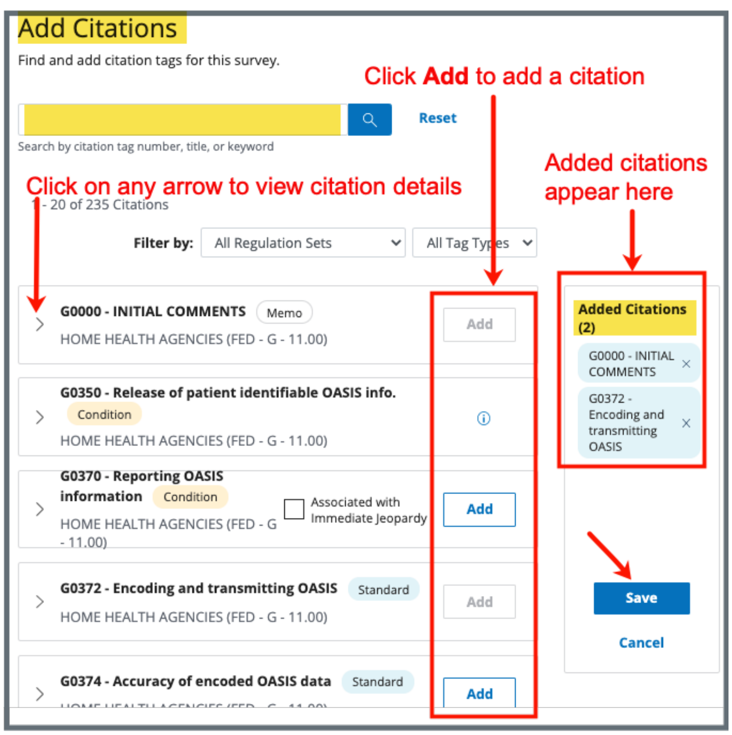


Figure 57: Added Citations

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.

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

13.4 Add a Citation for an LSC Survey

Note: Citations are associated with a building for Life Safety Code Surveys.

13.4.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. The **Add Citations** window opens. See *Figure 58, Add LSC Citation Window.*

Figure 58: Add LSC Citations Window

13.4.2 Click the radio circle next to the desired building. See *Figure 59, Add LSC Citations Step 1.*

Note: Each citation must be associated with a building. This process must be repeated to add a citation to a different building. If the building is not in the building list, add the building. Review Locations for details on how to add a building.

13.4.3 Click **Save Building & Continue** to go to **Step 2** to complete adding the citation.

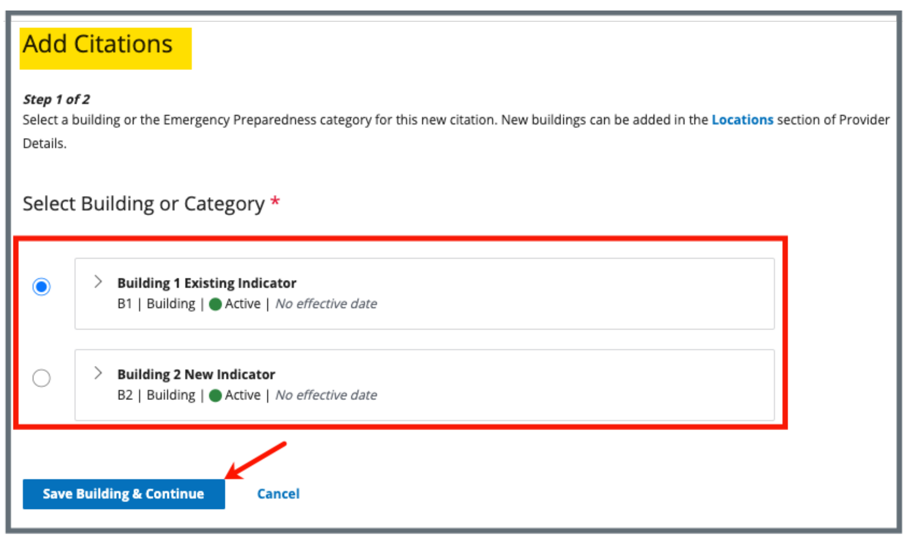


Figure 59: Add LSC Citations Step 1

13.4.4 Click **Add** next to any citation to add it. The citation will be added to the **Added Citations** list on the right. See *Figure 60, Add LSC Citations, Step 2.*

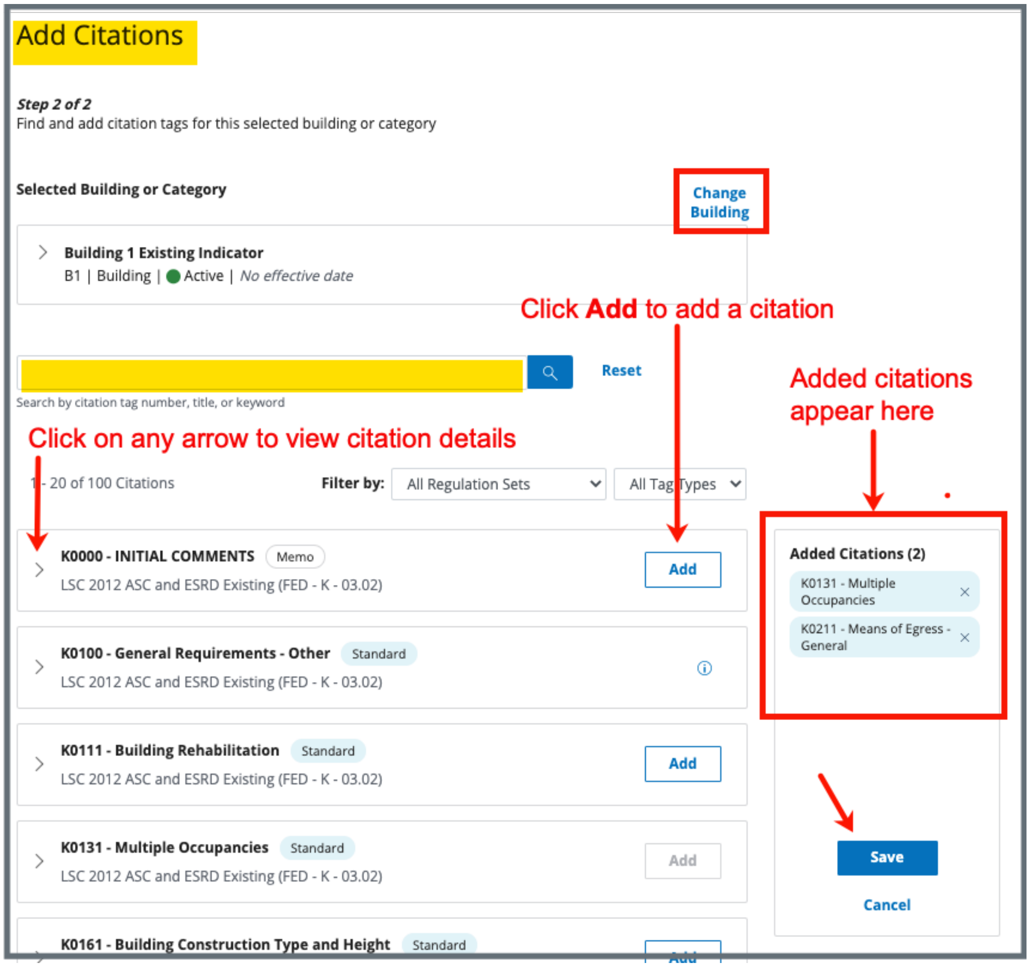


Figure 60: Add LSC Citations, Step 2

Notes:

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

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

13.5 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 Teams member can delete the findings when findings are merged.

13.5.1 Click **Delete Citation** under the **Actions** menu on the Citations page. See *Figure 61, Actions Delete Citation Drop-Down Menu.* A confirmation pop-up window appears.

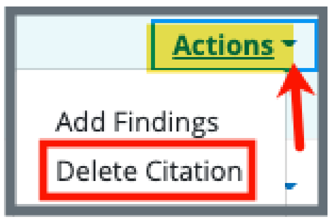


Figure 61: Actions Delete Citation Drop-Down Menu

13.5.2 Click **Confirm**. See *Figure 62, Delete Citation Confirmation Pop-up Window.* The citation has been deleted.

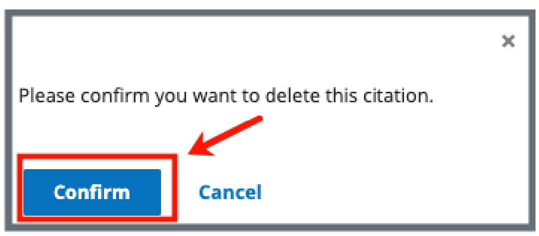


Figure 62: Delete Citation Confirmation Pop-up Window

13.6 Add a Deficient Practice Statement

Note: The Content Library stores reusable content. Refer to Content Library, for more information.

13.6.1 Click the **Citation ID**. The **Citation Overview** window opens.

13.6.2 Click **Deficient Practice Statement** on the left menu. See *Figure 63, Deficient Practice Statement.* The **Deficient Practice Statement** window opens.

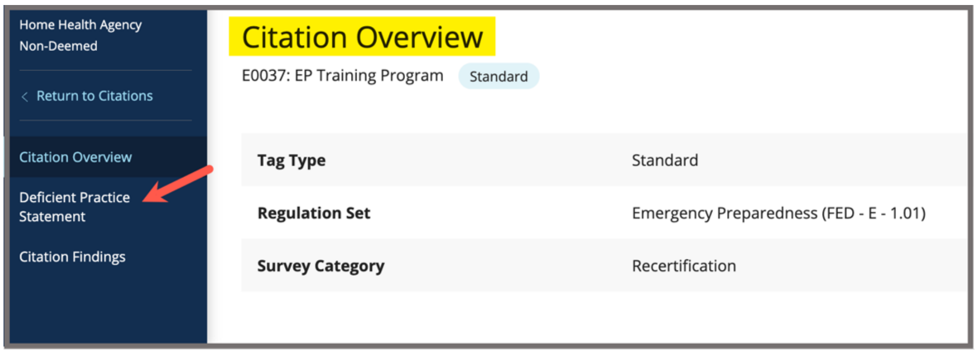


Figure 63: Deficient Practice Statement

13.6.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 64, Regulation Text and Interpretive Guidelines.*

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

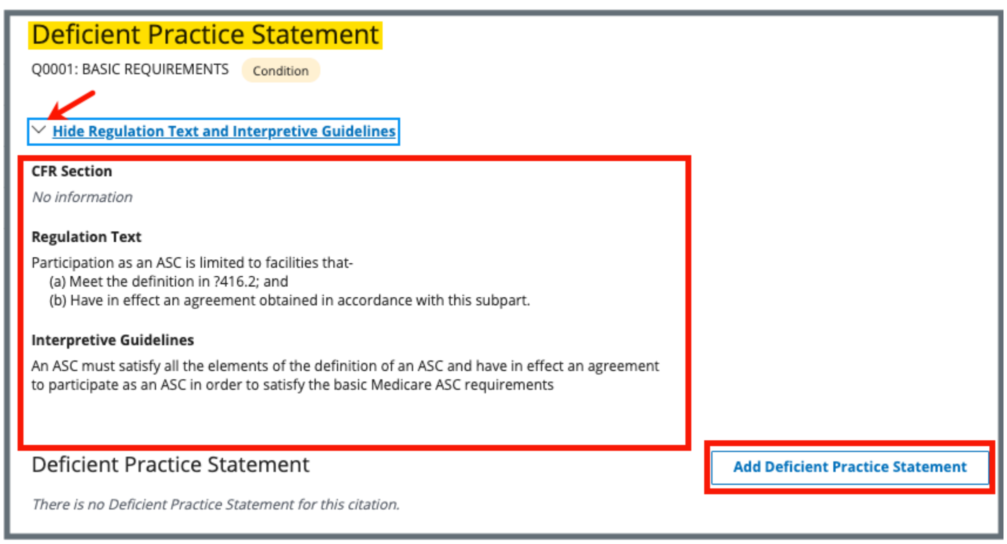


Figure 64: Regulation Text and Interpretive Guidelines

13.6.4 Click **Add Deficient Practice Statement**.

13.6.5 Type the Deficient Practice Statement in the text box. See *Figure 65, Deficient Practice Statement Text Box.*

Note: 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.

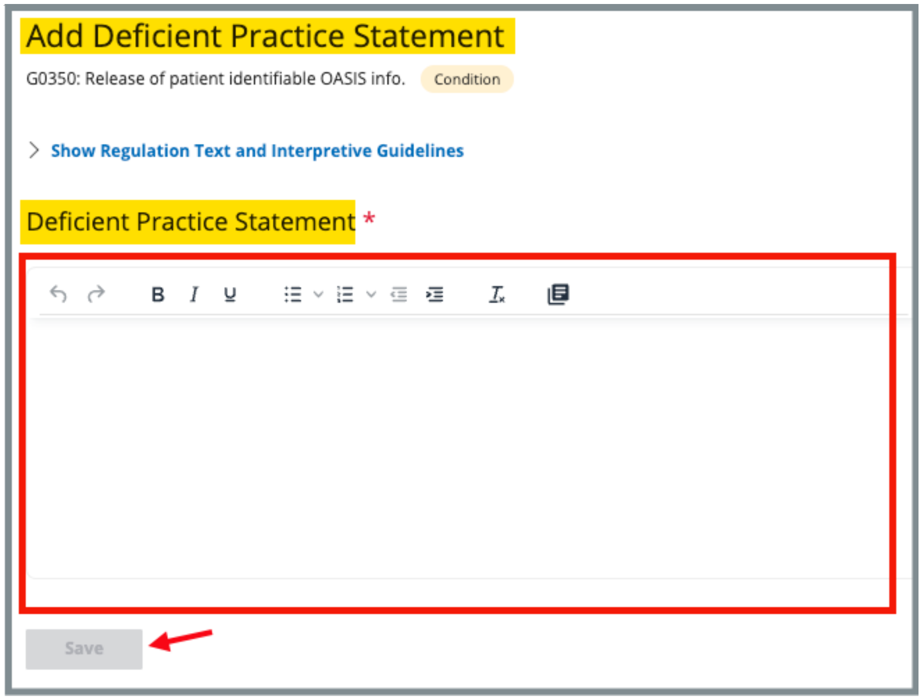


Figure 65: Deficient Practice Statement Text Box

Note: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 66, Concurrent Editor Notification.*

One user will overwrite the other person's data.

- Exit **Edit** mode if either of these notifications appears: *Figure 66: Concurrent Editor Notification* or *Figure 67: DPS Pencil Icon*.
- Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.

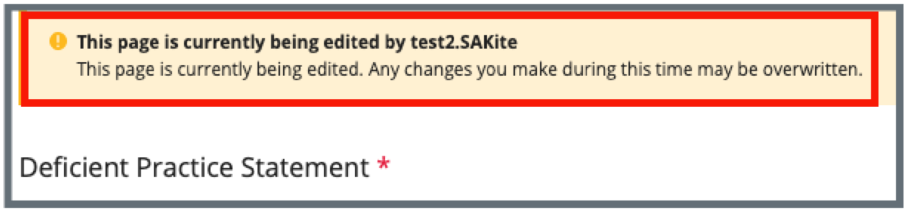


Figure 66: Concurrent Editor Notification

- 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 67, DPS Pencil Icon.*

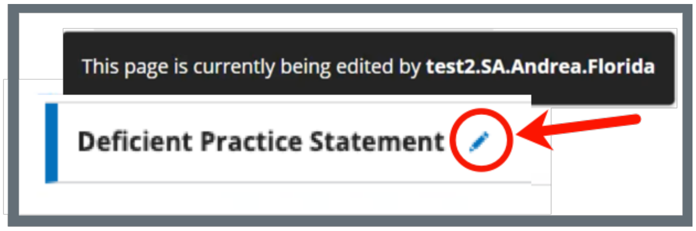


Figure 67: DPS Pencil Icon

13.6.6 Click **Save**.

13.7 Add Findings to a Citation

Note: The Content Library stores reusable content. Refer to Content Library, for more information.

13.7.1 Click **Add Findings** in the **Actions** menu next to the correct citation on the **Citations** window. See *Figure 68, Citation Add Findings.* The Citation Findings window opens.

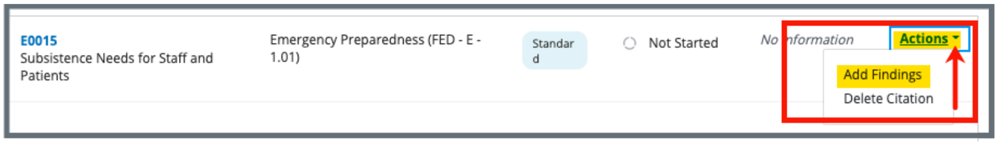


Figure 68: Citation Add Findings

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 69, Actions Drop-Down Menu*. The respective window opens and the specific action can be performed.

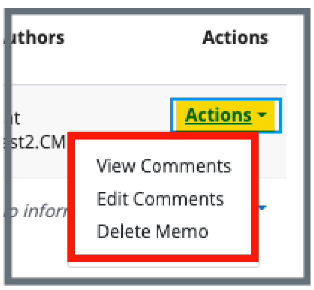


Figure 69: Actions Drop-Down Menu

13.7.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 70, Add Citation Findings.*

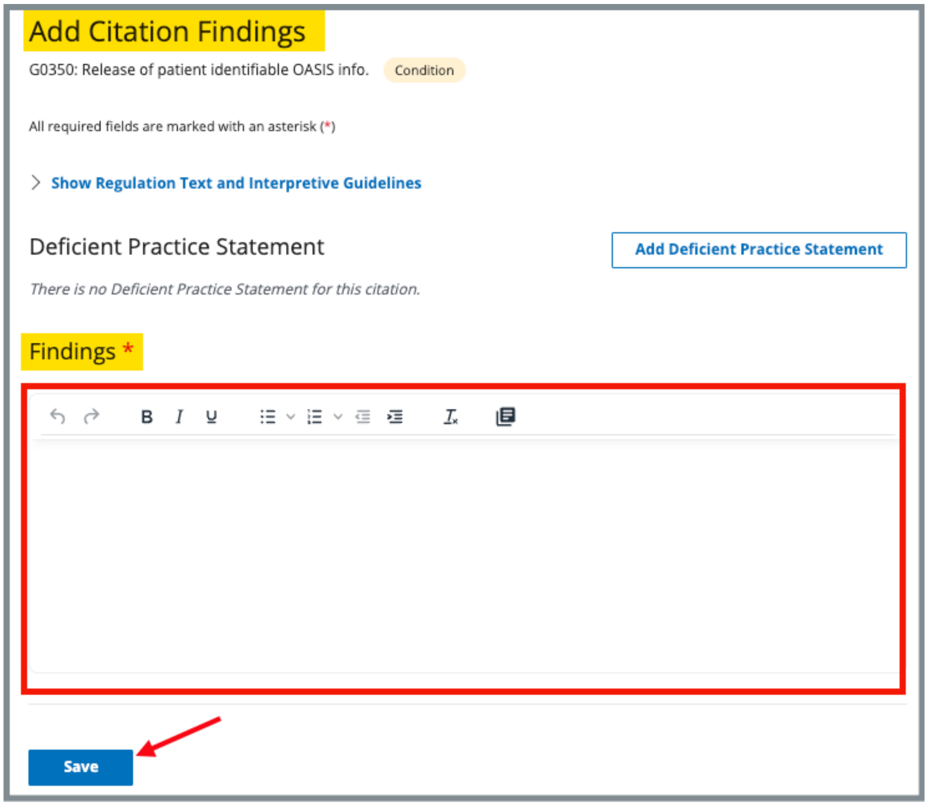


Figure 70: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 71, Concurrent Editor Notification.*

<u>One user will overwrite the other person's data</u>.

- 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.

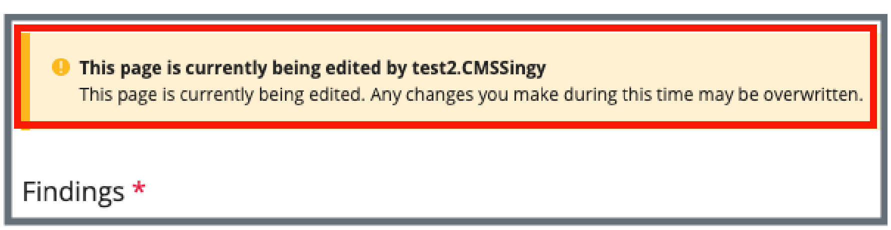


Figure 71: Concurrent Editor Notification

- 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 72, Findings Pencil Icon.*

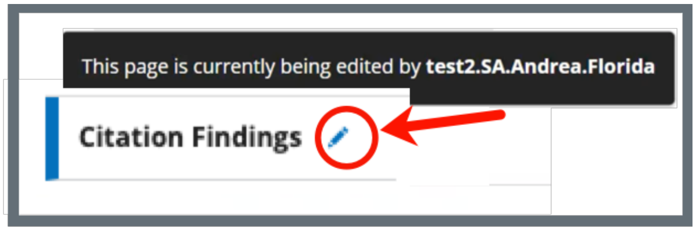


Figure 72: Findings Pencil Icon

13.7.3 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.

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

13.7.5 Click **Save**. The **Citation** window opens. Citation details are shown.

13.8 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 73, Content Library Icon.*

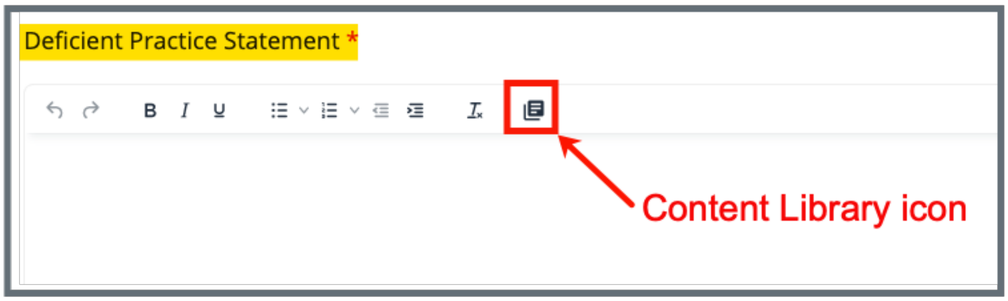


Figure 73: Content Library Icon

13.8.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 74, Content Library Pop-up Window.*

Notes:

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

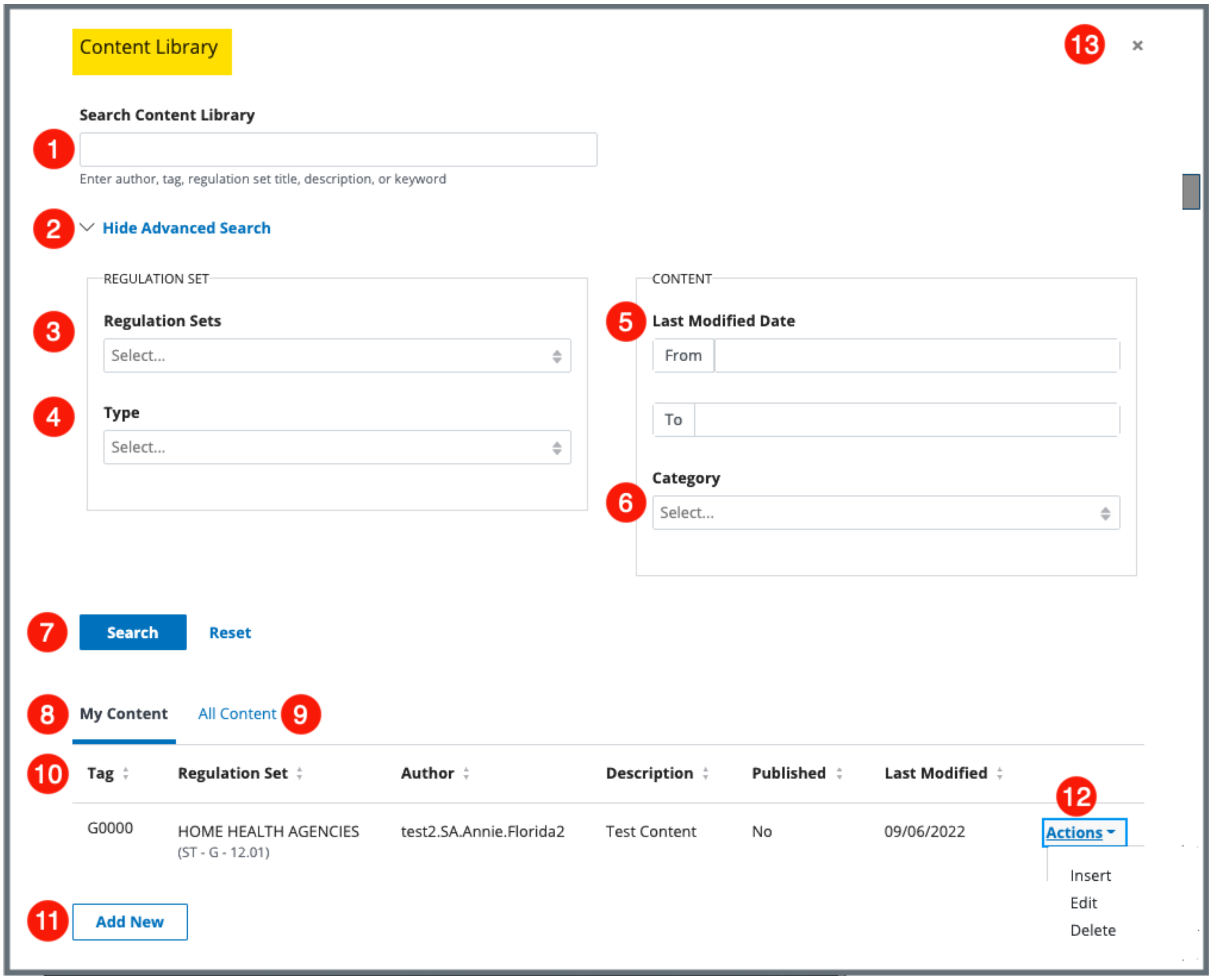


Figure 74: Content Library Pop-up Window

Table 6: Content Library Popup Window Explanation

No.	Name	Description
1	**Search Content Library**	Type Author, Tag, Regulation Set Title, Description, Keyword
2	**Show/Hide Advanced Search**	Click **Show Advanced Search** to view additional selections. Click **Hide Advanced Search** to remove selections
3*	**Regulation Set**	Select from a list of regulation sets
4*	**Type**	Type options are State or Federal, not active reg sets
5*	**Last Modified Date**	The Last Modified Date is the date the content was initially created or last changed/modified
6*	**Category**	Search from **All**, **Deficient Practice**, **Findings**
7	**Search**	Click **Search** to search for the content
8	**My Content**	This tab has a list of all content created by the user
9	**All Content**	This tab has a list of all content that has been made available by all users
10	**Table Headers**	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: **Tag, RegSet, Content Type, Last Modified, Description,** or **Status**.
11	**Add New**	Click **Add New** to add new content.
12	**Actions**	Click the **Actions** drop-down menu next to any content under **My Content** to **Edit**, **Insert**, or **Delete** content. The **Actions** drop-down menu under **All Content** only can be inserted or viewed.
13	**X**	Click to close the **Content Library** window

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

13.8.2 Click **Add New** in the **Content Library** window to add a new piece of content. The **New Content** window opens. See *Figure 75, New Content Pop-up Window* and *Table 4, New Content Popup Callout Detail.*

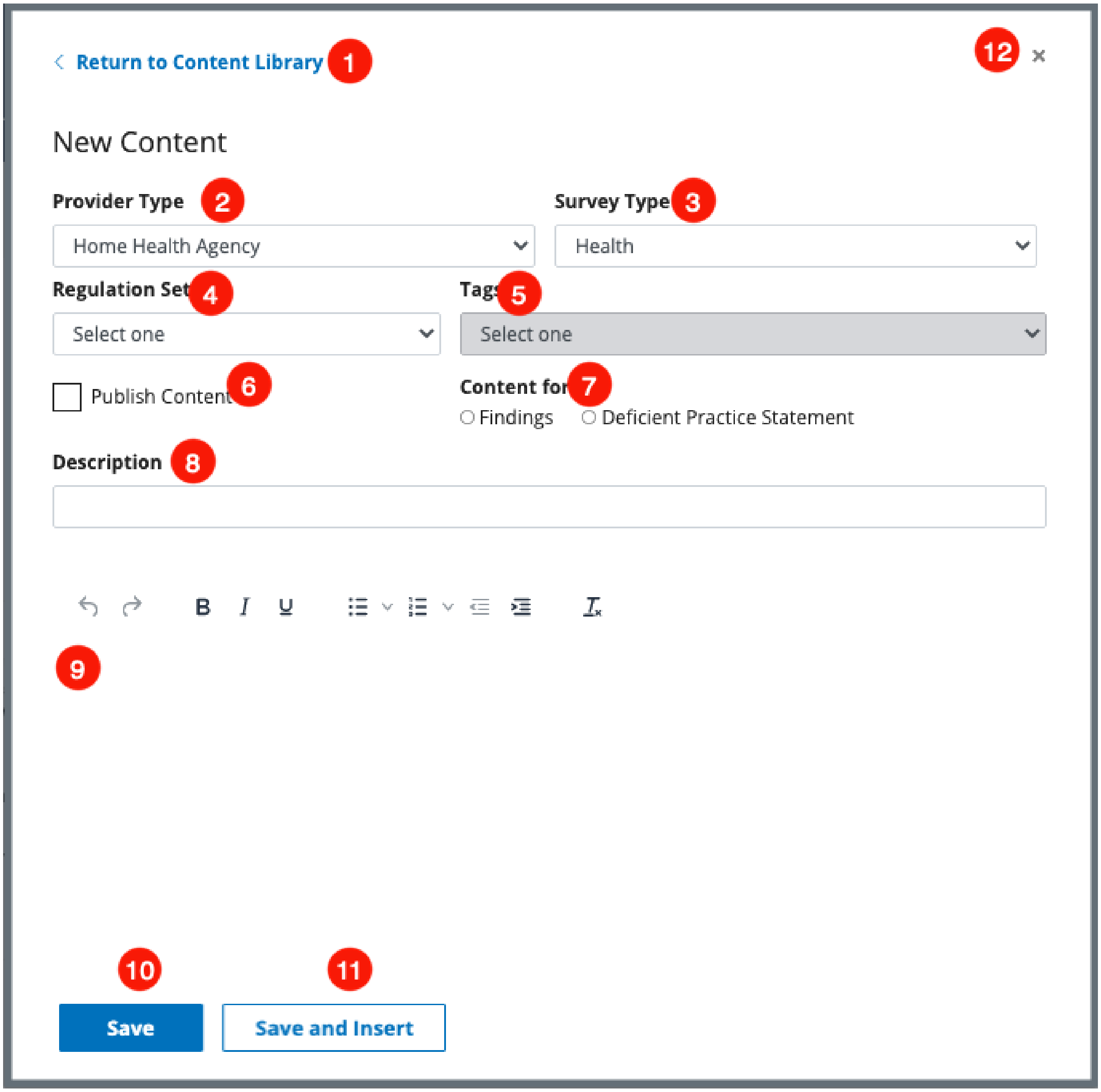


Figure 75: New Content Pop-up Window

Table 7: New Content Popup Callout Detail

No.	Name	Description
1	**Return to Content Library**	Return to the **Content Library** window and cancel **New Content.**
2*	**Provider Type**	Select the provider type from the drop-down menu.
3*	**Survey Type**	Select the survey type from the drop-down menu.
4*	**Regulation Set**	The regulation associated with the citation automatically appears. Click the caret to select a different regulation set from the drop-down menu.
5*	**Tag**	The tag associated with the citation automatically appears. Click the caret to select a different tag from the drop-down menu.
6	**Publish Content**	Check this box when the content created can be publicly accessed. This content will appear under All Content.
7	**Content Category**	Select **Findings** or **Deficient Practice Statement**.
8	**Description**	Type a description. This description is how the content can be found in the Content Library.
9	Text Box	The content goes here. It can be typed or pasted in the box.
10	**Save**	Click **Save** to save the content.
11	**Save and Insert**	Click to insert the information in the text box into the Deficient Practice Statement (DPS) or the Findings. **Save and Insert** saves any changes made to the content and inserts the content in the DPS or Citations Findings and closes the Content Library window.
12	**X**	Click to close the **Content Library** window.

*These fields are automatically generated but can be changed.

13.8.3 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.

a. Open the Content Library.

b. Click **Insert** under the **Actions** menu to insert existing content. See *Figure 76, Content Library: Insert, Edit, Delete*.

c. Click **Edit** under the **Actions** menu to edit existing content.

d. 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**.

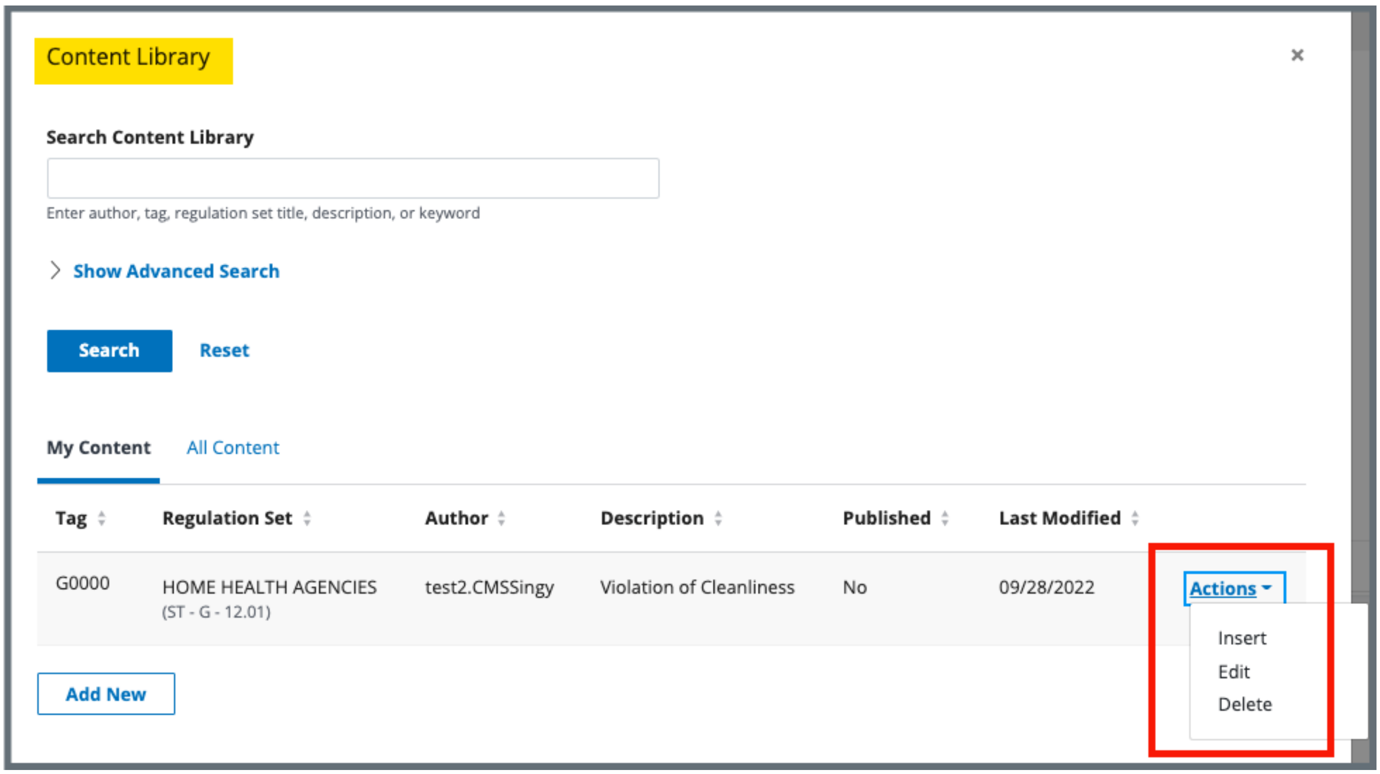


Figure 76: Content Library: Insert, Edit, Delete

13.8.4 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 77, View Drop-Down Menu*.

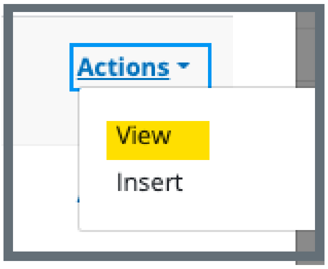


Figure 77: View Drop-Down Menu

c. Click **Duplicate**. See *Figure 78, Duplicate.* The **Add New Content** window opens.

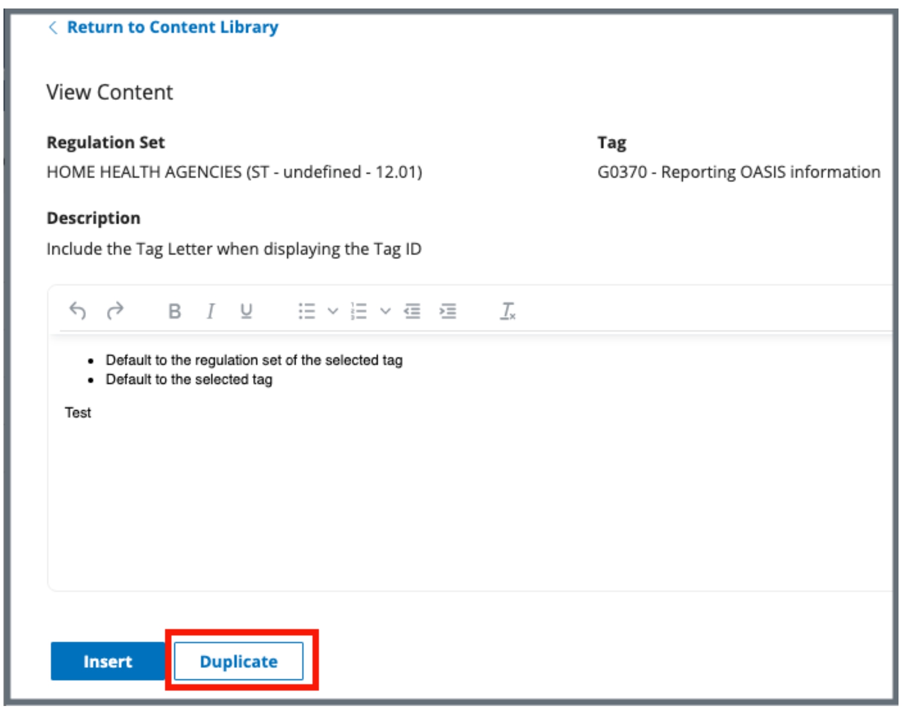


Figure 78: Duplicate

d. Make any desired changes.

e. Click **Save** to save the document to **My Content**. See *Figure 79, Edit Duplicated Content.*

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

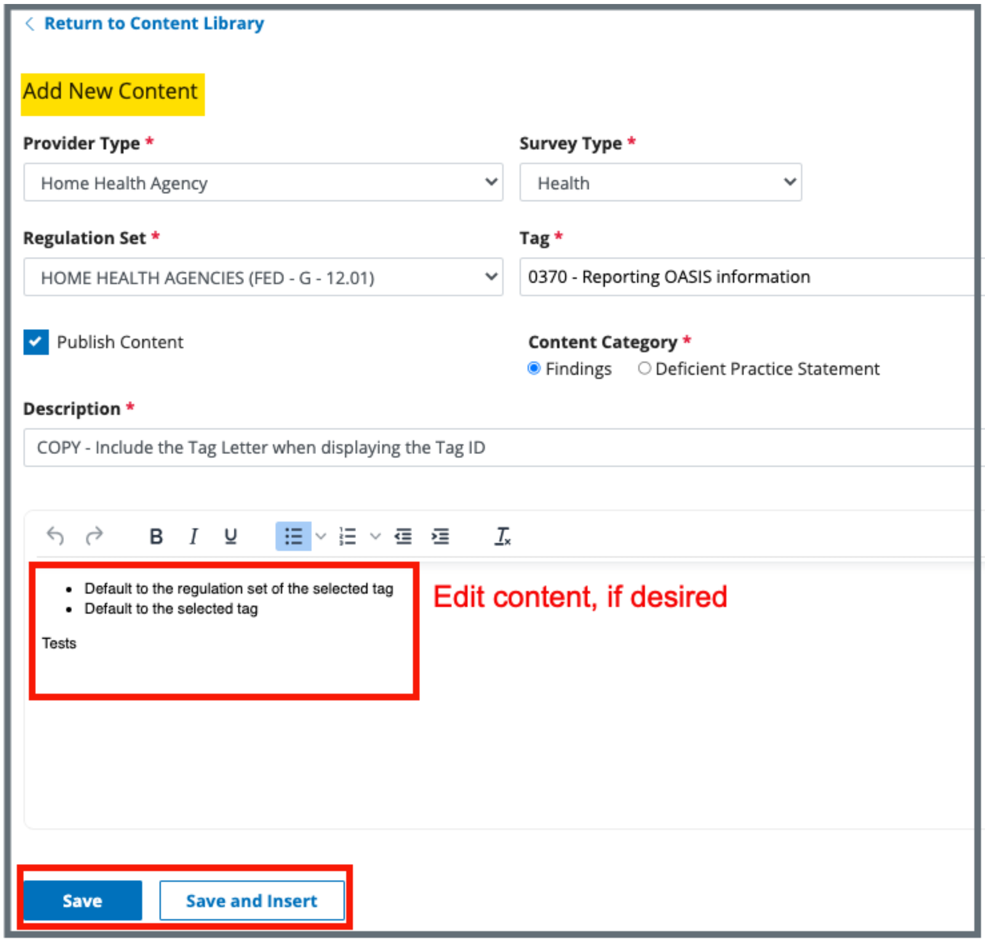


Figure 79: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See *Figure 80, 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.

My Content | All Content

Tag	Regulation Set	Author	Description	Published	Last Modified	
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include the Tag Letter when displaying the Tag ID	Yes	09/29/2022	Actions
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include the Tag Letter when displaying the Tag ID	Yes	09/29/2022	Actions
G0000	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	Violation of Cleanliness	No	09/28/2022	Actions

Figure 80: Duplicated Content with COPY in Description

13.9 Add an Attachment

Note: Only one attachment can be added at a time.

13.9.1 Click **Attachments** on the left menu on either the **Citation Overview** or **Citations** page. The **Attachments** window opens. See *Figure 81, Attachments.*

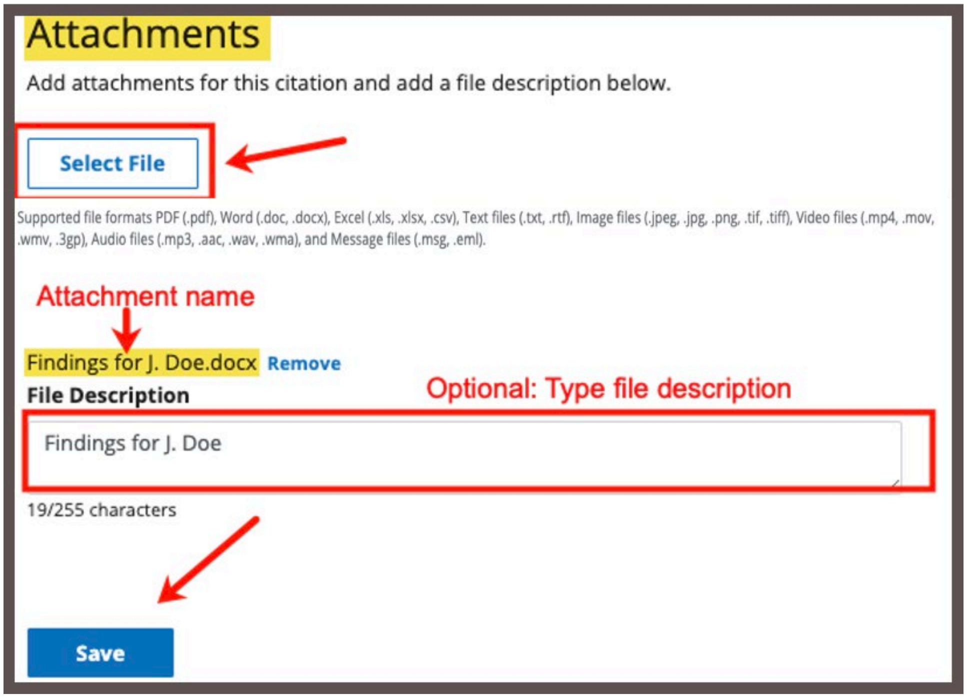


Figure 81: Attachments

13.9.2 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

13.9.3 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.

13.9.4 Type a file description in the **File Description** field, if desired.

13.9.5 Click **Save**. The file is attached to the Citation.

13.10 Conditions to Lock a Citation

The following conditions must be met to lock a citation:

- Refer to 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
- At least one survey extent (i.e., **Standard**, **Abbreviated**, or **Other**) is selected
- Hospice team members must acknowledge/accept a Conflict of Interest Attestation

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.

13.11 Lock/Unlock a Citation

13.11.1 Click **Lock Citations** on the Citations page. See *Figure 82, Citations Ready to be Locked*. The **Survey Extents** popup opens.

Figure 82: Citations Ready to be Locked

13.11.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 83, Survey Extents Popup.*

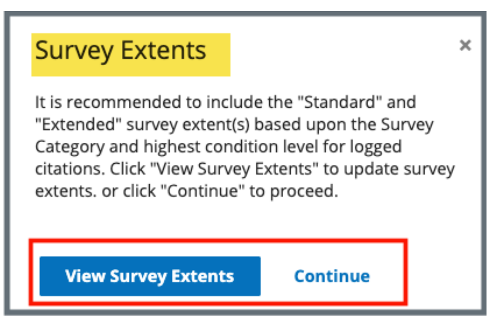


Figure 83: Survey Extents Popup

13.11.3 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 84, Lock Citations*.

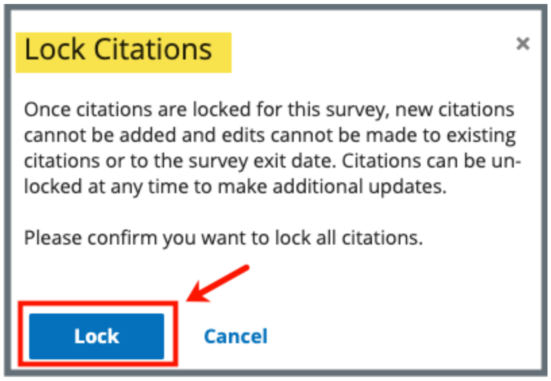


Figure 84: Lock Citations

13.11.4 Click **Lock** to lock citations. The **Citations** window opens and citations are locked.

13.11.5 Click **Unlock Citations** on the **Citations** window to unlock citations. See *Figure 85, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

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

Figure 85: Unlock Citations Pop-Up Window

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

13.12 Merge Citation Findings

Note: Only the Team Coordinator can merge citations.

13.12.1 Go to **Citations**. Verify that the **Citation Status** is **Ready for Merge**. See *Figure 86, Ready for Merge.*

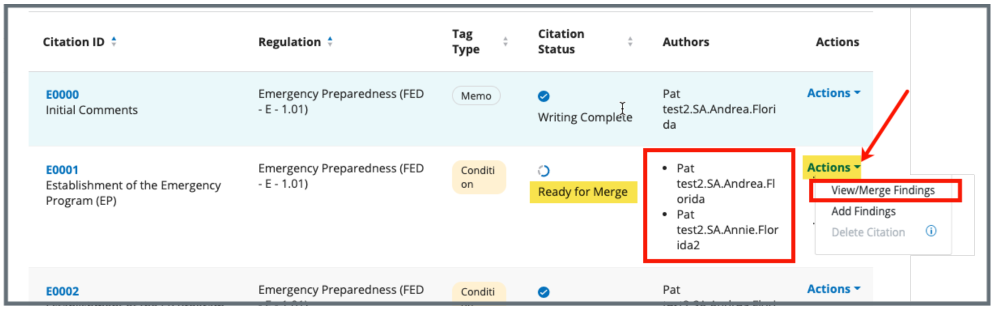


Figure 86: Ready for Merge

13.12.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 87, Findings.*

Note: Click arrows next to findings to rearrange the order of the findings. Once findings are merged, the order cannot be changed.

Figure 87: Findings

13.12.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 88, Merge.*

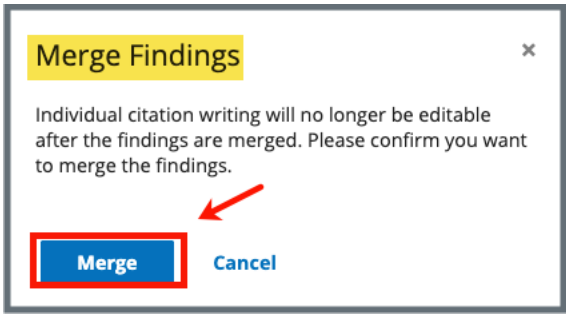


Figure 88: Merge

13.12.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 89, Ready for Merge.*

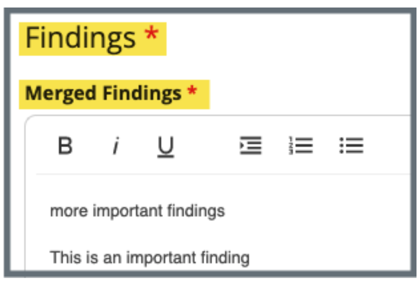


Figure 89: Ready for Merge

13.12.5 Update or edit findings, if desired. See *Figure 90, Findings*.

13.12.5.1 Click **Edit Findings** to edit the findings. The **Citations Findings Status** automatically changes to **In Progress**.

13.12.5.2 Click **Save Status** to save the edits. The **Citation Status** on the top menu is updated to **In Progress**.

13.12.6 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 Teams member can delete a merged citation.

- A merged citation can be edited to remove one of the merged citations.

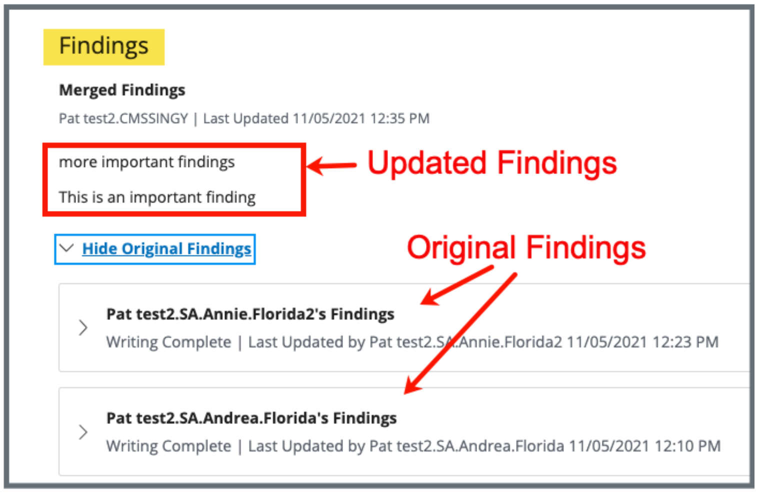


Figure 90: Findings

13.13 Create a Revisit Survey

Notes:

- A revisit is required when there are federal condition level deficiencies.
- 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 non-condition level 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.

13.13.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 91, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

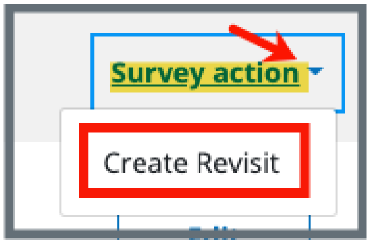


Figure 91: Create Revisit Drop-Down Menu

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.

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

13.14 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.
- If a survey contains federal citations with condition-level tags, then all citations in the survey are carried over to the revisit survey. When this happens, all the **Needs Revisit** checkboxes will be 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.

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

13.14.2 Each citation has a **Needs Revisit** column. See *Figure 92, Needs Revisit Column.*

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

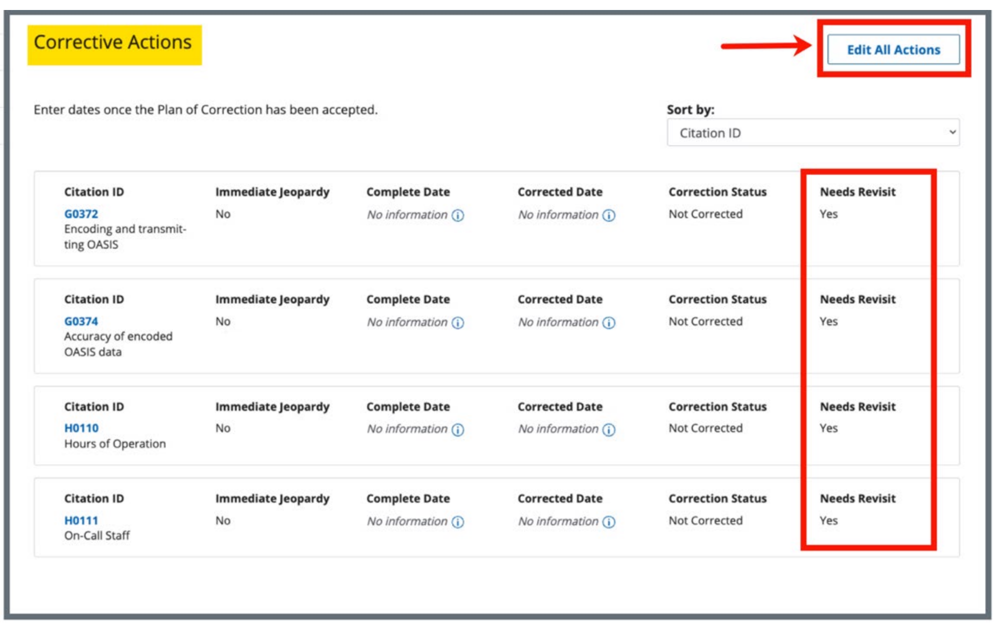


Figure 92: Needs Revisit Column

13.14.3 Click **Edit All Actions**. The fields are now editable. See *Figure 93, Needs Revisit Editable Fields.*

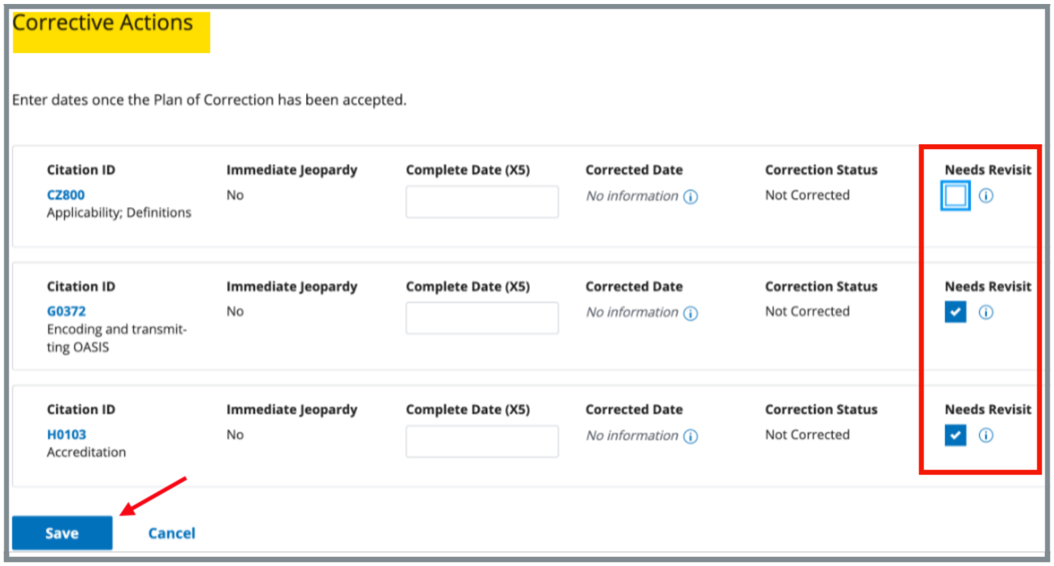


Figure 93: Needs Revisit Editable Fields

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

13.14.5 Click **Save**.

13.15 View Older Revisit Surveys

13.15.1 Go to the latest revisit survey and click **Plan of Correction** on the left menu. Scroll down to **Corrective Actions**. See *Figure 94, Revisits Corrective Actions.*

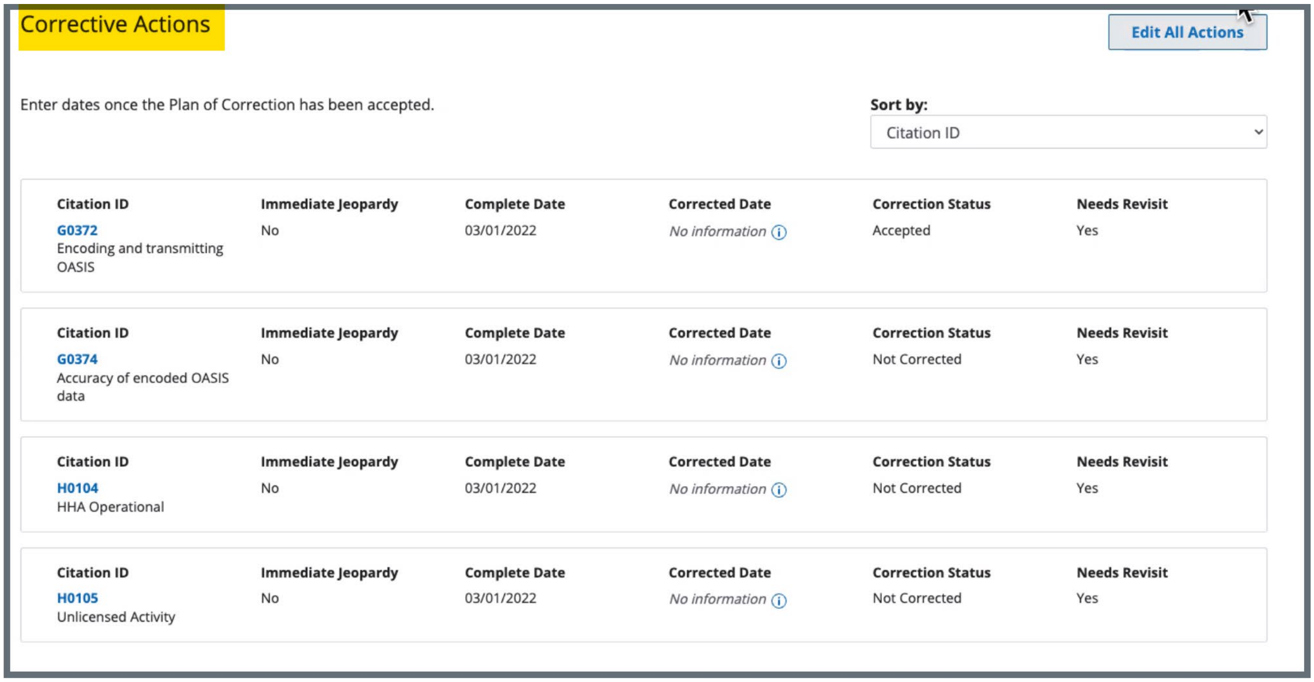


Figure 94: Revisits Corrective Actions

13.15.2 Click **Edit All Actions**.

13.15.3 Add the **Corrected Date** to any citations that have been corrected. See *Figure 95, Citation Corrected Dates.*

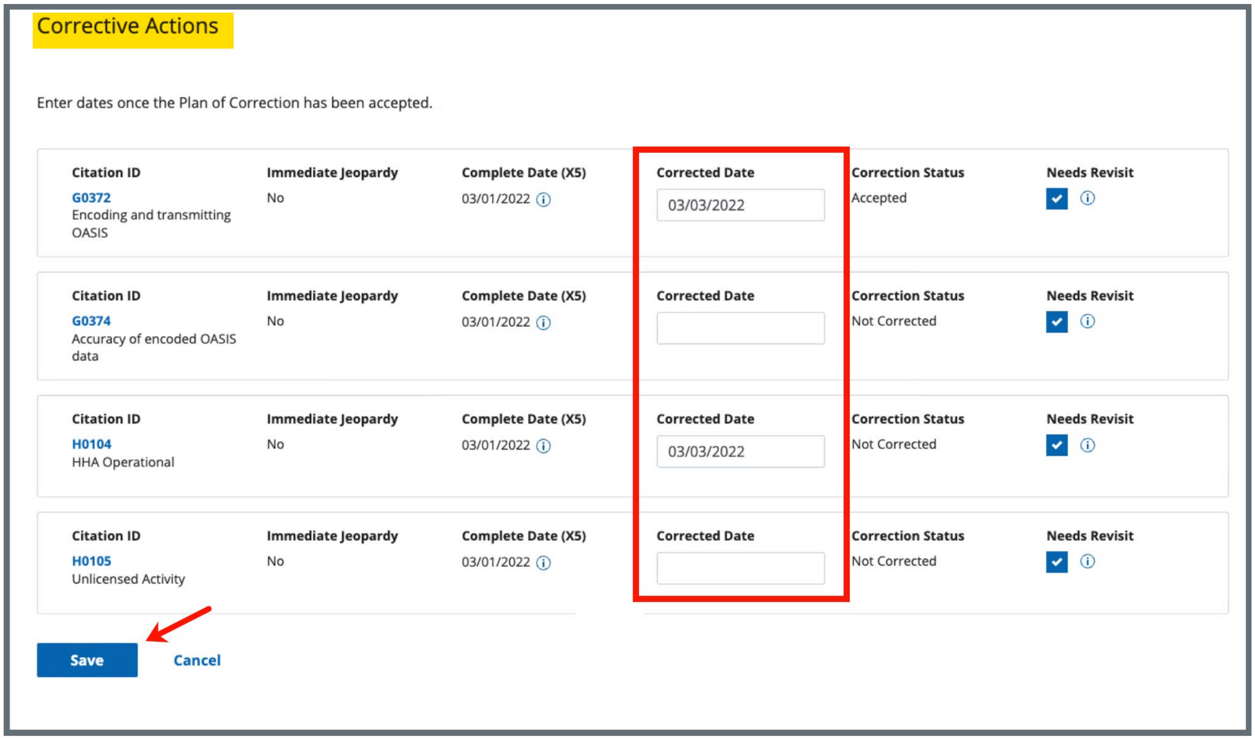


Figure 95: Citation Corrected Dates

13.15.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 96, Revisits Linked in Corrective Actions.*

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

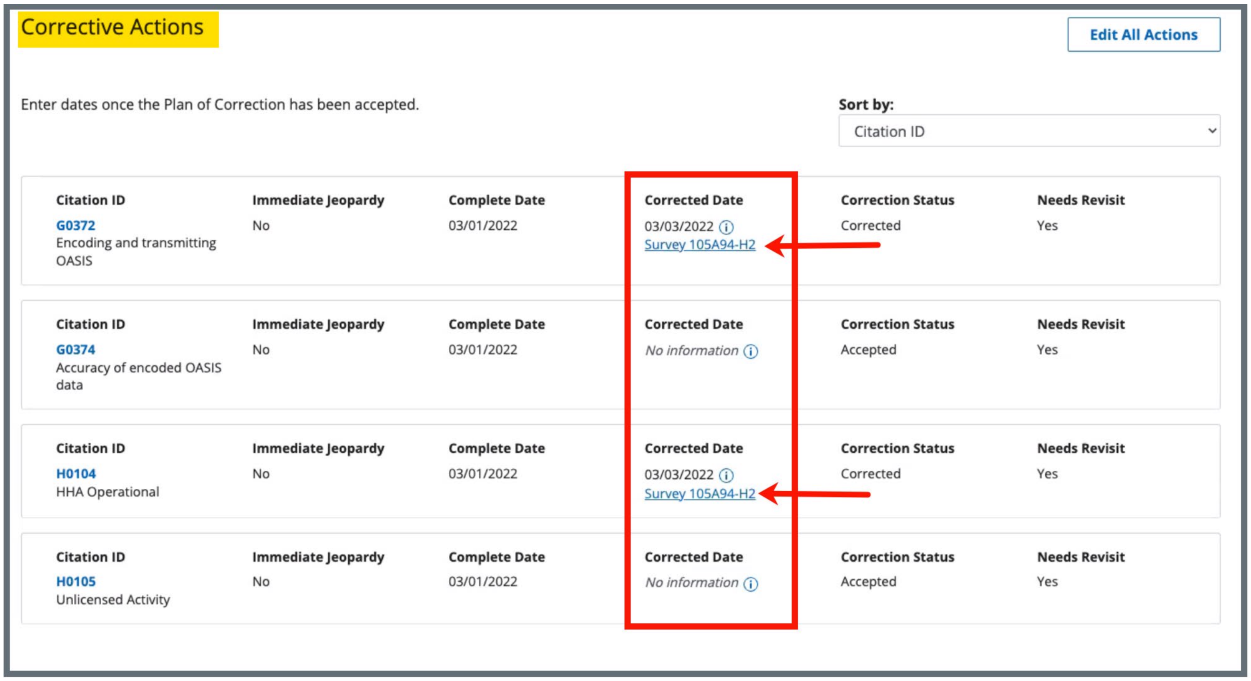


Figure 96: Revisits Linked in Corrective Actions

14. Immediate Jeopardy

Purpose: Immediate Jeopardy (IJ) is a situation in which the provider'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. Refer to the Immediate Jeopardy Job Aid for detailed information, including the IJ workflow.

14.1 Add IJ to a citation.

14.1.1 Add a citation. See Citations for more details.

14.1.2 Check the **Associated with Immediate Jeopardy** box. See *Figure 97, Add IJ to a Citation.*

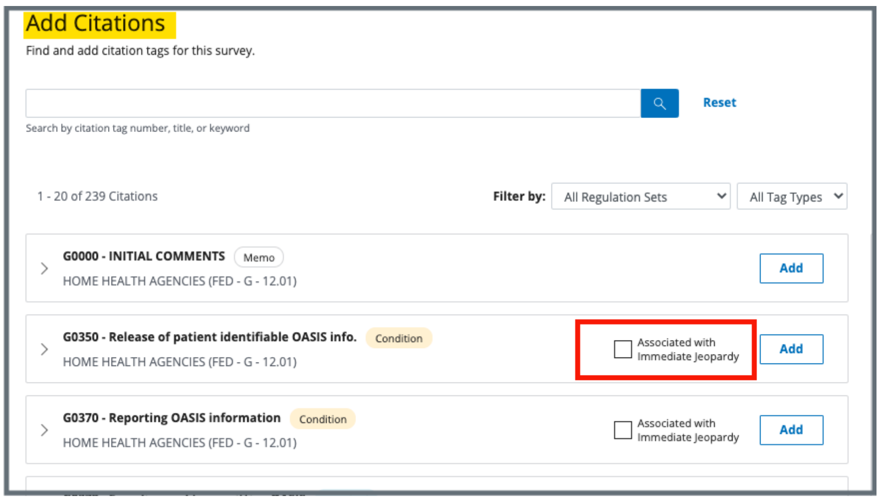


Figure 97: Add IJ to a Citation

14.1.3 Click **Add**.

14.1.4 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.

14.2 Update any citations not associated with IJ. See Add Findings, if necessary.

14.3 Click **Lock IJs**. See *Figure 98, 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**.

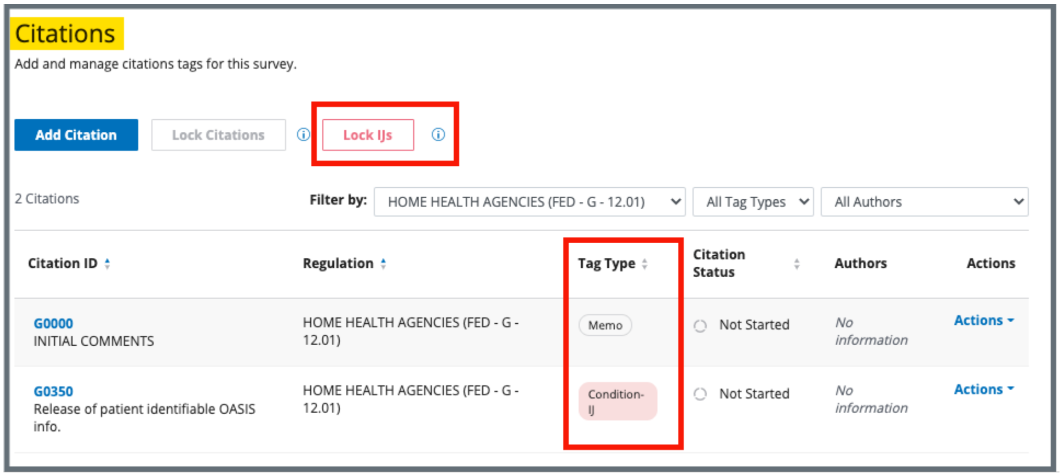


Figure 98: Lock IJs

14.4 Click **Lock as IJ**. See *Figure 99, Lock IJ Citations Popup Window*. The **Citations** page opens and a Statement of Deficiencies can now be generated with **Date Sent**.

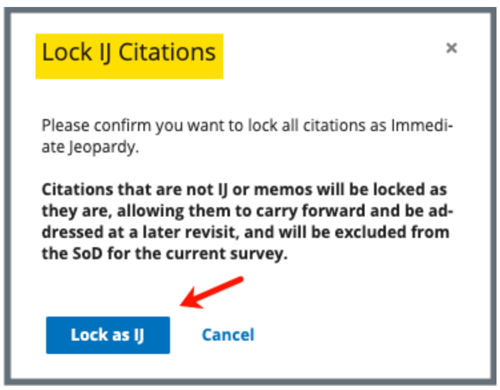


Figure 99: Lock IJ Citations Popup Window

14.5 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** page opens.

14.6 Click **Generate Statement of Deficiencies**. The **Statement of Deficiencies** page shows additional fields.

14.7 Click the box next to **Include only IJ citations and memos** under **IJ Survey** on the **Statement of Deficiencies** page. See *Figure 100, 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.

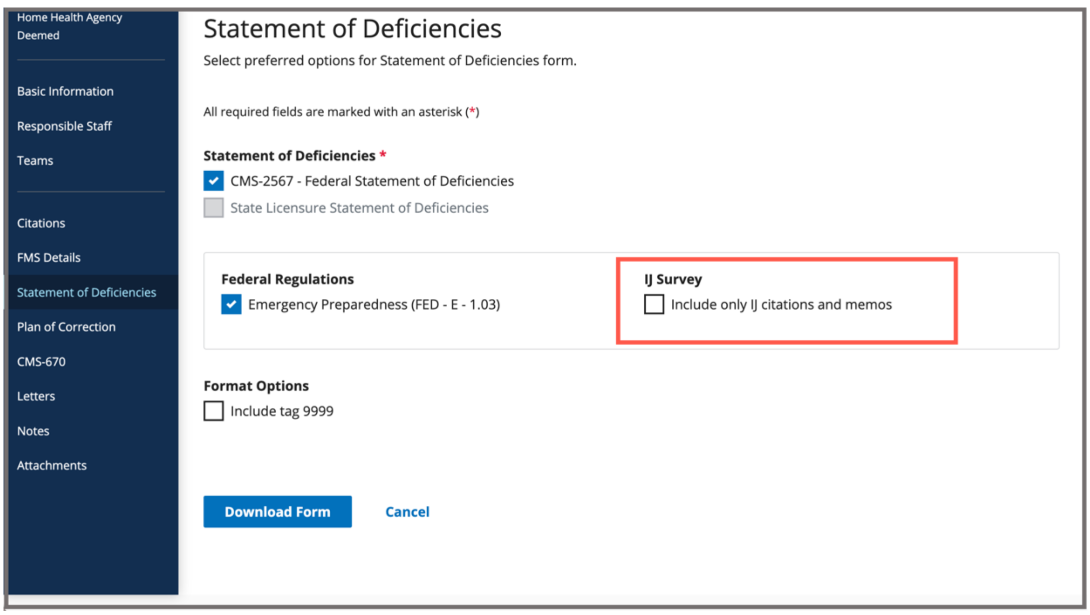


Figure 100: IJ Citation Check Box

15. 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.

15.1 Create the CMS-2567 form.

15.1.1 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** screen opens. See *Figure 101, Statement of Deficiencies*.

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

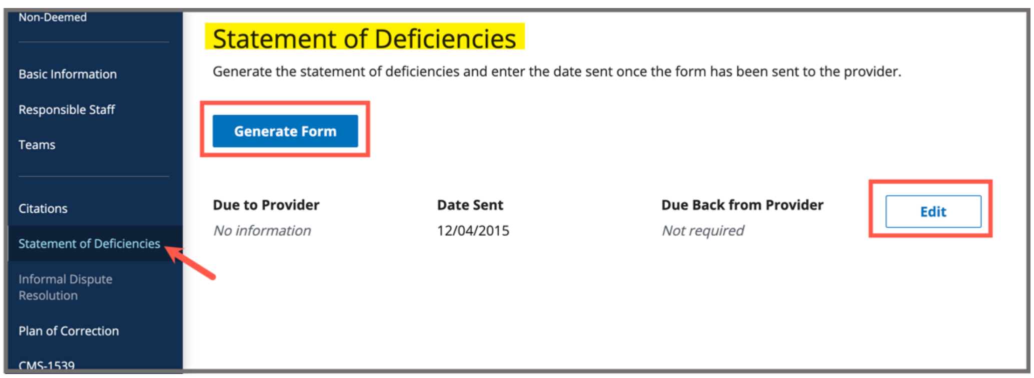


Figure 101: Statement of Deficiencies

15.1.2 Click **Generate Form**. Preferred options are shown. See *Figure 102, Statement of Deficiencies: Preferred Options.*

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

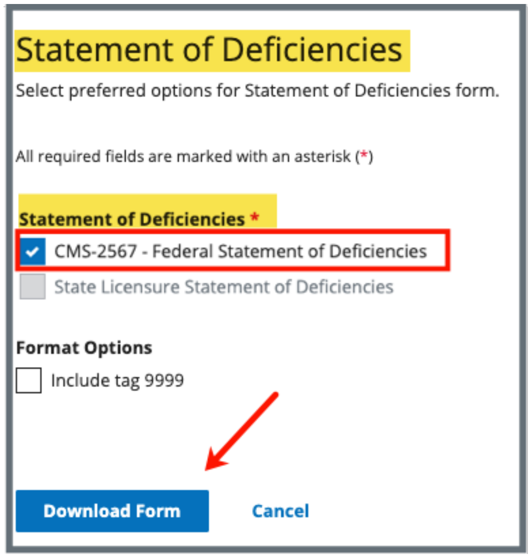


Figure 102: Statement of Deficiencies: Preferred Options

15.1.4 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.

15.2 Edit the Statement of Deficiencies dates.

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

15.2.1 Click **Edit**. See *Figure 103, Statement of Deficiencies*.

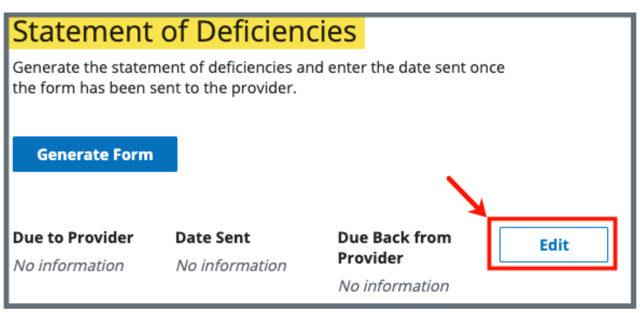


Figure 103: Statement of Deficiencies

15.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 104, Statement of Deficiencies Edit Screen*.

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

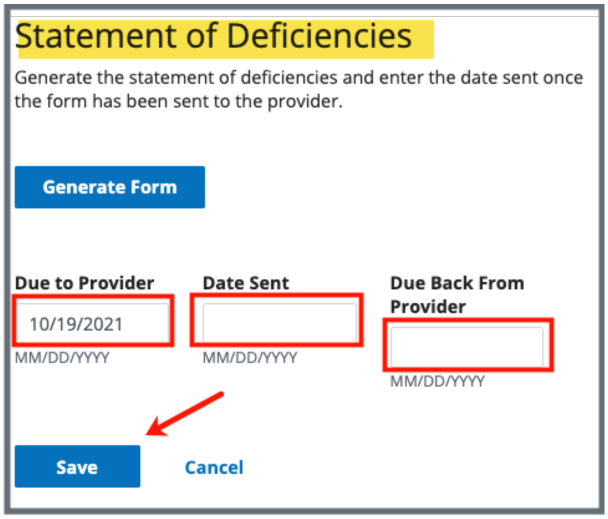


Figure 104: Statement of Deficiencies Edit Screen

15.2.3 Click **Save**.

PRINTED: 09/14/2022

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

FORM APPROVED
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTIONS	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION A. BUILDING B. WING	(X3) DATE SURVEY COMPLETED

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
House of the Rising Sun	**1 Main St , Anytown, Florida, 87960**

(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE
G0000	INITIAL COMMENTS	G0000		
G0370	Reporting OASIS information CFR(s): 484.45 Condition of participation: HHAs must electronically report all OASIS data collected in accordance with §484.55. This CONDITION is NOT MET as evidenced by: This is for MichelleThis is for AndreaMichelle didn't start this citation, but she can edit the Deficient Practice Statement including deleting what Andrea wrote here. (I deleted, "Wow. I can edit!") First findings recorded here by Michelle Second findings recorded here by Michelle after modifying the Deficient Practice Statement above. I cannot edit Andrea's findings below. We'll add more findings here. More findings here. This is Michelle, a member of the QA Team, writing Findings on behalf of Andrea, The Team Coordinator, who is the only person on the Survey Team list. I deleted the findings.	G0370		

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: E7E26-H1 Facility ID: IQ00000002521599   If continuation sheet Page 1 of 1

Figure 105: CMS-2567

16. Informal Dispute Resolution

Purpose: To add or manage any informal dispute resolutions (IDR) in response to citations and to view the current survey citation status.

Note: To create an IDR, the survey must have a status of Statement of Deficiencies Sent.

16.1 Click **Survey action** on the gray status bar and select **Create Informal Dispute Resolution** from the drop-down menu. See *Figure 106, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.

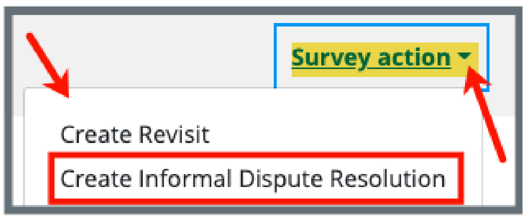


Figure 106: Create Informal Dispute Resolution Drop-Down Menu

16.2 Fill out the information.

Note: Click **Select** under List of Attendees for attendees.

16.3 Click **Create Informal Dispute Resolution**. The **Informal Dispute Resolution page** updates.

17. Plan of Correction (POC)

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.

17.1 Plan of Correction

17.1.1 Click **Plan of Correction** on the left menu. The **Plan of Correction** screen opens. See *Figure 107, Plan of Correction*.

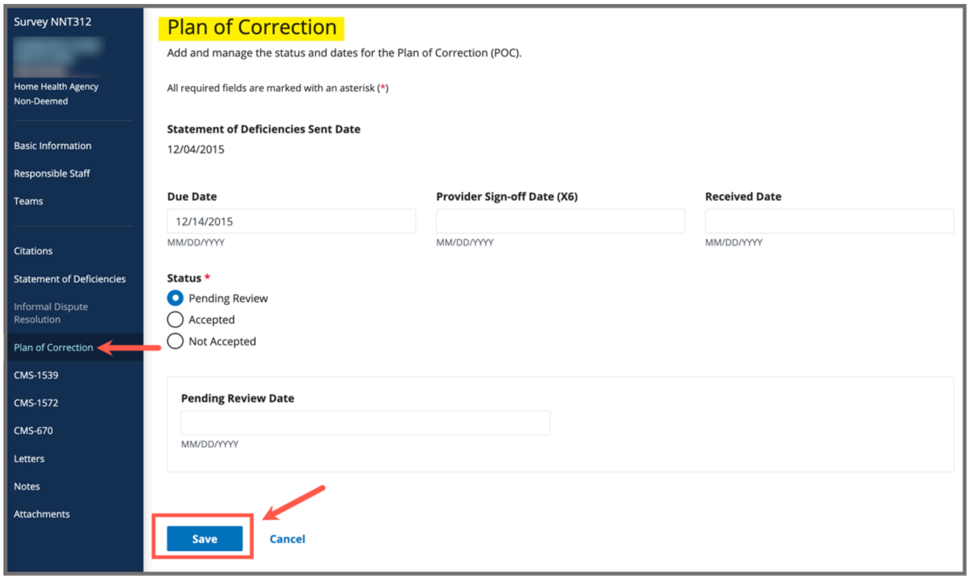


Figure 107: Plan of Correction

17.1.2 Fill out the information.

Note: The **Provider Sign-off Date (X6)** and the **Received Date** are not required when the status is **Not Accepted**.

17.1.3 Click **Save**. The **Plan of Correction** page updates.

17.2 Waivers

Notes:

- Waivers are for Life Safety Code surveys only.
- Only a CMSGU can change the decision on the waiver.
- Once a Waiver has been requested by the SAGU, an automatic email notification is sent to the CMS Responsible Staff to notify CMS staff of the waiver request. If there is no CMS Responsible Staff, no email will be sent.
- After the waiver decision is made in iQIES by CMS, an automatic email is sent to the SAGU stating a waiver decision has been made. If there is no SAGU staff, no email will be sent.
- Be sure to have a CMS Responsible staff and a State Agency Responsible staff.
- A waiver cannot be added to a citation with the **Immediate Jeopardy** tag.

17.2.1 Click the caret next to the **Citation ID & Building ID** on the **Plan of Correction** page under **Corrective Actions** to view waiver details. See *Figure 108, Citation ID & Building ID.*

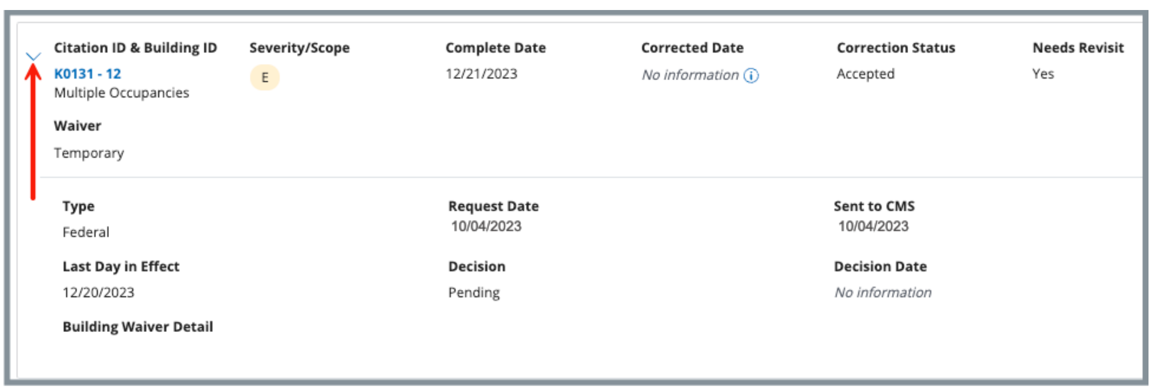


Figure 108: Citation ID & Building ID

17.2.2 Click **Edit All Actions** on the **Plan of Correction** page to enter Corrective Action information, including waiver details. See *Figure 109, Edit All Actions.*

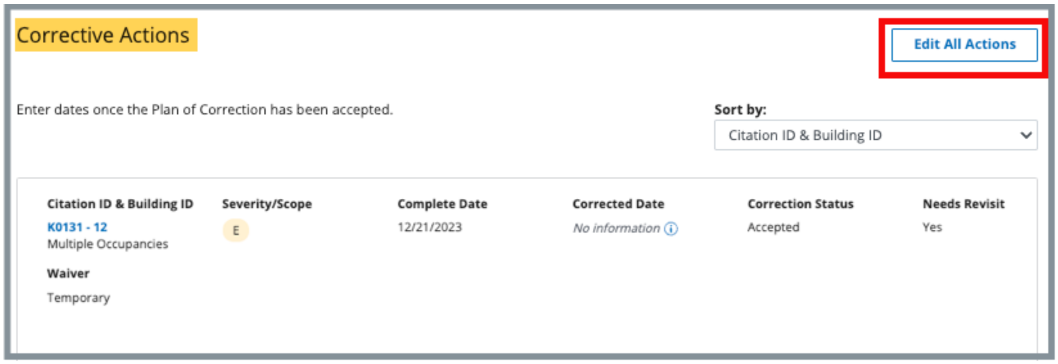


Figure 109: Edit All Actions

17.2.3 Click the drop-down menu under **Waiver** to change the waiver status. See *Figure 110, Waiver Selections.*

Note: Grayed out areas can only be updated by a CMS General User.

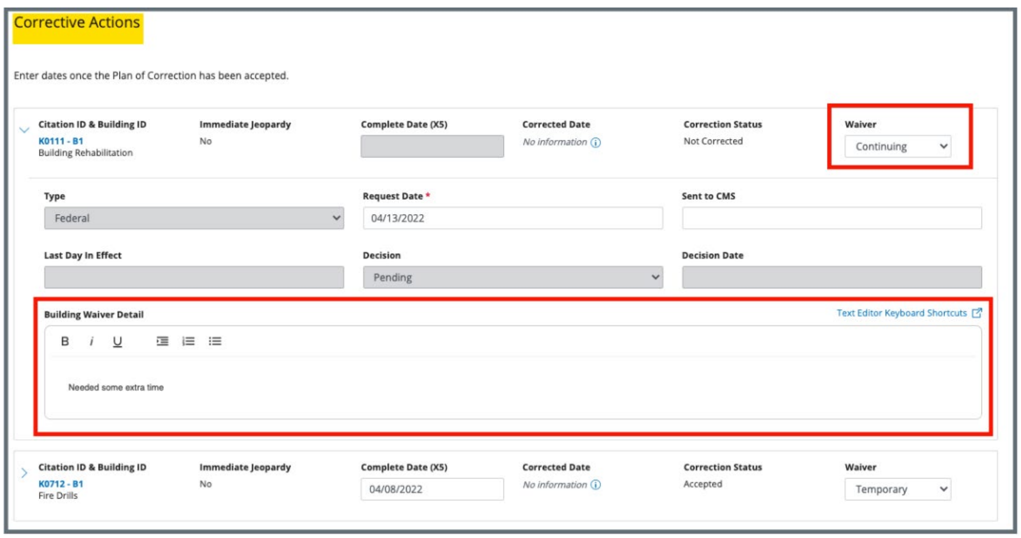


Figure 110: Waiver Selections

17.2.4 Add building details, if desired.

17.2.5 Click **Save**.

Note: A Revisit survey can now be made for the LSC survey.

18. Letters

Purpose: To add, upload, generate a letter from an existing template, edit a Letter Overview, delete a letter, or add recipients to a letter. Nonstandardized templates can be edited in the Letters section of the applicable S&C area (providers, surveys, intakes, enforcements).

Note: Letter templates are created in the Letter Template Management section. Review S&C User Manual: Letter Template Management for more information.

18.1 Add/Upload a letter

18.1.1 Click **Letters** on the left menu to go to **Letters**. See *Figure 111, Surveys Letters*.

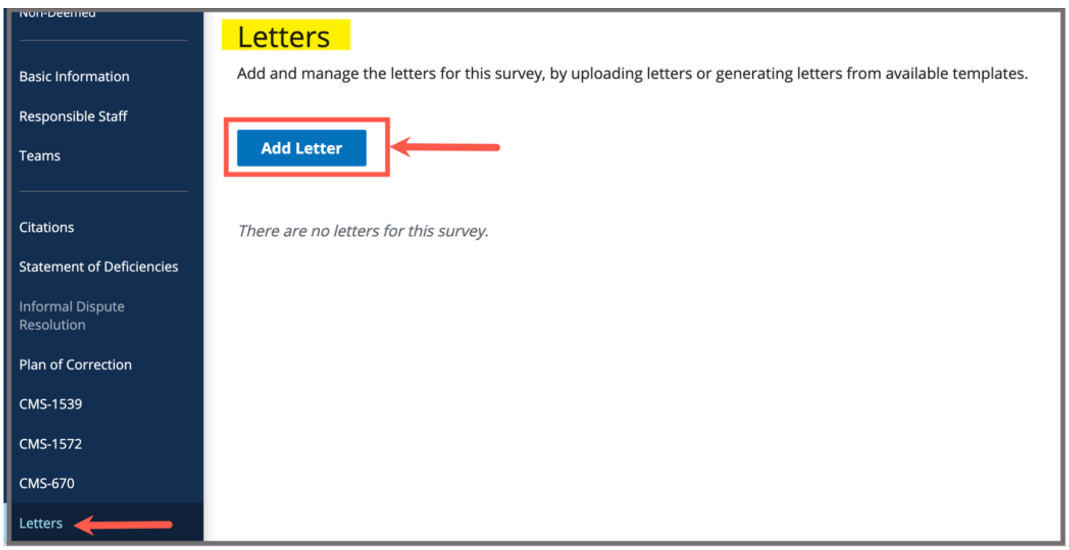


Figure 111: Surveys Letters

18.1.2 Click **Add Letter**. The **Letter Overview** window opens. See *Figure 112, Providers Letter Overview*.

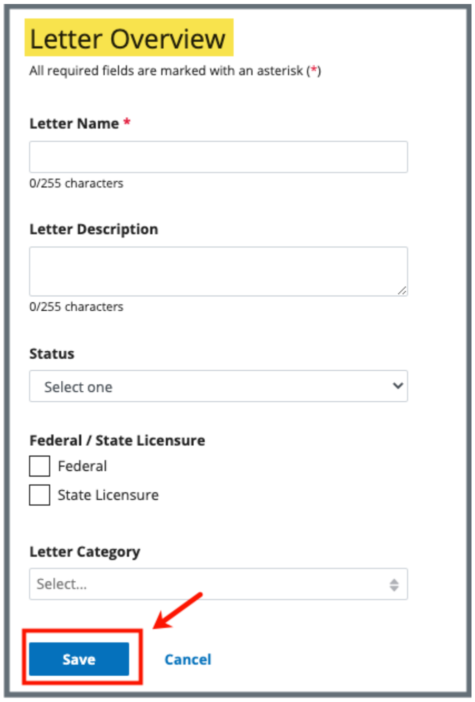


Figure 112: Providers Letter Overview

18.1.3 Fill out the information.

18.1.4 Click **Save**. The information updates in a new screen. See *Figure 113, Letter Attachment and Recipient*.

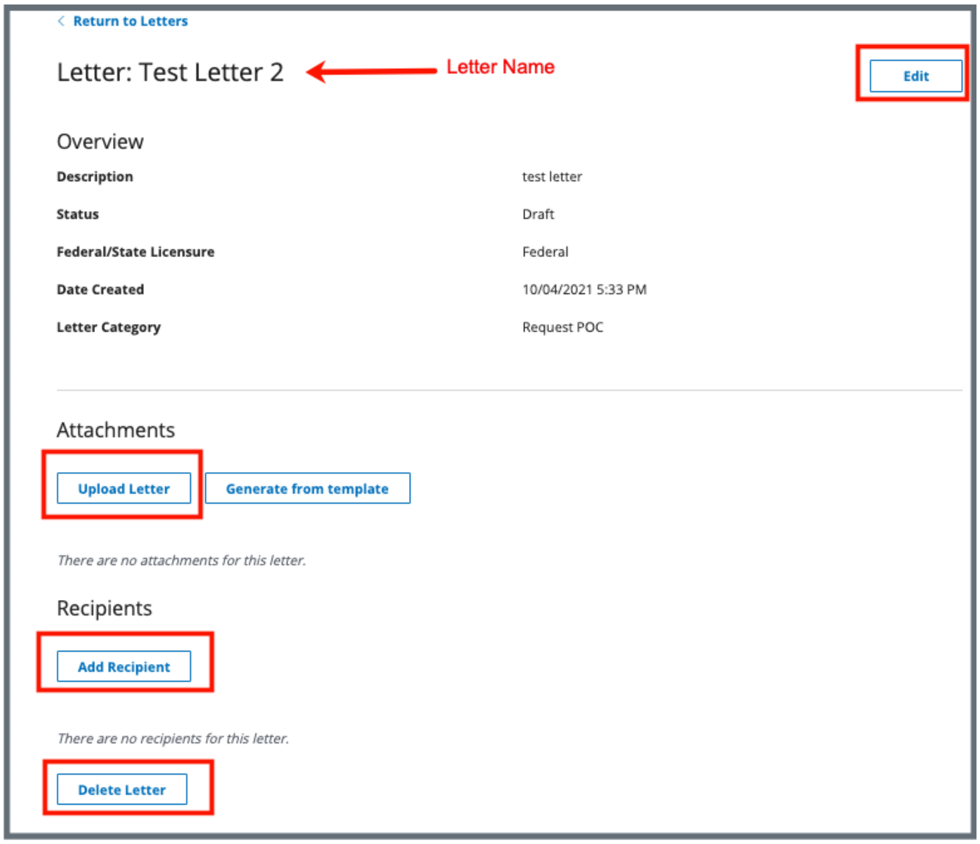


Figure 113: Letter Attachment and Recipient

18.1.5 Scroll down to **Attachments**. Click **Upload Letter** to upload a letter from the computer.

18.1.6 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

18.1.7 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.

18.1.8 Type a file description in the **File Description** field, if desired.

18.1.9 Click **Save**. The letter is attached to the survey.

18.2 Generate a letter from an existing template

18.2.1 Click **Add Letter**. The **Letter Overview** page opens.

Note: If there is already an existing letter that can be reused, click **Generate from template** under the **Actions** drop-down menu and go to step 18.2.5.

18.2.2 Type the letter name under **Letter Name**. Add additional information, if desired.

18.2.3 Click **Save**. The **Letter: [Template Name]** page opens.

18.2.4 Click **Generate from template** under **Attachments**. See *Figure 114, Generate from Template.* The **Add Letter** page opens.

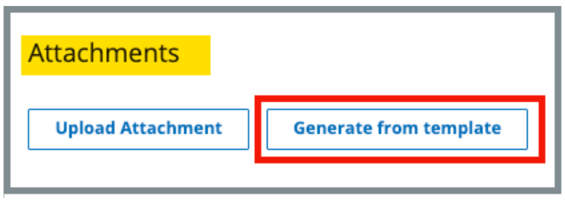


Figure 114: Generate from Template

18.2.5 Click the circle next to the desired template. See *Figure 115, Add Letter Template*.

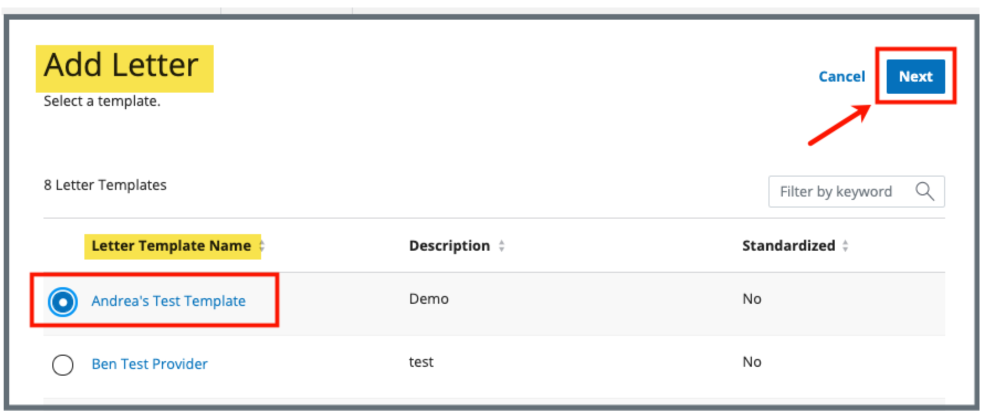


Figure 115: Add Letter Template

18.2.6 Click **Next**. The **Generate attachment from template** page opens.

18.2.7 Update the template as desired. See *Figure 116, Letter Template*.

Notes:

- The template can be modified. Textholders can be removed, words can be edited and updated. Refer to Appendix B, Survey Textholder Text for a list of textholders. Be aware that the text changes apply only to the current letter and not to the template. Refer to the Letter Template Management User Manual on QTSO to edit the original template.
- Standardized templates cannot be modified in the Letters section of any S&C area (providers, surveys, intakes, enforcements). To modify a standardized template, the template owner must edit the template in Letter Template Management.

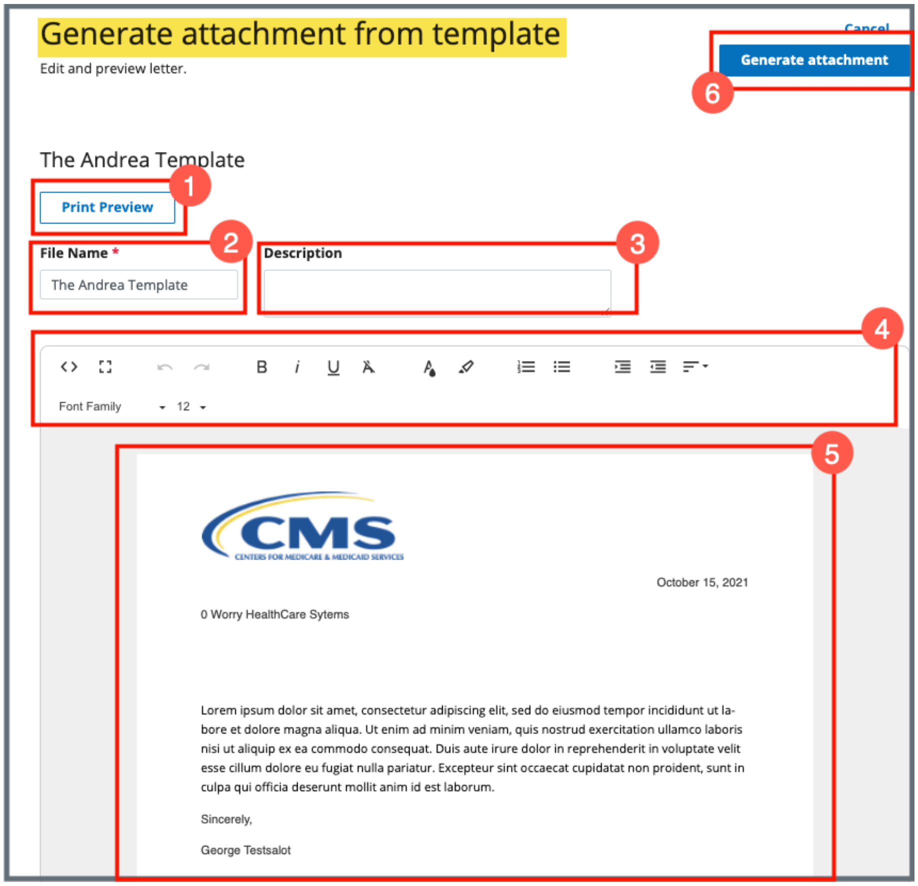


Figure 116: Letter Template

1. **Print Preview**: Click Print Preview to preview the .pdf version of the letter. The letter can be downloaded from Print Preview, if desired.
2. **File Name**: Edit the name, if desired.
3. **Description**: Enter keywords, if desired. Keywords are descriptive words that help the user find the content. For example, the template title might be “Unsubstantiated Claim,” and the key words could be federal, minor. Separate the keywords with a comma.
4. **Editor**: The editor allows content to be edited, including formatting, bulleting, etc. See Appendix B, Tips and Tricks for Working in a Template, for up-to-date details on each icon in the editor.
5. **Letter**: Shows how the letter looks. Verify inputs. Make any changes for nonstandardized templates, if desired.
6. **Generate attachment**: Click **Generate attachment** to create a .pdf that attaches to provider/survey/intake/enforcement record.

18.2.8 Click **Generate Attachment** to attach the letter to the record.

18.2.9 Verify the letter is attached under **File Name**. See *Figure 117, Letter Attachment.*

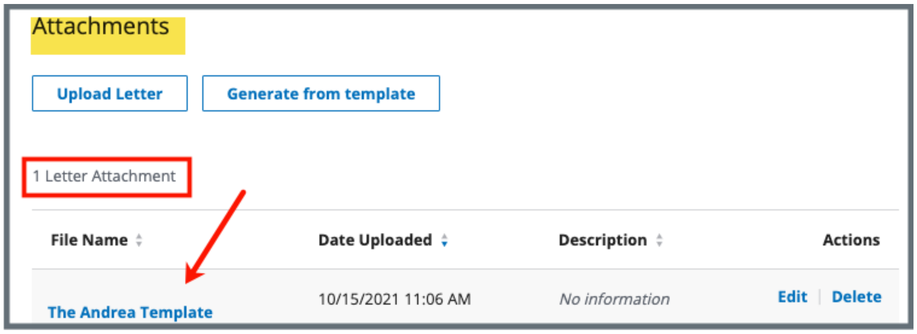


Figure 117: Letter Attachment

18.3 Add recipients to a letter

18.3.1 Click **Add Recipient** to add a recipient. The Add Recipient page opens. See *Figure 118, Add Recipient*.

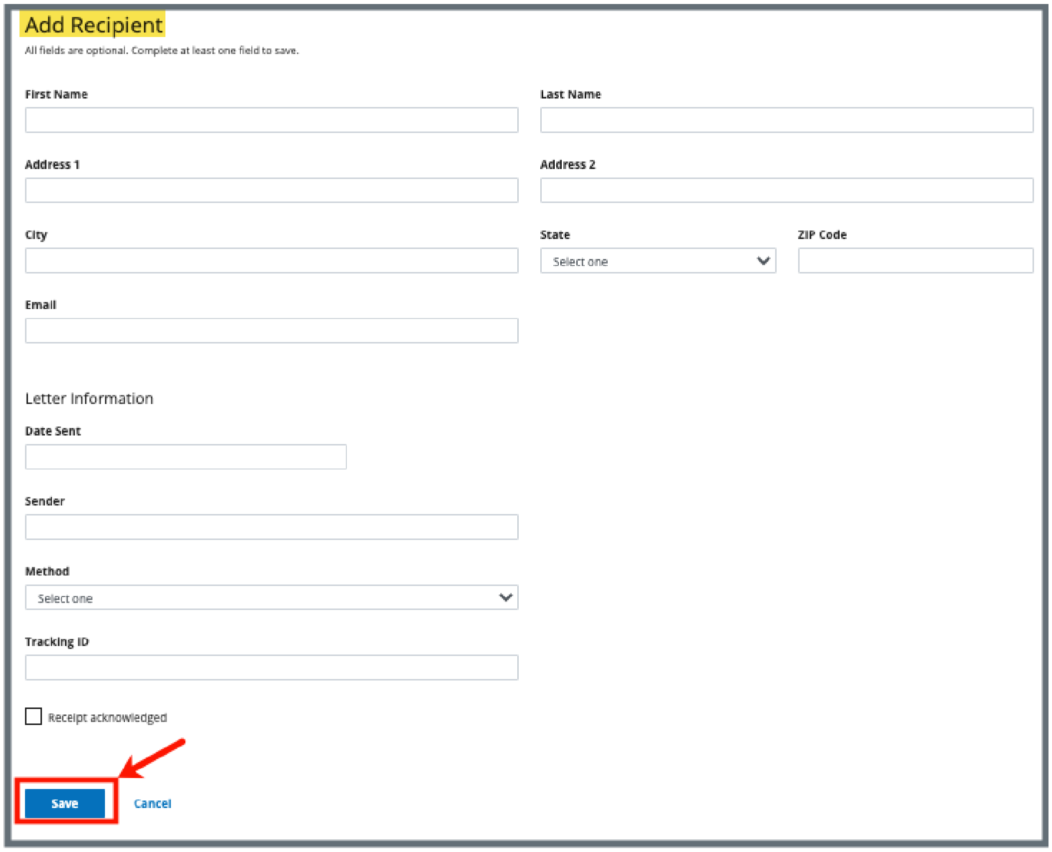


Figure 118: Add Recipient

18.3.2 Fill out the information.

18.3.3 Click **Save**. The **Recipient Information** updates.

18.4 Edit a Letter Overview

18.4.1 Click **Edit Overview** from the **Actions** drop-down menu to edit a Letter Overview. See *Figure 119, Edit a Letter Overview*. The **Edit Letter Overview** opens. See *Figure 120, Edit Letter Overview*.

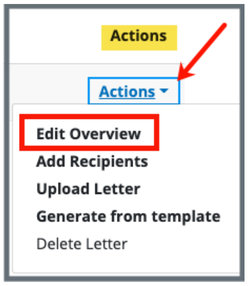


Figure 119: Edit a Letter Overview

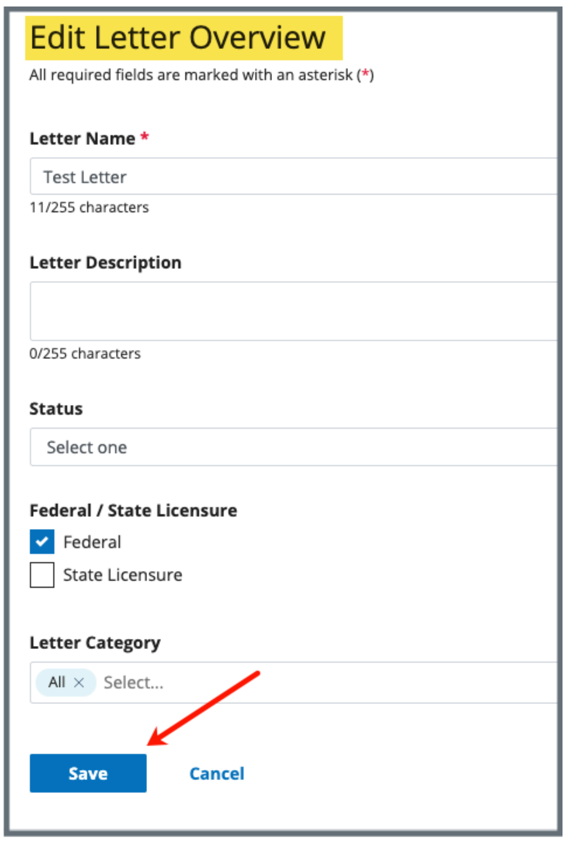


Figure 120: Edit Letter Overview

18.4.2 Update fields.

18.4.3 Click **Save**.

18.5 Delete a Letter

18.5.1 Click **Delete Letter** from the **Actions** drop-down menu to delete a letter. A pop-up note opens. See *Figure 121, Delete Letter Pop-Up Window*.

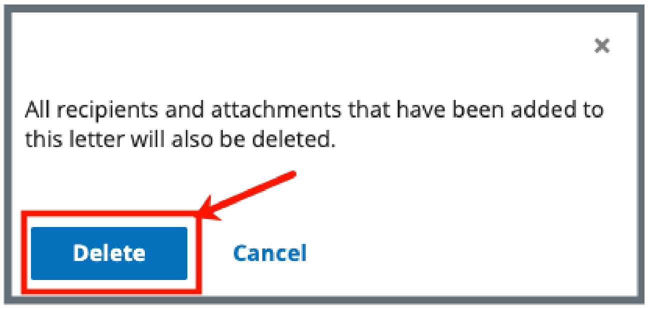


Figure 121: Delete Letter Pop-Up Window

18.5.2 Click **Delete**. The letter is removed from the list.

19. Notes

Purpose: To add or review any notes.

19.1 Click **Notes** on the left menu to view existing notes or add a note. See *Figure 122, Add Note***.**

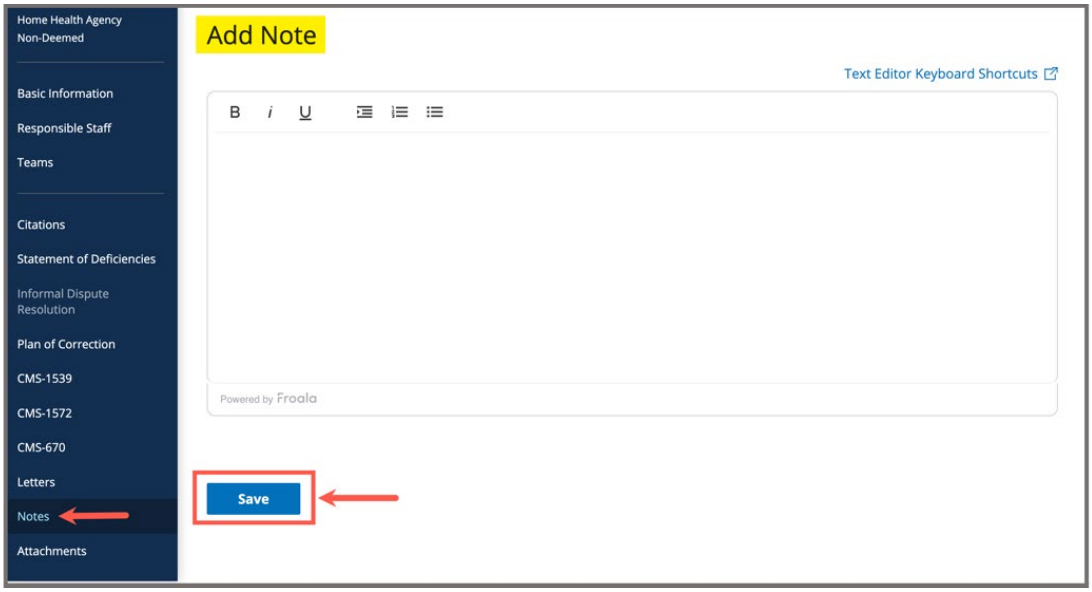


Figure 122: Add Note

19.2 Add a note.

19.3 Click **Save**. The **Notes** window opens with note information. See *Figure 123, Notes.*

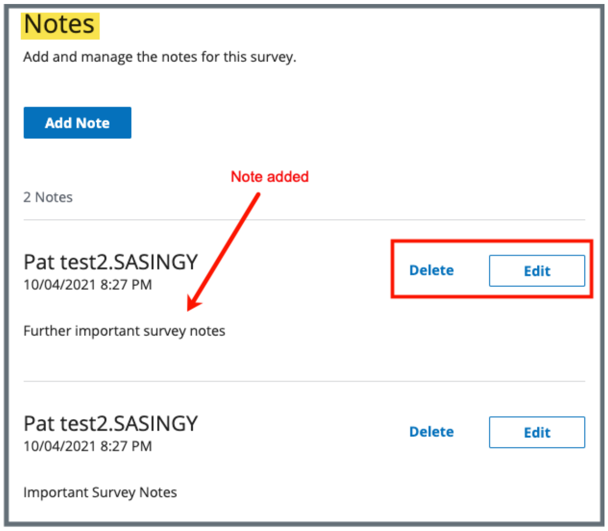


Figure 123: Notes

Note: Click **Edit** to edit information, if desired. It is not possible to edit or delete a note created by another user.

19.4 Click **Delete** to delete a note. A pop-up note opens. See *Figure 124, Delete Note Pop-Up Window.*

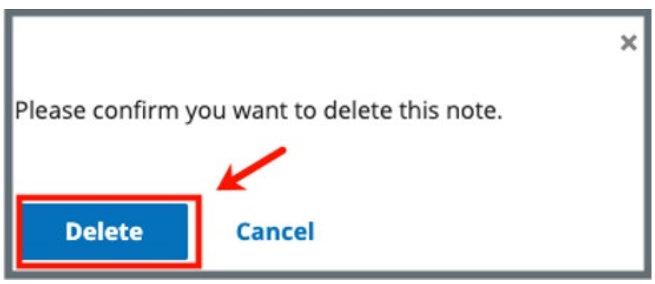


Figure 124: Delete Note Pop-Up Window

19.5 Click **Delete**. The updated **Notes** page opens.

20. Attachments

Purpose: To add copies of images and letters to a survey.

Notes:

- Only one attachment can be added at a time.
- Attachments cannot be deleted. Contact the iQIES Service Center to delete any attachments.

20.1 Click **Attachments** on the left menu. The **Attachments** window opens. See *Figure 125, Attachments*.

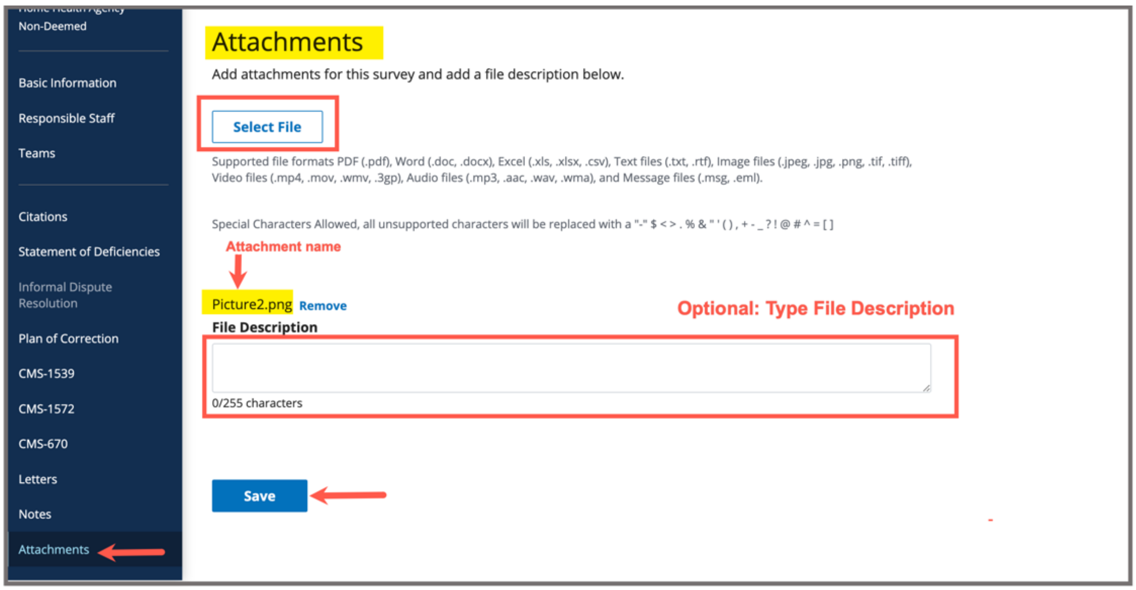


Figure 125: Attachments

20.2 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

20.3 Select the file to be attached. Click **Open**.

20.4 Type a file description in the **File Description** field, if desired.

20.5 Click **Save**. The file is attached to the survey.

Notes:

- Click **Edit** to edit information, if desired.
- Click **Download** to download the document, if desired.

21. Survey Closed Status

Purpose: To close the survey once it is completed and all necessary corrections have been made.

21.1 Go to **Basic Information** page. Click **Edit**. The **Basic Information** page can now be edited.

21.2 Click **Closed** under Survey Status. See *Figure 126, Survey Status*.

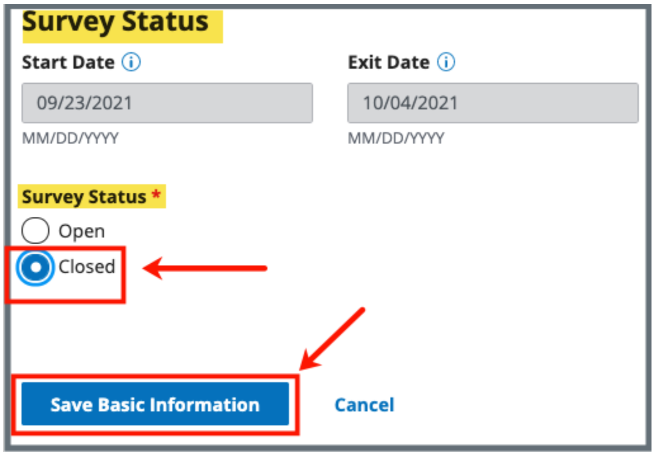


Figure 126: Survey Status

Note: Be sure that both **Start Date** and **Exit Date** are completed.

21.3 Click **Save Basic** Information. The **Basic Information** page updates.

21.4 Verify that **Survey Status** is **Closed**.

Appendix A: Tips and Tricks for Working in a Template

The letters template is very similar to working in Google Docs or Microsoft Word. Here are a few tips and tricks to help:

Template Menu

Hover over the template menu to see screen tips on what each of these icons are:

1. Show HTML code
2. Put document in full screen (make it bigger)
3. Undo/Redo
4. Insert an image. A small **Drop image** box opens. Drag and drop a file or click the box and search for the file.
5. Insert a table
6. Insert a horizontal line
7. Insert a page break
8. Highlight text and click to make **bold**
9. Highlight text and click to *italicize*
10. Highlight text and click to underline
11. Clear formatting
12. Highlight text and click to change text color
13. Highlight text and click to highlight text
14. Create a numbered list
15. Create a bulleted list
16. Insert a checklist
17. Indent/Remove indent
18. Alignment: Left, Center, Right, Justified
19. Adjust the line height
20. Select a font
21. Select a font size
22. Help: shows handy shortcuts, keyboard navigation, plugins, and version

Appendix B: Survey Textholder Text

Each provider, survey, intake, and enforcement area has area-appropriate textholders. Survey Textholders are listed below.

Table 8: Survey Textholders

Survey Textholders		
Accrediting Organization (AO)	IDR Conducted By	Provider Type Full Description
Admin 1st Name	IDR Conducted Date	Provider Zip
Admin Full Name	IJ Citations	Revisit-Corrected Tags
Admin Last Name	Letter Sent Date	Revisit-List New Tags
Admin Salutation	List Intakes For This Survey	Revisit-List Repeat Tags
Admin Short with Salutation	List Level A Cites (Disabled for HHA)	SQC Highest Grid Text
Admin Title	List Survey Team	SQC Notification
Administrator Email	List Tag Numbers Only	Start Date (Numbers)
Building ID List	List Tag/Surveyor Test	Start Date (Words)
Buildings List	List Tags Cited	State Survey Categories
Buildings List Open	Medicaid ID Number	Survey All Tags IDR Status
Custom Text Prompt	Observation Text (9999)	Survey Extent(s)
Date # Days after Exit Date (Numbers)	POC Due Date	Survey High Citations
Date # Days after Exit Date (Words)	POC Due Date in Words	Survey Purpose
Date # Days after Start Date (Numbers)	Provider Address 1 (Street)	Survey Regulation Type

Survey Textholders		
Date # Days after Start Date (Words)	Provider Address 2	Survey Revisits
Date CMS-2567 Issued	Provider CCN	Survey Revisits – Dates Only
Date IDR Request Received	Provider City	Survey Team Leader
Event ID	Provider Doing Business As Name	Survey Type
Exit Date (Numbers)	Provider Fax Number	Tags above S/S C
Exit Date (Words)	Provider Full Address	Tags with SQC
Exit Date + 6 Months (Numbers)	Provider Legal Name	Third Visit Date
Exit Date + 6 Months (Words)	Provider Mailing Address	Title (Mapped from Provider Certification & Licensure tab)
Federal Survey Categories	Provider State	Today's Date
First Revisit High Citations	Provider State ID (FACID)	Today's Date Full
First Revisit High Cite S/S	Provider State License Number	Waived Tags of Survey
Highest Grid Text	Provider Telephone	
Highest Scope/Severity (Disabled for Home Health Agencies (HHA))	Provider Type Abbrev	