



**Centers for Medicare & Medicaid Services**

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

---

## **Survey and Certification (S&C) Manage an Enforcement User Manual**

**Version 2.3**

**February 20, 2026**

# Table of Contents

<b>1. Introduction</b>	1
1.1 Getting Started in S&C – Important Information to Know	1
1.2 iQIES Service Center	4
1.3 Roles and Permissions	5
1.4 My Tasks Landing Page	6
<b>2. Manage an Enforcement Overview</b>	10
<b>3. Search for an Enforcement</b>	10
<b>4. Add an Enforcement</b>	20
<b>5. Responsible Staff</b>	23
5.1 Add Responsible Staff	23
5.2 Add and Remove Tasks for Responsible Staff	25
5.3 Delete Responsible Staff	28
<b>6. Manage Tasks</b>	29
<b>7. Nurse Aide Training Ban</b>	30
7.1 Add Nurse Aide Training Ban	30
7.2 View Nurse Aide Ban Notes	33
7.3 Edit a Training Ban	33
<b>8. Sanctions</b>	34
8.1 Add or View a Sanction	34
8.2 Edit a Sanction	36
8.3 Delete a Sanction	37
<b>9. Remedies</b>	38
9.1 Add or View a Remedy	38
9.2 Edit a Remedy	40
9.3 Delete a Remedy	41
<b>10. Civil Money Penalty</b>	42
<b>11. Appeal</b>	43
11.1 Add an Appeal	43
11.2 Edit an Appeal	45
11.3 Add Legal Action	45
<b>12. Letters, Notes, Attachments</b>	47

## List of Figures

Figure 1: Expandable Field _____	1
Figure 2: Notification Banner _____	2
Figure 3: Tool Tip Icon _____	3
Figure 4: Help Icon _____	5
Figure 5: My Tasks Landing Page _____	6
Figure 6: iQIES Logo _____	8
Figure 7: No Active Tasks _____	8
Figure 8: Task Status Details _____	8
Figure 9: My Tasks Comments _____	9
Figure 10: Enforcement ID _____	10
Figure 11: Enforcements Search _____	10
Figure 12: Survey Search Results _____	11
Figure 13: Enforcements Advanced Search _____	12
Figure 14: Enforcements Basic Information _____	13
Figure 15: Surveys Tab _____	15
Figure 16: All Citations Tab _____	17
Figure 17: Immediate Jeopardy Tab _____	18
Figure 18: Intakes Tab _____	19
Figure 19: Add Enforcement _____	20
Figure 20: Add Basic Information for a New Enforcement _____	21
Figure 21: Enforcements Responsible Staff _____	23
Figure 22: Survey Team Member Successfully Added _____	23
Figure 23: Edit Tasks _____	25
Figure 24: Edit Tasks Pop-Up Window _____	26
Figure 25: Tasks Successfully Updated Green Notification Banner _____	27
Figure 26: Assigned Tasks _____	27

Figure 27: Delete a Responsible Staff _____	28
Figure 28: Manage Tasks _____	29
Figure 29: Nurse Aide Training Ban _____	30
Figure 30: Nurse Aide Training Ban Form _____	31
Figure 31: Nurse Aide Training Ban Notes _____	33
Figure 32: Edit Nurse Aide Training Ban _____	33
Figure 33: Sanctions _____	34
Figure 34: Add Sanction _____	35
Figure 35: Edit Sanction _____	36
Figure 36: Delete a Sanction Pop-up Window _____	37
Figure 37: Remedies _____	38
Figure 38: Add Remedy _____	39
Figure 39: Edit Remedy _____	40
Figure 40: Delete a Remedy Pop-up Window _____	41
Figure 41: Add Appeal _____	43
Figure 42: Appeal _____	44
Figure 43: Add Legal Action _____	45
Figure 44: Edit Injunction _____	46

## List of Tables

Table 1: Notification Banner Color Descriptions _____	2
Table 2: My Tasks Landing Page Detailed Callout _____	7
Table 3: Task Status Details Detailed Callout _____	9
Table 4: Enforcements Basic Information Detailed Callout _____	14
Table 5: Surveys Tab Detailed Callout _____	15
Table 6: All Citations Tab Detailed Callout _____	17
Table 7: Immediate Jeopardy Tab Detailed Callout _____	18
Table 8: Intakes Tab Detailed Callout _____	19
Table 9: Add Basic Information for a New Enforcement Detailed Callout _____	22
Table 10: Manage Tasks Detailed Callout _____	29

# 1. Introduction

---

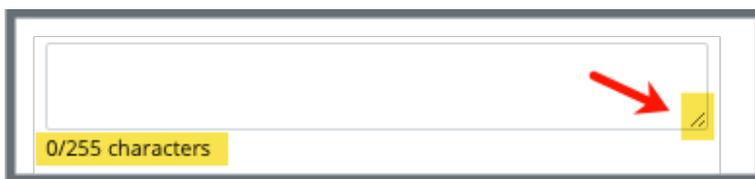
This user manual addresses the processes necessary to perform Survey & Certification (S&C) Enforcement functions in iQIES.

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

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

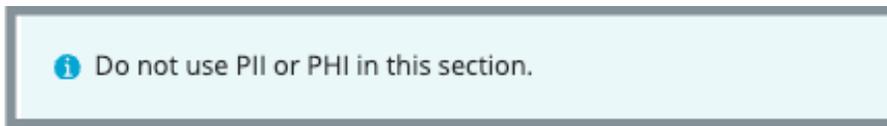
Below is important general information about iQIES.

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



*Figure 1: Expandable Field*

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

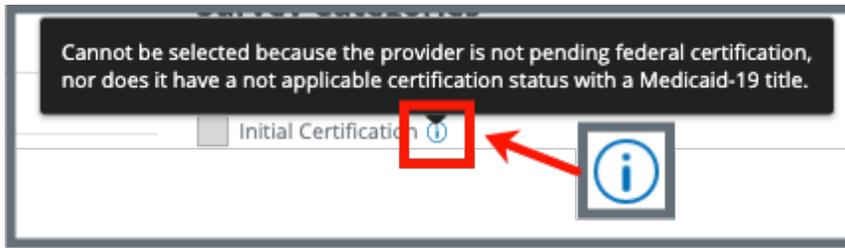


**Figure 2: Notification Banner**

**Table 1: Notification Banner Color Descriptions**

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

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



*Figure 3: Tool Tip Icon*

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

[Chrome](#)

[Edge](#)

## 1.2 iQIES Service Center

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

**Assistance Accessing iQIES:** Contact the iQIES Security Official (SO) for your organization

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

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

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

**CCSQ Support Central:** Create a new ticket or track an existing ticket:  
[https://cmsqualitysupport.servicenowservices.com/ccsq\\_support\\_central](https://cmsqualitysupport.servicenowservices.com/ccsq_support_central)

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

**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 SO for your organization or the iQIES Service Center for issues relating to access and permissions. Refer to the [iQIES User Roles Matrix](#) for detailed information on roles.

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



*Figure 4: Help Icon*

## 1.4 My Tasks Landing Page

**Purpose:** **My Tasks** 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.

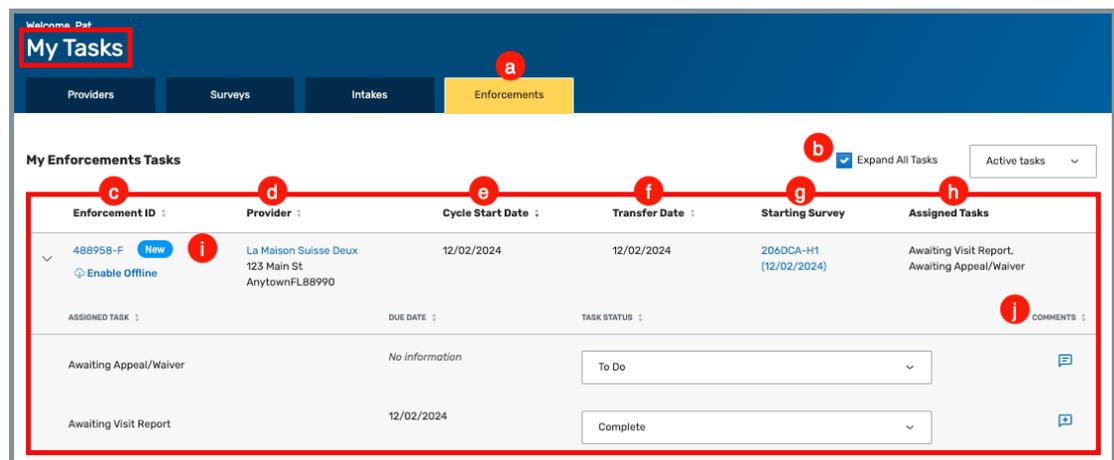


Figure 5: My Tasks Landing Page

Table 2: My Tasks Landing Page Detailed Callout

No.	Name	Description
a	<b>Enforcements</b> tab	Click each available tab ( <b>Providers, Surveys, Intakes, Enforcements</b> ) to review the respective tasks. Not all tabs are available in all user roles.  Click <b>Enable Offline</b> to enable the survey offline. For more details on how to enable offline, refer to <a href="#">S&amp;C User Manual: Offline</a> .
b	<b>Expand All</b> <b>Tasks</b>	This checkbox defaults to checked so users can see tasks assigned to them. Uncheck box to close task detail.
c	<b>Enforcement ID</b>	The enforcement ID shows as a link directly under <b>Enforcement ID</b> . Click the link to go directly to the Enforcement Basic Information page.  Click the caret next to the enforcement ID to view task status details about the enforcement. See step 1.4.2.
d	<b>Provider</b>	The provider ID and address shows as a link directly under <b>Provider</b> . Click the link to go directly to the Provider Basic Information page.
e	<b>Cycle Start Date</b>	Shows the cycle start date.
f	<b>Transfer Date</b>	Shows transfer date.
g	<b>Starting Survey</b>	Links the starting survey.
h	<b>Assigned Tasks</b>	Lists the assigned tasks, if any.
i	<b>New</b>	A blue <b>New</b> in an oval shape (badge) next to the <b>Enforcement ID</b> in the Enforcement tab indicates that the enforcement's task status is <b>New</b> .
j	<b>COMMENTS</b>	Add or review a comment. See <a href="#">Comments</a> for details.

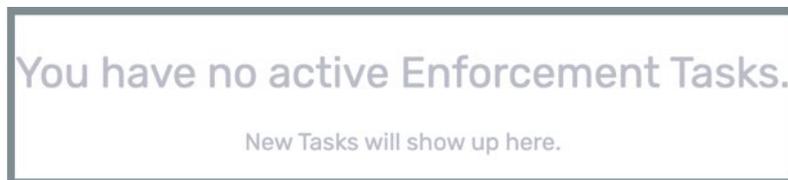
**Notes:**

- Click the iQIES logo on the top left of the screen or **Home** to return to the My Tasks landing page at any time. See *Figure 6, iQIES Logo*.



*Figure 6: iQIES Logo*

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



*Figure 7: No Active Tasks*

**1.4.2 Task Detail:** Tasks are shown by default. See *Figure 8, Task Status Details* and *Table 3, Task Status Details Detailed Callout*.

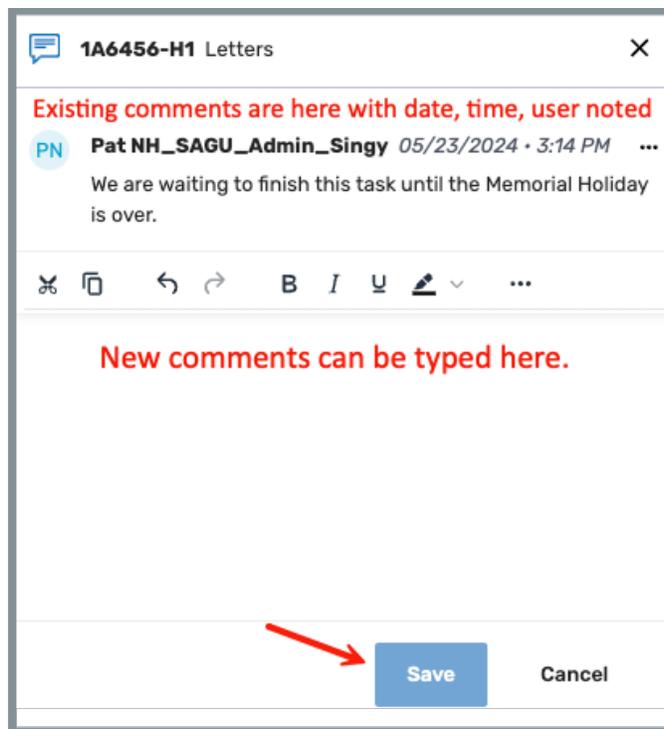
My Enforcements Tasks					Active tasks
Enforcement ID	Provider	Cycle Start Date	Starting Survey	Assigned Tasks	
453785-F <span>New</span> <a href="#">Enable Offline</a>	House of the Rising Sun54 1 Main St AnytownFL 87960	10/04/2023	1538C1-H1 (10/04/2023)		
<b>a</b>	<b>b</b>	<b>c</b>	<b>d</b>		
ASSIGNED TASK	DUE DATE	TASK STATUS	COMMENTS		
Case Review	No information	To Do	Existing comment		
Sanction/Remedy Monitoring	No information	To Do	No comment		

*Figure 8: Task Status Details*

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

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

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



**Figure 9: My Tasks Comments**

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

## 2. Manage an Enforcement Overview

An enforcement cannot be implemented until a survey has been submitted for a certified provider.

Contact the [iQIES Service Center](#) to delete an enforcement.

The letter that follows the **Enforcement ID** shows whether the enforcement is a federal (**F**) or state (**S**) enforcement. See *Figure 10, Enforcement ID*.

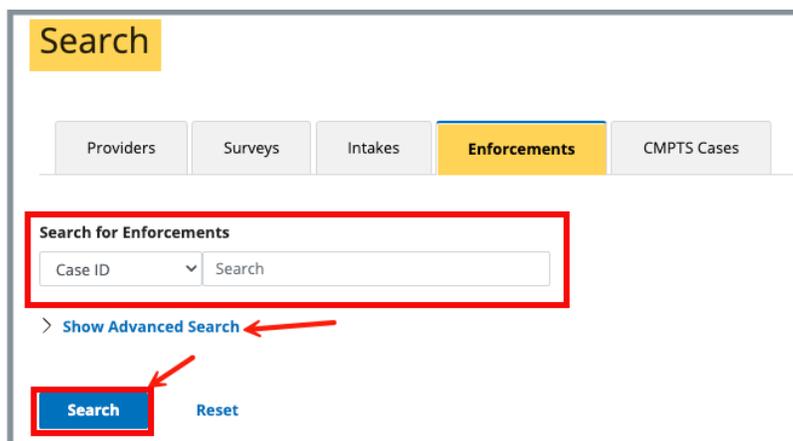


*Figure 10: Enforcement ID*

## 3. Search for an Enforcement

**Purpose:** To search for an enforcement.

- 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** page opens.
- 3.3 Click **Enforcements** tab on the **Search** page.
- 3.4 Select **Case ID**, **Provider** or **DBA** (Doing Business As), **CCN** (CMS Certification Number) or **Survey ID** from the drop-down menu under **Search for Enforcements**. See *Figure 11, Enforcements Search*.



*Figure 11: Enforcements Search*

**Note:** Click [Show Advanced Search](#) for a more detailed search. Refer to **Show Advanced Search** for details.

3.5 Type search criteria.

3.6 Click **Search**. The enforcement information shows below. See *Figure 12, Survey Search Results*.

The screenshot shows a search interface with tabs for Providers, Surveys, Intakes, **Enforcements**, and CMPTS Cases. The search criteria is set to 'House of the'. Below the search bar are 'Search' and 'Reset' buttons. The results table shows two enforcement entries for 'House of the Rising Sun54'. The first entry, '240992-F Federal', is highlighted with a red box and a red arrow. The second entry is '453785-F Federal'.

Provider	Enforcement	Cycle Start Date	Survey(s)	Status	Sanction
House of the Rising Sun54 1 Main St, Anytown, FL 87960 CCN A28439   FACID IQ00000002535606	240992-F Federal	03/17/2022	D4547-H1 105201-H1 12B714-H1 150098-H1 151501-H1 15A119-H1 1CFB80-H1	Open	Civil Money Penalty - Awaiting appeal outcome Termination at 90 days - Recommended
House of the Rising Sun54 1 Main St, Anytown, FL 87960 CCN A28439   FACID IQ00000002535606	453785-F Federal	10/04/2023	1538C1-H1	Open - Hearing	Temporary Management - Recommended Civil Money Penalty - Awaiting appeal outcome

*Figure 12: Survey Search Results*

3.7 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 13, Enforcements Advanced Search*.

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

The screenshot shows a web interface for searching enforcements. At the top, there are tabs for 'Providers', 'Surveys', 'Intakes', 'Enforcements' (which is selected), and 'CMPTS Cases'. Below the tabs is a search bar labeled 'Search for Enforcements' with a dropdown menu for 'Case ID' and a 'Search' button. Below the search bar is a link that says 'Hide Advanced Search' with a downward arrow. A large red box highlights the advanced search filters, which are organized into four columns:
 

- CATEGORY:** 'Enforcement Type' with a dropdown menu.
- STATUS:** 'Enforcement Case Status' with a dropdown menu and two checkboxes: 'Only show enforcement cases containing IJs' and 'Only show enforcement cases containing an appeal'.
- PROVIDER INFO:** 'Provider Type' with a dropdown menu and 'State' with a dropdown menu.
- SANCTION:** 'Sanction Type' and 'Sanction Status In Effect', both with dropdown menus.

 At the bottom left of the filter area, there is a 'START DATE RANGE' section with 'Enforcement Start Dates' and 'From' and 'To' input fields. At the bottom right, there is a 'SURVEY EXIT DATE RANGE' section with 'Dates with IJ Conditions Tags Cited' and 'From' and 'To' input fields. At the bottom of the entire search area, there is a blue 'Search' button and a 'Reset' link. Red arrows point to the 'Hide Advanced Search' link and the 'Search' button.

Figure 13: Enforcements Advanced Search

- 3.8 Click the enforcement ID to view enforcement basic information. The **Basic Information** window opens with the case status, facility information, key dates, public notices, cycle surveys and citations management information. See *Figure 14, Enforcements Basic Information* and *Table 4, Enforcements Basic Information Detailed Callout* for further information.

**Enforcement 441438-F**

Enforcement Status	Transferred To RO	Last Compliance Date	Day 23	3 Calendar Months	6 Calendar Months	Enforcement Start Date	Termination Date	Termination Outcome	Starting Survey
Open	No information	No information	(08/28/2024)	(11/05/2024)	(02/05/2025)	08/05/2024	No information	No information	1D53CB-H1 (08/05/2024)

**Basic Information**

**Case Status**

Type: Federal  
 Federal Status: Open  
 Double G Count: 3  
 Federal Case Type: Past Non-Compliance  
 Additional Status: Health, Infection Control  
 State Status: No information

**Facility**

Federal Program Participation Status: Certified  
 Status Date: No information

**Key Dates**

Due Date for Opportunity to Correct: No information  
 Initial Transfer to CMS: No information  
 Substantial Compliance Date: No information  
 Cycle Start Date: 08/05/2024  
 Cycle Start to Today: 36  
 Cycle Start to Compliance: No information

**Public Notices**

Request for Term Notice 1: No information  
 Date Notice 1 Appeared: No information  
 Request for Term Notice 2: No information  
 Date Notice 2 Appeared: No information

**Cycle Surveys and Citations Management**

Surveys: All Citations, Immediate Jeopardy, Intakes

Survey ID	Category	Extent	Exit Date	2567 Date Sent	POC Approval	Substantial Compliance	Highest Cites	IDR	IIDR
1D53CB-H1	Recertification	Standard, Extended	08/05/2024	08/19/2024	08/30/2024		See Details	Requested: 08/29/2024	

[View Provider History Report](#)

Figure 14: Enforcements Basic Information

**Table 4: Enforcements Basic Information Detailed Callout**

No.	Title	Description
<b>a</b>	Grey Menu Bar	Shows detailed information about the enforcement, including status, compliance date, calendar dates, transferred to RO dates, start and termination dates, outcome, and survey information
<b>b</b>	Case Status	Shows type, federal status, double G count, additional status, federal case type and state status
<b>c</b>	Facility	Shows federal program participation status and status date
<b>d</b>	Key Dates	Shows due date for opportunity to correct, initial transfer to CMS, substantial compliance date, cycle start date, cycle start to today, and cycle start to compliance
<b>e</b>	Public Notices	Shows requests for term notices and requests for when date notices appeared
<b>f</b>	Cycle Surveys and Citations Management	See <a href="#">Cycle Surveys and Citations Management</a> for details
<b>g</b>	View Provider History Report	Click to view the Provider History Report

### 3.9 Cycle Surveys and Citations Management

The Cycle Surveys and Citations Management section provides a list of all information related to survey data and deficiencies for a provider. See *Figure 15, Surveys Tab* and *Table 5, Surveys Tab Detailed Callout*, *Figure 16, All Citations Tab* and *Table 6, All Citations Tab Detailed Callout*, *Figure 17, Immediate Jeopardy Tab* and *Table 7, Immediate Jeopardy Tab Detailed Callout*, and *Figure 18, Intakes Tab* and *Table 8, Intakes Tab Detailed Callout* for details on each tab.

#### 3.9.1 Surveys

Survey ID	Category	Extent	Exit Date	2567 Date Sent	POC Approval	Substantial Compliance	Highest Cites	IDR	IIDR
A8FFF-H1 IJ	Sample Validation, Complaint, Re-Licensure, Licensure Complaint	Standard, Abbreviated, Partial Extended	02/17/2022		02/18/2022		<a href="#">See Details</a>		
A9001-H1	Sample Validation	Standard, Abbreviated, Partial Extended	04/06/2021				<a href="#">See Details</a>		
DB310-H1 IJ	Re-Licensure, Recertification	Standard, Abbreviated, Partial Extended	04/14/2021	03/23/2022	02/16/2022		<a href="#">See Details</a>		

**Figure 15: Surveys Tab**

**Table 5: Surveys Tab Detailed Callout**

No.	Title	Description
a	<b>Survey ID</b>	Clickable link to survey. An IJ badge shows when Immediate Jeopardy is attached.
b	<b>Category</b>	Survey category
c	<b>Extent</b>	Survey extents
d	<b>Exit Date</b>	Exit date of the survey
e	<b>2567 Date Sent</b>	Date the 2567 was sent
f	<b>POC Approval</b>	Date of Plan of Correction (POC) approval

No.	Title	Description
g	<b>Substantial Compliance</b>	Has the facility complied with all condition-level requirements
h	<b>Highest Cites</b>	<p>Click <b>See Details</b> for information about the cites.</p> <ul style="list-style-type: none"> <li>Shows the highest Scope and Severity cited in the survey, and lists the tags cited at that level.</li> <li>The Highest Cites calculation applies only to the selected survey. It includes <b>Past Noncompliance</b> tags (<b>Past Noncompliance</b> checkbox selected in <b>Citation Properties</b>) and tags with a <b>Correction Date (X5)</b> equal to the <b>Survey Exit</b> date. It also includes tags with an approved waiver that expires on or before the Survey Exit date.</li> <li><b>Highest Cites</b> excludes tags with correction dates entered, unless they are PNC tags or tags with a <b>Correction Date</b> equal to the <b>Survey Exit</b> date, both of which are always included. The calculation excludes tags with an approved continuing waiver and tags with an approved temporary waiver that expires after the <b>Survey Exit</b> date. It also excludes <b>FSES</b> tags.</li> </ul>
i	IDR	IDR requested date
j	IIDR	IIDR requested date

### 3.9.2 All Citations

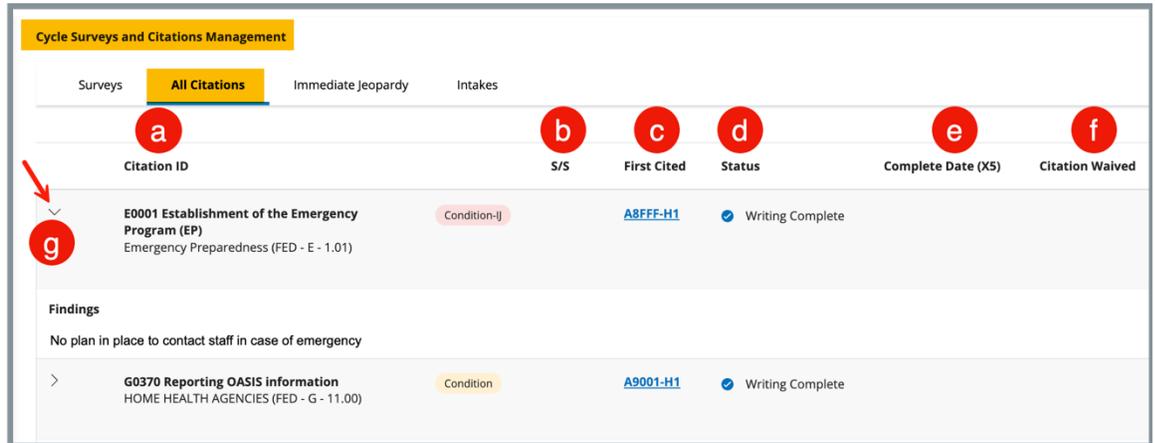


Figure 16: All Citations Tab

Table 6: All Citations Tab Detailed Callout

No.	Title	Description
a	Citation ID	Citation tag and title
b	S/S	Scope/Severity
c	First Cited	Click link to go to survey <b>Basic Information</b> page.
d	Status	Citation status
e	Complete Date (X5)	Citation completion date
f	Citation Waived	Will show <b>Yes</b> or <b>No</b> when citation has been waived or not.
g	Findings	Click caret next to any citation to view citation findings.

### 3.9.3 Immediate Jeopardy

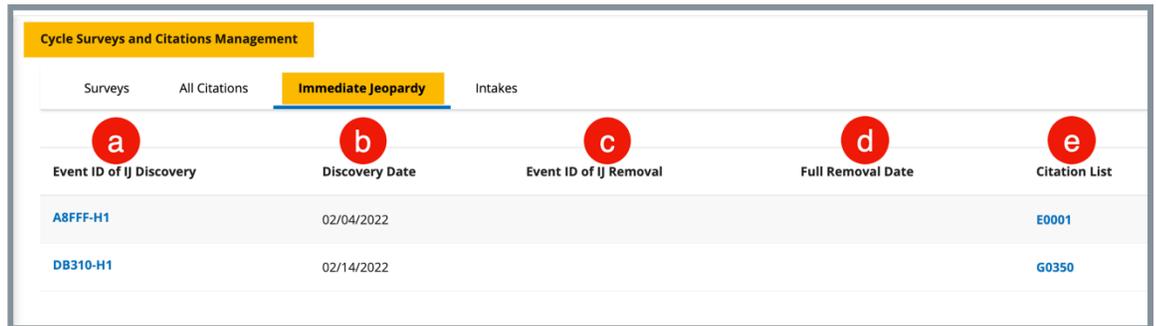


Figure 17: Immediate Jeopardy Tab

Table 7: Immediate Jeopardy Tab Detailed Callout

No.	Title	Description
a	<b>Event ID of IJ Discovery</b>	Click link to go to survey <b>Basic Information</b> page for the citation that is in IJ
b	<b>Discovery Date</b>	Date of IJ discovery
c	<b>Event ID of IJ Removal</b>	The survey that correlates with the IJ removal action
d	<b>Full Removal Date</b>	IJ removal date
e	<b>Citation List</b>	Click link to view citation tag details

### 3.9.4 Intakes

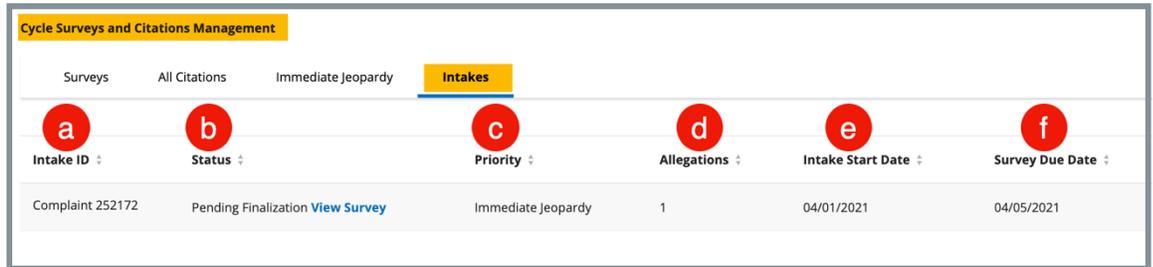


Figure 18: Intakes Tab

Table 8: Intakes Tab Detailed Callout

No.	Title	Description
a	<b>Intake ID</b>	Intake ID
b	<b>Status</b>	Survey status with a clickable link to survey
c	<b>Priority</b>	Priority level of survey
d	<b>Allegations</b>	Number of allegations
e	<b>Intake Start Date</b>	Intake start date
f	<b>Survey Due Date</b>	Survey due date

## 4. Add an Enforcement

---

**Purpose:** To add an enforcement.

**Notes:**

- To add a new enforcement, the following conditions must be met:
  - A certified provider
  - A survey with deficiencies with locked citations that has not been added to a different enforcement. Only one survey can be designated as the starting survey.
- Organ Procurement Organizations (OPO) provider types can only add a **Federal** enforcement.
- The **Starting Survey** is the survey used to create an enforcement case. Its exit date is the start of the enforcement cycle.
- Contact the [iQIES Service Center](#) to delete an enforcement.

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

**Note:** It is also possible to click the provider from the **Basic Information** page to open **Provider History**.

4.2 Click **Add Enforcement** on the **Provider History** page. See *Figure 19, Add Enforcement*. The **Basic Information** window opens with a list of available surveys.



*Figure 19: Add Enforcement*

4.3 Select one or more surveys. See *Figure 20, Add Basic Information for a New Enforcement* and *Table 9, Add Basic Information for a New Enforcement Detailed Callout*.

**Notes:**

- Only one survey can be designated as the starting survey.
- When a survey has **Memo** under the **Deficiency** column, the only citation is the CMS-2567 (initial comments).
- Dates are system generated.

**Basic Information**  
Enter the basic information for this enforcement.

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

**Case Status a**  
**Type \***  
 Federal ⓘ  
 State ⓘ  
**Federal Case Type**  
 Select one ▾

**Facility b**  
**Federal Program Participation Status**  
 Certified  
**Status Date**  
 No information

**Additional Status**  
 Double G  
 Sent to HIPDB  
 Infection Control

**Key Dates c**  
**Due Date for Opportunity to Correct**  MM/DD/YYYY  
 Invalid date  
**Cycle Start Date**  
 Invalid date  
**Cycle Start to Today**  
 0  
**Initial Transfer to CMS** 09/10/2024  
**Substantial Compliance Date**  
 No information  
**Cycle Start to Compliance**  
 No information

**Public Notices d**  
**Request for Term Notice 1**  MM/DD/YYYY  
**Request for Term Notice 2**  MM/DD/YYYY  
**Date Notice 1 Appeared**  MM/DD/YYYY  
**Date Notice 2 Appeared**  MM/DD/YYYY

**Add Surveys \* e**  
 Add surveys to this enforcement cycle and indicate the starting survey.  
 There are no open surveys for this provider.  
**Cycle Start Date \***   
 MM/DD/YYYY

**f**  
 Save Section Cancel

**Figure 20: Add Basic Information for a New Enforcement**

**Table 9: Add Basic Information for a New Enforcement Detailed Callout**

No.	Title	Description
<b>a</b>	Case Status	Shows type, federal status, double G count, additional status, federal case type and state status <b>Double G</b> and <b>Infection Control</b> are for Nursing Homes only.
<b>b</b>	Facility	Shows federal program participation status and status date
<b>c</b>	Key Dates	Shows due date for opportunity to correct, initial transfer to CMS, substantial compliance date, cycle start date, cycle start to today, and cycle start to compliance
<b>d</b>	Public Notices	Shows requests for term notices and requests for when date notices appeared
<b>e</b>	Add Surveys	Add surveys to the enforcement cycle and add the cycle start date
<b>f</b>	Save Section	Click to save information.

4.4 Click **Save Section**. The **Basic Information** window updates.

**Notes:**

- Click **Edit** on the **Basic Information** page to make edits, if necessary.
- Not all fields are available to all user roles and not all fields are available to all providers.
- The **Transferred to RO** field is only available to SAGUs.

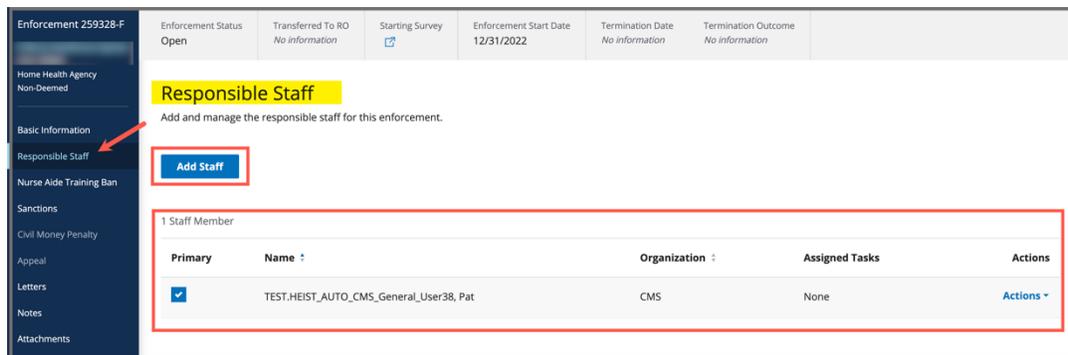
## 5. Responsible Staff

**Purpose:** To add new, delete, or view existing staff responsible for the enforcement.

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

### 5.1 Add Responsible Staff

5.1.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 21, Enforcements Responsible Staff*.



*Figure 21: Enforcements Responsible Staff*

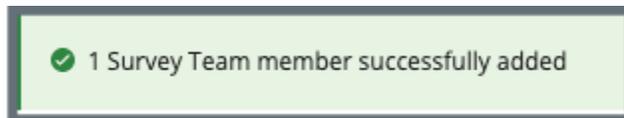
5.1.2 Click **Add Staff** to add responsible staff. The **Add Responsible Staff** page opens.

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

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

5.1.5 Check the box under **Select** next to the correct name.

5.1.6 Click **Save**. A green notification banner appears at the top of the screen, verifying the member was successfully added. See *Figure 22, Survey Team Member Successfully Added*.



*Figure 22: Survey Team Member Successfully Added*

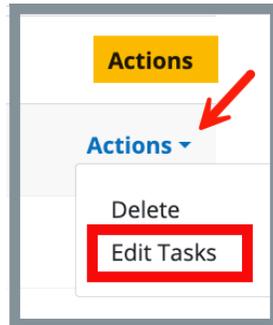
**Notes:**

- The case creator is a default staff member.
- It is only possible to add staff that are in the list of staff members.
- It is not possible to select options that are greyed out.
- Only one staff can be primary.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

**5.1.7 Verify the staff member was added.**

## 5.2 Add and Remove Tasks for Responsible Staff

5.2.1 Click **Edit Tasks** under the **Actions** menu next to the Responsible Staff. See *Figure 23, Edit Tasks*. The **Edit Tasks** pop-up window opens.



*Figure 23: Edit Tasks*

5.2.2 Select the checkbox next to any task for the Responsible Staff. See *Figure 24, Edit Tasks Pop-Up Window* (next page).

### Notes:

- To remove a task, uncheck the checkbox
- The tasks are noted in alphabetical order

Edit Tasks - cms\_gu, Pat

✕

Add and remove task(s) for this staff member in this enforcement.

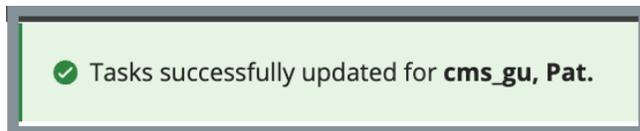
**Enforcements**

- Case Review
- Sanction/Remedy Monitoring
- Send notices
- Letters
- Finalize
- Awaiting Appeal/Waiver
- Awaiting CMP Payment
- Awaiting Hearing
- Awaiting Hearing Decision
- Awaiting Owner Doc
- Awaiting Settlement
- Awaiting Visit Report
- Need Case Hard Copies
- Need DOJ Clearance
- Need Financial Info
- Need POC
- Need Visit
- None
- Process CMP Off-Set
- Requested Info from State
- Review Survey
- Send Notice
- Time Pay/Interest Calc
- Worker Correcting Letter
- New Survey Added
- Awaiting Dismissal
- Awaiting CMPTS Update
- Case Sent to RO
- Request 3rd Revisit
- Approve 3rd Revisit
- Deny 3rd Revisit
- Fed. Program Status Changed
- Hearing Resolved
- IJ Situation Added
- Substantial Compliance Achieved
- 2567 Revised For Appealed Survey
- New Visit - Compliance Removed
- Sub. Compliance removed/Case reopened
- Remove from National Upload pending
- Automatic Initial Upload pending
- CMP Payment Posted By OFM
- IJ Situation Changed By IDR
- IJ Situation Removed By IDR

Save
Cancel

**Figure 24: Edit Tasks Pop-Up Window**

5.2.3 Click **Save**. Verify the **Tasks successfully updated** green notification banner is shown. See *Figure 25, Tasks Successfully Updated Green Notification Banner*.



*Figure 25: Tasks Successfully Updated Green Notification Banner*

5.2.4 Verify tasks are updated under Assigned Tasks. See *Figure 26, Assigned Tasks*.

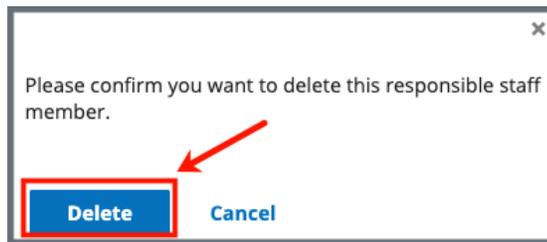
2 Staff Members				
Primary	Name	Organization	Assigned Tasks	Manag
<input checked="" type="checkbox"/>	cms_gu, Pat	CMS	Case Review, Send notices, Awaiting Appeal/Waiver, Awaiting Owner Doc, Awaiting Settlement, Awaiting Visit Report	Not av

*Figure 26: Assigned Tasks*

## 5.3 Delete Responsible Staff

5.3.1 Click **Delete** under **Actions** to delete a staff member. A confirmation pop-up window opens.

5.3.2 Click **Delete**. See *Figure 27, Delete a Responsible Staff*.



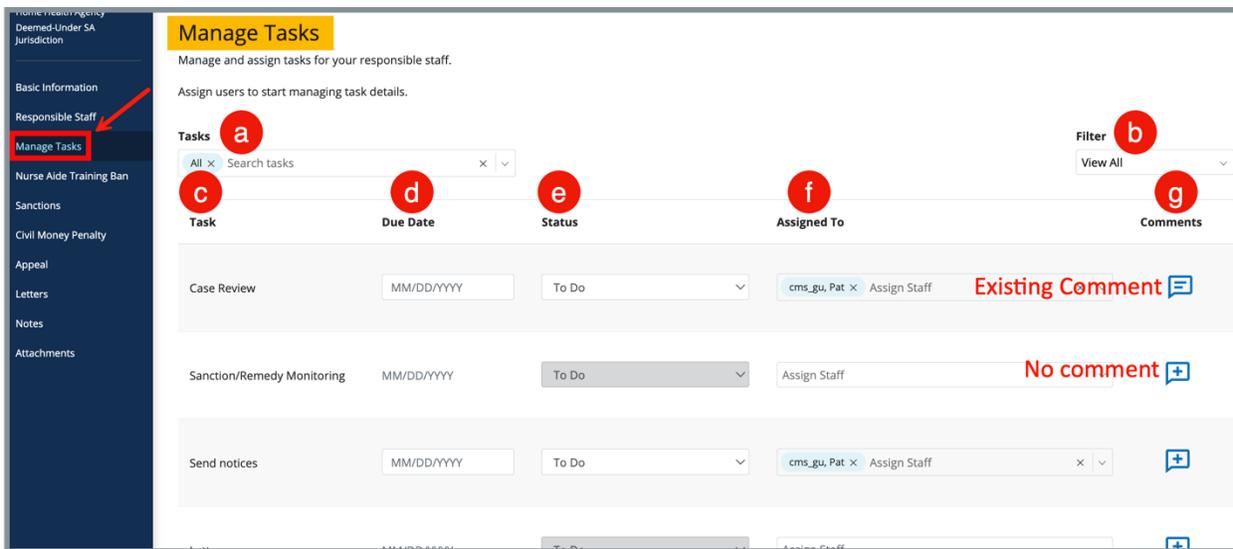
*Figure 27: Delete a Responsible Staff*

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

## 6. Manage Tasks

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

Click **Manage Tasks** on the left menu. The **Manage Tasks** screen opens. See *Figure 28, Manage Tasks*. See *Table 10, Manage Tasks Detailed Callout*.



**Figure 28: Manage Tasks**

**Table 10: Manage Tasks Detailed Callout**

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

## 7. Nurse Aide Training Ban

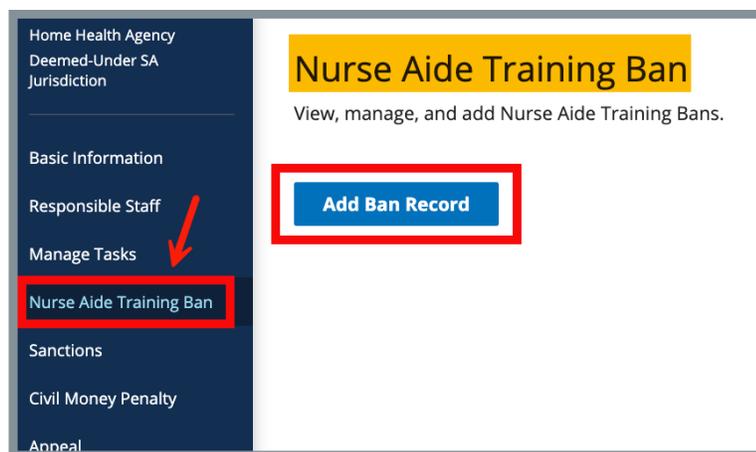
**Purpose:** To document a two-year ban on a Home Health Agency (HHA) or Nursing Home that provides nurse aide training and/or competency testing.

**Notes:**

- Nurse Aide Training Bans are for HHA and Nursing Home provider types only.
- A permanent record of the ban remains in the system and is shown on the Nurse Aide Training Ban page.

### 7.1 Add Nurse Aide Training Ban

7.1.1 Click **Nurse Aide Training Ban** on the left menu. The **Nurse Aide Training Ban** screen opens. See *Figure 29, Nurse Aide Training Ban*.



*Figure 29: Nurse Aide Training Ban*

7.1.2 Click **Add Ban Record**. The **Nurse Aide Training Ban** form opens. See *Figure 30, Nurse Aide Training Ban Form*.

**Nurse Aide Training Ban**

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

**Nurse Aide Training Loss \***

No  
 Yes  
 Potential  
 Not Provided

**Loss Effective Date** **End Date**  
   
MM/DD/YYYY MM/DD/YYYY

**Training Ban Notes:**

**NATCEP**

NATCEP Loss Triggers 483.151	Applicable?	Is Primary *
Subject to extended or partially extended survey (substandard care)	<input type="checkbox"/>	<input type="checkbox"/>
Used unqualified HH Aides	<input type="checkbox"/>	<input type="checkbox"/>
termination or termination	<input type="checkbox"/>	<input type="checkbox"/>
CMP of \$5000 or more assessed	<input type="checkbox"/>	<input type="checkbox"/>
Suspension of payment imposed	<input type="checkbox"/>	<input type="checkbox"/>
Temporary manager imposed	<input type="checkbox"/>	<input type="checkbox"/>
Patients transferred	<input type="checkbox"/>	<input type="checkbox"/>
Excluded/Barred from federal programs	<input type="checkbox"/>	<input type="checkbox"/>

**State NATCEP**

State NATCEP Loss Waiver

**Restored Based on CHOW Date**

  
MM/DD/YYYY

Save
Cancel

**Figure 30: Nurse Aide Training Ban Form**

7.1.3 Fill out information.

**Note:** **Loss Effective Date** and **End Date** can only be filled out when **Yes** or **Potential** is selected.

7.1.4 Click **Save**. The form closes and the **Nurse Aid Training Ban** information is shown on the screen.

## 7.2 View Nurse Aide Ban Notes

Click the caret next to the **Status**, to view **Ban Notes**. See *Figure 31, Nurse Aide Training Ban Notes*.

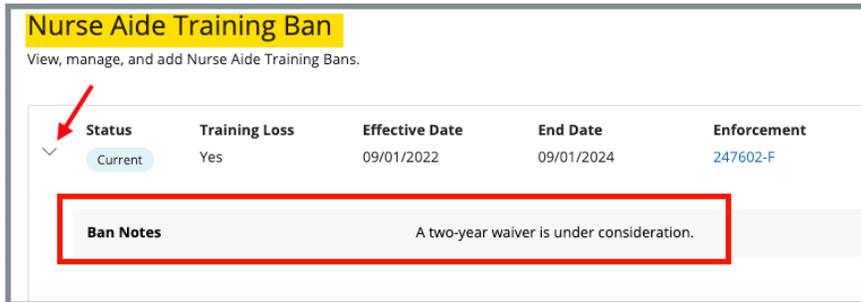


Figure 31: Nurse Aide Training Ban Notes

## 7.3 Edit a Training Ban

7.3.1 Click **Edit** next to the travel ban that needs to be updated. The **Nurse Aid Training Ban** page opens and can be edited. See *Figure 32, Edit Nurse Aide Training Ban*.

**Note:** **Status** must be **Current** for a training ban to be in edited.

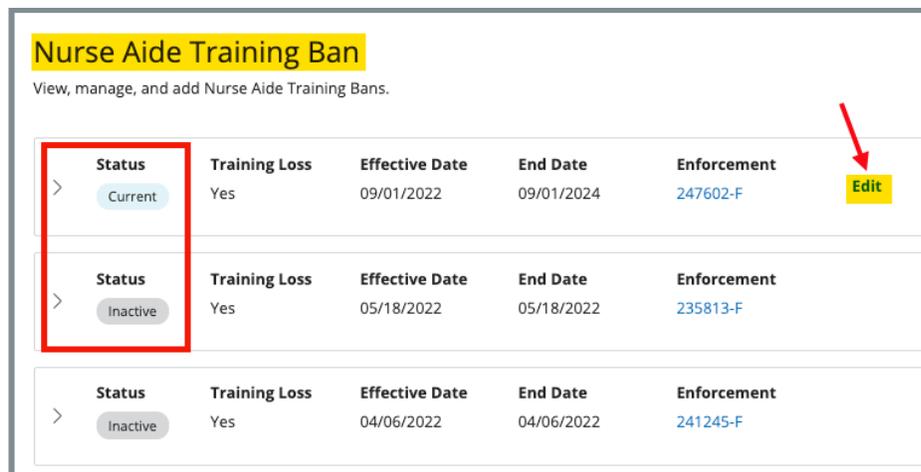


Figure 32: Edit Nurse Aide Training Ban

7.3.2 Click **Save** to save edits.

## 8. Sanctions

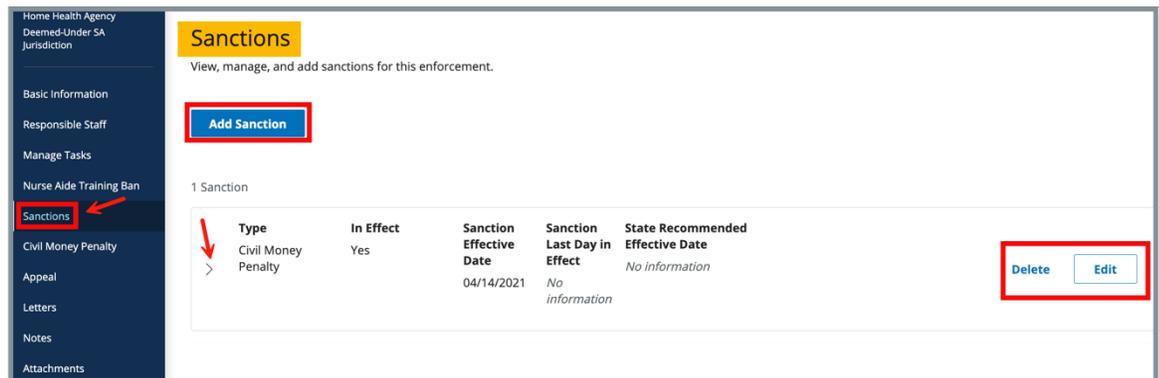
**Purpose:** To view, add, or manage sanctions and enforcement actions, including Civil Money Penalties (CMP), training, transfer, suspension, terminations, and other remedies.

**Notes:**

- Sanctions are for ASC, Comprehensive Rehabilitation Outpatient Facility (CORF), ESRD (End Stage Renal Disease), HHA, Hospice, Immediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID), OPO, OPT/SLP (Outpatient Physical Therapy/Speech Pathology Services) provider types only.
- The history of a sanction termination can be viewed.

### 8.1 Add or View a Sanction

8.1.1 Click **Sanctions** on the left menu. The **Sanctions** screen opens. See *Figure 33, Sanctions*.



*Figure 33: Sanctions*

8.1.2 Click **Add Sanction** to add sanctions. The **Add Sanctions** page opens.

**Note:** Click any sanction to view.

8.1.3 Select **Type** from drop-down menu. See *Figure 34, Add Sanction*.

**Notes:**

- Not all sanction types are available for all provider types.
- Fields may differ with each sanction.
- Duplicate sanction types cannot be added.
- OPO provider types can only select **Termination at 23 Days** or **Other** as **Type**.

*Figure 34: Add Sanction*

8.1.4 Fill out the information.

8.1.5 Click **Save**. The **Sanctions** window updates with the new sanction.

8.1.6 Verify the sanction was added.

**Note:** The **In Effect** selection is always set to **Recommended** for a State Agency General User. Only a CMS General User can change the **In Effect** status.

## 8.2 Edit a Sanction

8.2.1 Click **Edit** on the **Sanctions** page. The **Edit Sanction** page opens. See *Figure 35, Edit Sanction*.

**Edit Sanction**

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

**Type \***

Civil Money Penalty

**State Recommended Effective Date \***

09/11/2024  
MM/DD/YYYY

**Revised State Recommended Date**

09/16/2024  
MM/DD/YYYY

**In Effect**

Recommended

**Sanction Effective Date**

04/14/2021  
MM/DD/YYYY

**Sanction Last Day in Effect**

MM/DD/YYYY

**Comments**

Type here...

**Save** **Cancel**

*Figure 35: Edit Sanction*

8.2.2 Edit form.

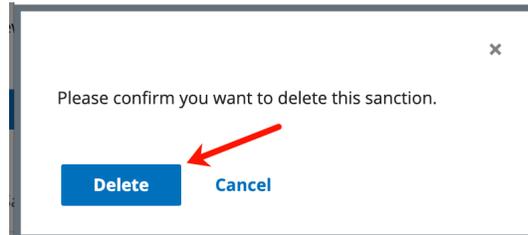
### Notes:

- Only a CMS General User can change the **In Effect** status
- Select **Warning** if the imposition notice states that a sanction may be imposed
- Outcome selections vary depending on **Sanction Type**

8.2.3 Click **Save**. The updated sanction shows on the **Sanction** page.

## 8.3 Delete a Sanction

8.3.1 Click **Delete** next to the specific sanction on the **Sanctions** page. The **Delete** pop-up window opens. See *Figure 36, Delete a Sanction Pop-up Window*.



*Figure 36: Delete a Sanction Pop-up Window*

8.3.2 Click **Delete** to confirm the deletion.

**Note:** If a sanction is part of an open sanction, it cannot be deleted and the **Delete** option is greyed out.

## 9. Remedies

**Purpose:** To view, add, or manage remedies and enforcement actions, including Civil Money Penalties (CMP), training, transfer, suspension, terminations, and other remedies.

**Notes:**

- Remedies are for the Nursing Homes provider type only.
- The history of a remedy termination can be viewed.

### 9.1 Add or View a Remedy

9.1.1 Click **Remedies** on the left menu. The **Remedies** screen opens. See *Figure 37, Remedies*.



*Figure 37: Remedies*

9.1.2 Click **Add Remedy** to add a remedy. The **Add Remedy** page opens.

9.1.3 Select **Type** from drop-down menu. See *Figure 38, Add Remedy*.

**Notes:**

- Fields may differ with each remedy.
- Duplicate remedy types cannot be added.

**Add Remedy**

Add remedies to impose an enforcement action against this provider.

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

**Type \***

Select one

- ✓ Select one
- Directed Plan of Correction
- Temporary Management
- Directed Inservice Training
- Civil Money Penalty
- CMS-Approved Alternative or Additional State Remedy
- State Monitoring
- Discretionary Deny Pay for New Admits
- Mand. Deny Pay for New Admits-3 Mo.
- Denial of Payment for All Residents
- Transfer of Residents/Closure of Facility
- Transfer of Residents
- Discretionary Termination
- Mandatory Termination

**State Recommended Effective Date**

MM/DD/YYYY

**In Effect \***

Yes

No

Recommended

Awaiting appeal outcome

Pending

**Remedy Effective Date**

08/05/2024

MM/DD/YYYY

**Remedy Last Day in Effect**

MM/DD/YYYY

**Comments**

Type here...

**Save** **Cancel**

**Figure 38: Add Remedy**

9.1.4 Fill out the information.

9.1.5 Click **Save**. The **Remedies** window updates with the new remedy.

9.1.6 Verify the remedy was added.

**Note:** The **In Effect** selection is always set to **Recommended** for a State Agency General User. Only a CMS General User can change the **In Effect** status.

## 9.2 Edit a Remedy

9.2.1 Click **Edit** on the **Remedies** page. The **Edit Remedy** page opens. See *Figure 39, Edit Remedy*.

**Edit Remedy**

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

**Type \***

Mandatory Termination

**State Recommended Effective Date**

02/05/2025

MM/DD/YYYY

**Revised State Recommended Date**

MM/DD/YYYY

**In Effect \***

Yes

No

Recommended

Awaiting appeal outcome

Pending

**Remedy Effective Date \***

02/05/2025

MM/DD/YYYY

**Remedy Last Day in Effect**

MM/DD/YYYY

**Comments**

Type here...

**Save** **Cancel**

*Figure 39: Edit Remedy*

9.2.2 Edit form.

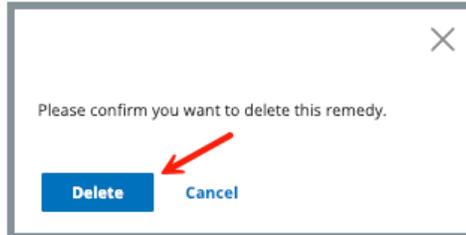
### Notes:

- Only a CMS General User can change the **In Effect** status
- Select **Warning** if the imposition notice states that a remedy may be imposed
- Outcome selections vary depending on **Remedy Type**

9.2.3 Click **Save**. The updated remedy shows on the **Remedies** page.

## 9.3 Delete a Remedy

- 9.3.1 Click **Delete** next to the specific remedy on the **Remedies** page. The **Delete** pop-up window opens. See *Figure 40, Delete a Remedy Pop-up Window*.



*Figure 40: Delete a Remedy Pop-up Window*

- 9.3.2 Click **Delete** to confirm the deletion.

**Note:** If a remedy is part of an open remedy, it cannot be deleted and the **Delete** option is greyed out.

## 10. Civil Money Penalty

---

The Civil Money Penalty is covered in the [CMP/CMPTS manual](#).

# 11. Appeal

**Purpose:** To add or manage survey and enforcement remedy appeal and court hearing information.

**Note:** Only one appeal can be added.

## 11.1 Add an Appeal

11.1.1 Click **Appeal** on the left menu. The **Add Appeal** screen opens. See *Figure 41, Add Appeal*.

**Add Appeal**  
Add an appeal and hearing case to this enforcement.

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

**Appeal Type \***

- Medicare
- Medicaid
- Licensure

**Acknowledged to Facility Date**

MM/DD/YYYY

**Initial Hearing Request Received by**

Select one

**Initial Request Received Date**

MM/DD/YYYY

**Forwarded to Departmental Appeals Board Date**

MM/DD/YYYY

**Appealed Surveys \***

Select	Survey ID	Survey Category	Start Date	Exit Date
<input checked="" type="checkbox"/>	DB310-H1	Recertification, Re-Licensure	03/02/2021	04/14/2021

**Appealed Sanctions \***

Select...

**Save**

*Figure 41: Add Appeal*

11.1.2 Fill out as much information as possible.

**Note:** Not all **Appeal Types** are available for each provider.

11.1.3 Click **Save**. The **Appeal** window updates with the new appeal. See *Figure 42, Appeal*.

**Appeal** Edit

Appeal Type Medicare

Acknowledged to Facility 09/16/2021

Initial Hearing Request Received by Departmental Appeals Board

Initial Request Received Date 09/17/2021

Appealed Sanctions

- Directed Inservice Training

Appealed Surveys

Add Survey

> 98377-H1 (12/31/2020) Edit Remove

Legal Actions

Add Legal Action

*There are no legal actions for this appeal.*

Injunction Edit

Sought Federal Injunction No

*Figure 42: Appeal*

## 11.2 Edit an Appeal

11.2.1 Click **Edit**, to edit the appeal.

11.2.2 Click **Add Survey** under **Appealed Surveys** to add additional surveys. The **Add Survey to Appeal** page opens.

**Note:** Only available surveys are shown.

## 11.3 Add Legal Action

11.3.1 Click **Add Legal Action** to add legal action. See *Figure 43, Add Legal Action*.

**Add Legal Action**

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

**Appeal Details**

**Appealed To \***  **Appealed By \***  **Appeal Date \***

**Hearing Details**

**Government Attorney**

Use Existing

Add New

**Attorney Name \***

**Attorney ID \***

**Docket/Case Number**

**Begin Date**

**Outcome**

**Settle/Withdraw Date**

**Final Decision Date**

*Figure 43: Add Legal Action*

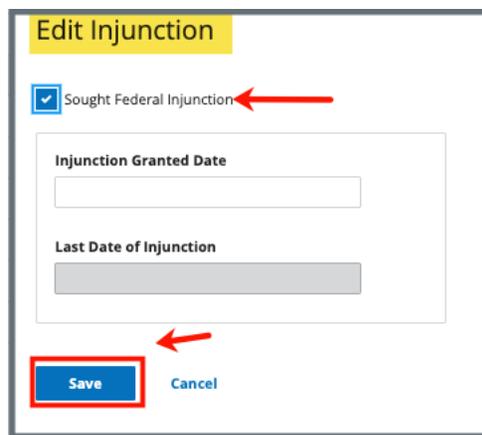
11.3.2 Fill out as much information as possible.

**Note:** Select **Use Existing** under **Government Attorney** to select from a list of attorneys that were previously entered.

11.3.3 Click **Save**. The **Appeal** page updates with **Legal Action** information.

11.3.4 Click **Edit** to edit the injunction. The **Edit Injunction** page opens.

11.3.5 Click **Sought Federal Injunction** box. See *Figure 44, Edit Injunction*. The **Injunction Granted Date** and **Last Date of Injunction** then open and can be edited.



*Figure 44: Edit Injunction*

11.3.6 Click **Save**. The **Appeal** page updates with Injunction information.

## 12. Letters, Notes, Attachments

---

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