



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

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

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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, review the [Reference & Manuals](#) on QTSO.

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

Below is important general information about iQIES.

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

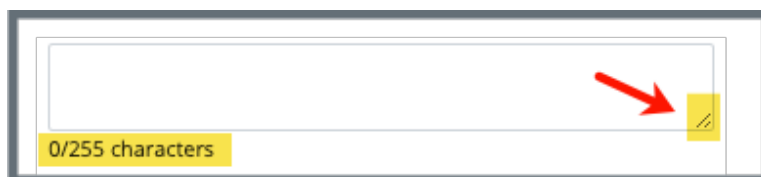


Figure 1: Expandable Field

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

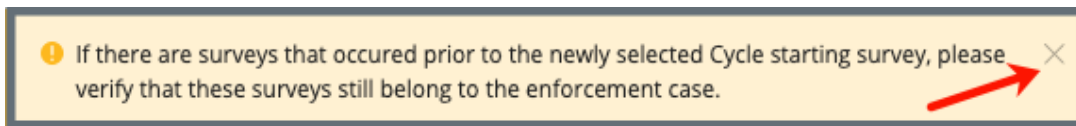


Figure 2: Notification Banner

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*.

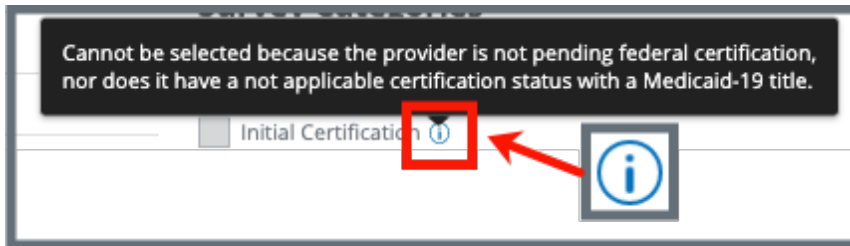


Figure 3: Tool Tip Icon

- 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. Review the [iQIES User Roles Matrix](#) for detailed information on roles.

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



Figure 4: Help Icon

1.4 My Tasks Landing Page

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

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

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

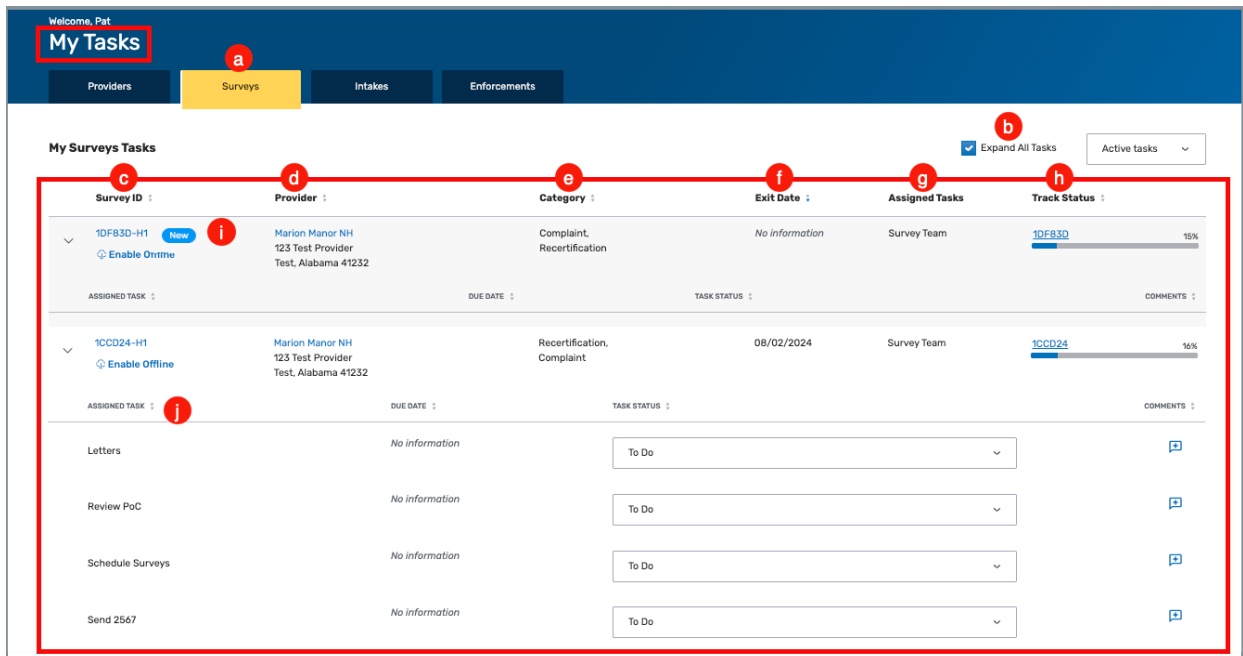


Figure 5: My Tasks Landing Page

Table 2: My Tasks Landing Page Detailed Callout

No.	Name	Description
a	Survey tab	Click each tab (Providers, Surveys, Intakes) to review the respective tasks. Not all tabs are available in all user roles. Click Enable Offline to enable the survey offline. For more details on how to enable offline, review the 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.

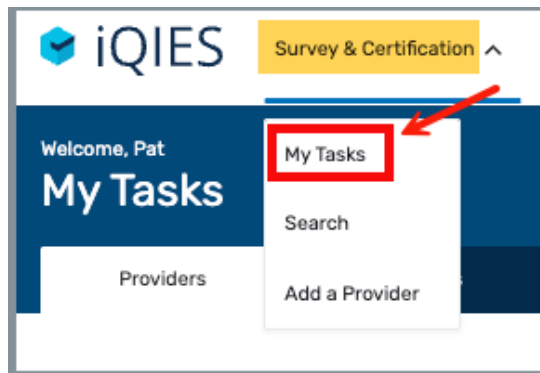


Figure 6: My Tasks Login

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*.

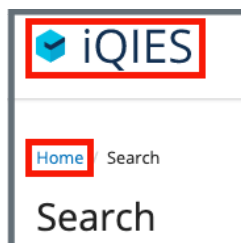


Figure 7: iQIES Logo

- 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.

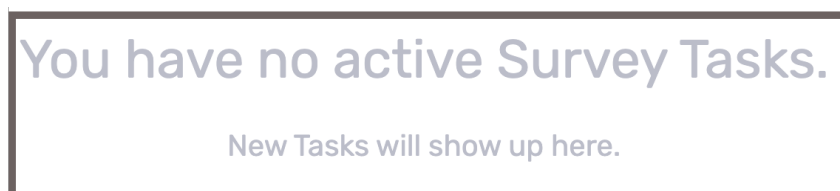


Figure 8: No Active Tasks

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*.

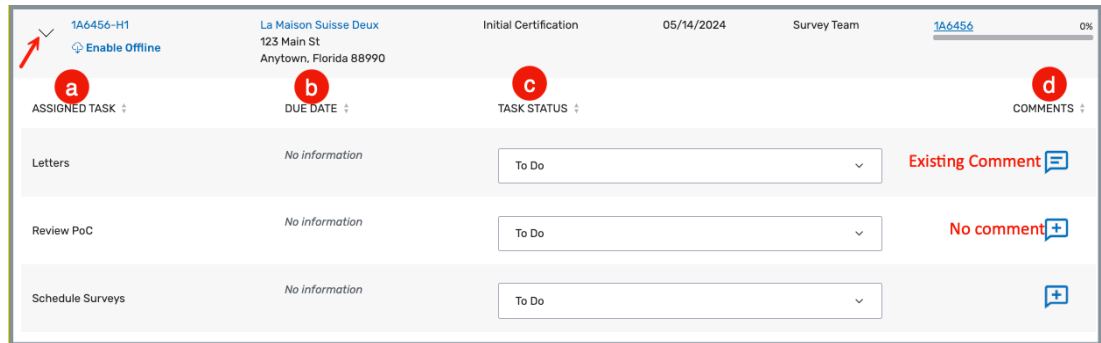


Figure 9: Task Status Details

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*.

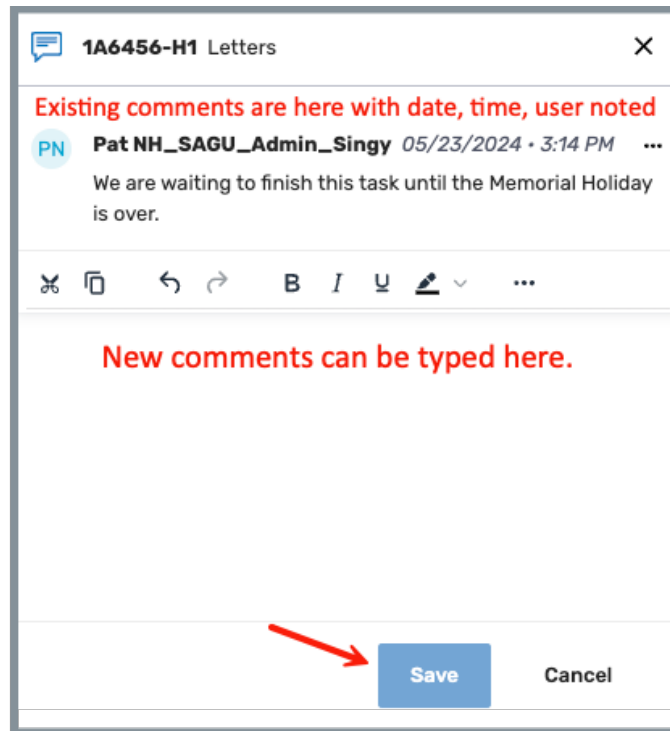


Figure 10: My Tasks Comments

- 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.

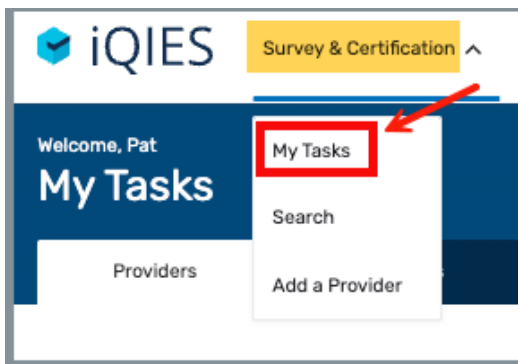


Figure 11: S&C Search

- 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*.

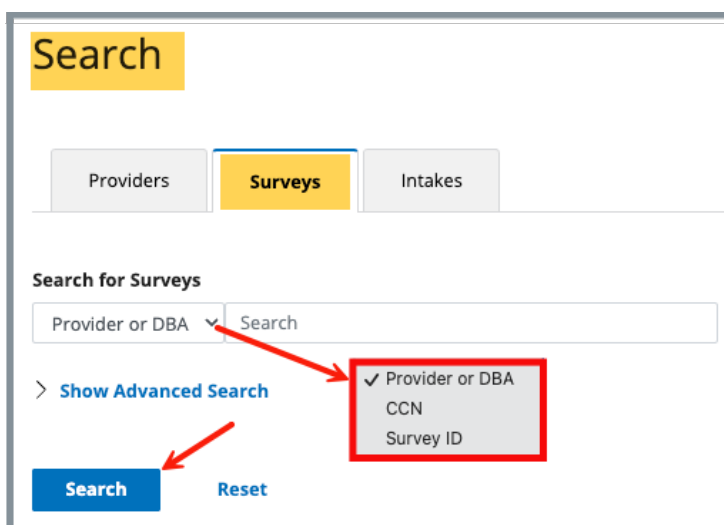


Figure 12: Search

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.

Providers **Surveys** Intakes Enforcements CMPTS Cases

Search for Surveys

Enter survey ID, provider name, or CCN

Hide Advanced Search

CATEGORY

Survey Type

Select...

Select one or more

Federal Categories

Select...

Select one or more

State Categories

Select...

Select one or more

EXIT DATES

Survey Exit Dates

From

To

STATUS

Survey Status

Select...

Select one or more

Show only surveys with IJS

PROVIDER INFO

Provider Type

Select...

Select one or more

State

Florida × Select... ×

Select one or more

State Region

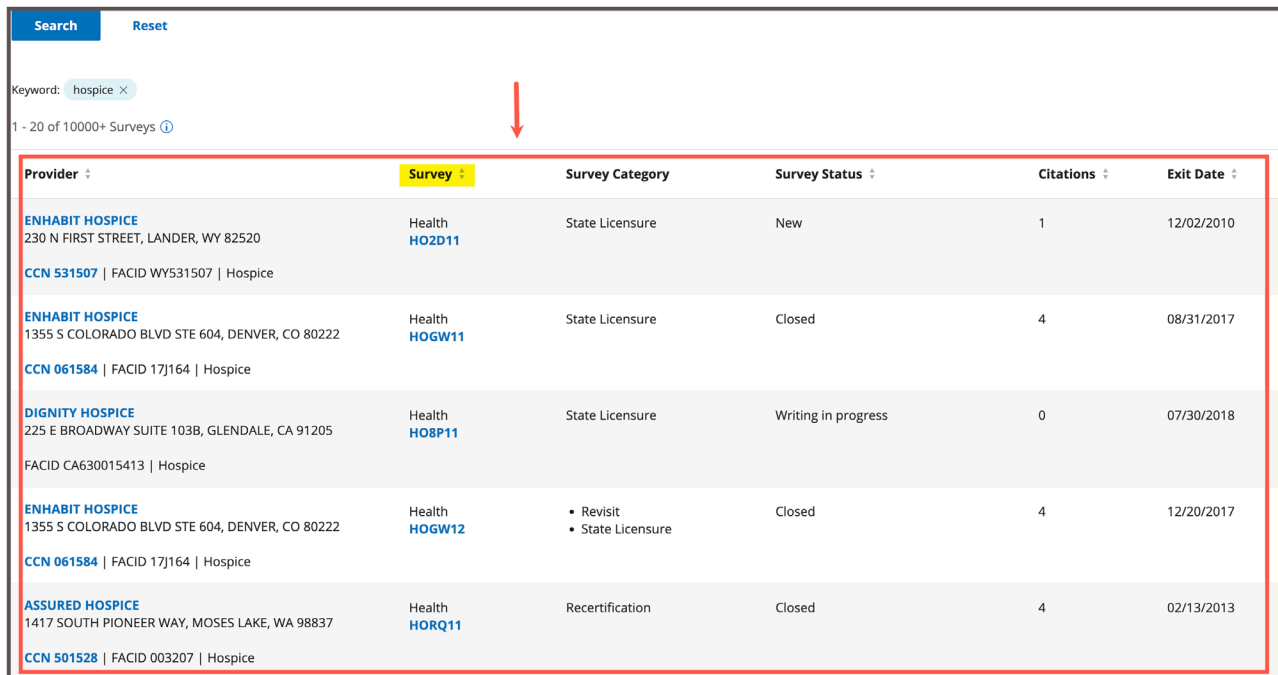
Select one

Search Reset

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	127EAQ 16%	

Basic Information

Manage the basic information for this survey.

[Edit](#)

Survey Type	Health
Enforcement Case ID	No information
Survey Categories	
Federal Categories	Recertification
State Categories	No information
Survey Extents	
Survey Extents	<ul style="list-style-type: none">StandardExtended
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

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, review 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.

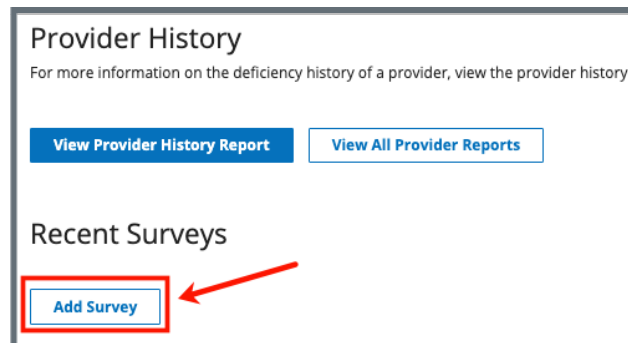
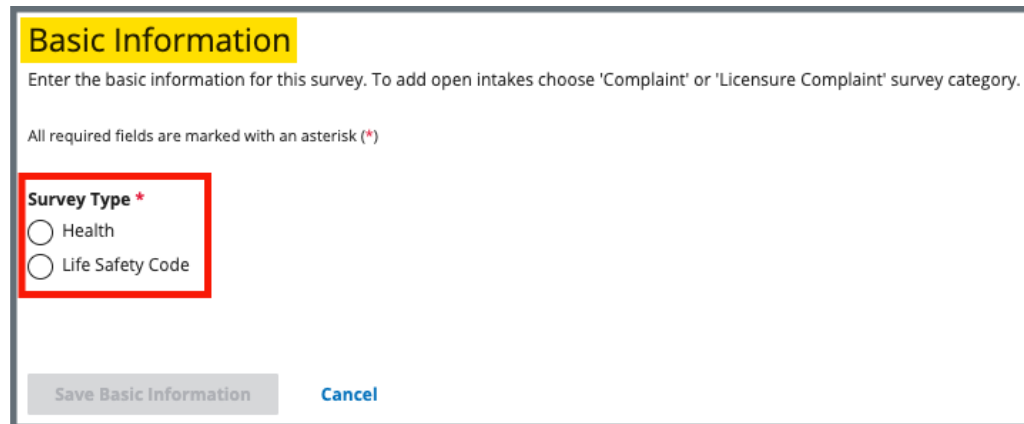


Figure 16: Add Survey

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

Note: **Life Safety Code** is disabled when it cannot be selected.



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:

- Disabled 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.
- ESRD provider types have an additional checkbox under **Survey Categories: Tier 2 – Outcomes List**. See [ESRD Tier 2 – Outcomes List Checkbox](#) below.

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

Validation Survey

Complaint ⓘ

Federal Monitoring Survey

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.

Survey Extents ⓘ

Standard

Abbreviated

Extended

Partial Extended

Other

Regulation Sets *

Federal Regulation Sets ⓘ

Emergency Preparedness (FED - E - 1.04)

HOME HEALTH AGENCIES (FED - G - 13.00)

> [Show Older Regulation Sets](#)

State Regulation Sets ⓘ

Home Health Agencies (ST - H - 8.03)

Core Licensure (ST - Z - 2.23)

Core Licensure (ST - Z - 2.24)

Core Licensure (ST - Z - 2.25)

> [Show Older Regulation Sets](#)

Survey Status

Start Date **Exit Date**

MM/DD/YYYY MM/DD/YYYY

Save Basic Information

↙ [Cancel](#)

Figure 18: New Survey Basic Information

ESRD Provider Type: Tier 2 – Outcomes List

Check the **Tier 2 – Outcomes List** box, See *Figure 19, Tier 2 – Outcomes List*, when the survey is classified as **Recertification** and at least two of the following conditions are met.

- The facility was identified in both the FY2025 and FY2026 Outcomes List.
- The Tier 2 survey based on FY2025 results was performed in the last fiscal year.
- The prior survey resulted in no citations or standard-only citations with an accepted plan of correction.
- There are no complaints against the facility triaged as immediate jeopardy (IJ) or non-IJ high since the last reapproval survey.
- There is no other quality of care concerns. Information about quality of care concerns should be obtained from the ESRD Network that is assigned to the facility location.

Survey Categories *

Federal Categories	State Categories
<input type="checkbox"/> Initial Certification ⓘ	<input type="checkbox"/> Initial Licensure
<input checked="" type="checkbox"/> Recertification	<input type="checkbox"/> Re-Licensure
<input type="checkbox"/> Validation Survey	<input checked="" type="checkbox"/> Licensure Complaint ⓘ
<input checked="" type="checkbox"/> Tier 2 - Outcomes List	
<input type="checkbox"/> Complaint ⓘ	
<input type="checkbox"/> Federal Monitoring Survey ⓘ	
<input type="checkbox"/> Vaccine Requirement	

Figure 19: Tier 2 – Outcomes List

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

Notes:

- CMS General Users see a selection for **Federal Monitoring Survey** under **Survey Categories**.
- Once the survey is saved, a survey ID is generated.
- The **H** in the survey ID signifies a health survey. The **1** signifies that this is the first visit for this health survey. See

Figure 20, Health Survey ID Explanation. Subsequent numbers represent revisit surveys. For example, the first revisit survey has the same prefix, but it is 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 20: 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:

The following must occur before an LSC survey can be created:

- 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).
- An LSC survey can be linked to a health survey either during survey creation or after the survey is created.
 - Select a survey under **Linked Health Survey** to link an LSC survey to a health survey during the LSC survey creation.
 - Follow [Link a Health Survey and an LSC survey](#) steps to link the surveys after an LSC has been created.

4.2.1 Click **Add Survey** on the **Provider History** page. See *Figure 21, Add Survey*. The **Basic Information** page opens.

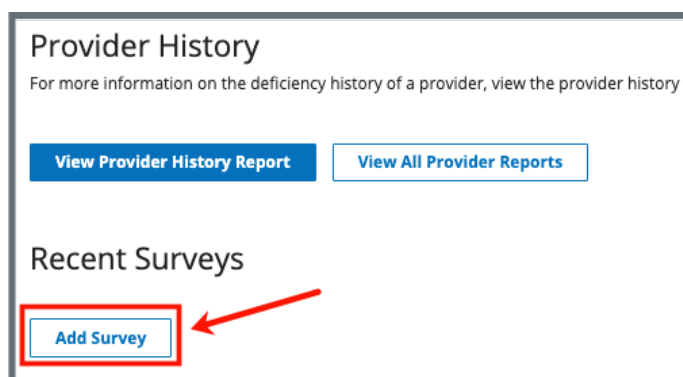
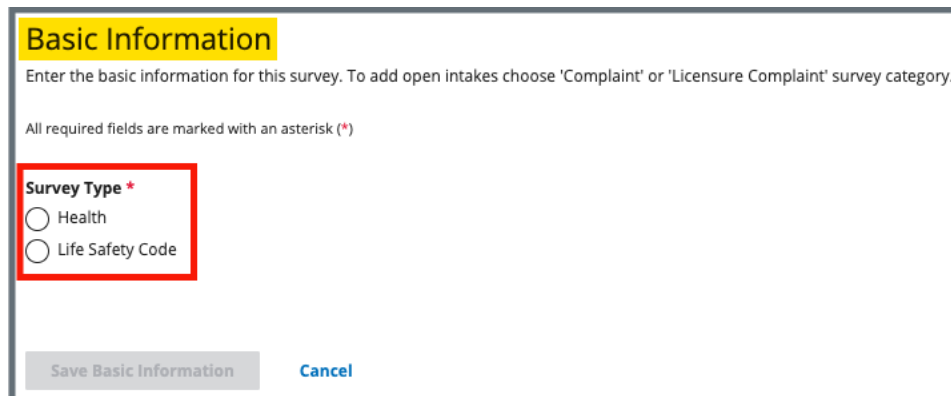


Figure 21: Add Survey

4.2.2 Select **Survey Type**. See *Figure 22, Survey Type*.



The screenshot shows a form titled "Basic Information" with a yellow header. Below the header, there is a text instruction: "Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category." Below this is a note: "All required fields are marked with an asterisk (*)". The "Survey Type" field is highlighted with a red box and contains two radio button options: "Health" and "Life Safety Code". At the bottom of the form, there are two buttons: "Save Basic Information" (grayed out) and "Cancel" (blue).

Figure 22: 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:

- Disabled 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 23, LSC Survey ID Explanation*.

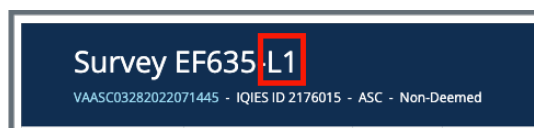


Figure 23: LSC Survey ID Explanation

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.
- 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.
- A linked survey cannot be unlinked.

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

4.3.2 Click **Link Survey** under the **Survey action** menu on the survey line. See *Figure 24, Link Survey*. The **Link Survey** page opens.

Notes:

- The linked survey shows in the **Linked Survey** column if there is an existing linked survey.
- Only open, linkable surveys are displayed.

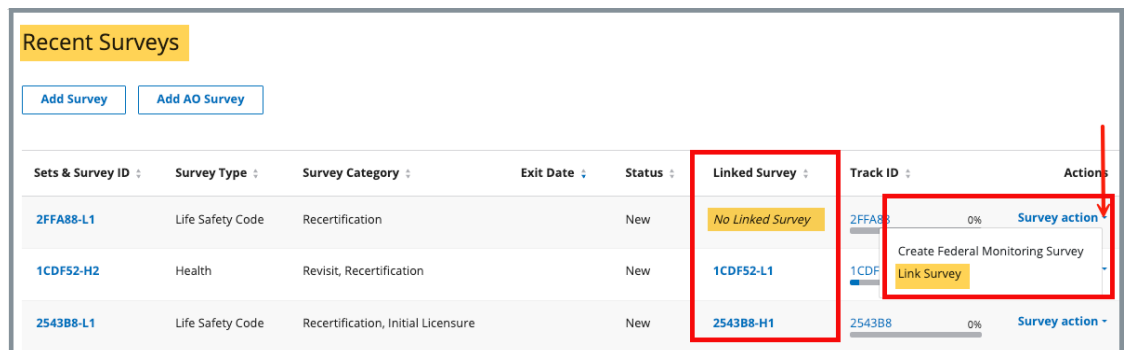


Figure 24: Link Survey

4.3.3 Select the radio button next to the correct survey to link. See *Figure 25, Link a Health Survey*.

Survey ID	Survey Category	Survey Status	Exit Date
291103-H1	Initial Licensure, Complaint, Recertification	Writing complete	09/30/2025
227906-H1	Complaint, Recertification	New	02/28/2025
221326-H1	Recertification	Writing in progress	02/04/2025

Figure 25: Link a Health Survey

4.3.4 Click **Link Survey**. A second, separate **Link Survey** pop-up window opens. See *Figure 26, Verify Linked Survey*.

Note: The **Link Survey** button is disabled until a selection is made.

4.3.5 Verify the correct survey is linked.

Notes:

- Surveys cannot be unlinked once linked.
- Click **Edit Linked Survey** to select a different survey to link.

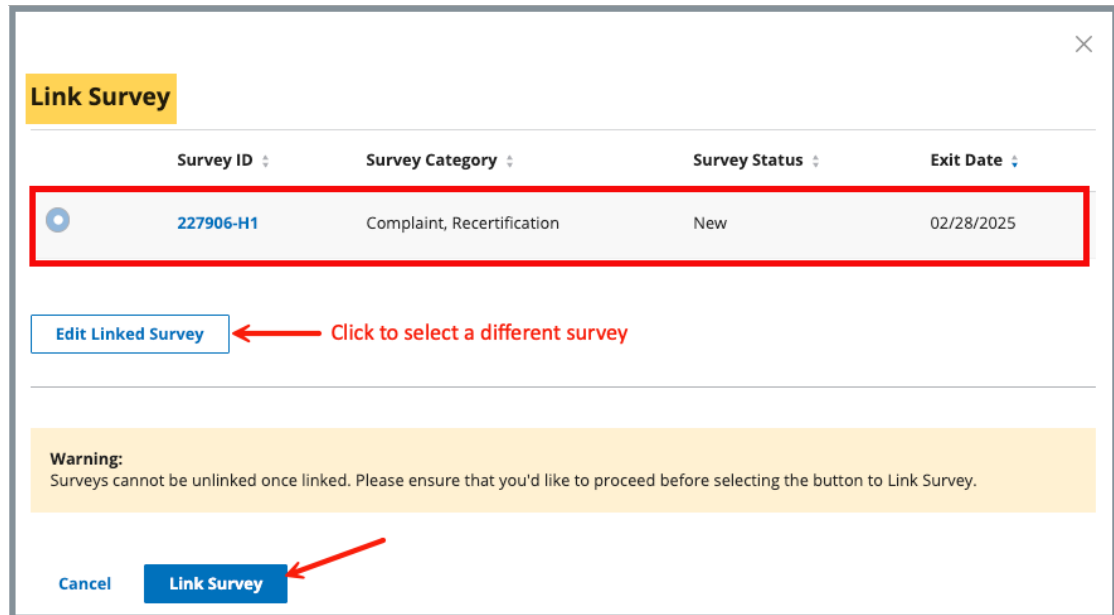


Figure 26: Verify Linked Survey

4.3.6 Click **Link Survey**. The **Provider History** page re-opens and the survey is now linked. See *Figure 27, Verify Linked Survey*.

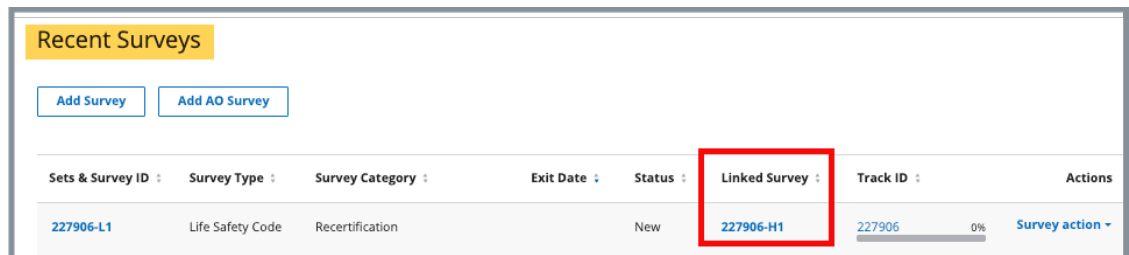


Figure 27: Verify Linked Survey

Note: Both the Health (**H**) and LSC (**L**) surveys have the same survey prefix ID. The same ID helps locate the surveys. See *Figure 28, Linked Survey IDs*.

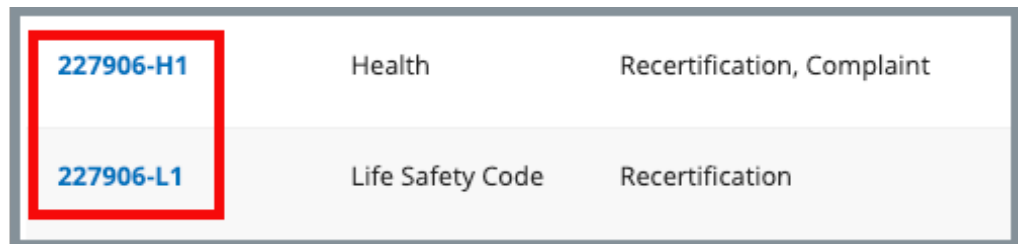


Figure 28: Linked Survey IDs

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 29, 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
<input checked="" type="radio"/> 1DF83D-H1	Recertification, Complaint	Writing In progress	

[Edit Linked Survey](#)

Save Basic Information

Cancel

Figure 29: 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 30, State Viewing Permissions*. For more information on editing the **Basic Information** page, go to [Basic Information](#).

The screenshot shows a web interface for editing survey information. At the top, there are three tabs: 'Status' (set to 'New'), 'Category' (set to 'Federal Monitoring Survey', highlighted with a red box), and 'Linked State Survey' (set to 'Survey 1CDF52-L1'). Below the tabs is a yellow header for 'Basic Information' with the text 'Manage the basic information for this survey.' and a note that 'All required fields are marked with an asterisk (*)'. Under the 'Survey Type' section, 'Health' is selected. The 'State Viewing Permissions' section, highlighted with a red box, contains two radio button options: 'This FMS is NOT available for state to view' (unselected) and 'This FMS is available for state to view' (selected).

Figure 30: 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, review [CMS-670](#).

 - 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 31, Delete a Survey*. The **Delete survey?** pop-up window opens.



Figure 31: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 32, Survey Cannot Be Deleted*. Click the link in the notification to review the specific citation or enforcement.

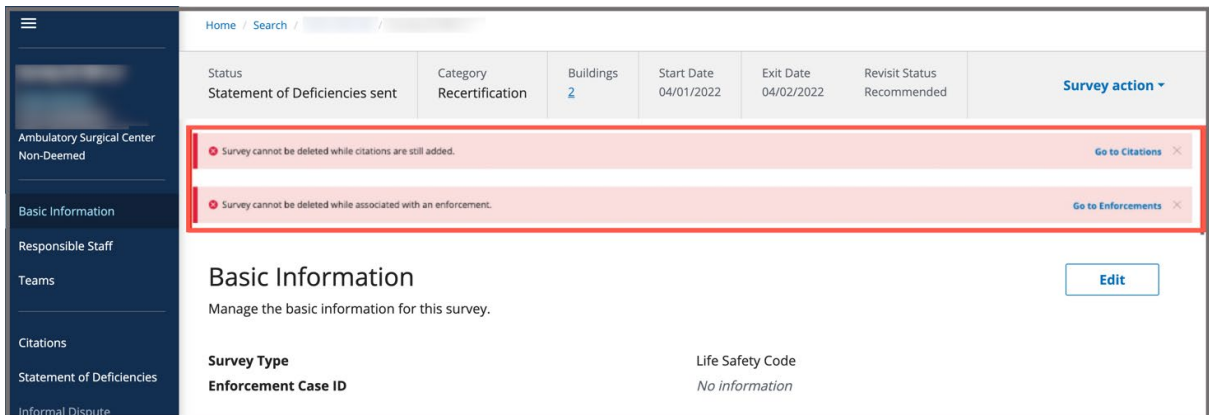


Figure 32: Survey Cannot Be Deleted

- 5.2** Click **Yes, delete**. See *Figure 33, Delete Survey? Pop-up Window*. The survey is deleted.

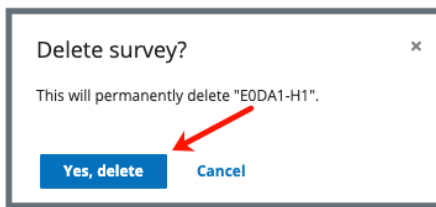


Figure 33: Delete Survey? Pop-up Window

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 34, Workload Management Track Status*.

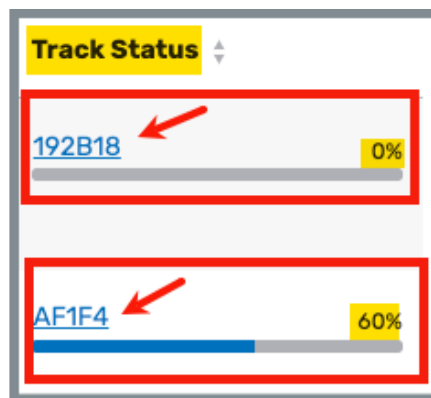


Figure 34: Workload Management Track Status

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 35, Detailed Certification Status*.

Track AF1F4 Status
✕

∨
Survey AF1F4-H1

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

∨
Track Forms

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

→ Close

Figure 35: Detailed Certification Status

6.2 View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 36, Survey Basic Information Page Certification Progress* and *Table 4, Basic Information Page Certification Progress Detailed Callout*.

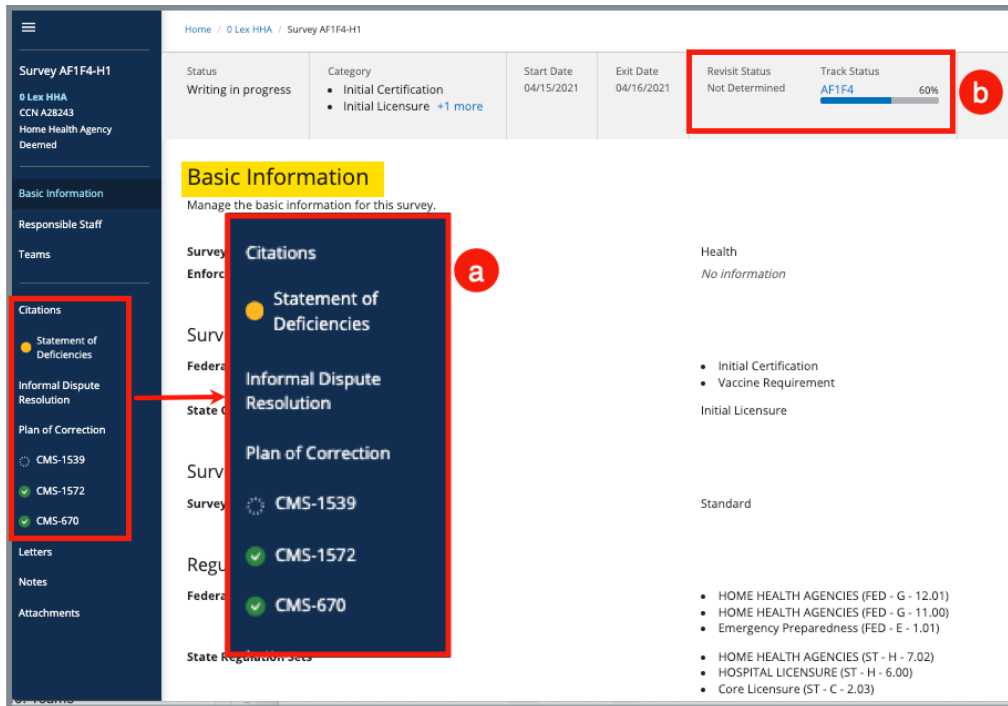


Figure 36: Survey Basic Information Page Certification Progress

Table 4: Basic Information Page Certification Progress Detailed Callout

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 37, 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 37: 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:

- Review [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 38, Survey Data Information Section*.

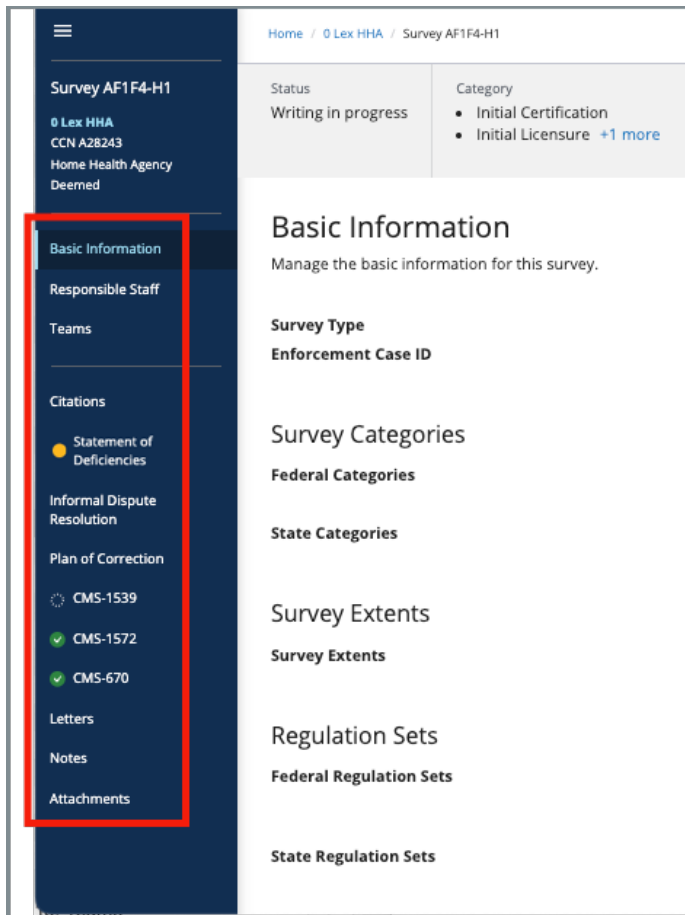


Figure 38: Survey Data Information Section

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 39, Edit Button*. See *Figure 40, Basic Information Edit Screen*.

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

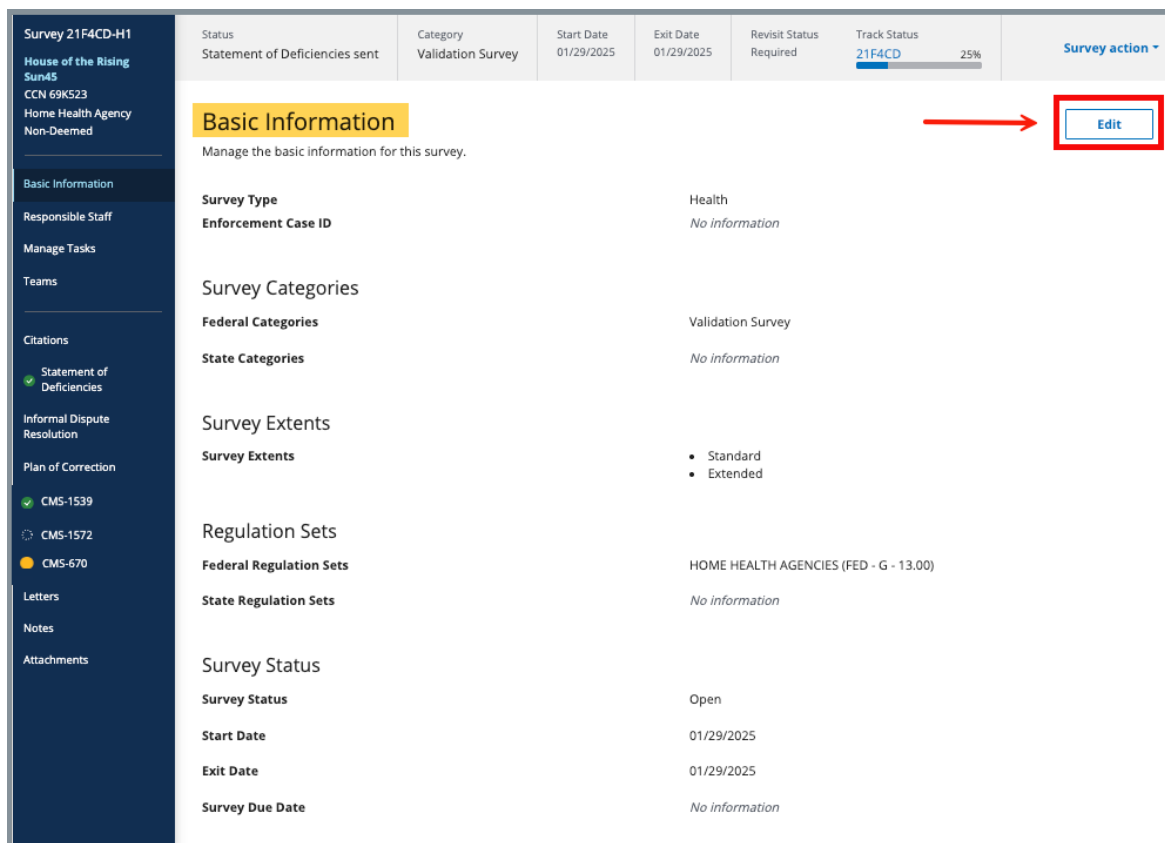


Figure 39: Edit Button

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

Figure 40: 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 41, 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 41: Hospice Survey Banner

- 9.1** Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 42, Add Responsible Staff*.

Add Responsible Staff

Find and add the responsible staff for this provider.

First Name Last Name

Search

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 42: 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 43, Delete a Responsible Staff*. A confirmation pop-up window opens.

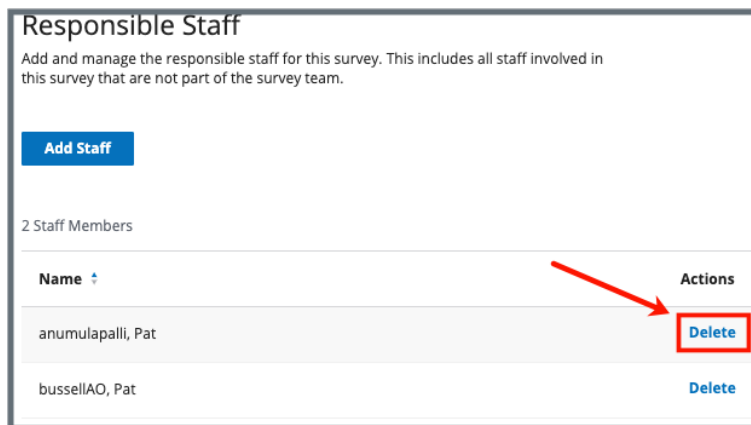


Figure 43: Delete a Responsible Staff

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 44, Manage Tasks*. See *Table 5, Manage Tasks Detailed Callout*.

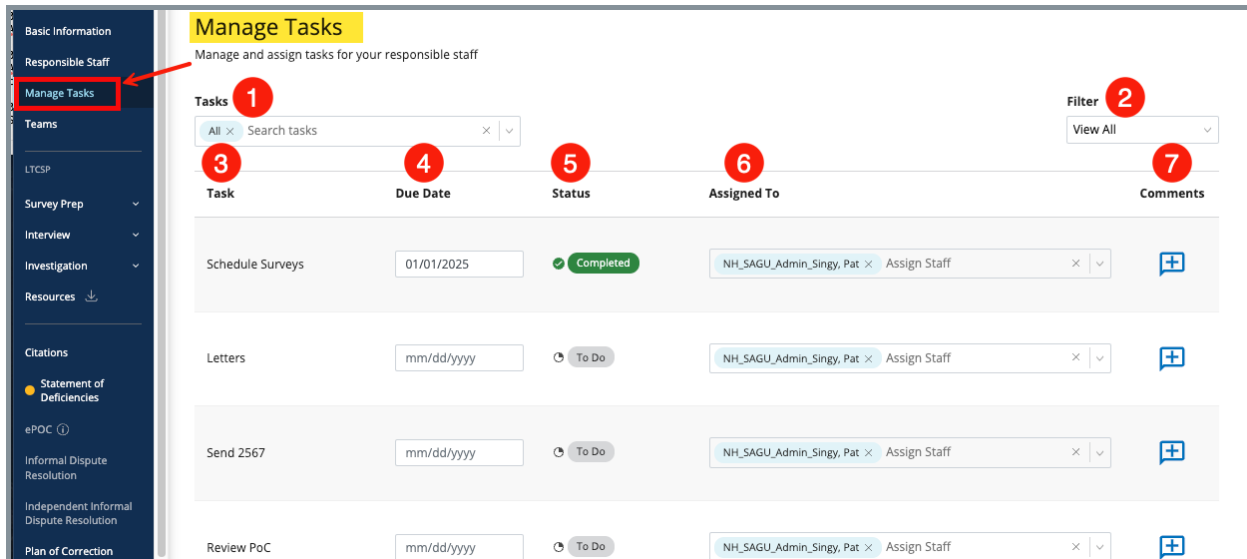


Figure 44: Manage Tasks

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 45, 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. Review 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.

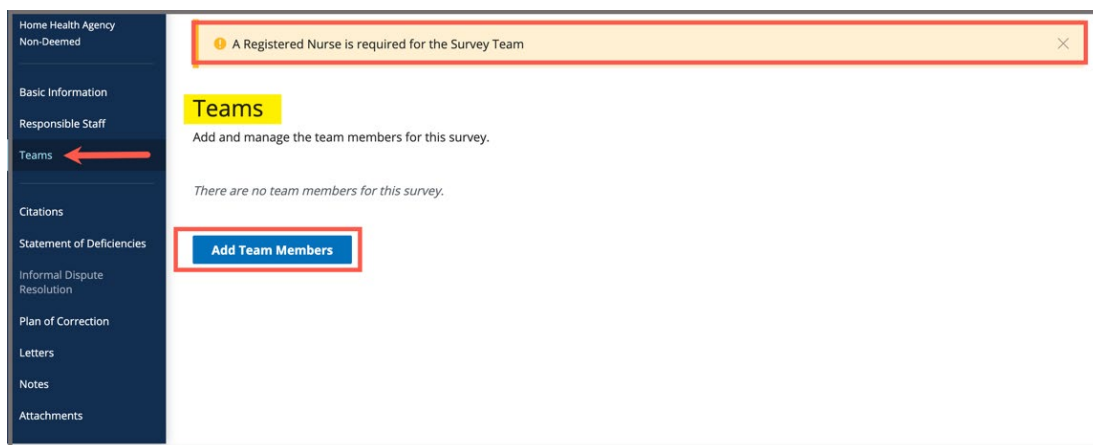


Figure 45: Teams

9.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 46, Add Teams*.

Notes:

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

Add Teams

Survey Team **QA Team**

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

First Name: Last Name: Organization:

Disciplines:

1 - 20 of 30 Staff members

Selected	Name	Organization	Disciplines
<input type="checkbox"/>	amd, Pat	CMS	Registered Nurse, Licensed Practical (Vocational) Nurse, Home H
<input type="checkbox"/>	ashleydolec28uv, Pat	CMS	Laboratorian, Registered Nurse, Medical Records Administrator

Figure 46: 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 47, Add a QA Member.

Selected	Name	Team Function
<input checked="" type="checkbox"/>	ADO_AUTO_USER_CMSCO_GU, Pat	Support Staff
<input checked="" type="checkbox"/>	ADO_AUTO_USER_CMS_GU, Pat	Support Staff
<input type="checkbox"/>	ADO_AUTO_USER_CMSRO_GU, Pat	Support Staff
<input type="checkbox"/>	ADO_AUTO_USER_CMSRO_GU_test1, Pat	Support Staff

Figure 47: 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 48, Survey Team Member Successfully Added Popup*.

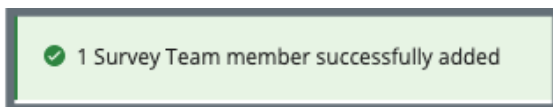


Figure 48: Survey Team Member Successfully Added Popup

- 9.6 Click **Delete** under **Actions** to delete a team member. See *Figure 49, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 50, 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 49: Delete a Team Member

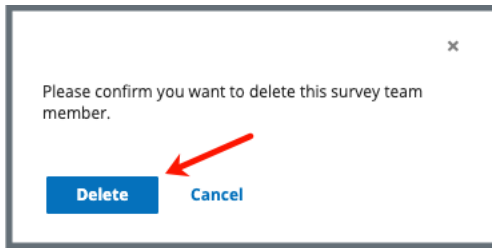


Figure 50: Deletion Confirmation Popup

- 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. Review [Teams](#), if necessary. See *Figure 51, 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 52, Sample Conflict of Interest Attestation Email*.
- The Team member must acknowledge/accept the attestation before the survey citations can be locked. See *Figure 53, Conflict of Interest Acknowledgement*.

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 51: Pending Conflict of Interest Attestation

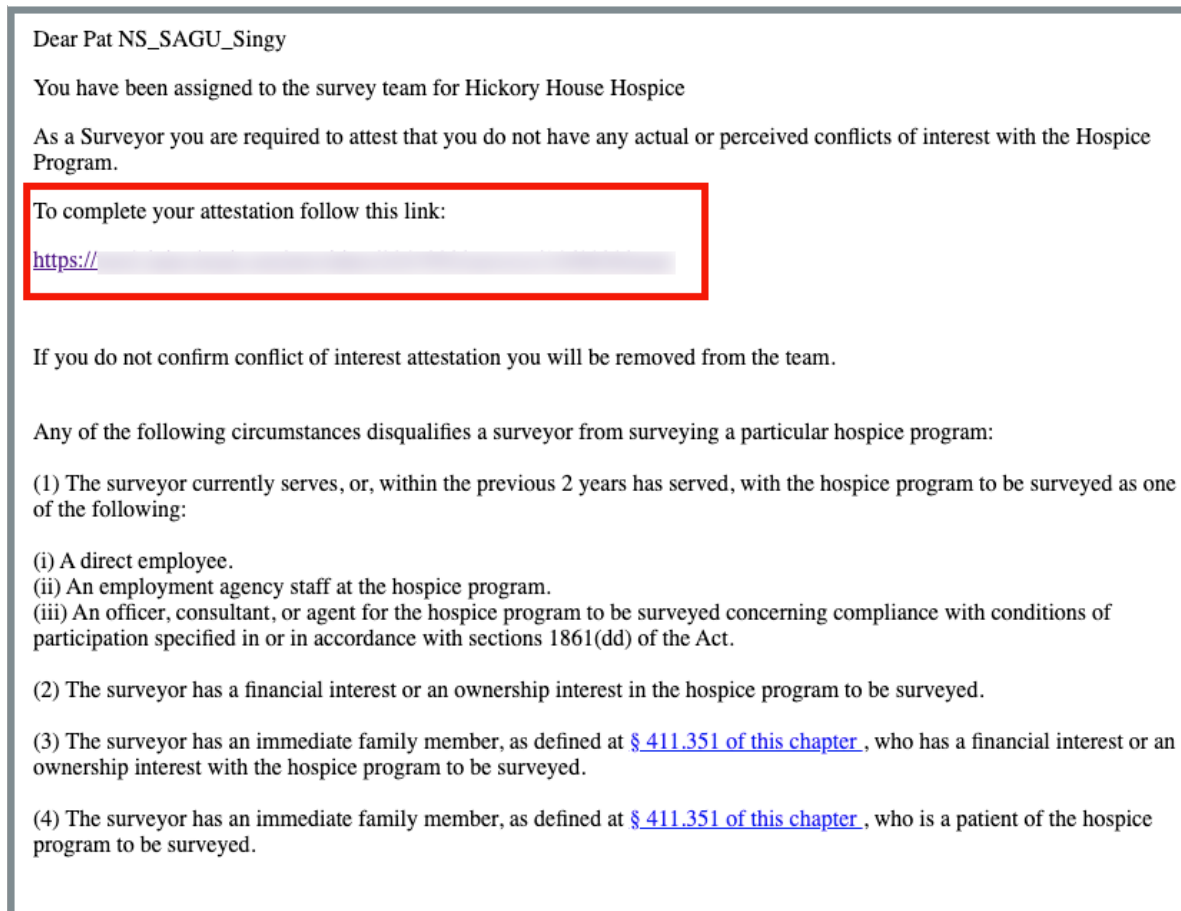


Figure 52: Sample Conflict of Interest Attestation Email

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 53: Conflict of Interest Acknowledgment

12.2 Verify the Conflict of Interest Attestation on the Teams page is Complete.
 See Figure 54, Complete Conflict of Interest Attestation.

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

Figure 54: 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. See *Figure 55, Citation Notification Example*. Read the notification and follow the directions, if necessary. Close the notification to continue.

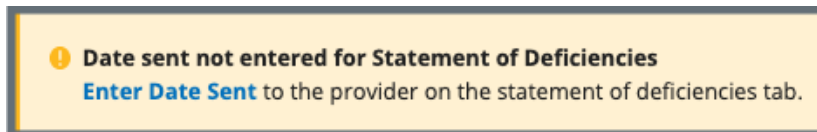


Figure 55: Citation Notification Example

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 56, Citations*.

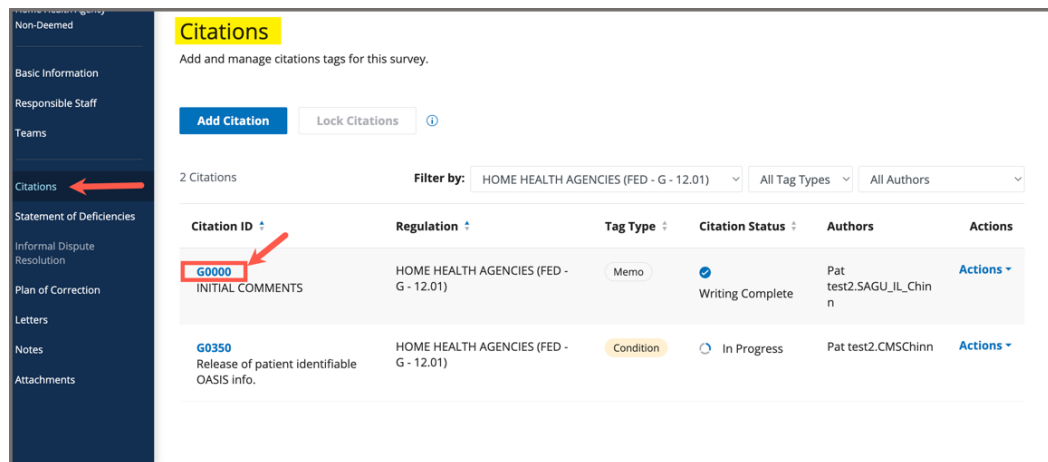


Figure 56: Citations

- 13.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 57, Citation Overview*.

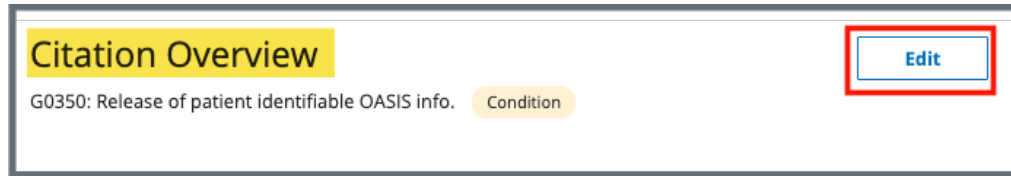


Figure 57: Citation Overview

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 58, Edit Citation Overview*.

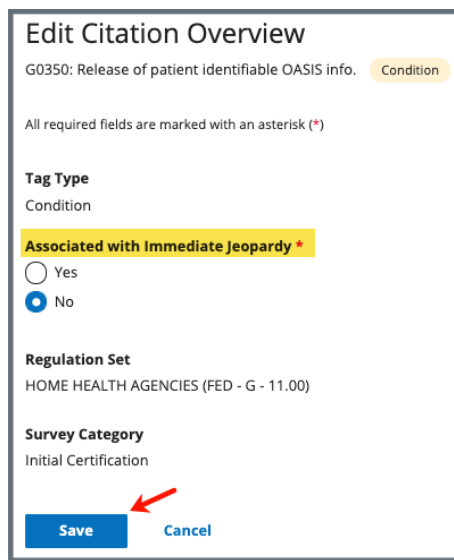


Figure 58: Edit Citation Overview

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 59, Manage Survey Categories*. The **Manage Survey Categories** window opens.

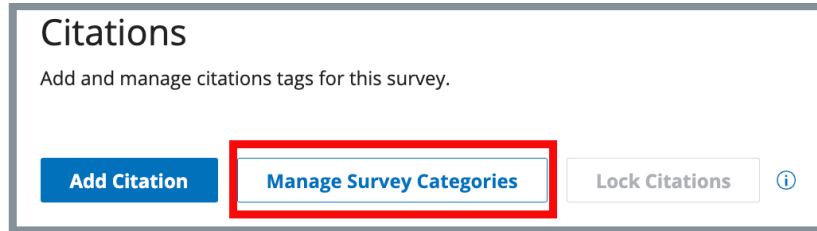


Figure 59: Manage Survey Categories

13.2.2 Check the box next the correct survey category. See *Figure 60, Manage Survey Categories Window*.

Note: More than one category can be checked.

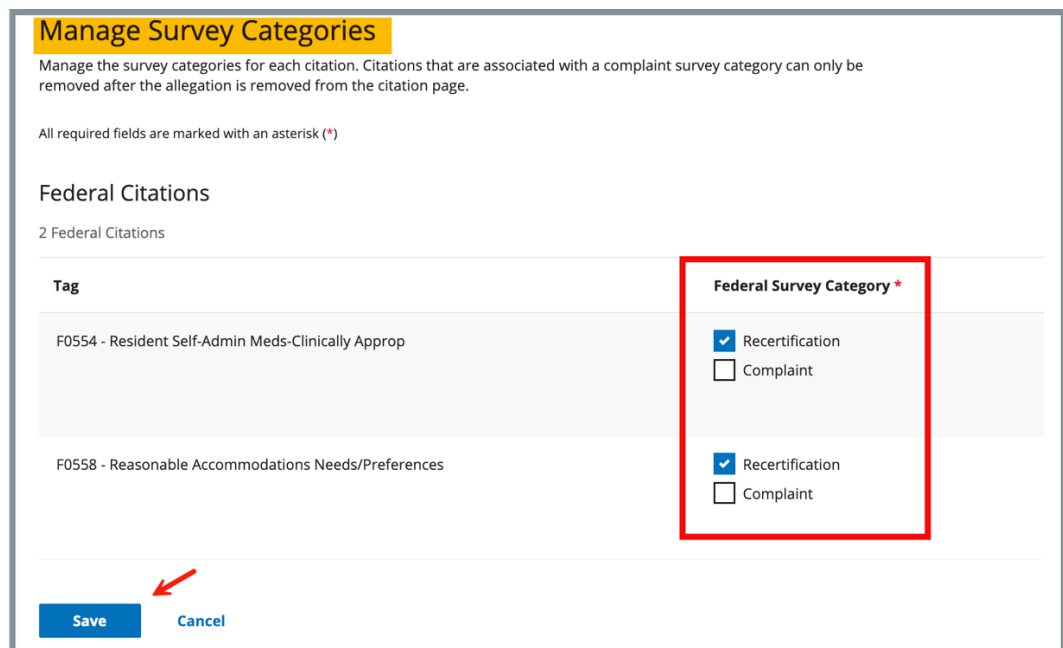


Figure 60: Manage Survey Categories Window

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. See *Figure 61, Citations Window*. The **Add Citations** window opens.



Figure 61: Citations Window

Notes:

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

13.3.2 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 62, Added Citations*.

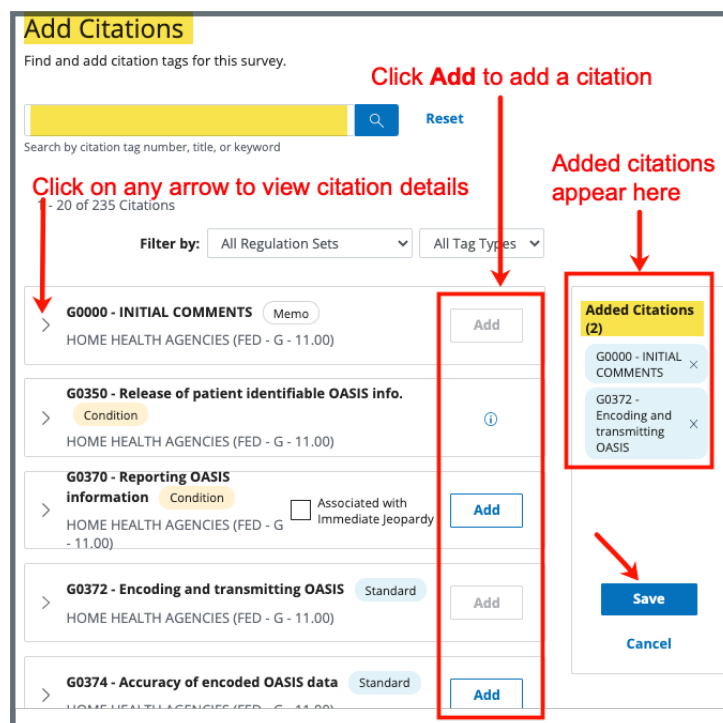


Figure 62: Added Citations

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

Notes:

- Citations are associated with a building for Life Safety Code Surveys.
- Review [Fire Safety Evaluation System \(FSES\) Citations](#) for details on FSES citations.

13.4.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. See *Figure 63, Citations Window*. The **Add Citations** window opens.

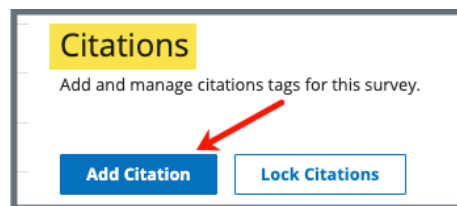


Figure 63: Citations Window

13.4.2 Click the radio circle next to the desired building. See *Figure 64, 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.

Add Citations

Step 1 of 2
Select a building or the Emergency Preparedness category for this new citation. New buildings can be added in the [Locations](#) section of Provider Details.

Select Building or Category *

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

> **Building 2 New Indicator**
B2 | Building | ● Active | No effective date

Save Building & Continue Cancel

Figure 64: Add LSC Citations Step 1

13.4.4 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 65, Add LSC Citations, Step 2*.

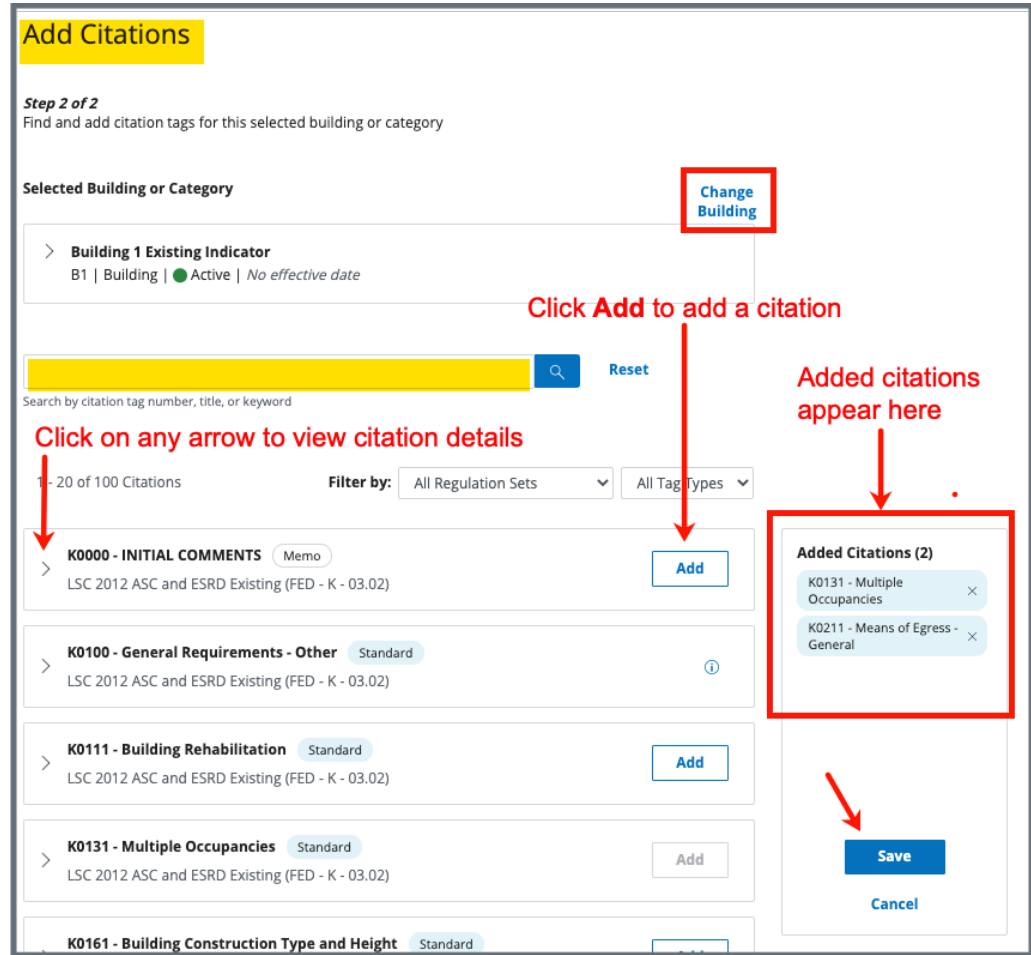


Figure 65: Add LSC Citations, Step 2

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 Fire Safety Evaluation System (FSES) Citations

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

13.5.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. See *Figure 66, Citations Window*. The **Add Citations** window opens.

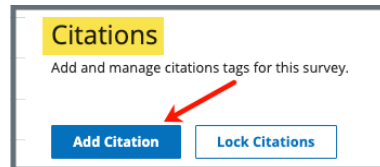


Figure 66: Citations Window

13.5.2 Select the Building or Category to add the citation. See *Figure 67, Select Building or Category*.

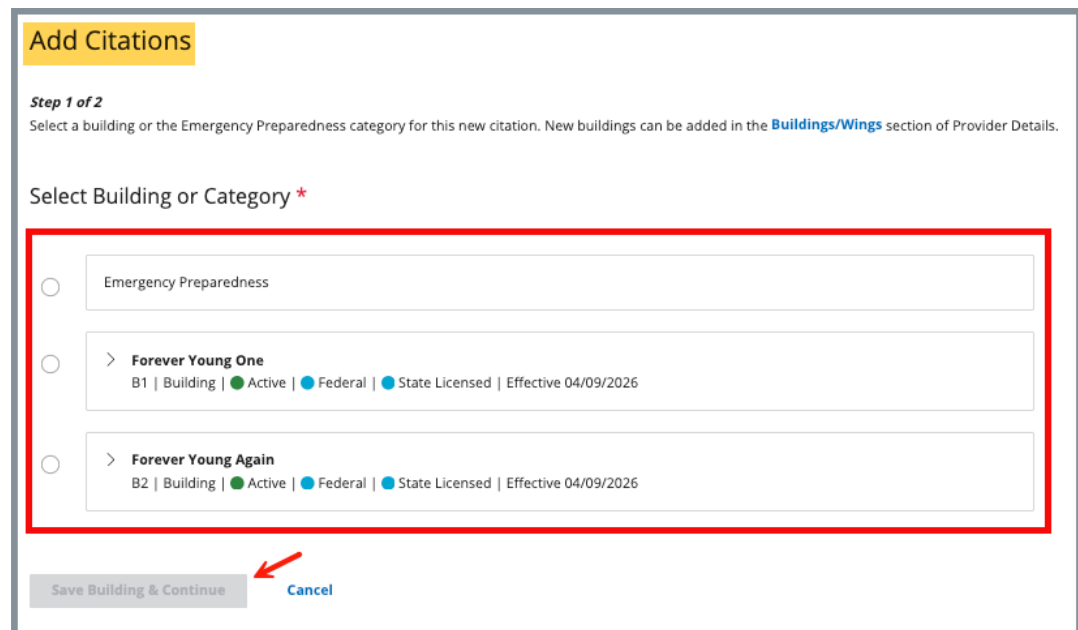


Figure 67: Select Building or Category

13.5.3 Click **Save Building & Continue**. The **Add Citations** page updates.

13.5.4 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 68, Added Citations*.

Note: An FSES badge appears next to the citation when FSES is available.

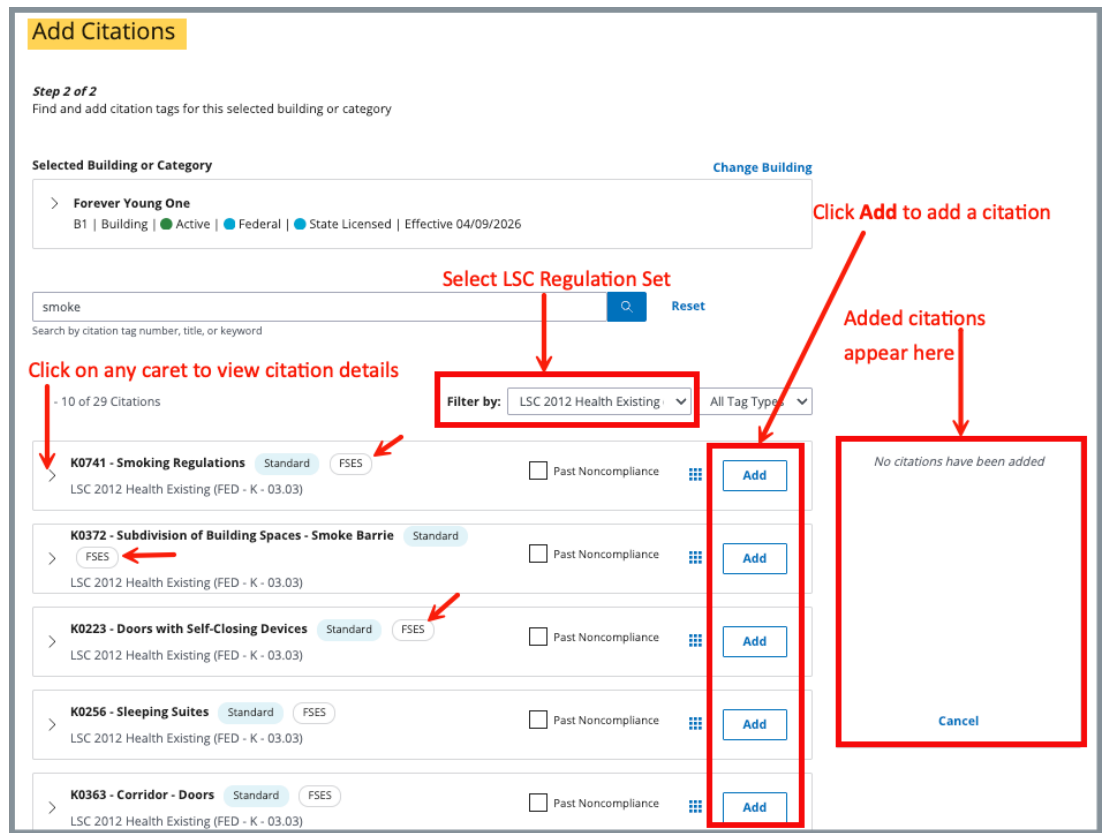


Figure 68: Added Citations

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 **LSC Regulation Set** (default for LSC surveys).
- Click any citation to view details about the citation.
- Click the **X** next to **Added Citations** to remove a citation before saving, if desired.

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

13.6 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.

- 13.6.1 Click **Delete Citation** under the **Actions** menu on the Citations page. See *Figure 69, Actions Delete Citation Drop-Down Menu*. A confirmation pop-up window appears.

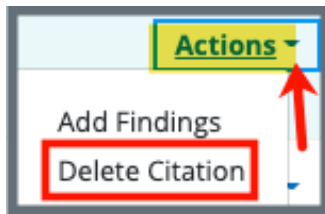


Figure 69: Actions Delete Citation Drop-Down Menu

- 13.6.2 Click **Confirm**. See *Figure 70, Delete Citation Confirmation Pop-up Window*. The citation has been deleted.

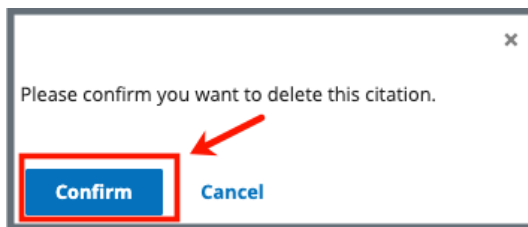


Figure 70: Delete Citation Confirmation Pop-up Window

13.7 Add a Deficient Practice Statement

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

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

13.7.2 Click **Deficient Practice Statement** on the left menu. See *Figure 71, Deficient Practice Statement*. The **Deficient Practice Statement** window opens.

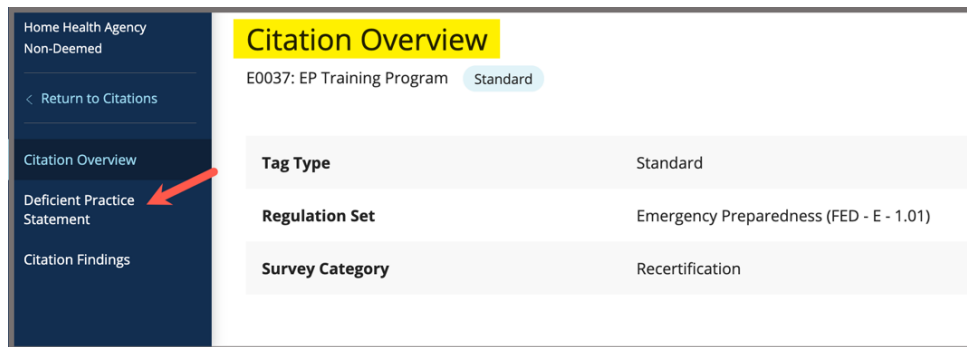


Figure 71: Deficient Practice Statement

13.7.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 72, Regulation Text and Interpretive Guidelines*.

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

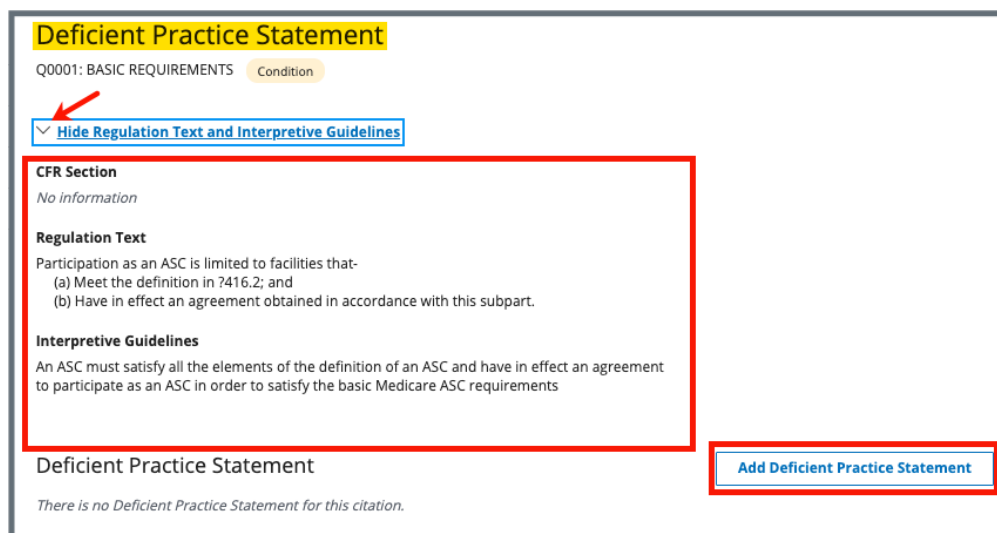


Figure 72: Regulation Text and Interpretive Guidelines

13.7.4 Click **Add Deficient Practice Statement**.

13.7.5 Type the Deficient Practice Statement in the text box. See *Figure 73, 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.

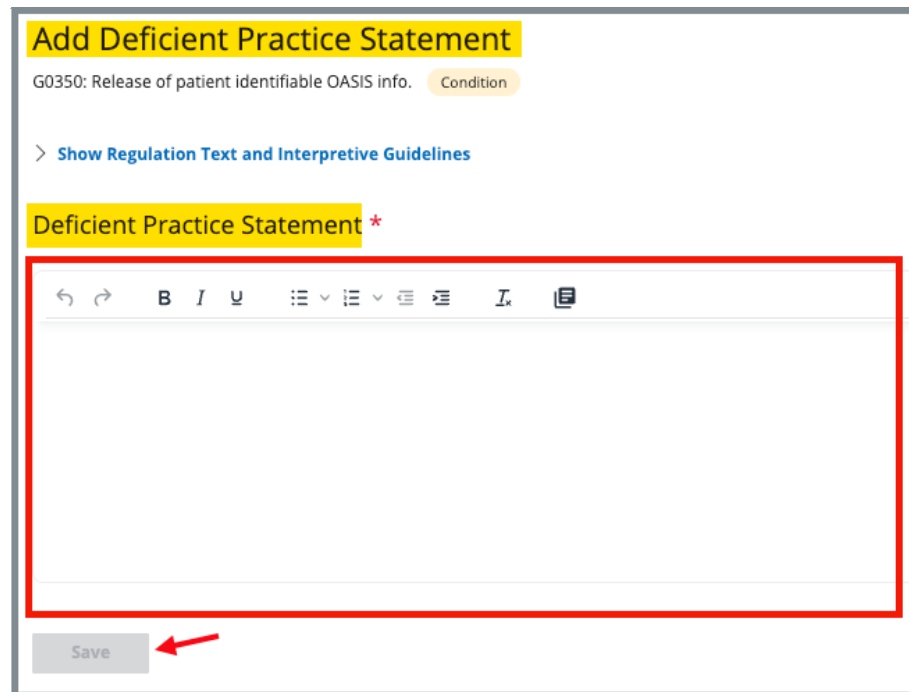


Figure 73: Deficient Practice Statement Text Box

Note: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 74, 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.

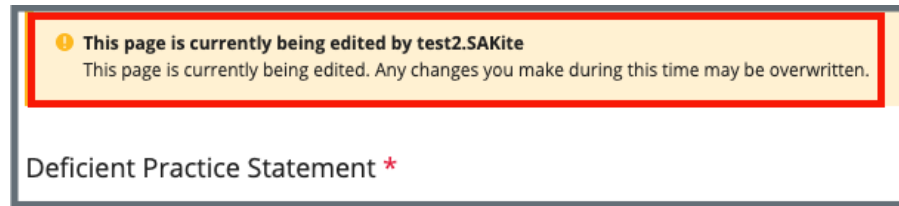


Figure 74: Concurrent Editor Notification

- 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 75, DPS Pencil Icon*.

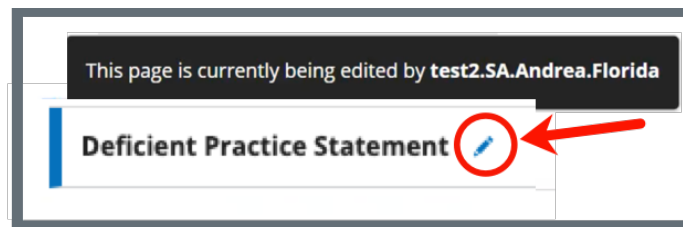


Figure 75: DPS Pencil Icon

13.7.6 Click **Save**.

13.8 Add Findings to a Citation

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

- 13.8.1 Click **Add Findings** in the **Actions** menu next to the correct citation on the **Citations** window. See *Figure 76, Citation Add Findings*. The Citation Findings window opens.

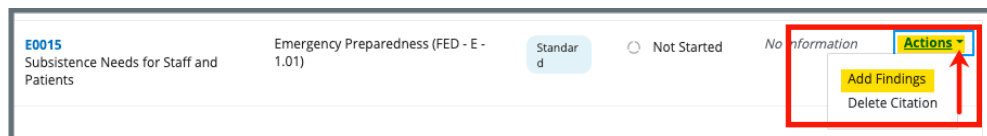


Figure 76: Citation Add Findings

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

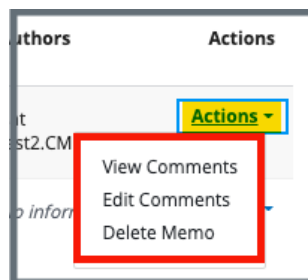


Figure 77: Actions Drop-Down Menu

13.8.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 78, Add Citation Findings*.

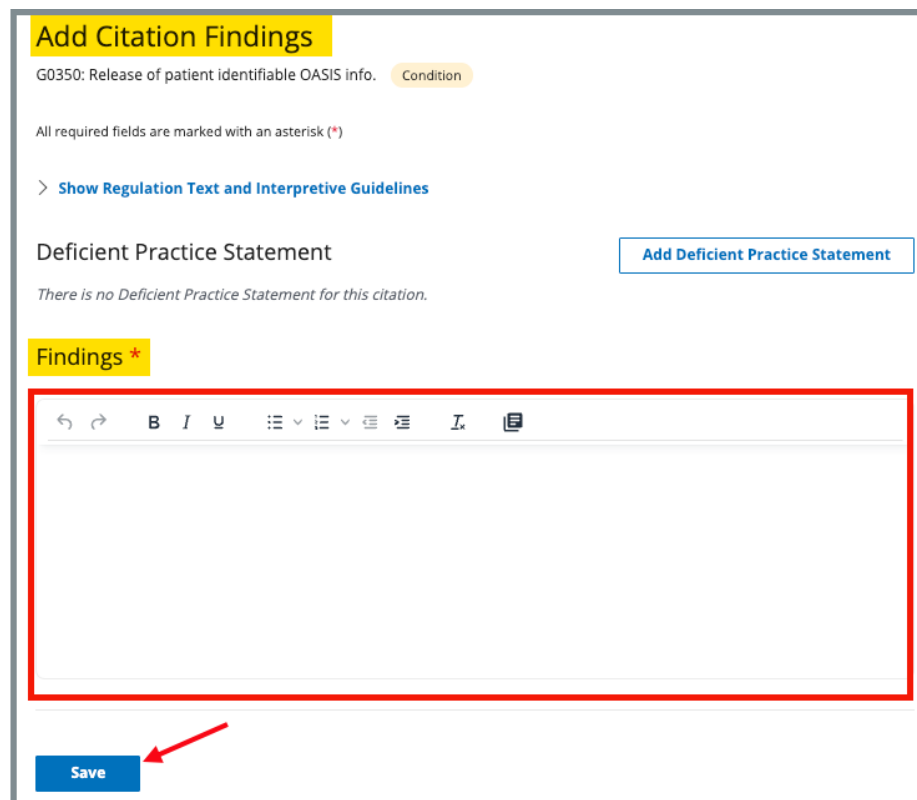


Figure 78: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 79, 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.

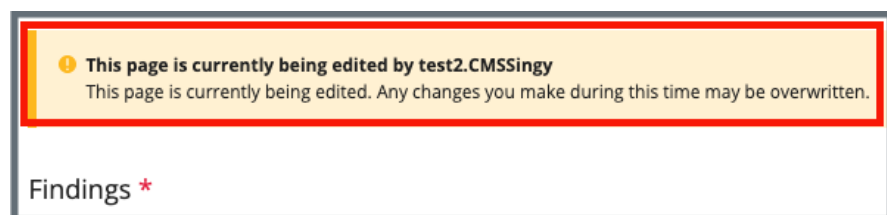


Figure 79: Concurrent Editor Notification

- 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 80, Findings Pencil Icon*.

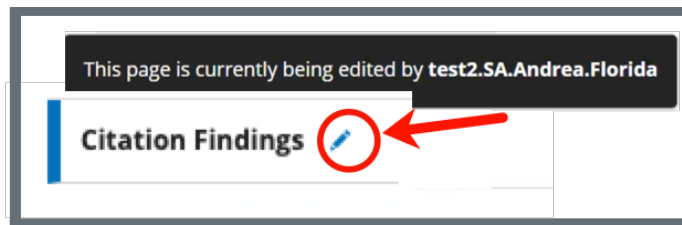


Figure 80: Findings Pencil Icon

13.8.3 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.

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

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

13.9 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 81, Content Library Icon*.

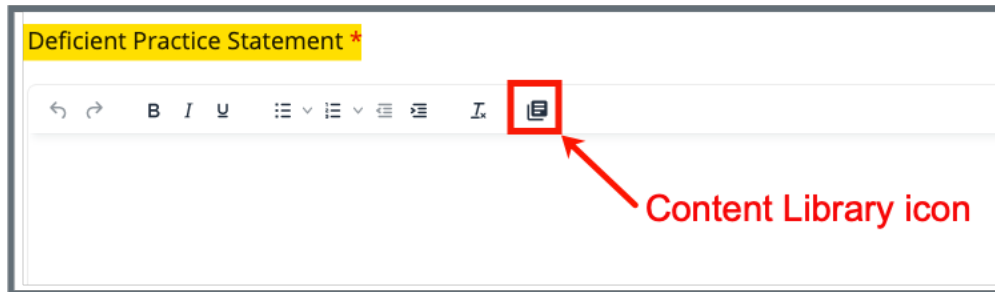


Figure 81: Content Library Icon

13.9.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 82, Content Library Pop-up Window* and *Table 6, Content Library Pop-up Window Detailed Callout*.

Notes:

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

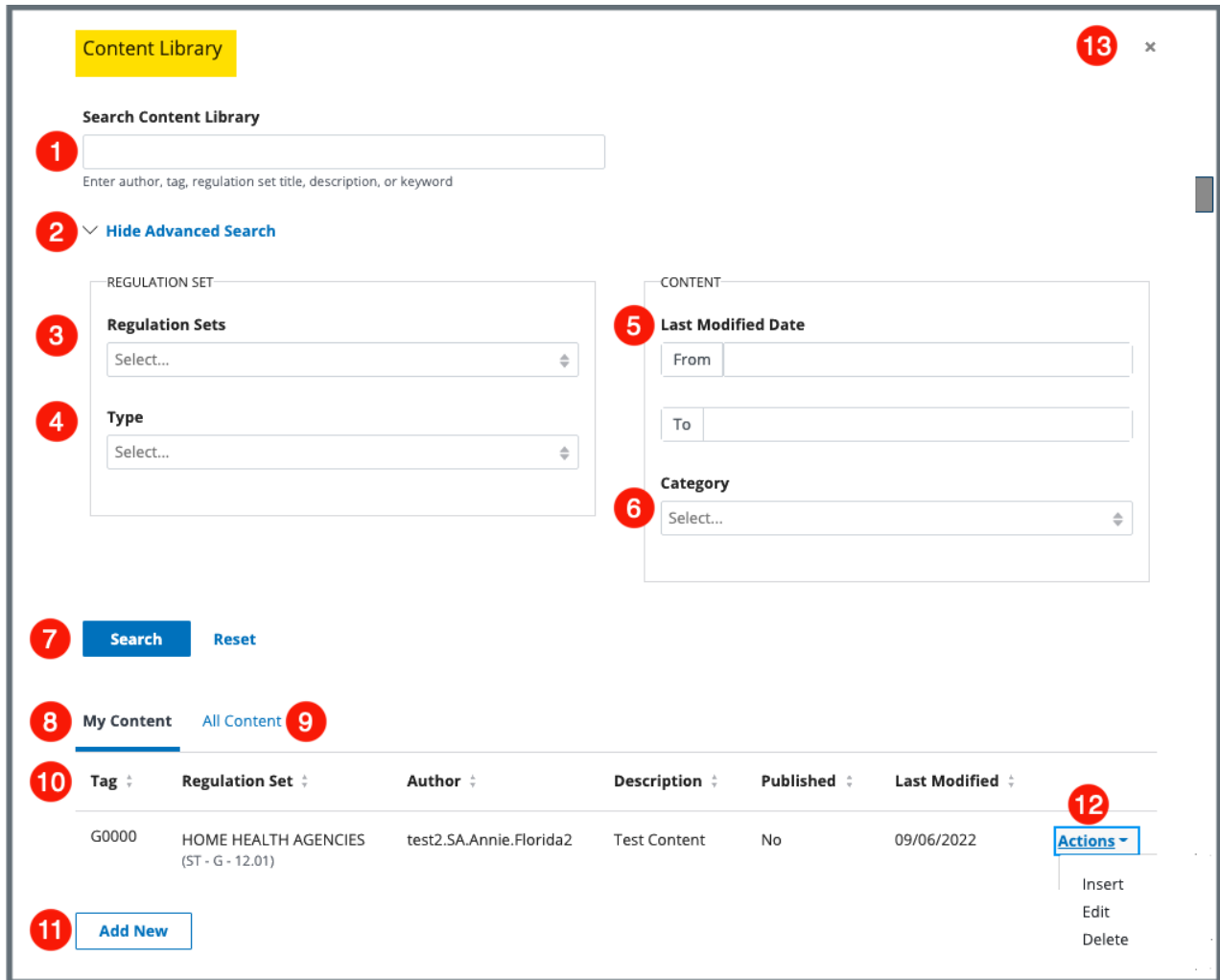


Figure 82: Content Library Pop-up Window

Table 6: Content Library Pop-up Window Detailed Callout

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.

13.9.2 Click **Add New** in the **Content Library** window to add a new piece of content. The **New Content** window opens. See *Figure 83, New Content Pop-up Window* and *Table 7, New Content Popup Detailed Callout*.

Figure 83: New Content Pop-up Window

Table 7: New Content Popup Detailed Callout

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 then appears 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.

13.9.3 Insert, Edit, or Delete Information from the Content Library.

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

- a. Open the Content Library.
- b. Click **Insert** under the **Actions** menu to insert existing content. See *Figure 84, Content Library: Insert, Edit, Delete*.
- c. Click **Edit** under the **Actions** menu to edit existing content.
- d. Click **Delete** under the **Actions** menu to delete existing content. A pop-up window opens and asks for confirmation to delete. Once deleted, the content is deleted from **My Content** and **All Content**.

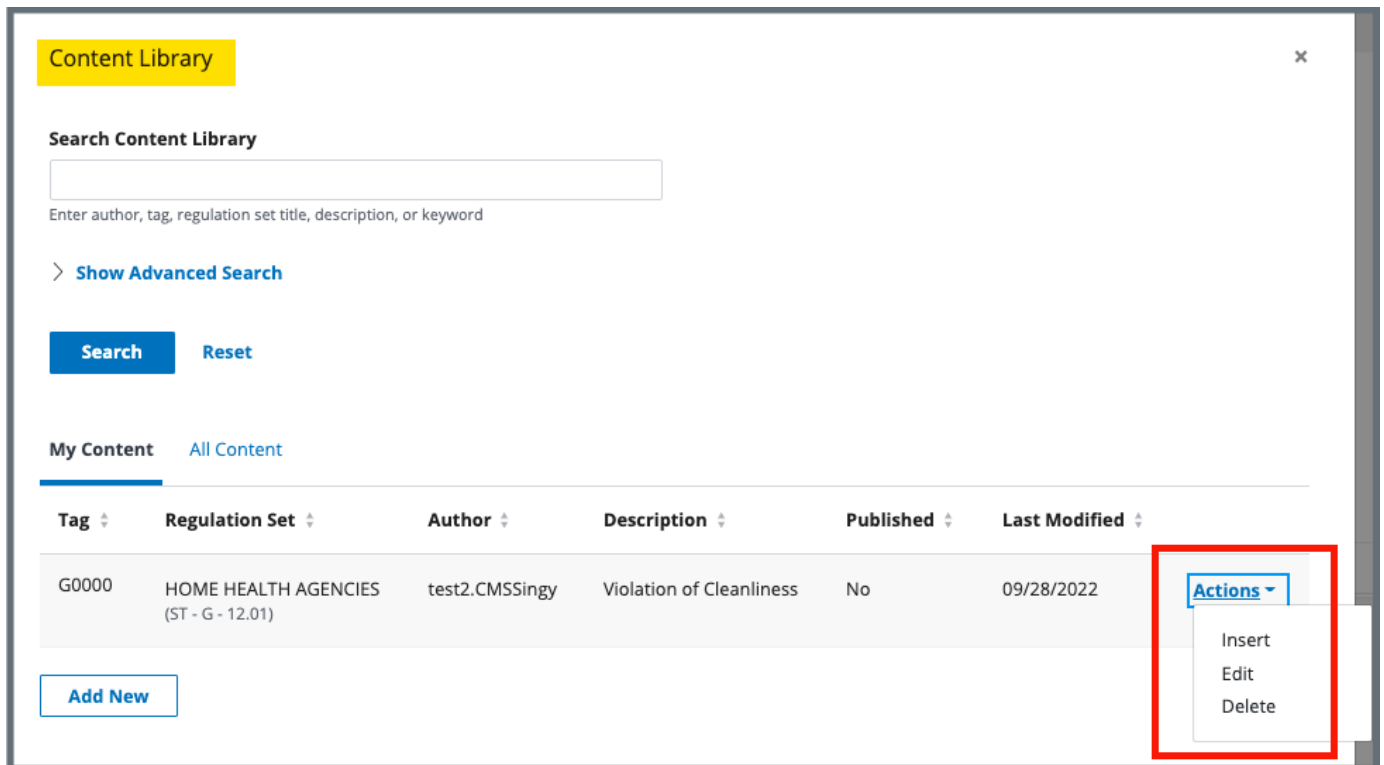


Figure 84: Content Library: Insert, Edit, Delete

13.9.4 Duplicate existing content

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

- a. Click the **All Content** tab and search for content.
- b. Select **View** from the **Actions** drop-down menu. See *Figure 85, View Drop-Down Menu*.

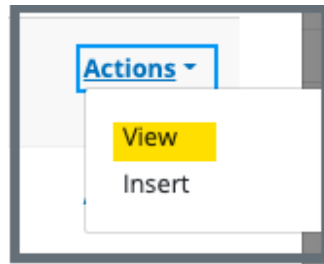


Figure 85: View Drop-Down Menu

- c. Click **Duplicate**. See *Figure 86, Duplicate*. The **Add New Content** window opens.

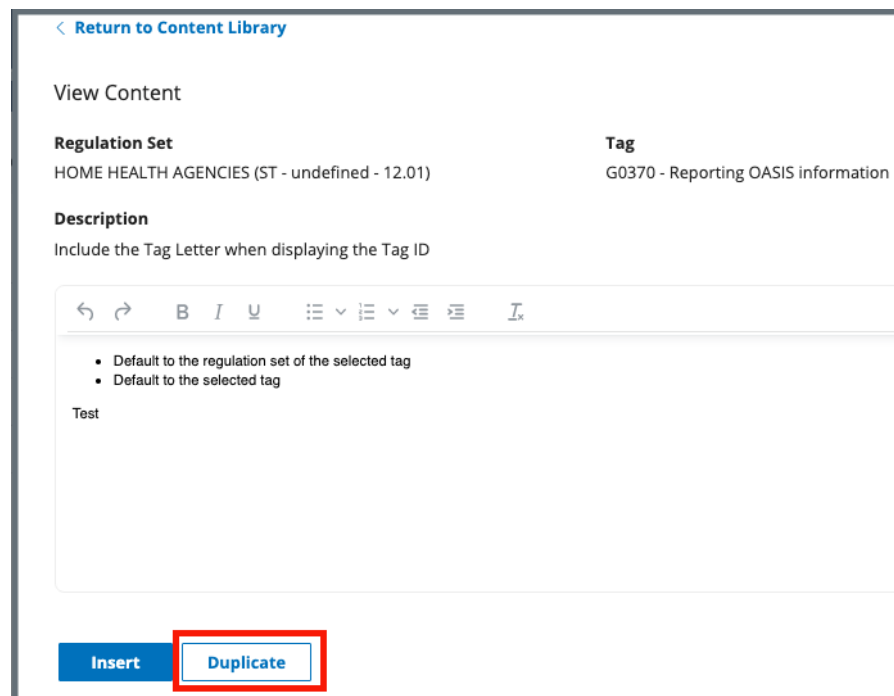


Figure 86: Duplicate

- d. Make any desired changes.

- e. Click **Save** to save the document to **My Content**. See *Figure 87, 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

↩ ↪ **B** *I* U

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

Tests

Edit content, if desired

Save **Save and Insert**

Figure 87: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See *Figure 88, Duplicated Content with COPY in Description*. To remove the word **COPY** from the description, select **Edit** from the **Actions** drop-down menu and delete the word from the description.

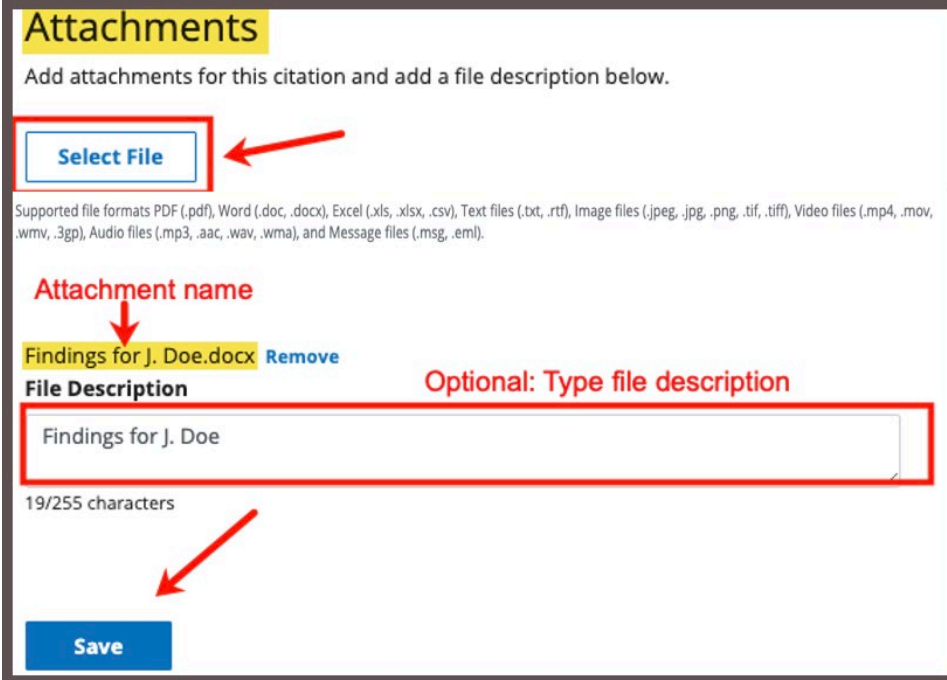
My Content		All Content				
Tag	Regulation Set	Author	Description	Published	Last Modified	
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include the Tag Letter when displaying the Tag ID	Yes	09/29/2022	Actions
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include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

Figure 88: Duplicated Content with COPY in Description

13.10 Add an Attachment

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

13.10.1 Click **Attachments** on the left menu on either the **Citation Overview** or **Citations** page. The **Attachments** window opens. See *Figure 89, Attachments*.



The screenshot shows the 'Attachments' window with the following elements:

- Attachments** (Section Header)
- Instruction: Add attachments for this citation and add a file description below.
- Select File** button (highlighted with a red box and arrow)
- 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).
- Attachment name** (Section Header)
- Attachment name: Findings for J. Doe.docx (highlighted with a yellow box) **Remove** (button)
- File Description** (Section Header)
- Optional: Type file description (Text)
- File Description input field: Findings for J. Doe (highlighted with a red box)
- Character count: 19/255 characters
- Save** button (highlighted with a red box and arrow)

Figure 89: Attachments

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

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

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

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

13.11 Conditions to Lock a Citation

The following conditions must be met to lock a citation:

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

13.12 Lock/Unlock a Citation

13.12.1 Click **Lock Citations** on the Citations page. See *Figure 90, Citations Ready to be Locked*. The **Survey Extents** popup opens.

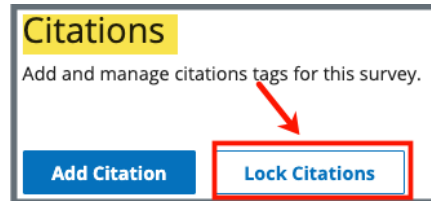


Figure 90: Citations Ready to be Locked

13.12.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 91, Survey Extents Popup*.

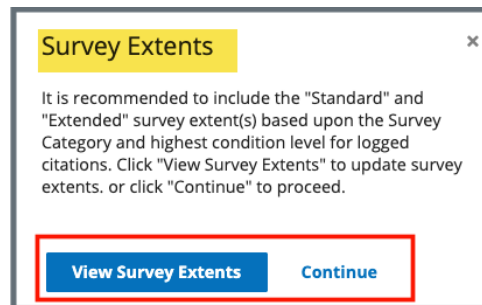


Figure 91: Survey Extents Popup

13.12.3 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 92, Lock Citations*.

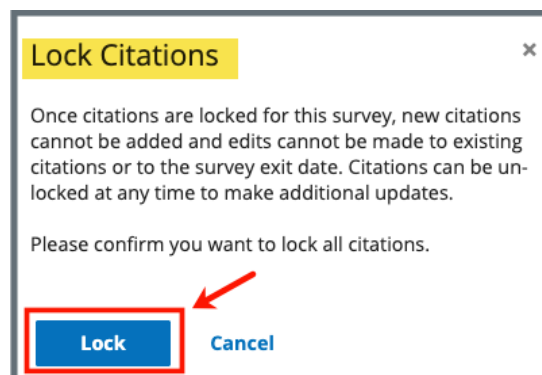


Figure 92: Lock Citations

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

13.12.5 Click **Unlock Citations** on the **Citations** window to unlock citations. See *Figure 93, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

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



Figure 93: Unlock Citations Pop-Up Window

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

13.13 Merge Citation Findings

Note: Only the Team Coordinator can merge citations.

13.13.1 Go to **Citations**. Verify that the **Citation Status** is **Ready for Merge**. See *Figure 94, Ready for Merge*.

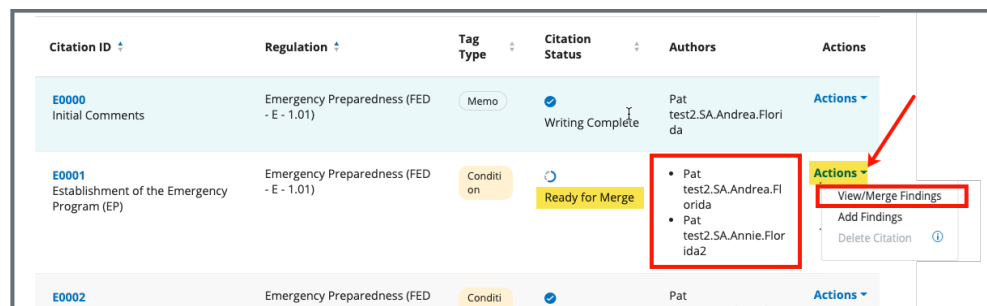


Figure 94: Ready for Merge

13.13.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 95, Findings*.

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

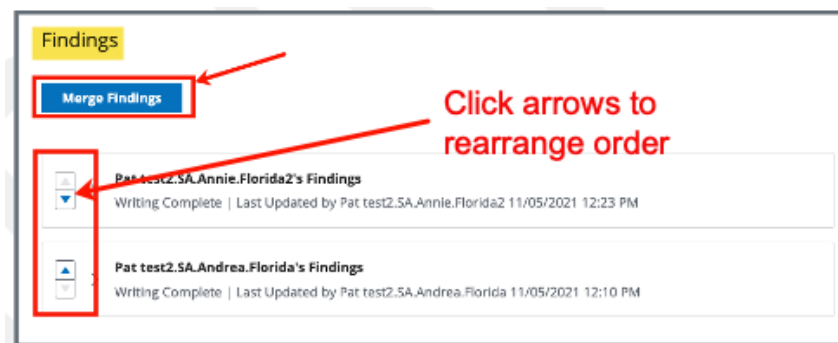


Figure 95: Findings

13.13.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 96, Merge*.

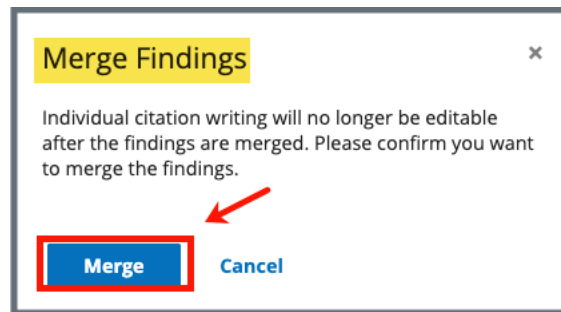


Figure 96: Merge

13.13.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 97, Ready for Merge*.

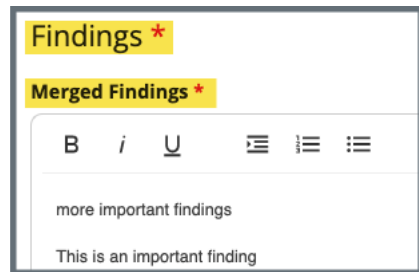


Figure 97: Ready for Merge

13.13.5 Update or edit findings, if desired. See *Figure 98, Findings*.

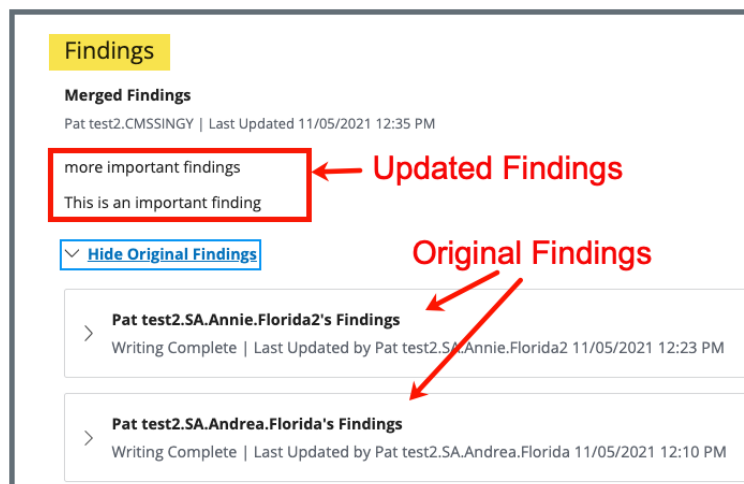


Figure 98: Findings

- 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**.

13.13.6 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.

13.14 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.

- 13.14.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 99, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

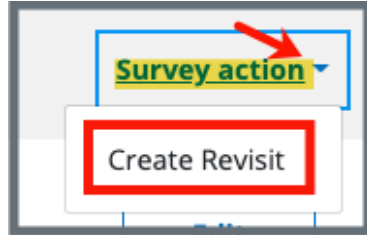


Figure 99: Create Revisit Drop-Down Menu

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.

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

13.15 Create a Revisit Survey for Specific Citations

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

Notes:

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

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

13.15.2 Each citation has a **Needs Revisit** column. See *Figure 100, Needs Revisit Column*.

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

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 100: Needs Revisit Column

13.15.3 Click **Edit All Actions**. The fields are now editable. See *Figure 101, Needs Revisit Editable Fields*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Citation ID	Immediate Jeopardy	Complete Date (X5)	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 101: Needs Revisit Editable Fields

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

13.15.5 Click **Save**.

13.16 View Older Revisit Surveys

13.16.1 Go to the latest revisit survey and click **Plan of Correction** on the left menu. Scroll down to **Corrective Actions**. See *Figure 102, 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 102: Revisits Corrective Actions

13.16.2 Click **Edit All Actions**.

13.16.3 Add the **Corrected Date** to any citations that have been corrected.
See *Figure 103, Citation Corrected Dates*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Citation ID	Immediate Jeopardy	Complete Date (X5)	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text" value="03/03/2022"/>	Accepted	<input checked="" type="checkbox"/> ⓘ
G0374 Accuracy of encoded OASIS data	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0104 HHA Operational	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text" value="03/03/2022"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0105 Unlicensed Activity	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ

Figure 103: Citation Corrected Dates

13.16.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 104, Revisits Linked in Corrective Actions*.

13.16.5 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	Immediate Jeopardy	Complete Date	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	03/01/2022	03/03/2022 ⓘ Survey 105A94-H2	Corrected	Yes
G0374 Accuracy of encoded OASIS data	No	03/01/2022	No information ⓘ	Accepted	Yes
H0104 HHA Operational	No	03/01/2022	03/03/2022 ⓘ Survey 105A94-H2	Corrected	Yes
H0105 Unlicensed Activity	No	03/01/2022	No information ⓘ	Accepted	Yes

Figure 104: 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 105, FMS Details*.

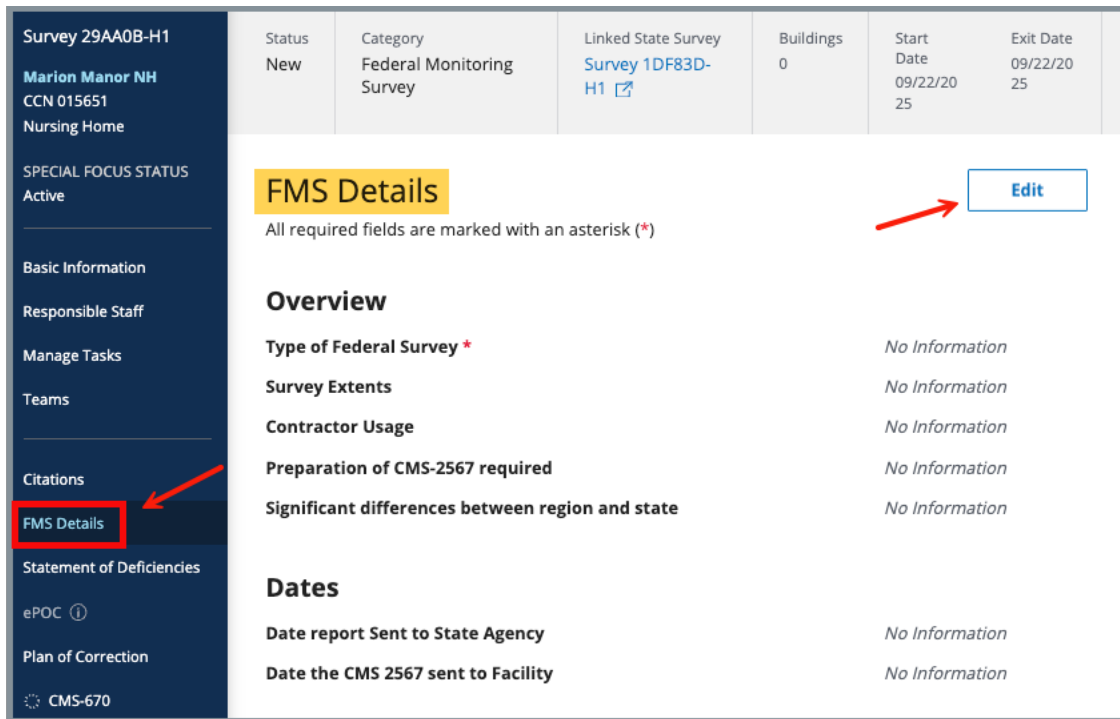


Figure 105: FMS Details

14.2 Click **Edit** to edit **FMS details**. See *Figure 106, 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 106: 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. Review 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 107, Add IJ to a Citation*.

The screenshot shows the 'Add Citations' interface. 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 filter dropdowns: 'Filter by: All Regulation Sets' and 'All Tag Types'. The main content area displays a list of citations. The first citation is 'G0000 - INITIAL COMMENTS' with a 'Memo' tag and an 'Add' button. The second citation is 'G0350 - Release of patient identifiable OASIS info.' with a 'Condition' tag, a checkbox labeled 'Associated with Immediate Jeopardy' (highlighted with a red box), and an 'Add' button. The third citation is 'G0370 - Reporting OASIS information' with a 'Condition' tag, a checkbox labeled 'Associated with Immediate Jeopardy', and an 'Add' button. The page indicates '1 - 20 of 239 Citations'.

Figure 107: 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 108, 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**.

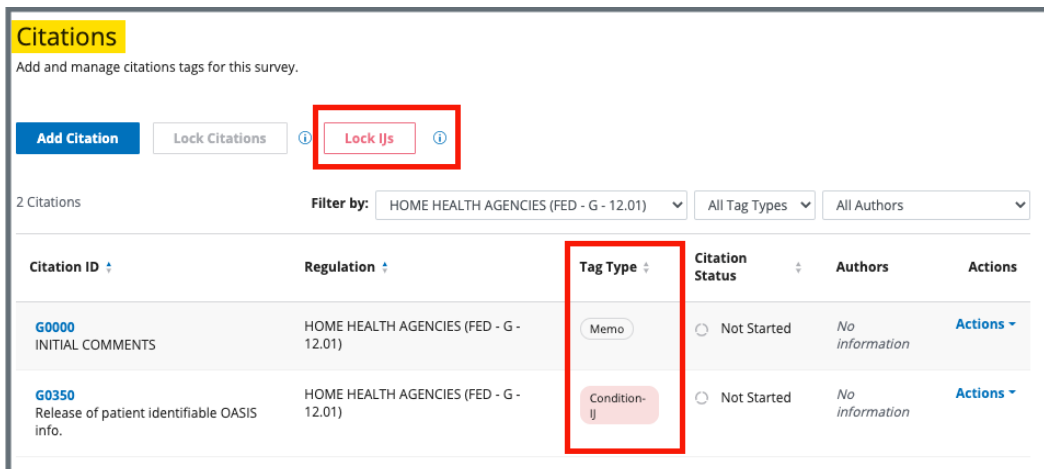


Figure 108: Lock IJs

15.4 Click **Lock as IJ**. See *Figure 109, Lock IJ Citations Popup Window*. The **Citations** page opens and a Statement of Deficiencies can now be generated with **Date Sent**.

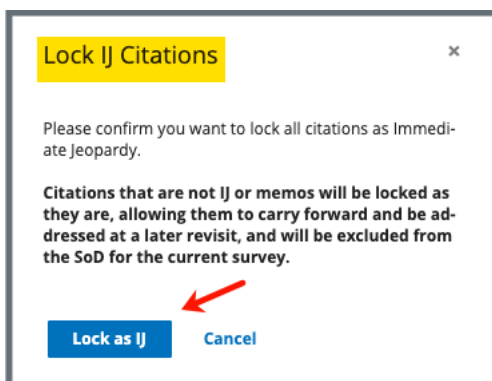
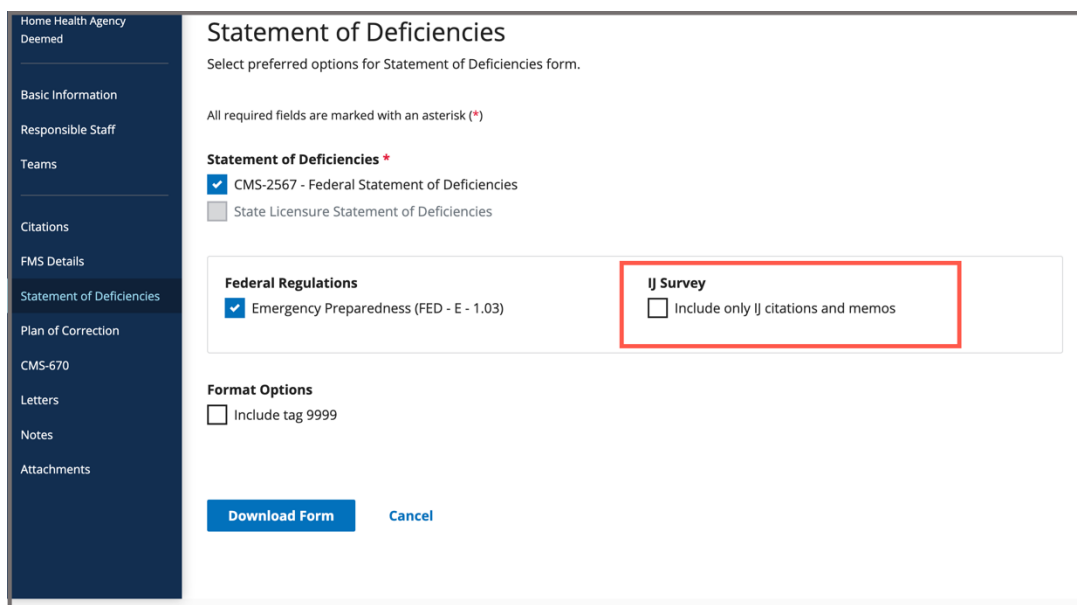


Figure 109: Lock IJ Citations Popup Window

- 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 110, IJ Citation Check Box*. Only the IJ citation is included on the SOD.

Notes:

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



The screenshot displays the 'Statement of Deficiencies' form. On the left is a dark blue navigation menu with options: Home Health Agency Deemed, Basic Information, Responsible Staff, Teams, Citations, FMS Details, Statement of Deficiencies (highlighted), Plan of Correction, CMS-670, Letters, Notes, and Attachments. The main content area is titled 'Statement of Deficiencies' and includes the instruction 'Select preferred options for Statement of Deficiencies form.' Below this, it states 'All required fields are marked with an asterisk (*)'. The 'Statement of Deficiencies *' section has two radio buttons: 'CMS-2567 - Federal Statement of Deficiencies' (checked) and 'State Licensure Statement of Deficiencies' (unchecked). The 'Federal Regulations' section has one checked option: 'Emergency Preparedness (FED - E - 1.03)'. The 'IJ Survey' section, highlighted with a red box, contains an unchecked checkbox for 'Include only IJ citations and memos'. The 'Format Options' section has an unchecked checkbox for 'Include tag 9999'. At the bottom are 'Download Form' and 'Cancel' buttons.

Figure 110: 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 111, Statement of Deficiencies*.

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

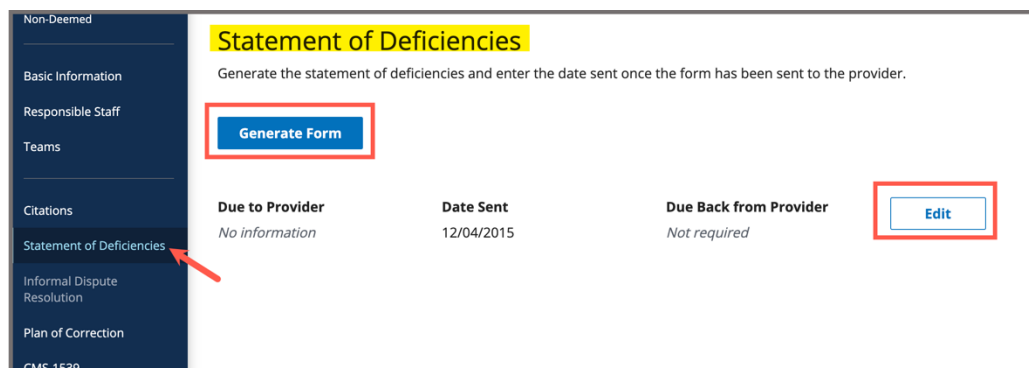


Figure 111: Statement of Deficiencies

16.1.2 Click **Generate Form**. Preferred options are shown. See *Figure 112, Statement of Deficiencies: Preferred Options*.

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

Figure 112: 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 113, Statement of Deficiencies*.

Figure 113: Statement of Deficiencies

16.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 114, 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 114: 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)
			(X5) COMPLETION DATE
G0000	INITIAL COMMENTS	G0000	
G0370	Reporting OASIS information CFR(s): 484.45 Condition of participation: HHAs must electronically report all OASIS data collected in accordance with §484.55. This CONDITION is NOT MET as evidenced by: This is for MichelleThis is for AndreaMichelle didn't start this citation, but she can edit the Deficient Practice Statement including deleting what Andrea wrote here. (I deleted, "Wow. I can edit!") First findings recorded here by Michelle Second findings recorded here by Michelle after modifying the Deficient Practice Statement above. I cannot edit Andrea's findings below. We'll add more findings here. More findings here. This is Michelle, a member of the QA Team, writing Findings on behalf of Andrea, The Team Coordinator, who is the only person on the Survey Team list. I deleted the findings.	G0370	
<p>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.</p>			
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 115: 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 116, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.

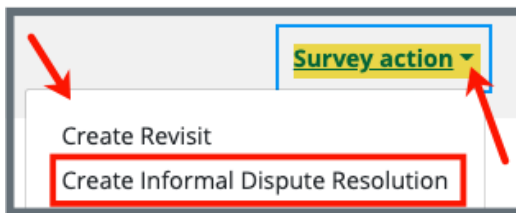


Figure 116: Create Informal Dispute Resolution Drop-Down Menu

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 117, Plan of Correction*.

Figure 117: Plan of Correction

18.1.2 Fill out the information.

Notes:

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

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

18.2 Waivers (Tag Level)

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 **Edit All Actions** on the **Plan of Correction** page under **Corrective Actions** to update waiver details. See *Figure 118, Edit All Actions*. The editable waivers open.

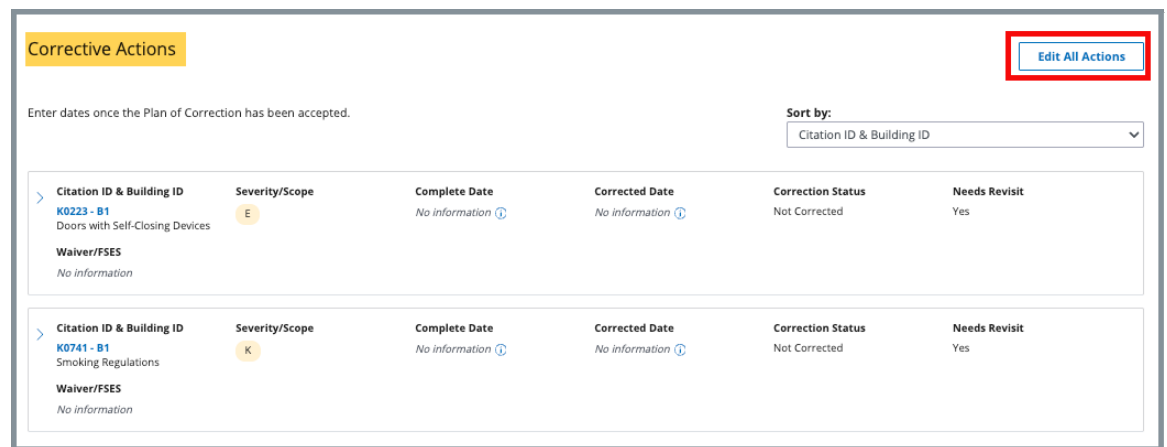


Figure 118: Edit All Actions

18.2.2 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 119, Citation ID & Building ID*.

Note: The waiver option is disabled when a citation is IJ or when the regulation letter is set to E. A citation is automatically designated as IJ when J, K, or L is selected.

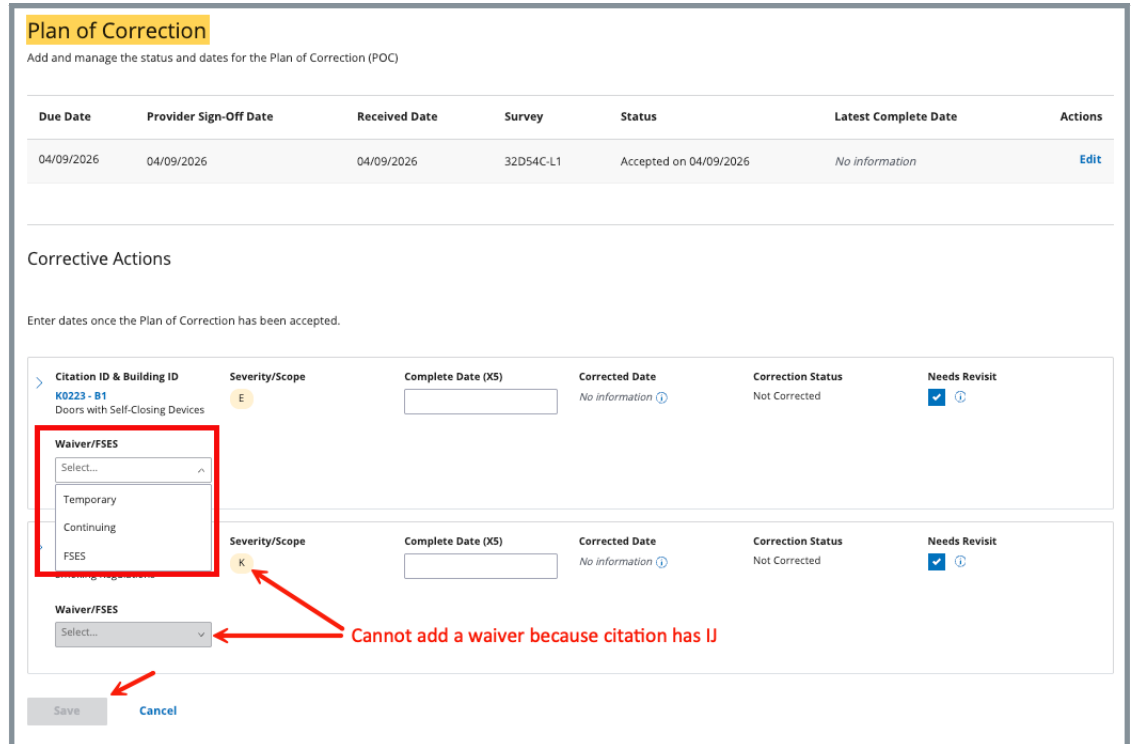


Figure 119: Citation ID & Building ID

18.2.3 Click the drop-down menu under **Waiver (Waiver/FSES** for waivers with an **FSES** tag) to change the waiver status.

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

18.2.4 Select **Temporary**, **Continuing**, or **FSES** (only when FSES is present). Each status opens additional fields below. See *Figure 120, Temporary Status*.

Notes:

- **FSES** and **Temporary** statuses can be combined.
- There are two tabs to select when **FSES** and **Temporary** statuses are combined.

The screenshot shows a web form for entering survey data. At the top, there are several tabs: 'Citation ID & Building ID', 'Severity/Scope', 'Complete Date (KS) *', 'Corrected Date', 'Correction Status', and 'Needs Revisit'. The 'Complete Date (KS) *' tab is highlighted with a red box. Below these tabs, there is a 'Waiver/FSES' dropdown menu with 'Temporary' selected. Underneath, there are several input fields: 'Type' (Federal), 'Request Date *', 'Sent to CMS Date', 'Last Day In Effect', 'Decision' (Select one), and 'Decision Date'. A 'Building Waiver Detail' section at the bottom contains a rich text editor with various formatting options.

Figure 120: Temporary Status

18.2.5 Fill out information.

Note: Fields may vary or be disabled depending on the status chosen.

18.2.6 Click **Save**.

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

19. CMS-670

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

Notes:

- Only surveyors can enter CMS-670 information.
- QA team members can act on behalf of surveyors and have the same privileges as a team member does.
- CMS-670 can only be accessed from the survey record.

19.1 Add CMS-670 Time

19.1.1 Go to the survey record.

19.1.2 Click **CMS-670** on the left menu of the survey record to go to Time Entries. See *Figure 121, CMS-670*.

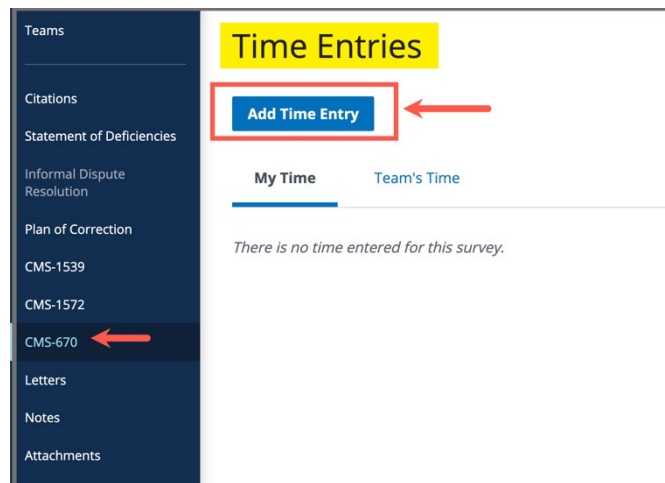


Figure 121: CMS-670

19.1.3 Click **Add Time Entry** to add time. The **Add Time Entry** window opens. See *Figure 122, Add Time Entry*.

Add Time Entry

All required fields are marked with an asterisk (*)

Survey Category *

Arrival Date *

MM/DD/YYYY

Departure Date *

MM/DD/YYYY

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

Task	Time
SA Supervisory Review	<input style="width: 80%;" type="text" value="0.25"/>
SA Clerical/Data Entry	<input style="width: 80%;" type="text" value="1.5"/>

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

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

Figure 122: Add Time Entry

19.1.4 Fill out the information.

Notes:

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

19.1.5 Click **Save Entry**. Detailed combined time information is shown.

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

19.1.6 Click **Edit** to edit information, if desired.

19.2 Edit or Delete CMS-670 Time

Notes:

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

19.2.1 Go to the survey record.

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

19.2.3 Select the **Team's Time** tab to edit or delete time. See *Figure 123, Team's Time*.

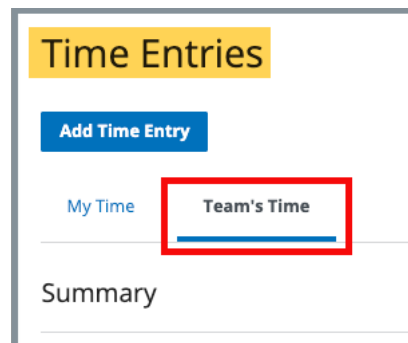


Figure 123: Team's Time

19.2.4 Click **Edit** next to the surveyor whose time needs to be edited or deleted. See *Figure 124, Edit or Delete Surveyor’s Time*. The **Edit Time Entry** page opens.

Pat NH_SAGU_Surveyor_Singy [Edit](#)

Initial Certification
04/08/2026 - 04/08/2026 Last Updated by Pat NH_SAGU_Surveyor_Singy 04/14/2026 8:55 AM

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

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

Figure 124: Edit or Delete Surveyor’s Time

19.2.5 Update **Arrival/Departure Date** or **Time**. See *Figure 125, Edit Time Entry*.

Edit Time Entry

All required fields are marked with an asterisk (*)

Team Member
Select one

Survey Category
Initial Certification

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

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

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

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

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

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

Figure 125: Edit Time Entry

19.2.6 Click **Save Entry**.

Notes:

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

20. Letters, Notes, Attachments

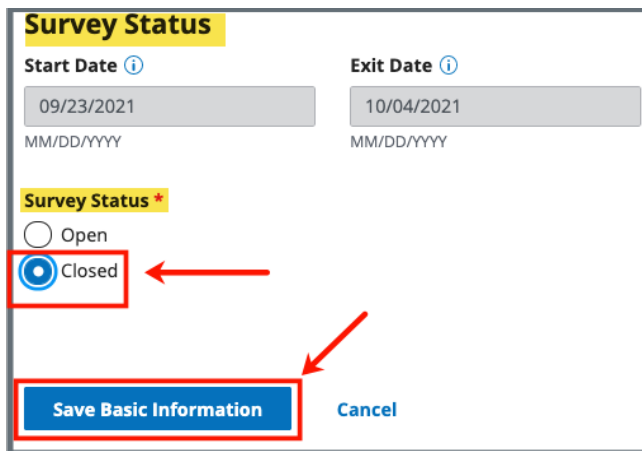
Note: **Letters, Notes, and Attachments** information can be found in the S&C User Manual: **Letters, Notes, and Attachments** on [QTSO](#).

21. Survey Closed Status

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

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

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



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 the dates is a section for "Survey Status" with two radio buttons: "Open" and "Closed". The "Closed" radio button is selected and highlighted with a red box and a red arrow. At the bottom of the form, there is a blue "Save Basic Information" button and a "Cancel" button. The "Save Basic Information" button is also highlighted with a red box and a red arrow.

Figure 126: Survey Status

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

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

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