



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

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

Version 2.2

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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*.

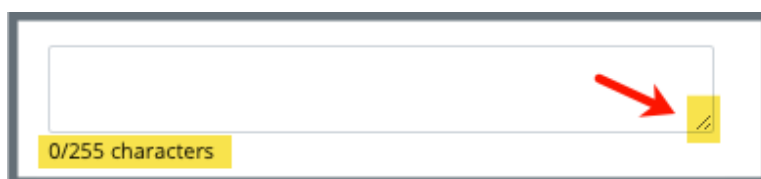


Figure 1: Expandable Field

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

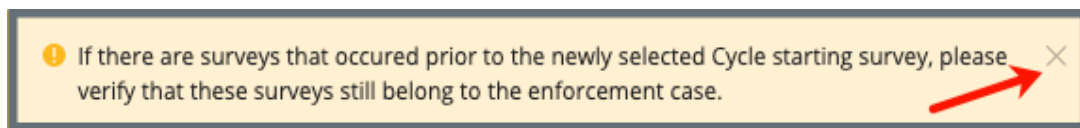


Figure 2: Notification Banner

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*.

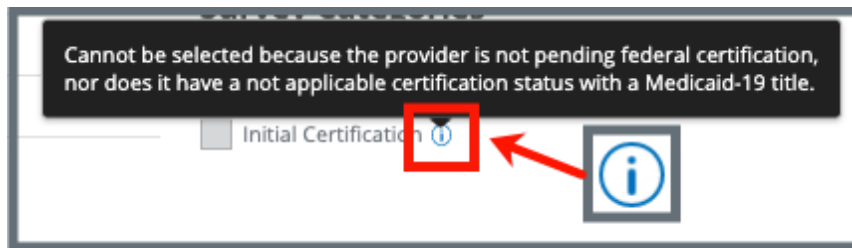


Figure 3: Tool Tip Icon

- 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 **My Tasks** tool. See *Figure 5, My Tasks Landing Page* and *Table 2, My Tasks Landing Page Detailed Callout*.

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 shows the My Tasks Landing Page interface. The page displays a table of tasks with columns: Survey ID, Provider, Category, Exit Date, Assigned Tasks, and Track Status. The tasks are listed as follows:

Survey ID	Provider	Category	Exit Date	Assigned Tasks	Track Status
1DF83D-H1	Marion Manor NH 123 Test Provider Test, Alabama 41232	Complaint, Recertification	No information	Survey Team	1DF83D 15%
1CCD24-H1	Marion Manor NH 123 Test Provider Test, Alabama 41232	Recertification, Complaint	08/02/2024	Survey Team	1CCD24 16%

The '1DF83D-H1' task is expanded, showing a list of assigned tasks:

Assigned Task	Due Date	Task Status	Comments
Letters	No information	To Do	[Comment Icon]
Review PoC	No information	To Do	[Comment Icon]
Schedule Surveys	No information	To Do	[Comment Icon]
Send 2567	No information	To Do	[Comment Icon]

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.
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 .
j	Assigned Tasks	Shows tasks assigned to the user. See Task Detail .

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

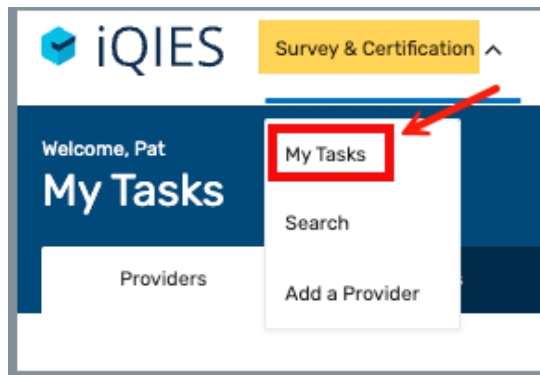


Figure 6: My Tasks Login

Notes:

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



Figure 7: iQIES Logo

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

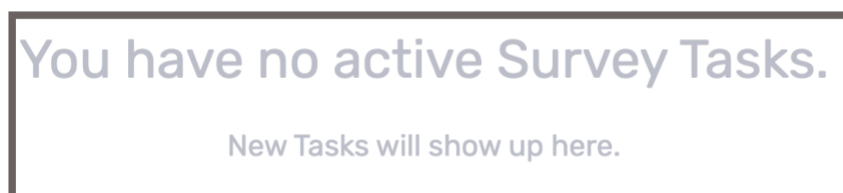


Figure 8: No Active Tasks

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

1A6456-H1 Enable Offline La Maison Suisse Deux
123 Main St
Anytown, Florida 88990 Initial Certification 05/14/2024 Survey Team 1A6456 0%

ASSIGNED TASK	DUE DATE	TASK STATUS	COMMENTS
Letters	No information	To Do	Existing Comment
Review PoC	No information	To Do	No comment
Schedule Surveys	No information	To Do	

Figure 9: Task Status Details

Table 3: Task Status Details Detailed Callout

No.	Name	Description
a	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 .

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

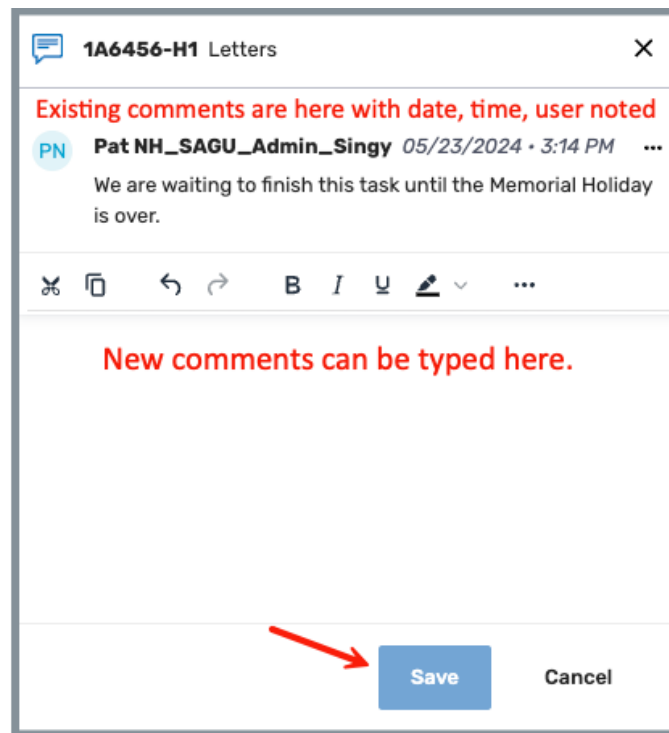


Figure 10: My Tasks Comments

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

2. Manage a Survey Overview

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 11, S&C Search*.

Note: The **Providers** tab is the default landing tab.

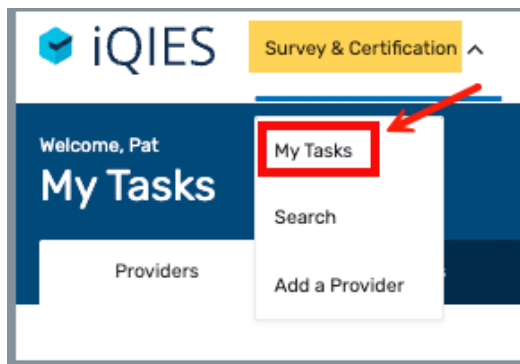


Figure 11: S&C Search

3.3 Click **Surveys** tab.

3.4 Select **Provider** or **DBA** (Doing Business As), **CCN** (CMS Certification Number) or **Survey ID** from the drop-down menu under **Search for Surveys**. See *Figure 12, Search*.

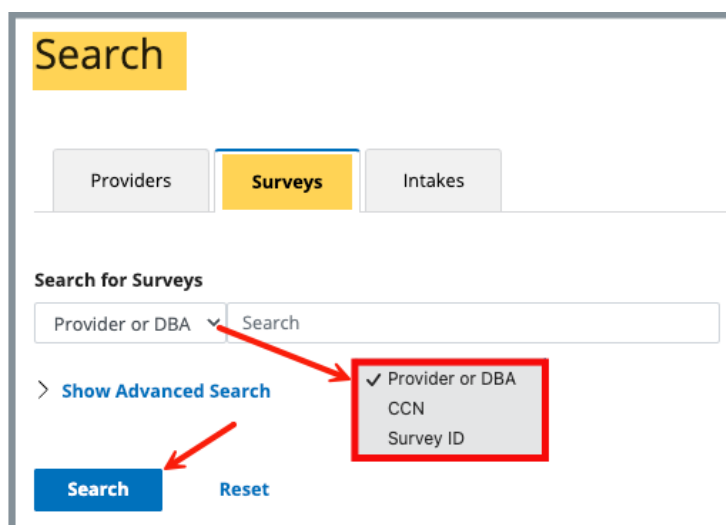


Figure 12: Search

3.5 Type search criteria.

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

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

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

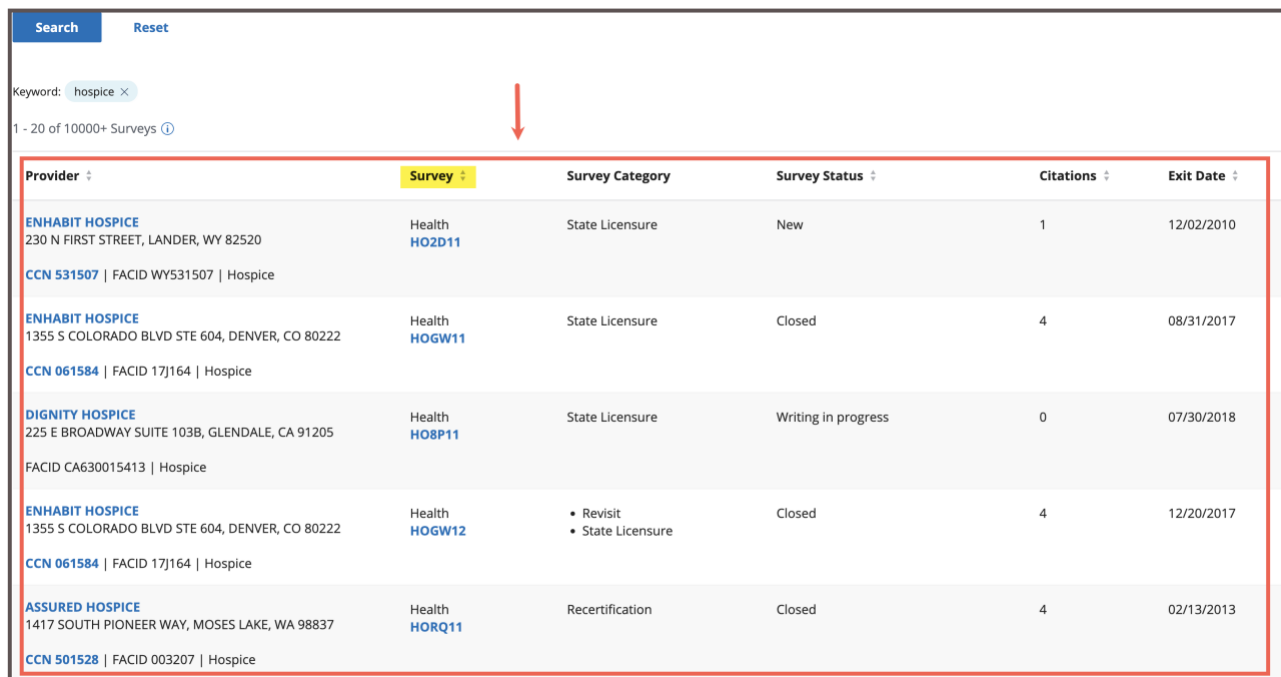
Note: Click **Hide Advanced Search** to close the **Advanced Search** menu.

The screenshot displays the 'Surveys' tab in the CMS iQIES Survey & Certification system. At the top, there are tabs for Providers, Surveys (highlighted in yellow), Intakes, Enforcements, and CMPTS Cases. Below the tabs is a search bar labeled 'Search for Surveys' with a red arrow pointing to it. Below the search bar is a link labeled 'Hide Advanced Search'. A red box highlights the 'Advanced Search' section, which contains several filter categories: CATEGORY (Survey Type, Federal Categories, State Categories), EXIT DATES (Survey Exit Dates), STATUS (Survey Status), and PROVIDER INFO (Provider Type, State, State Region). At the bottom of the form, there is a 'Search' button (highlighted with a red box and a red arrow) and a 'Reset' link.

Figure 13: Surveys Advanced Search

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

3.9 Click **Search**. The provider information shows below. See *Figure 14, Search Results*.



Search Reset

Keyword: hospice ×

1 - 20 of 10000+ Surveys ⓘ

Provider ▾	Survey ▾	Survey Category	Survey Status ▾	Citations ▾	Exit Date ▾
ENHABIT HOSPICE 230 N FIRST STREET, LANDER, WY 82520 CCN 531507 FACID WY531507 Hospice	Health HO2D11	State Licensure	New	1	12/02/2010
ENHABIT HOSPICE 1355 S COLORADO BLVD STE 604, DENVER, CO 80222 CCN 061584 FACID 17J164 Hospice	Health HOGW11	State Licensure	Closed	4	08/31/2017
DIGNITY HOSPICE 225 E BROADWAY SUITE 103B, GLENDALE, CA 91205 FACID CA630015413 Hospice	Health HO8P11	State Licensure	Writing in progress	0	07/30/2018
ENHABIT HOSPICE 1355 S COLORADO BLVD STE 604, DENVER, CO 80222 CCN 061584 FACID 17J164 Hospice	Health HOGW12	<ul style="list-style-type: none"> Revisit State Licensure 	Closed	4	12/20/2017
ASSURED HOSPICE 1417 SOUTH PIONEER WAY, MOSES LAKE, WA 98837 CCN 501528 FACID 003207 Hospice	Health HORQ11	Recertification	Closed	4	02/13/2013

Figure 14: Search Results

3.10 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, when survey actions are available.

The survey basic information shows:

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

See *Figure 15, Survey Basic Information*.

Status	Category	Start Date	Exit Date	Revisit Status	Track Status	Survey action
Statement of Deficiencies sent	Recertification	12/28/2022	12/29/2022	Required	127EA0 16%	

Basic Information
Manage the basic information for this survey.

Survey Type
Enforcement Case ID

Health
No information

Survey Categories

Federal Categories
Recertification

State Categories
No information

Survey Extents

Survey Extents

- Standard
- Extended

Regulation Sets

Federal Regulation Sets
HOME HEALTH AGENCIES (FED - G - 12.01)

State Regulation Sets
No information

Survey Status

Survey Status
Open

Start Date
12/28/2022

Exit Date
12/29/2022

Edit

Figure 15: Survey Basic Information

4. Add a Survey

[Add a Health Survey](#)

[Add a Life Safety Code \(LSC\) Survey](#)

[Link an LSC Survey to an Existing Health Survey](#)

[Add a Federal Monitoring Survey \(FMS\)](#)

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 16, Add Survey*. The **Basic Information** page opens.

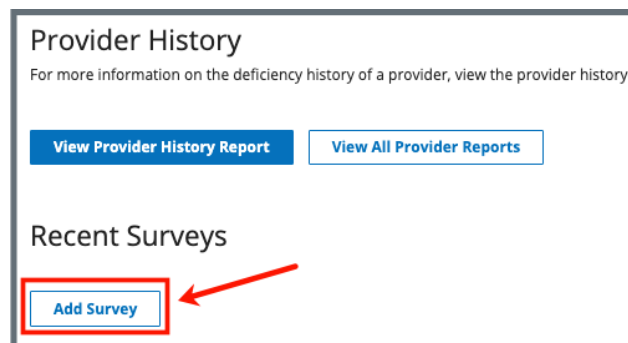
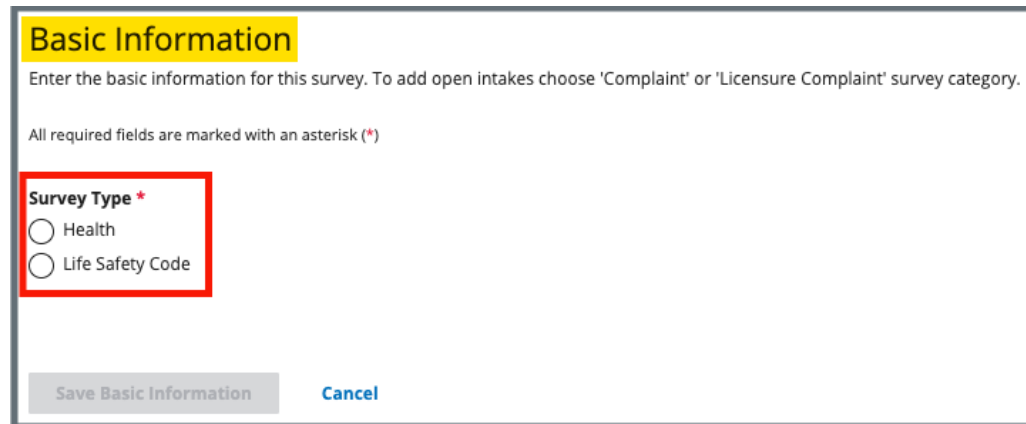


Figure 16: Add Survey

4.1.3 Select **Health**. See *Figure 17, Health Survey Type*.



Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

☒ Health

☐ Life Safety Code

Save Basic Information Cancel

Figure 17: Health Survey Type

4.1.4 Fill out the information. See *Figure 18, 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.

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *
☒ Health
☐ Life Safety Code

Survey Categories *

Federal Categories
☐ Initial Certification ⓘ
☐ Recertification
☐ Complaint ⓘ
☐ Focused Infection Control
☐ Vaccine Requirement ⓘ

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

Survey Extents ⓘ

Survey extents are determined based upon the Federal Survey Categories and Citation Levels for this survey. If a survey extent is appropriate, it can be added once citations are entered. Recommended extents are displayed during the process of locking citations.

☐ Standard
☐ Abbreviated
☐ Extended
☐ Partial Extended
☐ Other

Regulation Sets *

Federal Regulation Sets ⓘ
☐ Emergency Preparedness (FED - E - 1.03)
☐ HOME HEALTH AGENCIES (FED - G - 12.01)

> [Show Older Regulation Sets](#) ←

State Regulation Sets ⓘ
☐ Core Licensure (ST - C - 2.14)
☐ HOME HEALTH AGENCIES (ST - H - 7.09)

> [Show Older Regulation Sets](#)

Survey Status

Start Date

MM/DD/YYYY

Exit Date

MM/DD/YYYY

Help shape the future of iQIES. [Click Here](#) to participate in IQIES HCD Research or email us at iqies_hcd@cms.hhs.gov.

Figure 18: 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 19, 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 19: 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 20, Add Survey*. The **Basic Information** page opens.

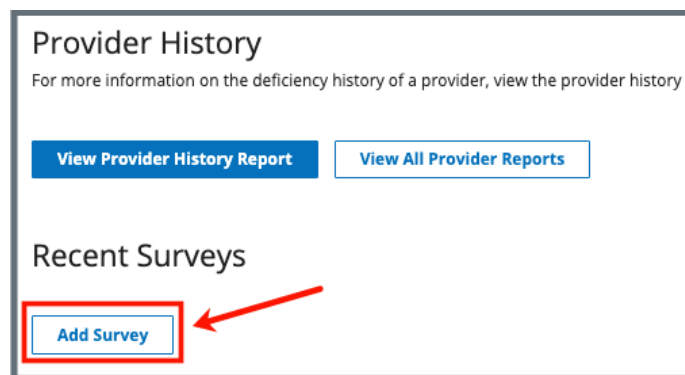


Figure 20: Add Survey

4.2.2 Select **Survey Type**. See *Figure 21, Survey Type*.

Figure 21: 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 22, LSC Survey ID Explanation*.



Figure 22: 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 23, Create Life Safety Code Survey*. The **New Survey Basic Information** page opens.

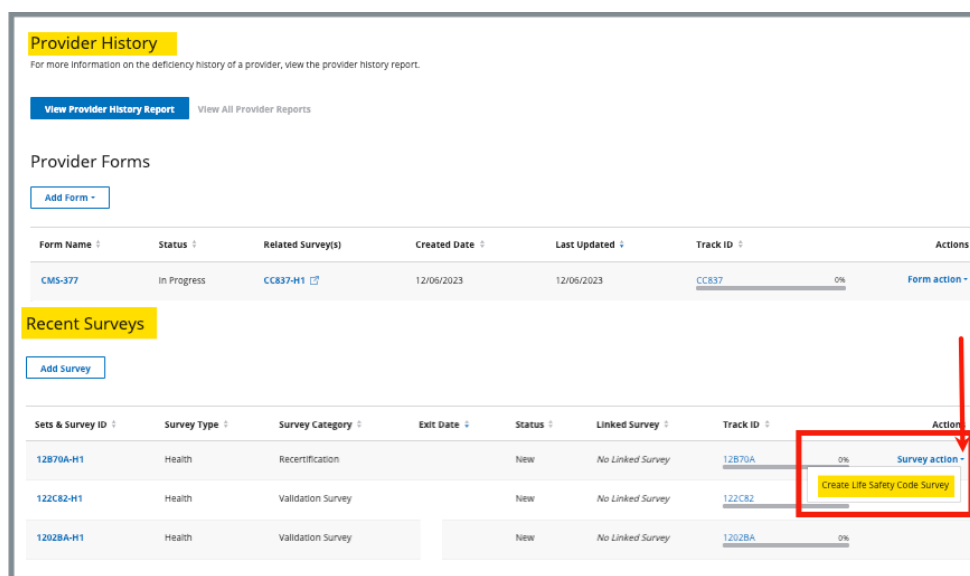


Figure 23: Create Life Safety Code Survey

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 24, Linked Health Survey Basic Information*.

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

☐ Health

☒ Life Safety Code

Survey Categories *

Federal Categories

☐ Initial Certification ⓘ

☒ Recertification

☐ Complaint ⓘ

☐ Focused Infection Control ⓘ

State Categories

☐ Initial Licensure ⓘ

☐ Re-Licensure

☐ Licensure Complaint ⓘ

Linked Health Survey *

	Survey ID	Survey Category	Survey Status	Exit Date
<input checked="" type="radio"/>	EFC36-H1	Recertification	New	

[Edit Linked Survey](#)

Figure 24: 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 25, Linked Survey IDs*.

1 - 20 of 80 Surveys

Note: The L and H show whether the survey is an LSC (L) survey or a Health (H) survey.

Sets & Survey ID	Survey Type	Survey Category	Exit Date	Status	Linked Survey	Actions
EFC36-L1	Life Safety Code	Recertification		New	EFC36-H1	
EFC36-H1	Health	Recertification		New	EFC36-L1	
EFC0C-H1	Health	Recertification		New	No Linked Survey	Survey action
EFC14-H1	Health	Recertification		New	No Linked Survey	Survey action

Figure 25: 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.
- The SAGU is restricted from viewing the FMS as a default. The CMSGU can make the FMS available for the state to view. See [Make FMS Available for State Viewing](#)
- Review [FMS Details](#) for an overview of FMS details.

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

4.4.2 Select **Federal Monitoring Survey**. The **Basic Information** page of the FMS opens. See *Figure 26, Federal Monitoring Survey Basic Information Page*.

4.4.3 Fill out the information.

4.4.4 Click **Save Basic Information**. The updated FMS **Basic Information** page opens and can be edited.

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

☒ Health
☐ Life Safety Code

State Viewing Permissions *

☒ This FMS is NOT available for state to view
☐ This FMS is available for state to view

Survey Categories *

Survey categories that are associated with citations cannot be removed.

Federal Categories

☐ Initial Certification ⓘ
☐ Recertification ⓘ ☐ RBS
☐ Complaint ⓘ
☒ Federal Monitoring Survey

Linked LSC Survey

There are no Life Safety Code Surveys available to link to this Health Survey at this time.

Survey Extents

Survey extents are determined based upon the Federal Survey Categories and Citation Levels for this survey. If a survey extent is appropriate, it can be added once citations are entered. Recommended extents are displayed during the process of locking citations.

Survey Extents ⓘ

☐ Standard
☐ Abbreviated
☐ Extended
☐ Partial Extended
☐ Other

Regulation Sets *

Federal Regulation Sets

☐ Emergency Preparedness (FED - E - 1.04)
☐ LONG TERM CARE FACILITIES (FED - F - 21.00)

[Show Older Regulation Sets](#)

State Regulation Sets ⓘ

☐ Alabama Licensure L T C (ST - L - 1.1)

Survey Status

Start Date *

MM/DD/YYYY

Exit Date

MM/DD/YYYY

Linked State Survey *

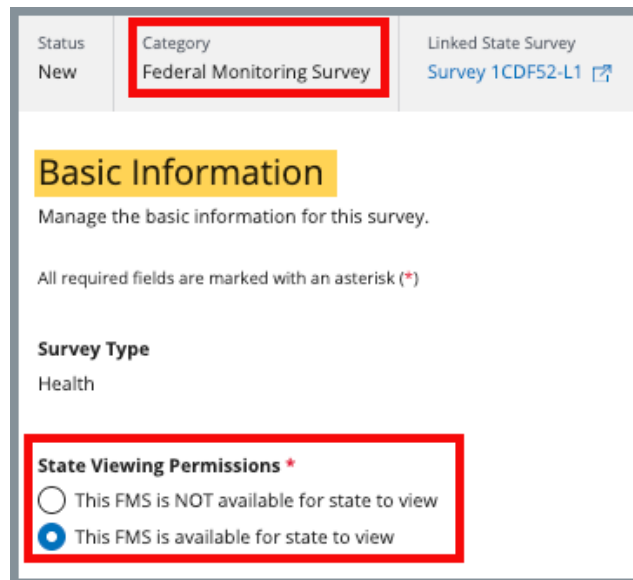
Survey ID ⓘ	Survey Category ⓘ	Survey Status ⓘ	Exit Date ⓘ
1DF83D-H1	Recertification, Complaint	Writing in progress	

[Edit Linked Survey](#)

Figure 26: Federal Monitoring Survey Basic Information Page

4.5 Make FMS Available for State Viewing

- 4.5.1 Go to the **Basic Information** page for the survey.
- 4.5.2 Click **Edit**. The editable sections of the **Basic Information** page open. See *Figure 27, State Viewing Permissions*. For more information on editing the **Basic Information** page, go to [Basic Information](#).



Status New	Category Federal Monitoring Survey	Linked State Survey Survey 1CDF52-L1 ↗
---------------	---------------------------------------	---

Basic Information

Manage the basic information for this survey.

All required fields are marked with an asterisk (*)

Survey Type
Health

State Viewing Permissions *

- ☐ This FMS is NOT available for state to view
- ☒ This FMS is available for state to view

Figure 27: State Viewing Permissions

- 4.5.3 Update **State Viewing Permissions**.
- 4.5.4 Click **Save Basic Information**. The updated FMS **Basic Information** page opens.

5. Delete a Survey

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

Notes:

- Only the State Agency Admin and Survey Admin user roles can delete a survey.
- Once a survey is deleted, it cannot be reinstated.
- Surveys cannot be deleted under the following conditions:
 - When a survey has citations
 - When a survey has 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 cannot be deleted when an intake is associated with it.

- **Only Designated State and CMS Users can perform the actions in steps 5.1 and 5.2 below.**
- Contact the [iQIES Service Desk](#) to request the deletion of a survey created by CMS staff. Include the Event ID, the CCN, the name of the 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 28, Delete a Survey*. The **Delete survey?** pop-up window opens.

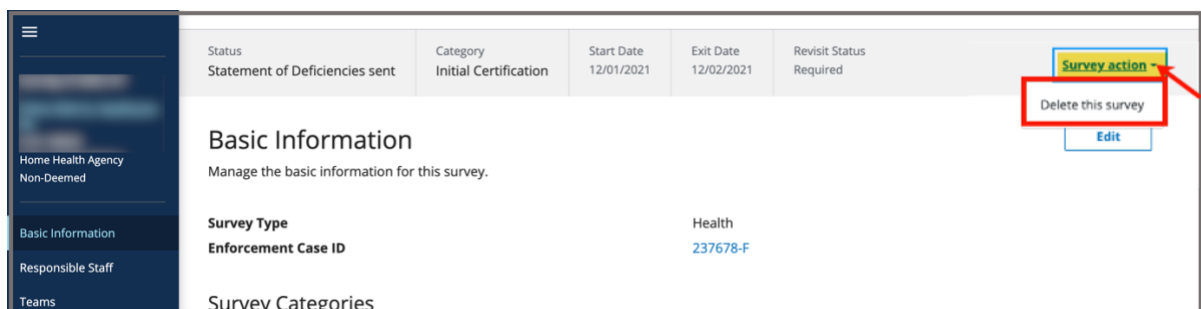


Figure 28: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 29, Survey Cannot Be Deleted*. Click the link in the notification to review the specific citation or enforcement.

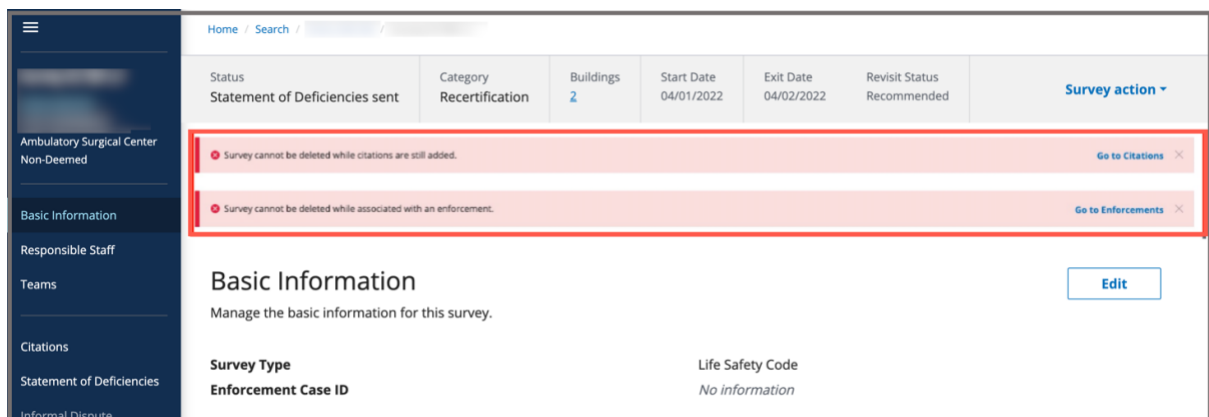


Figure 29: Survey Cannot Be Deleted

- 5.2** Click **Yes, delete**. See *Figure 30, Delete Survey? Pop-up Window*. The survey is deleted.

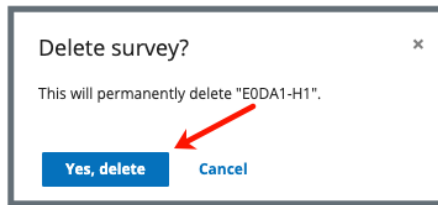


Figure 30: Delete Survey? Pop-up Window

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 31, Workload Management Track Status*.

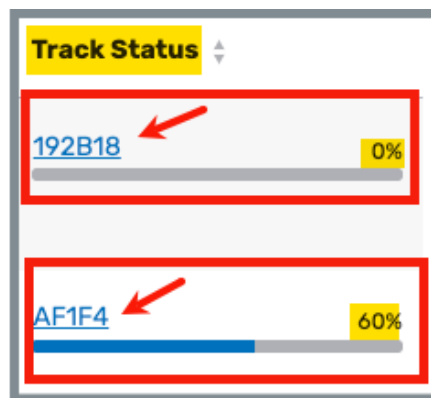


Figure 31: Workload Management Track Status

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 32, Detailed Certification Status*.

The screenshot shows a window titled "Track AF1F4 Status" with a close button (X) in the top right corner. The window contains two expandable sections, each with a caret icon and a red arrow pointing to it. The first section is "Survey AF1F4-H1" and the second is "Track Forms". Both sections contain a table with three columns: "Name", "Status", and "Completed Date".

Name	Status	Completed Date
CMS-670	Complete	-
CMS-2567	Complete	04/30/2021
Closed Status	In Progress	-

Name	Status	Completed Date
CMS-1539	Not Started	-
CMS-1572	Complete	11/02/2022

At the bottom right of the window is a blue "Close" button with a red arrow pointing to it.

Figure 32: Detailed Certification Status

6.2 View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 33, Survey Basic Information Page Certification Progress* and *Table 2, Basic Information Page Certification Progress Callout Details*.

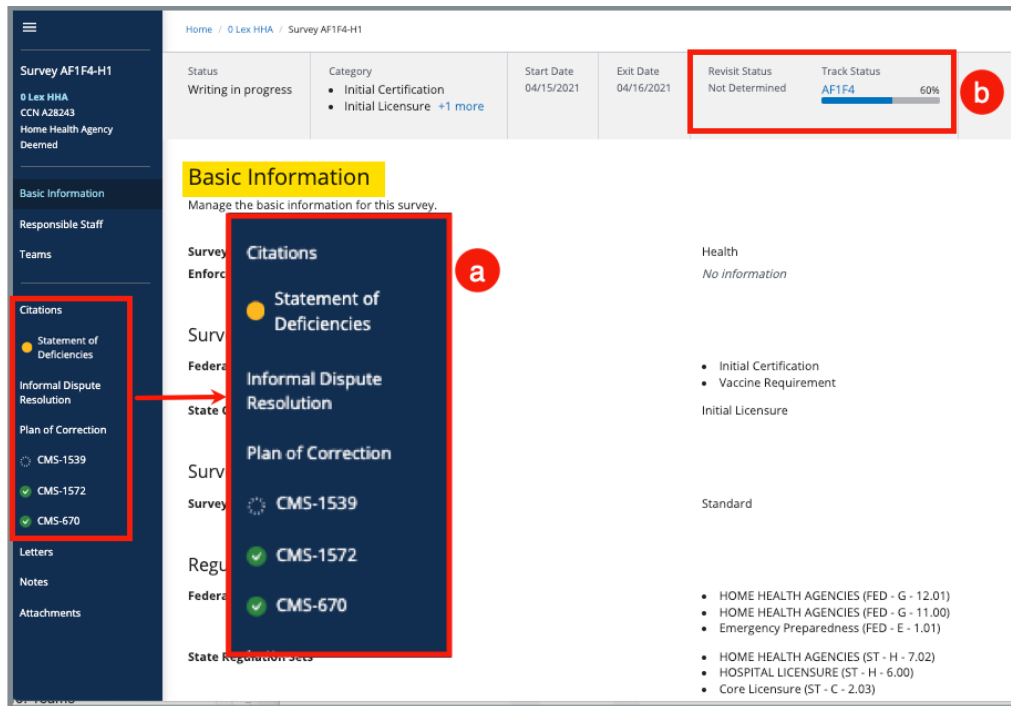


Figure 33: Survey Basic Information Page Certification Progress

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 34, Provider History Page Certification Progress*.

Provider History

For more information on the deficiency history of a provider, view the provider history report.

[View Provider History Report](#) [View All Provider Reports](#)

Provider Forms

[Add Form](#)

Form Name	Status	Related Survey(s)	Created Date	Last Updated	Track ID	Actions
CMS-1572	Complete	EFCF9-H1	04/28/2022	04/28/2022	EFCF9 25%	Form action

Recent Surveys

[Add Survey](#)

Sets & Survey ID	Survey Type	Survey Category	Exit Date	Status	Track ID	Actions
IOHH11	Health	Initial Licensure, State Licensure	10/29/2008	New	IOHH 0%	
F423-A1	AO	Full Accreditation Survey	02/06/2014	Closed	F423 50%	
EFCF9-H1	Health	Recertification		New	EFCF9 25%	

[View All Surveys \(7\)](#)

Figure 34: 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 35, Survey Data Information Section*.

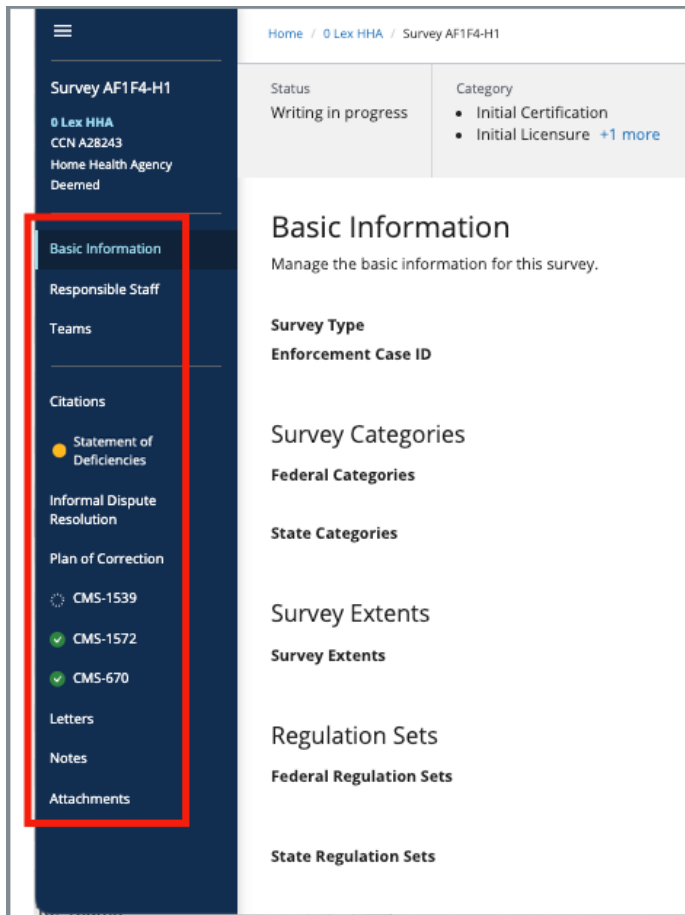


Figure 35: Survey Data Information Section

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 36, Edit Button*. See *Figure 37, Basic Information Edit Screen*.

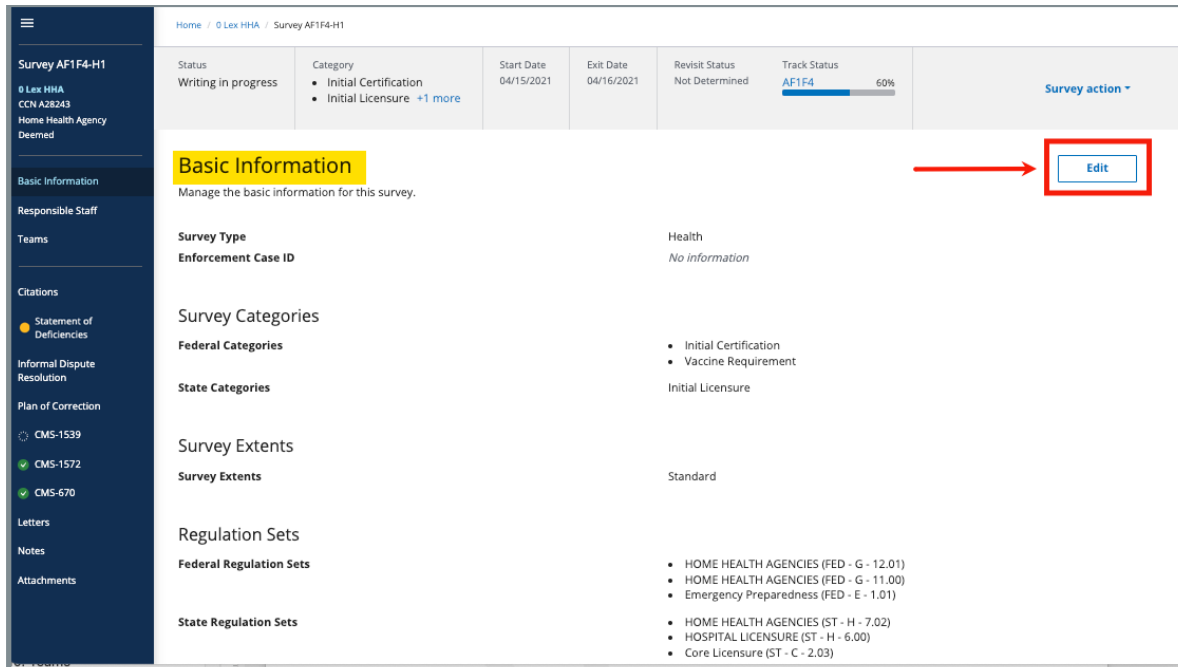


Figure 36: Edit Button

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

Basic Information

Manage the basic information for this survey.

All required fields are marked with an asterisk (*)

Survey Type
Health

Survey Categories *
Survey categories that are associated with citations cannot be removed.

Revisit Category
First Revisit

Federal Categories ⓘ

☐ Initial Certification

☐ Recertification

☒ Complaint

State Categories ⓘ

☐ Initial Licensure

☐ Re-Licensure

☐ Licensure Complaint

Survey Extents
Survey extents are determined based upon the Federal Survey Categories and Citation Levels for this survey. If a survey extent is appropriate, it can be added or removed during the process of locking citations.

Survey Extents ⓘ

☐ Standard

☐ Abbreviated

☐ Extended

☐ Partial Extended

☐ Other

Regulation Sets *

Federal Regulation Sets

☐ Emergency Preparedness (FED - E - 1.01)

☒ HOME HEALTH AGENCIES (FED - G - 11.00) ⓘ

State Regulation Sets ⓘ

> [Show Older Regulation Sets](#)

Survey Status

Start Date

MM/DD/YYYY

Exit Date

MM/DD/YYYY

Survey Status *

☒ Open

☐ Closed

[Save Basic Information](#)

[Cancel](#)

Figure 37: 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 38, Hospice Survey Banner*.

✖ A multidisciplinary team of individuals is required for surveys conducted with more than one surveyor including at least one Registered Nurse

Figure 38: Hospice Survey Banner

- 9.1** Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 39, Add Responsible Staff*.

Add Responsible Staff

Find and add the responsible staff for this provider.

First Name **Last Name**

1 - 20 of 1249 Staff Members

Select	Name
<input type="checkbox"/>	1, Pat
<input type="checkbox"/>	207e3a13-23f7-4da8-a5d6-143ad1dfba2d, Pat
<input type="checkbox"/>	7093097f-e50e-48f0-996b-74771a491ebe, Pat
<input type="checkbox"/>	839_tester, Pat
<input type="checkbox"/>	839_tester_1, Pat
<input type="checkbox"/>	abeck, Pat

Figure 39: 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 40, Delete a Responsible Staff*. A confirmation pop-up window opens.

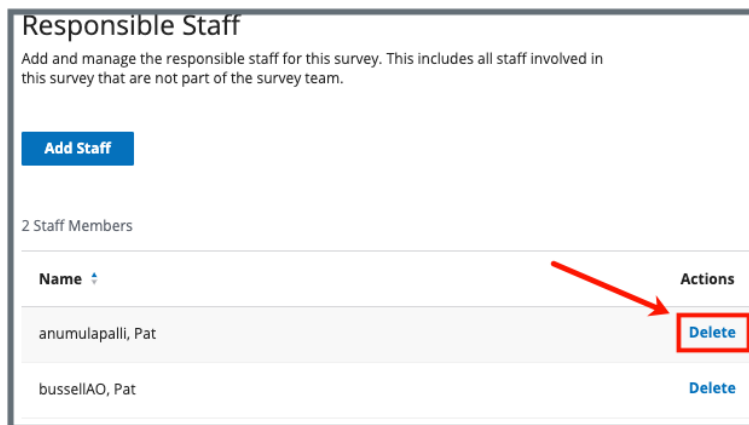


Figure 40: Delete a Responsible Staff

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 41, Manage Tasks*. See *Table 4, Manage Tasks Detailed Callout*.

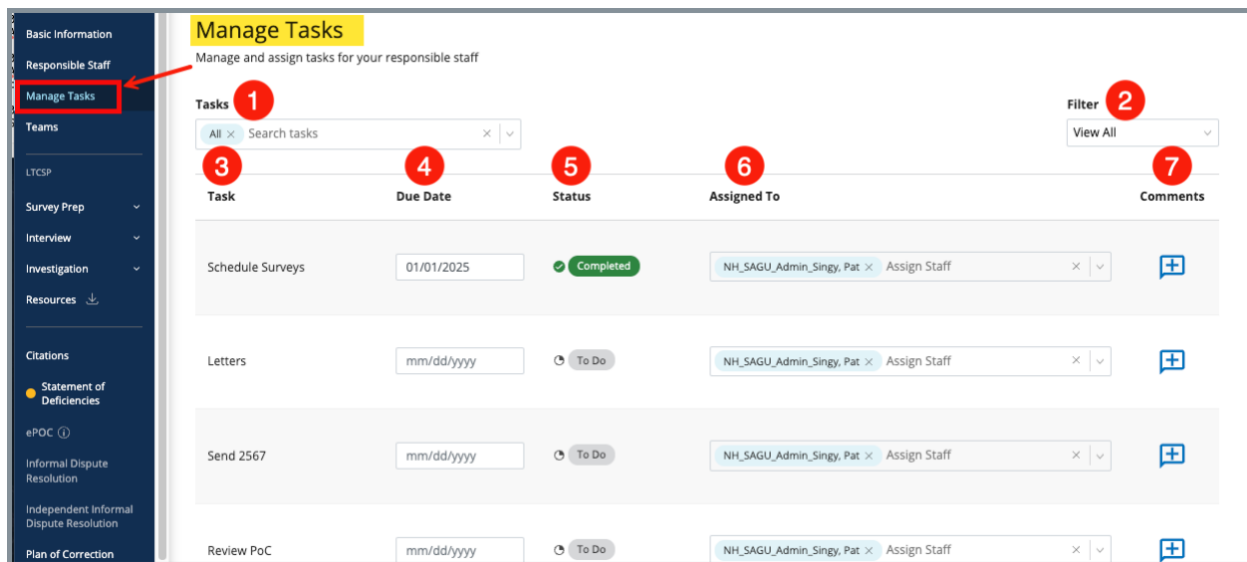


Figure 41: Manage Tasks

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 42, 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.

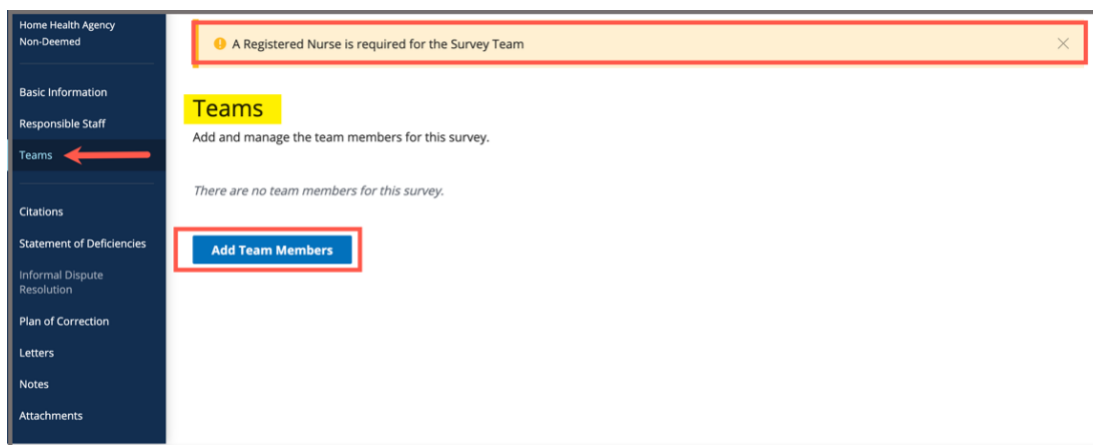


Figure 42: Teams

9.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 43, 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 43: 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 44, Add a QA Member*.

Figure 44: 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 45, Survey Team Member Successfully Added Popup*.

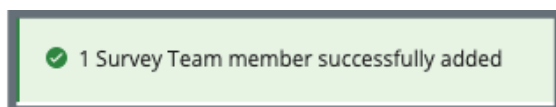


Figure 45: Survey Team Member Successfully Added Popup

- 9.6 Click **Delete** under **Actions** to delete a team member. See *Figure 46, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 47, 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
<input checked="" type="radio"/>	"TEST.2AK-SAGU-VA", Pat	Registered Nurse	None	None	Delete
<input type="radio"/>	"ajmaines", Pat		None	None	Delete
<input type="radio"/>	"test2.npeta", Pat		None	None	Delete
<input type="radio"/>	"testsasb", Pat	Physical Therapist	NON LONG TERM CARE	HOSPITAL UNIT	Delete

Figure 46: Delete a Team Member

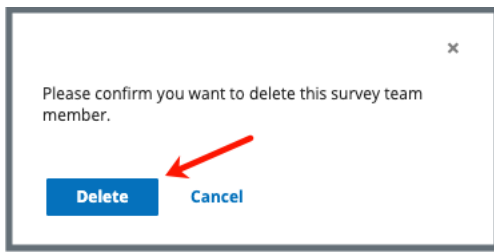


Figure 47: Deletion Confirmation Popup

- 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 48, 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 49, Sample Conflict of Interest Attestation Email*.
- The Team member must acknowledge/accept the attestation before the survey citations can be locked. See *Figure 50, Conflict of Interest Acknowledgement*.

Survey Team (3)

QA Team

3 Staff Members

Team Coordinator	Name	Organization	Disciplines	Conflict of Interest Attestation	Actions
<input type="radio"/>	Contract_Surveyor_Singy_FL, Pat	Healthcare Management Solutions		Pending	Delete
<input type="radio"/>	NS_SAGU_Singy, Pat	State		Pending	Delete
<input checked="" type="radio"/>	test2.SASINGY, Pat	State		Pending	Delete

Figure 48: 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 49: Sample Conflict of Interest Attestation Email

Conflict of Interest Acknowledgment

As a Surveyor I attest that I do not have any actual or perceived conflicts of interest with the Hospice Program: "Hickory House Hospice"

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.

Yes
No

Figure 50: Conflict of Interest Acknowledgment

12.2 Verify the **Conflict of Interest Attestation** on the Teams page is **Complete**. See Figure 51, *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 51: 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 52, Citation Notification Example*. Read the notification and follow the directions, if necessary. Close the notification to continue.

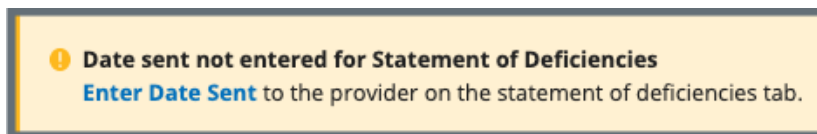


Figure 52: Citation Notification Example

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 53, Citations*.

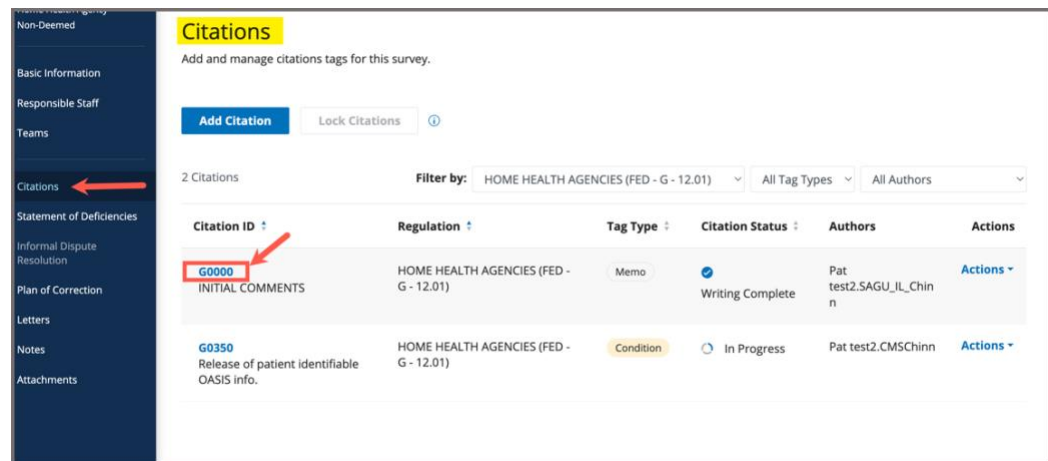


Figure 53: Citations

- 13.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 54, Citation Overview*.

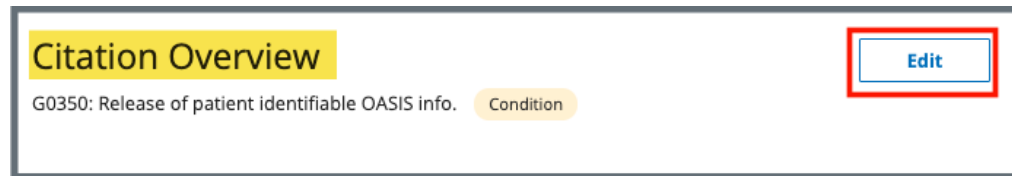


Figure 54: Citation Overview

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 55, Edit Citation Overview*.

Figure 55: 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 56, Manage Survey Categories*. The **Manage Survey Categories** window opens.

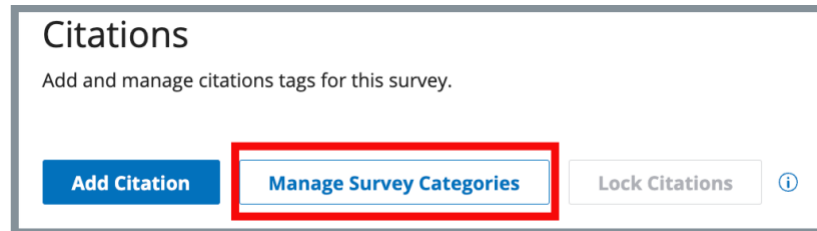


Figure 56: Manage Survey Categories

- 13.2.2 Check the box next the correct survey category. See *Figure 57, Manage Survey Categories Window*.

Note: More than one category can be checked.

Figure 57: 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 58, Add Citation Window*.

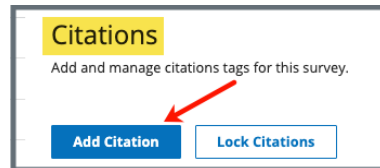


Figure 58: Add Citation Window

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 59, Added Citations*.

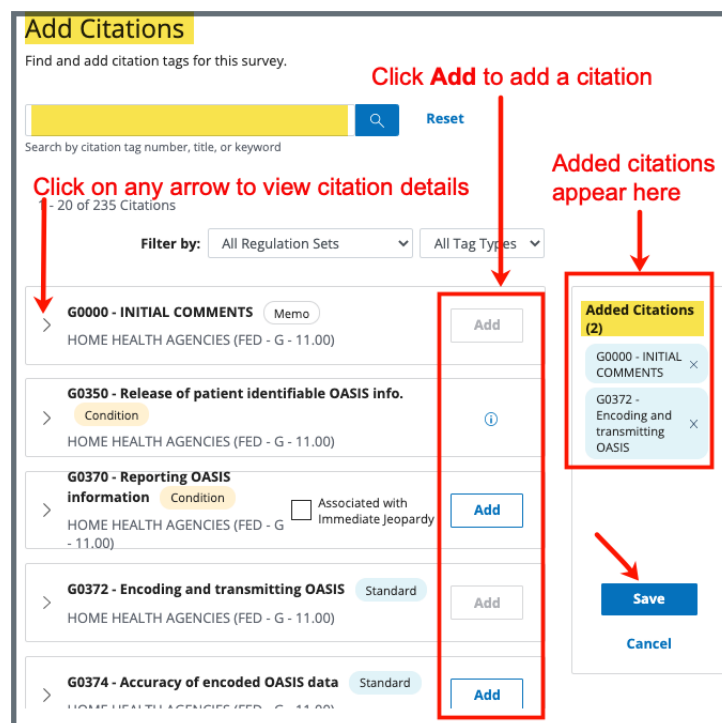


Figure 59: Added Citations

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 60, Add LSC Citation Window*.

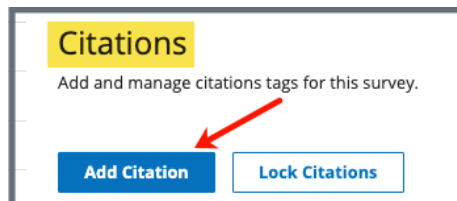


Figure 60: Add LSC Citations Window

- 13.4.2 Click the radio circle next to the desired building. See *Figure 61, 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.

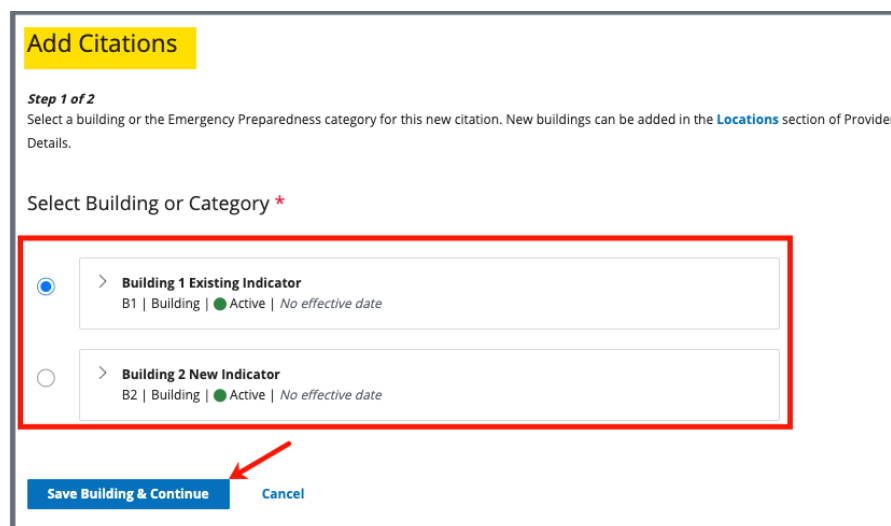


Figure 61: Add LSC Citations Step 1

- 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 62, Add LSC Citations, Step 2*.

Add Citations

Step 2 of 2
Find and add citation tags for this selected building or category

Selected Building or Category

Change Building

> **Building 1 Existing Indicator**
B1 | Building | ● Active | No effective date

Click **Add** to add a citation

Search by citation tag number, title, or keyword

Reset

Click on any arrow to view citation details

1 - 20 of 100 Citations

Filter by: All Regulation Sets All Tag Types

>	K0000 - INITIAL COMMENTS Memo	LSC 2012 ASC and ESRD Existing (FED - K - 03.02)	Add
>	K0100 - General Requirements - Other Standard	LSC 2012 ASC and ESRD Existing (FED - K - 03.02)	
>	K0111 - Building Rehabilitation Standard	LSC 2012 ASC and ESRD Existing (FED - K - 03.02)	Add
>	K0131 - Multiple Occupancies Standard	LSC 2012 ASC and ESRD Existing (FED - K - 03.02)	Add
>	K0161 - Building Construction Type and Height Standard		Add

Added citations appear here

Added Citations (2)

- K0131 - Multiple Occupancies
- K0211 - Means of Egress - General

Save

Cancel

Figure 62: 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 63, Actions Delete Citation Drop-Down Menu*. A confirmation pop-up window appears.

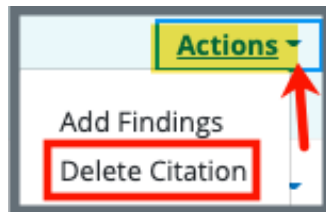


Figure 63: Actions Delete Citation Drop-Down Menu

- 13.5.2 Click **Confirm**. See *Figure 64, Delete Citation Confirmation Pop-up Window*. The citation has been deleted.

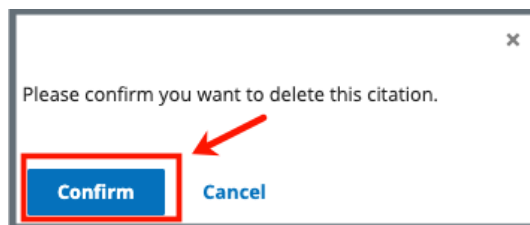


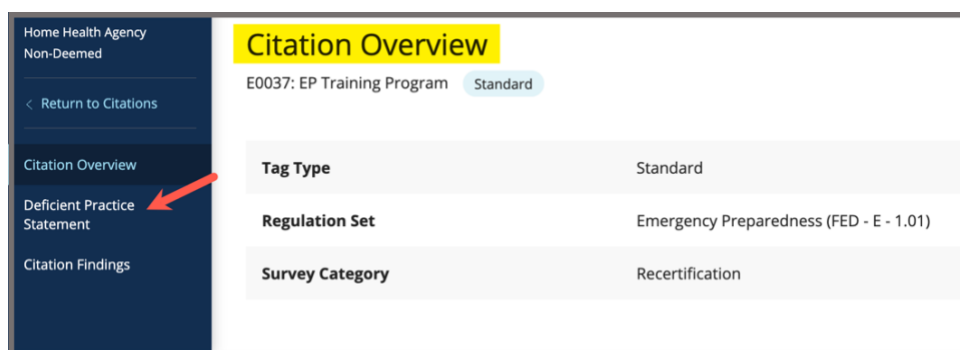
Figure 64: Delete Citation Confirmation Pop-up Window

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 65, Deficient Practice Statement*. The **Deficient Practice Statement** window opens.

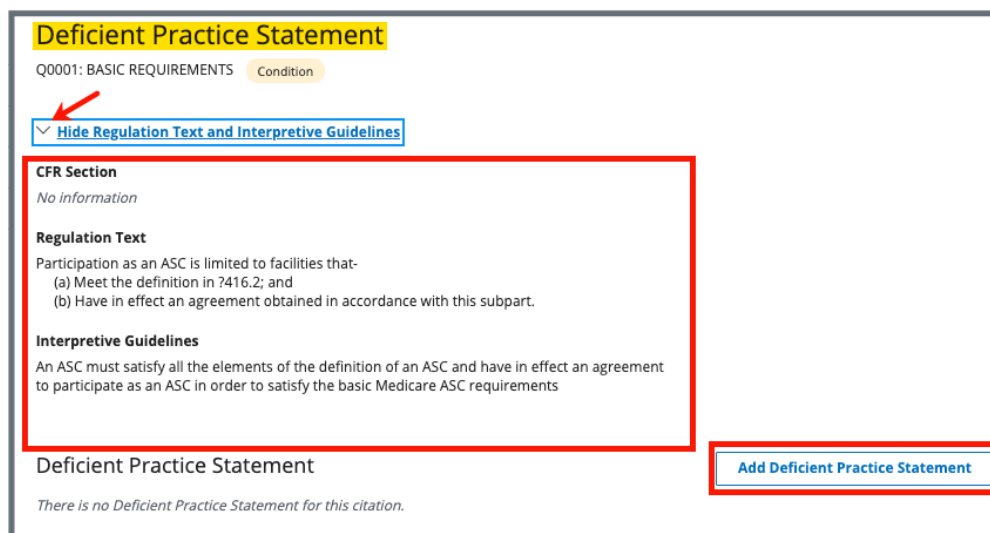


Citation Overview	
E0037: EP Training Program Standard	
Tag Type	Standard
Regulation Set	Emergency Preparedness (FED - E - 1.01)
Survey Category	Recertification

Figure 65: Deficient Practice Statement

13.6.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 66, Regulation Text and Interpretive Guidelines*.

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



Deficient Practice Statement

Q0001: BASIC REQUIREMENTS Condition

▼ Hide Regulation Text and Interpretive Guidelines

CFR Section
No information

Regulation Text
Participation as an ASC is limited to facilities that-
(a) Meet the definition in ?416.2; and
(b) Have in effect an agreement obtained in accordance with this subpart.

Interpretive Guidelines
An ASC must satisfy all the elements of the definition of an ASC and have in effect an agreement to participate as an ASC in order to satisfy the basic Medicare ASC requirements

Deficient Practice Statement
There is no Deficient Practice Statement for this citation.

Add Deficient Practice Statement

Figure 66: 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 67, 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.

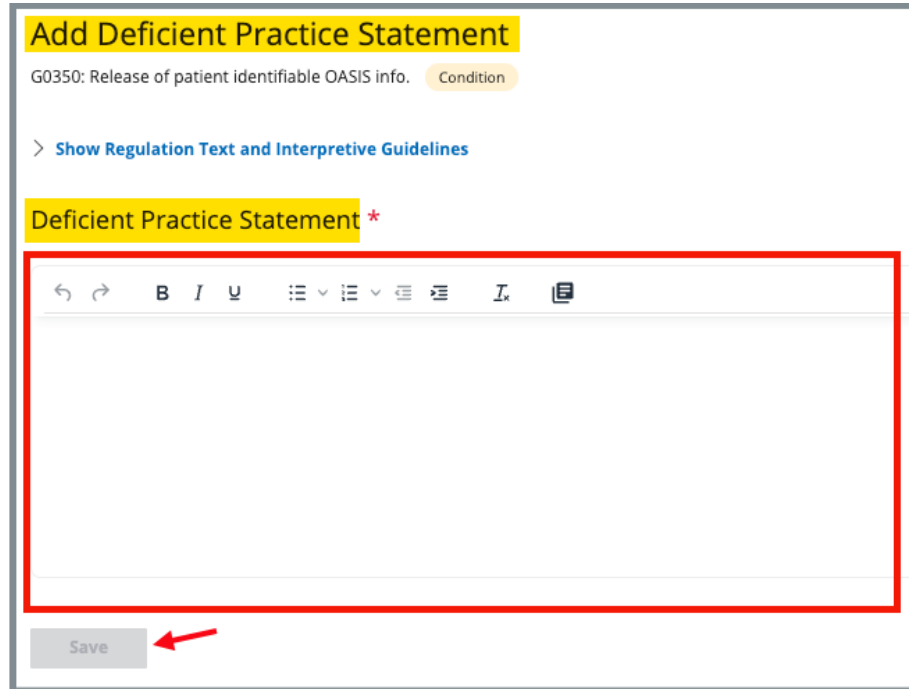


Figure 67: Deficient Practice Statement Text Box

Note: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 68, 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.

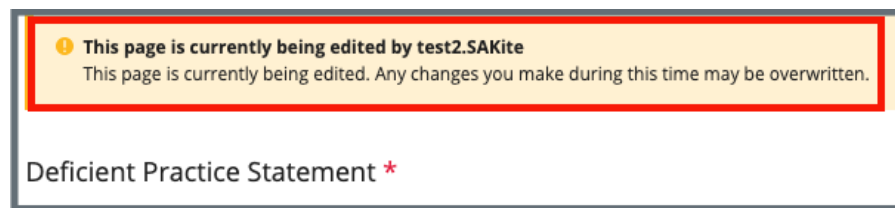


Figure 68: Concurrent Editor Notification

- 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 69, DPS Pencil Icon*.

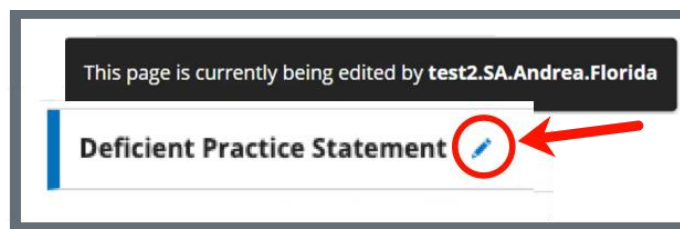


Figure 69: DPS Pencil Icon

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 70, Citation Add Findings*. The Citation Findings window opens.

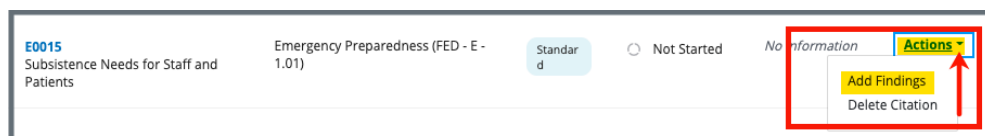


Figure 70: Citation Add Findings

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

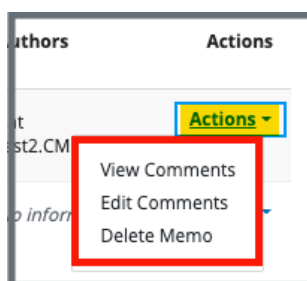


Figure 71: Actions Drop-Down Menu

13.7.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 72, Add Citation Findings*.

Figure 72: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 73, Concurrent Editor Notification*.

One user will overwrite the other person's data.

- 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 73: 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 74, Findings Pencil Icon*.

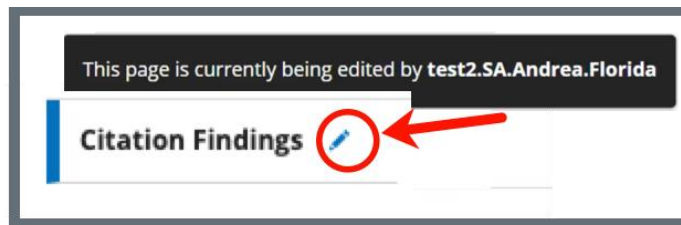


Figure 74: Findings Pencil Icon

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 75, Content Library Icon*.

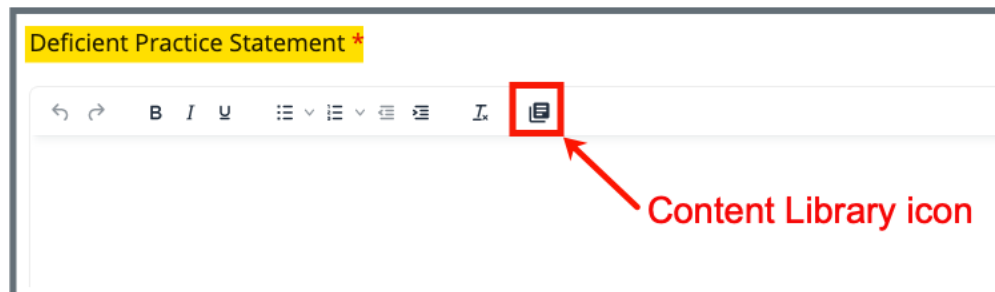


Figure 75: Content Library Icon

13.8.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 76, Content Library Pop-up Window*.

Notes:

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

Content Library

13 x

Search Content Library

1

Enter author, tag, regulation set title, description, or keyword

2

Hide Advanced Search

3

REGULATION SET

Regulation Sets

4

Select...

5

CONTENT

Last Modified Date

From

To

6

Category

Select...

7

Search

Reset

8

My Content

All Content

9

10	Tag	Regulation Set	Author	Description	Published	Last Modified	12
	G0000	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.SA.Annie.Florida2	Test Content	No	09/06/2022	<div>Actions</div> <div>Insert</div> <div>Edit</div> <div>Delete</div>

11

Add New

Figure 76: 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 77, New Content Pop-up Window* and *Table 4, New Content Popup Callout Detail*.

The screenshot shows the 'New Content' pop-up window. At the top left is a link '< Return to Content Library' (1). At the top right is a close button 'x' (12). The title 'New Content' is centered. Below the title are two dropdown menus: 'Provider Type' (2) with 'Home Health Agency' selected, and 'Survey Type' (3) with 'Health' selected. Below these are two more dropdowns: 'Regulation Set' (4) with 'Select one' selected, and 'Tags' (5) with 'Select one' selected. Below the 'Regulation Set' dropdown is a checkbox 'Publish Content' (6). Below the 'Tags' dropdown are two radio buttons: 'Findings' (7) and 'Deficient Practice Statement'. Below these is a text area for 'Description' (8). Below the text area is a rich text editor toolbar (9) with icons for undo, redo, bold, italic, underline, bulleted list, numbered list, decrease indent, increase indent, and link. At the bottom are two buttons: 'Save' (10) and 'Save and Insert' (11).

Figure 77: 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](#).

- Open the Content Library.
- Click **Insert** under the **Actions** menu to insert existing content. See *Figure 78, Content Library: Insert, Edit, Delete*.
- Click **Edit** under the **Actions** menu to edit existing content.
- Click **Delete** under the **Actions** menu to delete existing content. A pop-up window opens and asks for confirmation to delete. Once deleted, the content is deleted from **My Content** and **All Content**.

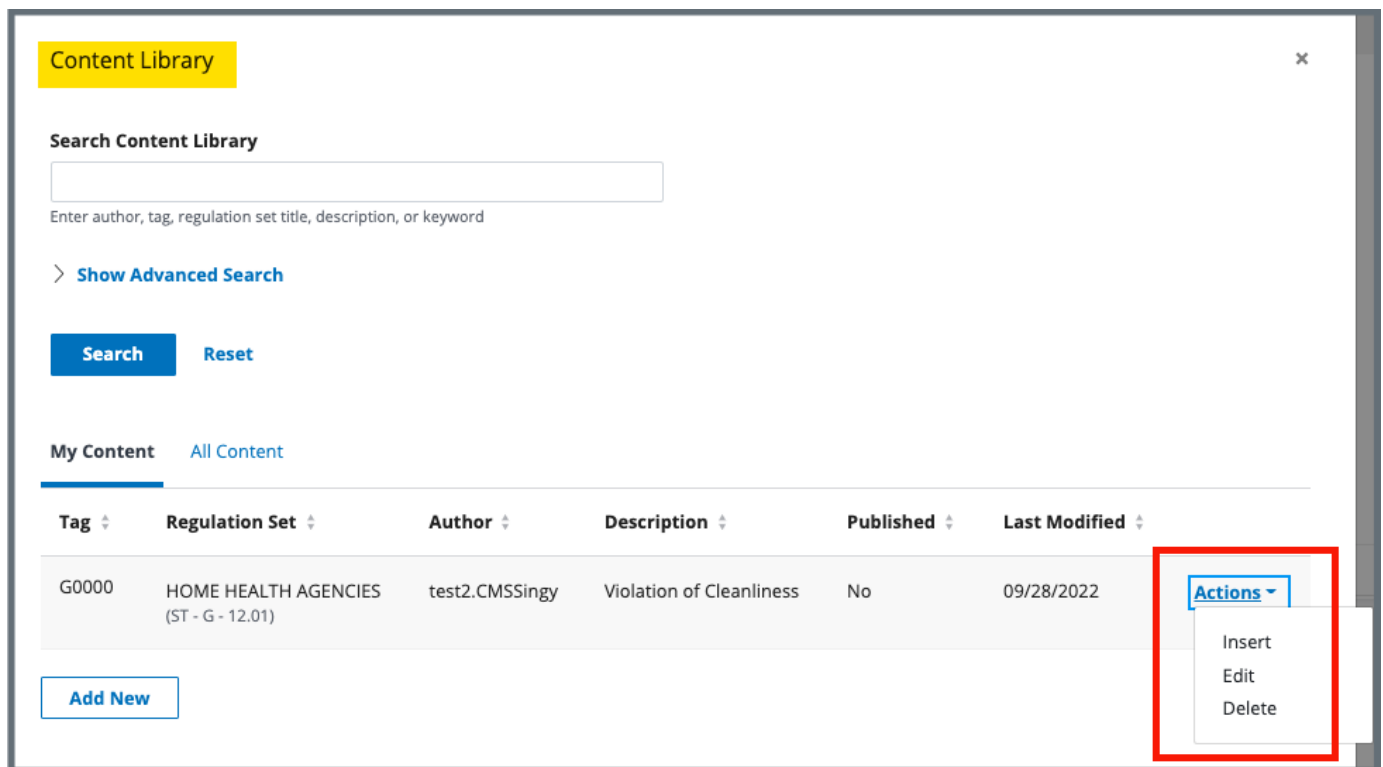


Figure 78: Content Library: Insert, Edit, Delete

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.

- Click the **All Content** tab and search for content.
- Select **View** from the **Actions** drop-down menu. See *Figure 79, View Drop-Down Menu*.

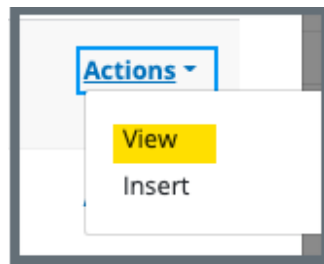


Figure 79: View Drop-Down Menu

- Click **Duplicate**. See *Figure 80, Duplicate*. The **Add New Content** window opens.

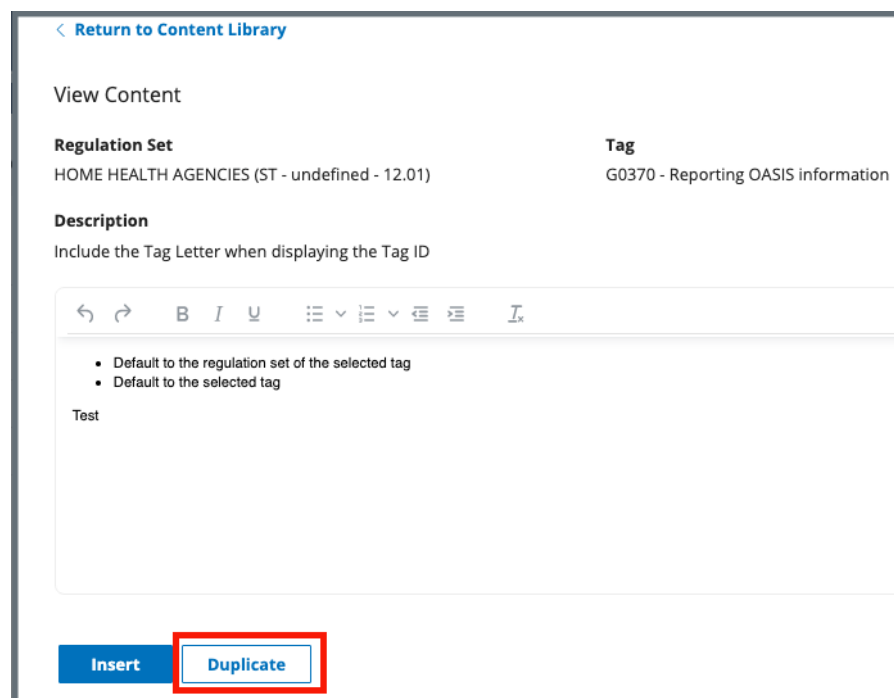


Figure 80: Duplicate

- Make any desired changes.

- e. Click **Save** to save the document to **My Content**. See *Figure 81, 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.

[Return to Content Library](#)

Add New Content

Provider Type *
Home Health Agency

Survey Type *
Health

Regulation Set *
HOME HEALTH AGENCIES (FED - G - 12.01)

Tag *
0370 - Reporting OASIS information

☒ Publish Content

Content Category *
☒ Findings ☐ Deficient Practice Statement

Description *
COPY - Include the Tag Letter when displaying the Tag ID

Rich text editor toolbar: Undo, Redo, Bold, Italic, Underline, Bulleted List, Numbered List, Indent, Outdent, Link, Unlink.

Rich text editor content:

- Default to the regulation set of the selected tag
- Default to the selected tag

 Tests

Edit content, if desired

Save **Save and Insert**

Figure 81: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See *Figure 82, Duplicated Content with COPY in Description*. To remove the word **COPY** from the description, select **Edit** from the **Actions** drop-down menu and delete the word from the description.

<div>My Content All Content</div>						
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 82: 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 83, Attachments*.

The screenshot shows the 'Attachments' window with the title 'Attachments' in a yellow box. Below the title is the instruction: 'Add attachments for this citation and add a file description below.' A red box highlights the 'Select File' button, with a red arrow pointing to it. Below this button is a list of supported file formats: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx, .csv), Text files (.txt, .rtf), Image files (.jpeg, .jpg, .png, .tif, .tiff), Video files (.mp4, .mov, .wmv, .3gp), Audio files (.mp3, .aac, .wav, .wma), and Message files (.msg, .eml). Below the list, the 'Attachment name' is shown as 'Findings for J. Doe.docx' in a yellow box, with a red arrow pointing to it. To the right of the name is a 'Remove' link. Below the name is the 'File Description' section, which contains a text input field with the text 'Findings for J. Doe' and a red box around it. To the right of the input field is the text 'Optional: Type file description'. Below the input field is a character count '19/255 characters'. At the bottom of the window is a blue 'Save' button, with a red arrow pointing to it.

Figure 83: 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 84, Citations Ready to be Locked*. The **Survey Extents** popup opens.

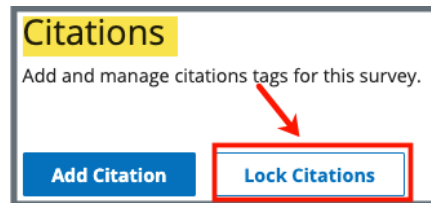


Figure 84: Citations Ready to be Locked

13.11.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 85, Survey Extents Popup*.

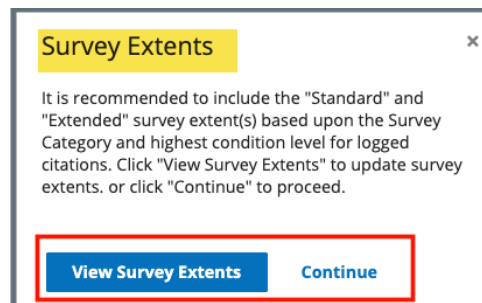


Figure 85: Survey Extents Popup

13.11.3 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 86, Lock Citations*.

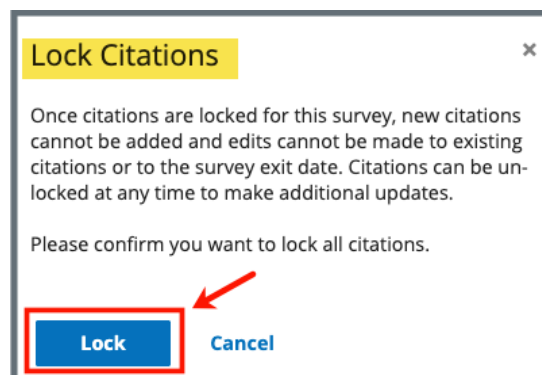


Figure 86: Lock Citations

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 87, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

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



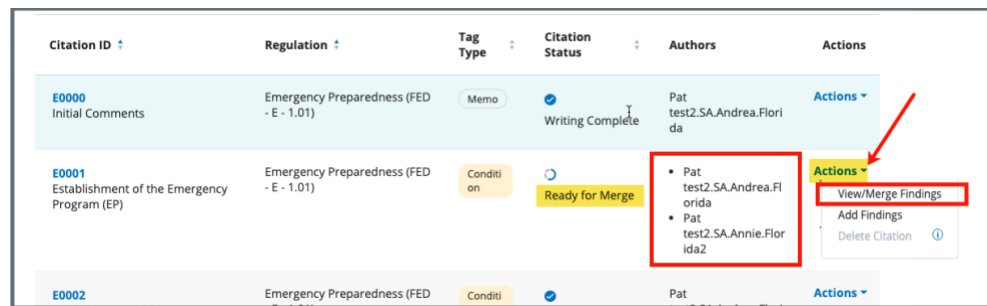
Figure 87: Unlock Citations Pop-Up Window

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 88, Ready for Merge*.



Citation ID	Regulation	Tag Type	Citation Status	Authors	Actions
E0000 Initial Comments	Emergency Preparedness (FED - E - 1.01)	Memo	Writing Complete	Pat test2.SA.Andrea.Florida	Actions
E0001 Establishment of the Emergency Program (EP)	Emergency Preparedness (FED - E - 1.01)	Condition	Ready for Merge	<ul style="list-style-type: none"> Pat test2.SA.Andrea.Florida Pat test2.SA.Annie.Florida2 	Actions View/Merge Findings Add Findings Delete Citation
E0002	Emergency Preparedness (FED)	Condition		Pat	Actions

Figure 88: Ready for Merge

13.12.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 89, Findings*.

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

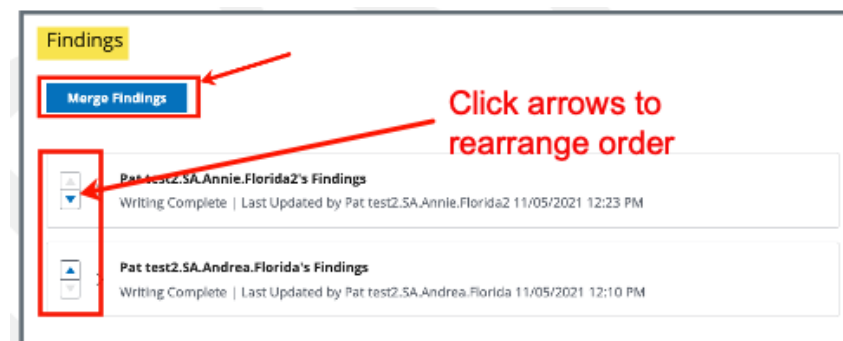


Figure 89: Findings

13.12.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 90, Merge*.

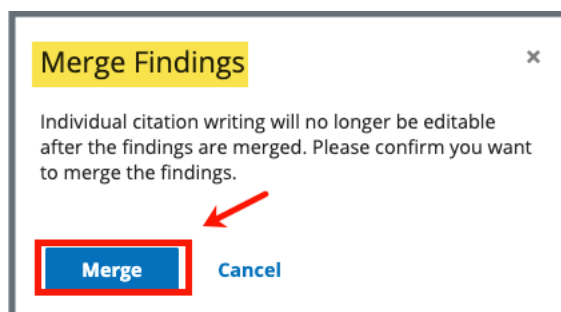


Figure 90: Merge

13.12.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 91, Ready for Merge*.

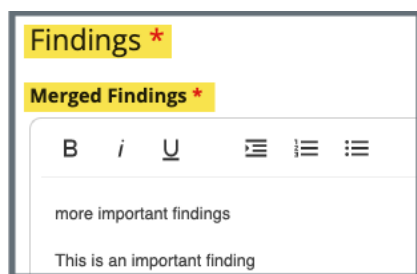


Figure 91: Ready for Merge

13.12.5 Update or edit findings, if desired. See *Figure 92, Findings*.

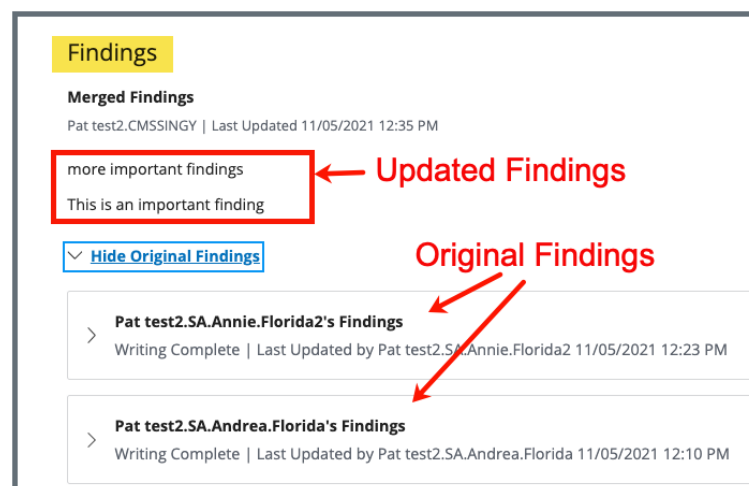


Figure 92: Findings

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

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](#).
- Not all user roles have view and edit access to FMS revisit surveys. See [User Roles Matrix](#) for details.

- 13.13.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 93, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

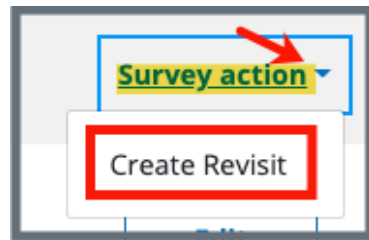


Figure 93: Create Revisit Drop-Down Menu

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 94, Needs Revisit Column*.

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

The screenshot shows the 'Corrective Actions' page. At the top right, there is a button labeled 'Edit All Actions' which is highlighted with a red box and an arrow. Below this, there is a table with the following columns: Citation ID, Immediate Jeopardy, Complete Date, Corrected Date, Correction Status, and Needs Revisit. The 'Needs Revisit' column is highlighted with a red box. The table contains four rows of data, each with a 'Yes' in the 'Needs Revisit' column.

Citation ID	Immediate Jeopardy	Complete Date	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
G0374 Accuracy of encoded OASIS data	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
H0110 Hours of Operation	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
H0111 On-Call Staff	No	No information ⓘ	No information ⓘ	Not Corrected	Yes

Figure 94: Needs Revisit Column

13.14.3 Click **Edit All Actions**. The fields are now editable. See *Figure 95, Needs Revisit Editable Fields*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

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

Save **Cancel**

Figure 95: 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 96, Revisits Corrective Actions*.

Corrective Actions					
Enter dates once the Plan of Correction has been accepted.				Sort by:	
				Citation ID	▼
Citation ID G0372 Encoding and transmitting OASIS	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Accepted	Needs Revisit Yes
Citation ID G0374 Accuracy of encoded OASIS data	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes
Citation ID H0104 HHA Operational	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes
Citation ID H0105 Unlicensed Activity	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes

Figure 96: 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 97, Citation Corrected Dates*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Citation ID	Immediate Jeopardy	Complete Date (XS)	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	03/01/2022 ⓘ	03/03/2022	Accepted	<input checked="" type="checkbox"/> ⓘ
G0374 Accuracy of encoded OASIS data	No	03/01/2022 ⓘ		Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0104 HHA Operational	No	03/01/2022 ⓘ	03/03/2022	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0105 Unlicensed Activity	No	03/01/2022 ⓘ		Not Corrected	<input checked="" type="checkbox"/> ⓘ

Figure 97: Citation Corrected Dates

13.15.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 98, Revisits Linked in Corrective Actions*.

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

Corrective Actions					
Enter dates once the Plan of Correction has been accepted.					
			Sort by: Citation ID		
Citation ID G0372 Encoding and transmitting OASIS	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date 03/03/2022 ⓘ Survey 105A94-H2	Correction Status Corrected	Needs Revisit Yes
Citation ID G0374 Accuracy of encoded OASIS data	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Accepted	Needs Revisit Yes
Citation ID H0104 HHA Operational	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date 03/03/2022 ⓘ Survey 105A94-H2	Correction Status Corrected	Needs Revisit Yes
Citation ID H0105 Unlicensed Activity	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Accepted	Needs Revisit Yes

Figure 98: Revisits Linked in Corrective Actions

14. FMS Details

Purpose: Review details for FMS surveys.

Note: The **FMS Details** menu option is displayed only when an FMS is present.

14.1 Click **FMS Details** on the left menu. The **FMS Details** screen opens. See *Figure 99, FMS Details*.

Survey 29AA0B-H1	Status	Category	Linked State Survey	Buildings	Start Date	Exit Date
Marion Manor NH CCN 015651 Nursing Home	New	Federal Monitoring Survey	Survey 1DF83D-H1	0	09/22/2025	09/22/2025

FMS Details

All required fields are marked with an asterisk (*)

[Edit](#)

Overview

Type of Federal Survey *	No Information
Survey Extents	No Information
Contractor Usage	No Information
Preparation of CMS-2567 required	No Information
Significant differences between region and state	No Information

Dates

Date report Sent to State Agency	No Information
Date the CMS 2567 sent to Facility	No Information

Figure 99: FMS Details

14.2 Click **Edit** to edit **FMS details**. See *Figure 100, Edit FMS Details*.

Status New	Category Federal Monitoring Survey	Linked State Survey Survey 1DF83D-H1	Buildings 0	Start Date 09/22/2025	Exit Date 09/22/2025	Revisit Status Not Determined	Track Status 29AA0B 0%
---------------	---------------------------------------	---	----------------	--------------------------	-------------------------	----------------------------------	---

FMS Details

All required fields are marked with an asterisk (*)

Overview

Type of Federal Survey *

☐ Resource and Support Survey
☐ Focused Concern Survey
☐ Health Comparative

Survey Extents

☐ Full Health
☐ Partial Health

Contractor Usage ⓘ

☐ Fully Contracted
☐ Partially Contracted
☐ None

Does the survey finding require preparation of a CMS-2567?

☐ Yes
☐ No

Are there significant differences between region and state? ⓘ

☐ Yes
☐ No

Dates

Date range must be after the Survey Exit Date.

Date report Sent to State Agency

MM/DD/YYYY

Date the CMS 2567 sent to Facility

MM/DD/YYYY

Figure 100: Edit FMS Details

14.3 Click **Save**. The **FMS Details** page opens with updated information.

Note: **Save** is disabled until required fields are completed.

15. 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.

15.1 Add IJ to a citation.

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

15.1.2 Check the **Associated with Immediate Jeopardy** box. See *Figure 101, Add IJ to a Citation*.

The screenshot shows the 'Add Citations' window. At the top, there is a search bar with a magnifying glass icon and a 'Reset' button. Below the search bar, it says 'Search by citation tag number, title, or keyword'. There are two dropdown filters: 'Filter by: All Regulation Sets' and 'All Tag Types'. Below the filters, it says '1 - 20 of 239 Citations'. The list of citations includes:

- G0000 - INITIAL COMMENTS (Memo) - HOME HEALTH AGENCIES (FED - G - 12.01) - Add button
- G0350 - Release of patient identifiable OASIS info. (Condition) - HOME HEALTH AGENCIES (FED - G - 12.01) - ☐ Associated with Immediate Jeopardy - Add button
- G0370 - Reporting OASIS information (Condition) - HOME HEALTH AGENCIES (FED - G - 12.01) - ☐ Associated with Immediate Jeopardy - Add button

The checkbox for 'Associated with Immediate Jeopardy' for the G0350 citation is highlighted with a red box.

Figure 101: Add IJ to a Citation

15.1.3 Click **Add**.

15.1.4 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.

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

15.3 Click **Lock IJs**. See *Figure 102, 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**.

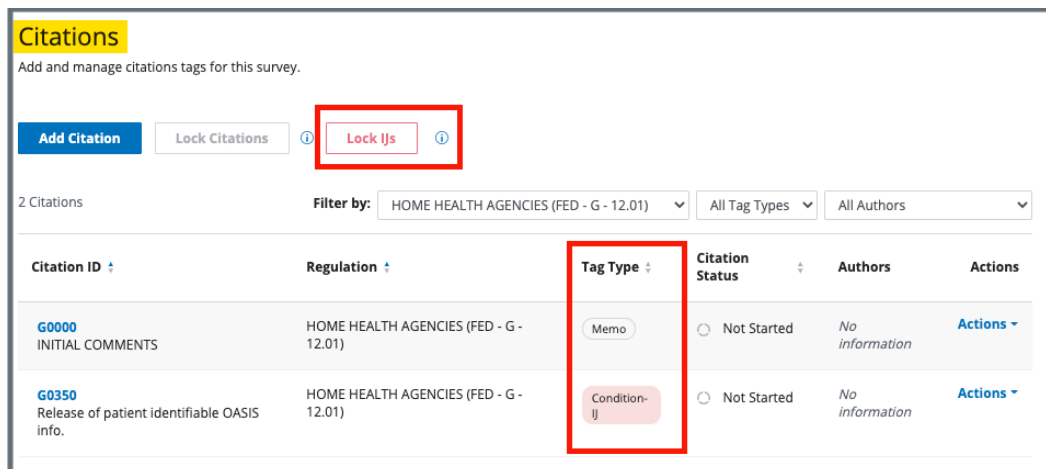


Figure 102: Lock IJs

15.4 Click **Lock as IJ**. See *Figure 103, Lock IJ Citations Popup Window*. The **Citations** page opens and a Statement of Deficiencies can now be generated with **Date Sent**.

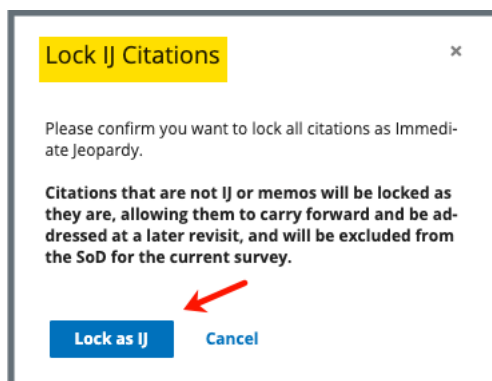


Figure 103: Lock IJ Citations Popup Window

- 15.5** Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** page opens.
- 15.6** Click **Generate Statement of Deficiencies**. The **Statement of Deficiencies** page shows additional fields.
- 15.7** Click the box next to **Include only IJ citations and memos** under **IJ Survey** on the **Statement of Deficiencies** page. See *Figure 104, 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.

Home Health Agency
Deemed

Basic Information

Responsible Staff

Teams

Citations

FMS Details

Statement of Deficiencies

Plan of Correction

CMS-670

Letters

Notes

Attachments

Statement of Deficiencies

Select preferred options for Statement of Deficiencies form.

All required fields are marked with an asterisk (*)

Statement of Deficiencies *

☒ CMS-2567 - Federal Statement of Deficiencies

☐ State Licensure Statement of Deficiencies

Federal Regulations

☒ Emergency Preparedness (FED - E - 1.03)

IJ Survey

☐ Include only IJ citations and memos

Format Options

☐ Include tag 9999

[Download Form](#) [Cancel](#)

Figure 104: IJ Citation Check Box

16. 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.

16.1 Create the CMS-2567 form.

16.1.1 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** screen opens. See *Figure 105, Statement of Deficiencies*.

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

Due to Provider	Date Sent	Due Back from Provider
No information	12/04/2015	Not required

Figure 105: Statement of Deficiencies

16.1.2 Click **Generate Form**. Preferred options are shown. See *Figure 106, Statement of Deficiencies: Preferred Options*.

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

Statement of Deficiencies

Select preferred options for Statement of Deficiencies form.

All required fields are marked with an asterisk (*)

Statement of Deficiencies *

☒ CMS-2567 - Federal Statement of Deficiencies

☐ State Licensure Statement of Deficiencies

Format Options

☐ Include tag 9999

Download Form **Cancel**

Figure 106: Statement of Deficiencies: Preferred Options

16.1.4 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](#).

16.2 Edit the Statement of Deficiencies dates.

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

16.2.1 Click **Edit**. See *Figure 107, Statement of Deficiencies*.

Statement of Deficiencies

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

Generate Form

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

Edit

Figure 107: Statement of Deficiencies

16.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 108, Statement of Deficiencies Edit Screen*.

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

Statement of Deficiencies

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

Generate Form

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

10/19/2021

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

Save **Cancel**

Figure 108: Statement of Deficiencies Edit Screen

16.2.3 Click **Save**.

DEPARTMENT OF HEALTH AND HUMAN SERVICES CENTERS FOR MEDICARE & MEDICAID SERVICES		PRINTED: 09/14/2022 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 House of the Rising Sun		STREET ADDRESS, CITY, STATE, ZIP CODE 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)
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 109: CMS-2567

17. 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.

Notes:

- To create an IDR, the survey must have a status of **Statement of Deficiencies Sent**.
- Not all provider areas have an IDR.

17.1 Click **Survey action** on the gray status bar and select **Create Informal Dispute Resolution** from the drop-down menu. See *Figure 110, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.

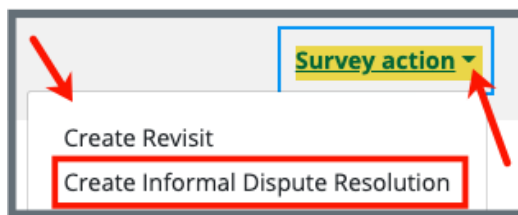


Figure 110: Create Informal Dispute Resolution Drop-Down Menu

17.2 Fill out the information.

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

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

18. 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.

18.1 Plan of Correction

18.1.1 Click **Plan of Correction** on the left menu. The **Plan of Correction** screen opens. See *Figure 111, Plan of Correction*.

The screenshot shows the 'Plan of Correction' screen for Survey NNT312. The left sidebar contains a menu with options: Home Health Agency Non-Deemed, Basic Information, Responsible Staff, Teams, Citations, Statement of Deficiencies, Informal Dispute Resolution, Plan of Correction (highlighted with a red arrow), CMS-1539, CMS-1572, CMS-670, Letters, Notes, and Attachments. The main content area is titled 'Plan of Correction' and includes the instruction 'Add and manage the status and dates for the Plan of Correction (POC)'. It also states 'All required fields are marked with an asterisk (*)'. The 'Statement of Deficiencies Sent Date' is 12/04/2015. There are three date input fields: 'Due Date' (12/14/2015), 'Provider Sign-off Date (X6)', and 'Received Date'. The 'Status' section has three radio buttons: 'Pending Review' (selected), 'Accepted', and 'Not Accepted'. Below this is a 'Pending Review Date' input field. At the bottom, there are 'Save' and 'Cancel' buttons, with the 'Save' button highlighted by a red box and a red arrow pointing to it.

Figure 111: Plan of Correction

18.1.2 Fill out the information.

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

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

18.2 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.

18.2.1 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 112, Citation ID & Building ID*.

Citation ID & Building ID	Severity/Scope	Complete Date	Corrected Date	Correction Status	Needs Revisit
<div> <div> K0131 - 12 </div> <div>Multiple Occupancies</div> </div> <div> <div> <div>Waiver</div> <div>Temporary</div> </div> <div> <div>Type</div> <div>Federal</div> </div> <div> <div>Last Day in Effect</div> <div>12/20/2023</div> </div> <div> <div>Building Waiver Detail</div> </div> </div>	E	12/21/2023	No information ⓘ	Accepted	Yes
		Request Date	Sent to CMS		
		10/04/2023	10/04/2023		
		Decision	Decision Date		
		Pending	No information		

Figure 112: Citation ID & Building ID

- 18.2.2 Click **Edit All Actions** on the **Plan of Correction** page to enter Corrective Action information, including waiver details. See *Figure 113, Edit All Actions*.

The screenshot shows the 'Corrective Actions' page. At the top right, there is a red-bordered button labeled 'Edit All Actions'. Below the header, there is a table with the following columns: Citation ID & Building ID, Severity/Scope, Complete Date, Corrected Date, Correction Status, and Needs Revisit. The table contains one row of data for Citation ID K0131 - 12, Multiple Occupancies, with a severity of E, complete date of 12/21/2023, no corrected date, accepted status, and a need to revisit. Below the table, there is a 'Waiver' section with a 'Temporary' status.

Figure 113: Edit All Actions

- 18.2.3 Click the drop-down menu under **Waiver** to change the waiver status. See *Figure 114, Waiver Selections*.

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

The screenshot shows the 'Corrective Actions' page with a detailed view of a waiver. The 'Waiver' dropdown menu is highlighted with a red box, showing 'Continuing' as the selected option. Below the waiver details, there is a 'Building Waiver Detail' section with a text editor containing the text 'Needed some extra time'. At the bottom, there is a table with the following columns: Citation ID & Building ID, Immediate Jeopardy, Complete Date (XS), Corrected Date, Correction Status, and Waiver. The table contains one row of data for Citation ID K0712 - 81, Fire Drills, with immediate jeopardy of No, complete date of 04/08/2022, no corrected date, accepted status, and a temporary waiver.

Figure 114: Waiver Selections

- 18.2.4 Add building details, if desired.
- 18.2.5 Click **Save**.

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

19. Letters, Notes, Attachments

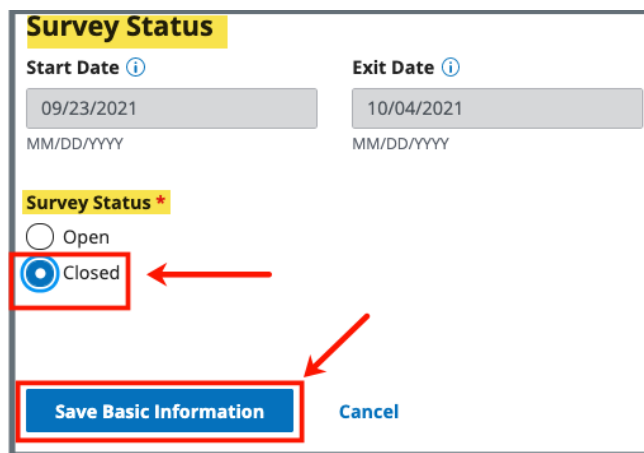
Note: **Letters, Notes, and Attachments** information can be found in the S&C User Manual: **Letters, Notes, and Attachments** on [QTSO](#).

20. Survey Closed Status

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

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

20.2 Click **Closed** under Survey Status. See *Figure 115, Survey Status*.



The screenshot shows a form titled "Survey Status". It contains two date fields: "Start Date" with the value "09/23/2021" and "Exit Date" with the value "10/04/2021". Below these is a section labeled "Survey Status *" with two radio button options: "Open" and "Closed". The "Closed" option is selected, indicated by a blue dot and a red box with an arrow pointing to it. At the bottom of the form are two buttons: "Save Basic Information" (highlighted with a red box and an arrow) and "Cancel".

Figure 115: Survey Status

Note: Be sure the **Exit Date** is completed.

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

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