



**Centers for Medicare & Medicaid Services**

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

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

**Version 2.4**

**January 13, 2026**

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# 1. Introduction

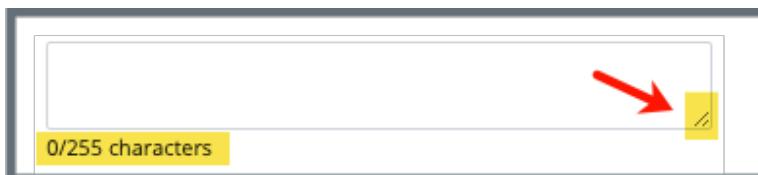
This user manual addresses how to view and add a new intake, including involved parties, allegations, and responsible staff. Review the workflow in the next step to understand how the intake process works.

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

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

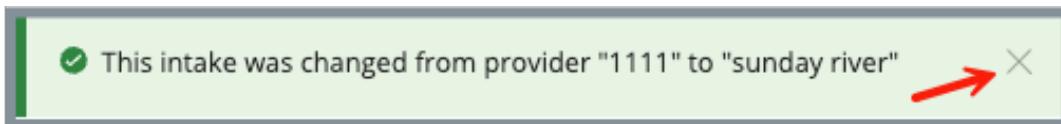
Below is important general information about iQIES.

- Log in to iQIES at <https://iqies.cms.gov/> with [HARP](#) (Health Care Quality Information Systems (HCQIS) Access Roles and Profile) 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.

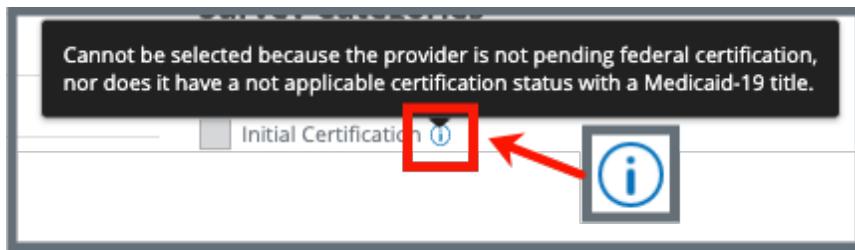


*Figure 2: Notification Banner*

*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

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

**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*

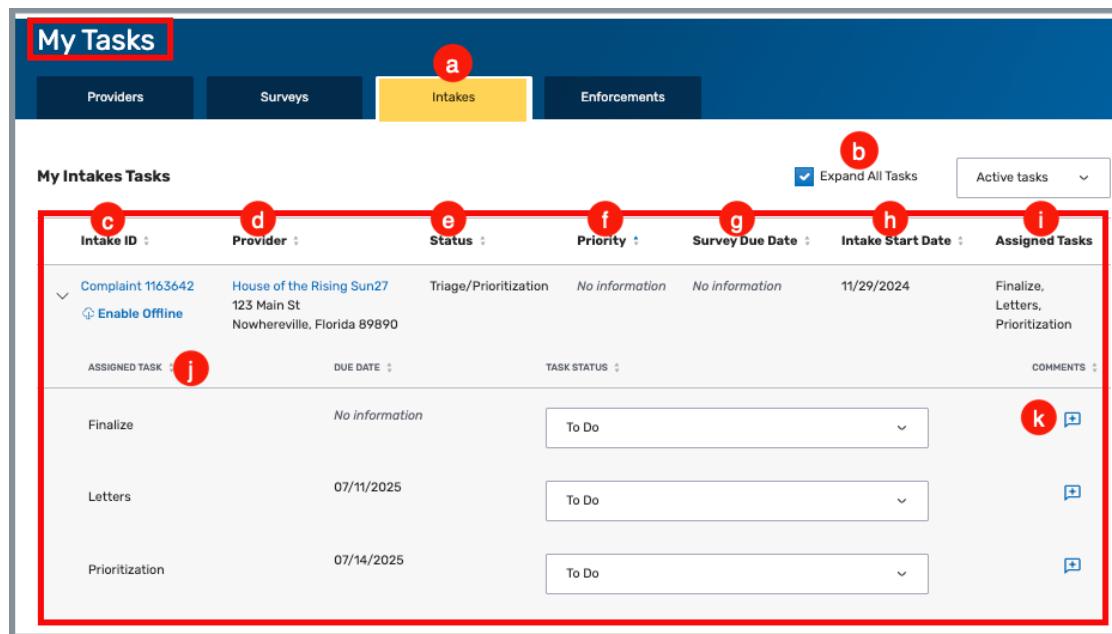
## 1.4 My Tasks

**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.

**Note:** **My Tasks** is limited to the State Agency General User and CMS General User roles.

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.



The screenshot shows the 'My Tasks' landing page. At the top, there is a navigation bar with tabs: 'Providers', 'Surveys', 'Intakes' (which is highlighted in yellow), and 'Enforcements'. Below the navigation bar, there is a sub-navigation bar for 'My Intakes Tasks' with tabs: 'Intake ID', 'Provider', 'Status', 'Priority', 'Survey Due Date', 'Intake Start Date', and 'Assigned Tasks'. A red box highlights the 'Assigned Tasks' tab. To the right of this sub-navigation bar is a dropdown menu with the option 'Active tasks' and a checked checkbox for 'Expand All Tasks'. The main content area displays a table of tasks for an intake. The table has columns: 'Intake ID', 'Provider', 'Status', 'Priority', 'Survey Due Date', 'Intake Start Date', and 'Assigned Tasks'. The first row shows an intake with ID 'Complaint.1163642' and provider 'House of the Rising Sun'. The 'Assigned Tasks' column for this row is highlighted with a red box and labeled 'j'. The table then lists three tasks: 'Finalize', 'Letters', and 'Prioritization', each with a due date and a dropdown menu for task status. To the right of the task list are icons for 'k' (likely a link or button). The entire table is highlighted with a red box.

*Figure 5: My Tasks Landing Page*

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

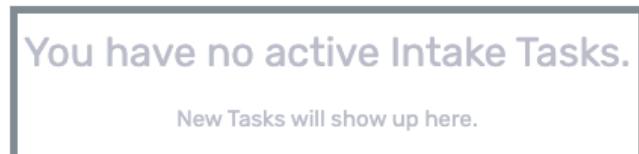
| No. | Name                     | Description   |
|-----|--------------------------|---|
| a   | <b>Intakes</b> tab       | Click each available tab ( <b>Providers</b> , <b>Surveys</b> , <b>Intakes</b> , <b>Enforcements</b> ) to review the respective tasks. Not all tabs are available in all user roles.<br>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 Tasks</b>  | This checkbox defaults to checked so users can see tasks assigned to them. Uncheck box to close task detail.  |
| c   | <b>Intake ID</b>         | The enforcement ID shows as a link directly under <b>Intake ID</b> . Click the link to go directly to the Intake <b>Basic Information</b> page.<br>Click the caret next to the intake ID to view task status details about the intake. 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>Status</b>            | Shows the <a href="#">status of the intake</a> .  |
| f   | <b>Priority</b>          | Shows the priority level of the intake  |
| g   | <b>Survey Due Date</b>   | Shows the due date of the survey  |
| h   | <b>Intake Start Date</b> | Links the starting date of the intake   |
| i   | <b>Assigned Tasks</b>    | Lists the assigned tasks, if any.   |
| j   | <b>Assigned Tasks</b>    | Shows tasks in detail assigned to the user.   |
| k   | Notes                    | Click the <b>+</b> to add a note. See <a href="#">step 1.4.3</a> .  |

**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 Click caret next to the intake ID and details open about tasks assigned to the intake. See *Figure 8, Task Status Details* and *Table 3, Task Status Details Detailed Callout*.

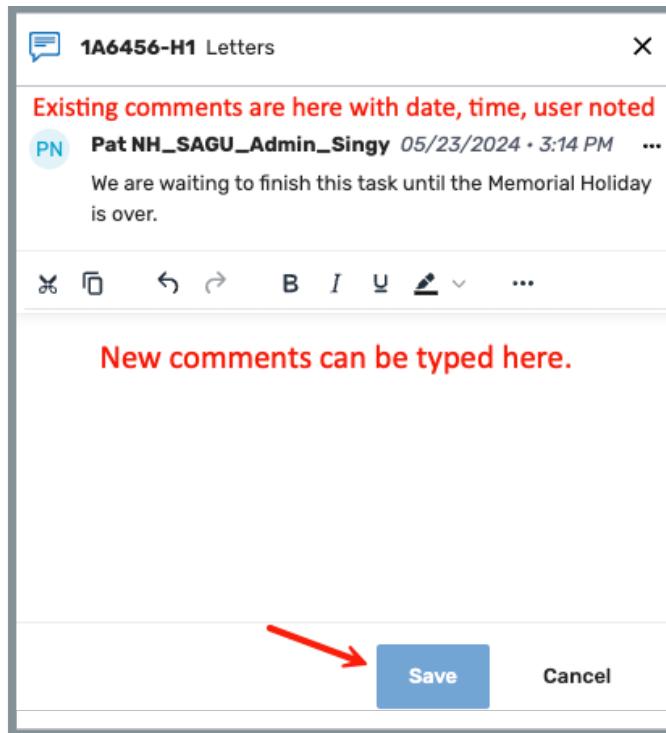
|                   |   |                       |                  |                |            |                                   |
|-------------------|---|-----------------------|------------------|----------------|------------|-----------------------------------|
| Complaint 1163642 | House of the Rising Sun27<br>123 Main St<br>Nowhereville, Florida 80890 | Triage/Prioritization | No information   | No information | 11/29/2024 | Finalize, Letters, Prioritization |
| ASSIGNED TASK     | DUE DATE  | TASK STATUS           |                  |                |            | COMMENTS                          |
| a                 | b   | c                     | d                |                |            |                                   |
| Finalize          | No information  | To Do                 | Existing Comment |                |            |                                   |
| Letters           | 07/11/2025  | To Do                 | No Comment       |                |            |                                   |
| Prioritization    | 07/14/2025  | To Do                 |                  |                |            |                                   |

*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 + (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**

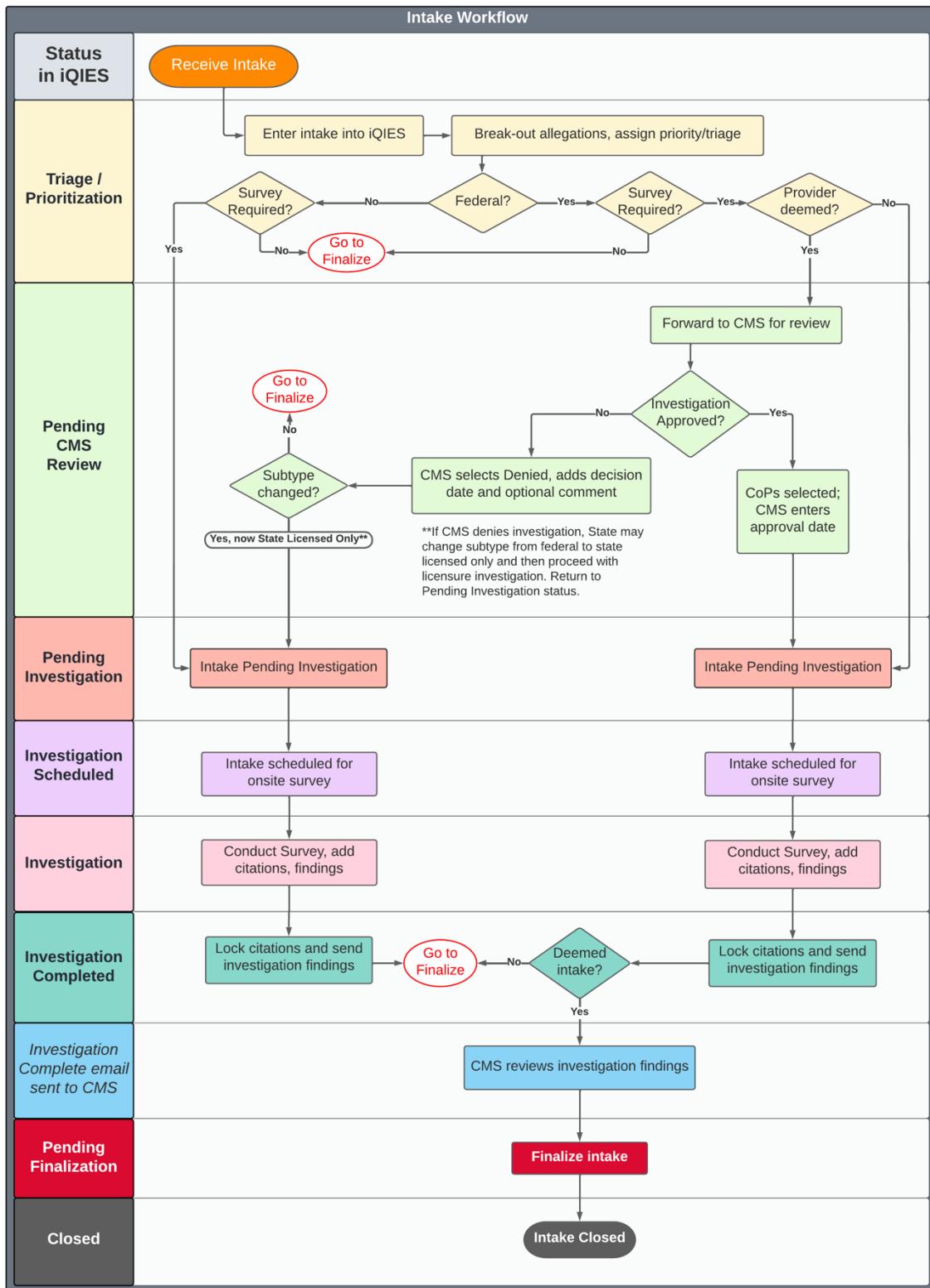
1.4.4 Click **Save** to save comments. The side menu closes.

## 2. Manage an Intake Overview

---

This manual explains how to manage intakes, from adding or searching for an intake, to intake statuses, adding Responsible Staff, parties involved, allegations, triage, adding a survey, linking an intake, changing a provider, and the investigation narrative.

The intake workflow, see *Figure 10, Intake Workflow*, shows how the intake process works from start to finish. The intake status in iQIES is shown on the left for each step of the process. Review [Intake Statuses](#), for details on each status.

**Figure 10: Intake Workflow**

## 3. Intake Statuses

There are nine statuses for intakes. Each status shows where the intake process is in the workflow. Review the status on the gray bar. See *Figure 11, Intake Status*.

|                                |  |
|--------------------------------|--|
| <b>No Investigation</b>        | <i>No investigation reason is available and triage is disabled and set to complete.</i>  |
| <b>Triage/Prioritization</b>   | <i>Intake is entered and no priority assigned</i>  |
| <b>Pending CMS Review</b>      | <i>Deemed intakes that require a survey and pending approval by CMS to conduct an onsite investigation</i><br><br><i>Status not applicable for Nursing Home providers</i>                  |
| <b>Pending Investigation</b>   | <i>Triaged intakes that require a survey, but no survey is linked</i>  |
| <b>Investigation Scheduled</b> | <i>Intake is linked to a survey record where survey status is New</i>  |
| <b>Investigation</b>           | <i>Linked survey that has at least 1 citation added</i>  |
| <b>Pending Finalization</b>    | <i>State finalization step. Contains intakes where no survey is required, or intakes where a survey was conducted and the Statement of Deficiencies <b>Date Sent</b> has been updated.</i> |
| <b>Investigation Completed</b> | <i>Citations in linked survey are locked</i>   |
| <b>Closed</b>                  | <i>Enter date SAGU completed all activities related to the intake</i>  |



*Figure 11: Intake Status*

## 4. Search for an Intake

- 4.1 Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.
- 4.2 Click **Search**. The **Search** screen opens.
- 4.3 Click the **Intakes** tab on the **Search** page. See *Figure 12, Intakes Search Page*.

*Figure 12: Intakes Search Page*

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

- 4.4 Select **Intake ID** or **ASPEN ID**, **CCN**, or **Provider Name** from the drop-down menu under **Search for Intakes**.

**Notes:**

- ASPEN is the legacy system.
- Intakes created in iQIES do not have an ASPEN ID. See *Figure 13, Intake Created in ASPEN*.

|  |                        |           |
|--|------------------------|-----------|
| VA ASC<br>1 Jeff Fuqua Blvd, Mailing Address Test, Orlando, FL 32827<br>FACID IQ00000002769885   ASC | 508264                 | Complaint |
| VA ASC<br>1 Jeff Fuqua Blvd, Mailing Address Test, Orlando, FL 32827<br>FACID IQ00000002769885   ASC | 487353<br>ASPEN 112255 | Complaint |
| Matt. H. ASC<br>123 Fake St, Fake, FL 00000<br>FACID IQ00000002755422   ASC                          | 472529                 | Complaint |

Figure 13: Intake Created in ASPEN

- There are existing intakes with ASPEN IDs that were created in ASPEN and are still in use
- **Basic Information** about the intake only shows an ASPEN ID if there is one available. See *Figure 14, Basic Information ASPEN ID*.

| Basic Information               |   |
|---------------------------------|---|
| <b>Intake Type</b>              | Complaint                                       |
| <b>Intake Subtype</b>           | Federal CoPs, CFCs, RFPs, EMTALA                |
| <b>Intake Method</b>            | No information                                  |
| <b>Intake Start Date / Time</b> | 05/16/2022 7:21 PM                              |
| <b>Tracking ID</b>              | No information                                  |
| <b>ASPEN ID</b>                 | 112255  |
|                                 | Only shows when the intake was created in ASPEN |
| <b>Sources</b>                  | No information                                  |
| <b>Summary of Complaint</b>     | test  |

Figure 14: Basic Information ASPEN ID

- 4.5 Type search criteria.
- 4.6 Click **Search**. The intake information shows below.
- 4.7 Click the intake ID to open the intake. The **Complaint or Incident Basic Information** window opens.
- 4.8 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 15, Intakes Advanced Search*.

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

The screenshot shows the 'Search for Intakes' interface. At the top, there is a search bar with a dropdown menu set to 'Intake or ASPEN ID' and a 'Search' button. Below the search bar is a link 'Hide Advanced Search' with a red arrow pointing to it. The main area is divided into three sections: 'TYPE', 'STATUS', and 'PROVIDER INFO'. Each section contains dropdown menus for 'Intake Subtype', 'Intake Status', 'Triage Priority', 'Provider Type', and 'State', all with the placeholder text 'Select...'. The entire 'Advanced Search' menu area is highlighted with a large red box. At the bottom of the interface are two buttons: a blue 'Search' button and a blue 'Reset' button.

*Figure 15: Intakes Advanced Search*

## 5. Search for Intake Parties

- 5.1 Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.
- 5.2 Click **Search**. The **Search** screen opens.
- 5.3 Click the **Intake Parties** tab on the **Search** page. See *Figure 16, Intake Parties Search Page*.

Search

Providers Surveys Intakes Enforcements CMPTS Cases **Intake Parties**

Search for Parties Involved

Parties Involved

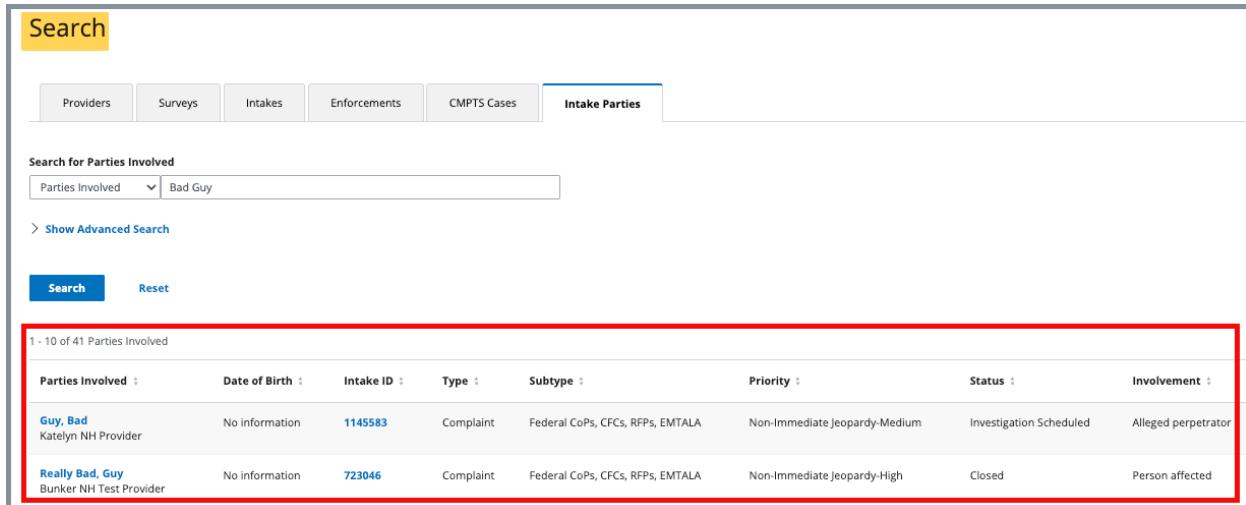
>Show Advanced Search

Parties Involved  
Intake or ASPEN ID  
CCN  
Provider Name

*Figure 16: Intake Parties Search Page*

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

- 5.4 Select **Parties Involved**, **Intake** or **ASPEN ID, CCN, or Provider Name** from the drop-down menu under **Search for Parties Involved**.
- 5.5 Type search criteria.
- 5.6 Click **Search**. The intake parties information shows below, including the **Parties Involved** and the **Intake ID**. See *Figure 17, Search Results*.



The screenshot shows the CMS iQIES 'Search' interface. At the top, there is a yellow 'Search' button. Below it is a navigation bar with tabs: Providers, Surveys, Intakes, Enforcements, CMPTS Cases, and Intake Parties (which is highlighted). Underneath the navigation bar is a search bar labeled 'Search for Parties Involved' with a dropdown menu set to 'Parties Involved' and the text 'Bad Guy' entered. Below the search bar is a link 'Show Advanced Search'. At the bottom of the search bar are 'Search' and 'Reset' buttons. The main content area displays a table titled '1 - 10 of 41 Parties Involved'. The table has columns: Parties Involved, Date of Birth, Intake ID, Type, Subtype, Priority, Status, and Involvement. Two rows are visible, both highlighted with a red box:

| Parties Involved  | Date of Birth  | Intake ID               | Type      | Subtype                          | Priority                      | Status                  | Involvement         |
|---|----------------|-------------------------|-----------|----------------------------------|-------------------------------|-------------------------|---------------------|
| <a href="#">Guy, Bad<br/>Katelyn NH Provider</a>            | No information | <a href="#">1145583</a> | Complaint | Federal CoPs, CFCs, RFPs, EMTALA | Non-Immediate Jeopardy-Medium | Investigation Scheduled | Alleged perpetrator |
| <a href="#">Really Bad, Guy<br/>Bunker NH Test Provider</a> | No information | <a href="#">723046</a>  | Complaint | Federal CoPs, CFCs, RFPs, EMTALA | Non-Immediate Jeopardy-High   | Closed                  | Person affected     |

*Figure 17: Search Results*

- 5.7 Click the links within the search results to view detailed information.
  - a. Click the highlighted name under **Parties Involved** to view the **Alleged Perpetrator** page.
  - b. Click the intake ID to open the intake. The **Complaint** or **Incident Basic Information** window opens.

5.8 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 18, Intake Parties Advanced Search*.

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

Search for Parties Involved

Parties Involved  Search

✓ Hide Advanced Search

PARTIES INVOLVED

Involvement  Select one or more

First Name

Last Name

TYPES

Intake Subtype  Select one or more

STATUS

Intake Status  Select one or more

Triage Priority  Select one or more

PROVIDER INFO

Provider Type  Select one or more

State  Select one or more

Search  Reset

*Figure 18: Intake Parties Advanced Search*

**Note:** Select the drop-down menu under **PARTIES INVOLVED** to view additional options for a search. Options include **Complainant**, **Alleged perpetrator**, **Person affected**, and **Other party**. See *Figure 19, Involvement*.

PARTIES INVOLVED

Involvement  Select one or more

First Name

Last Name

Complainant  
Alleged perpetrator  
Person affected  
Other party

*Figure 19: Involvement*

## 6. Add an Intake

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

**Notes:**

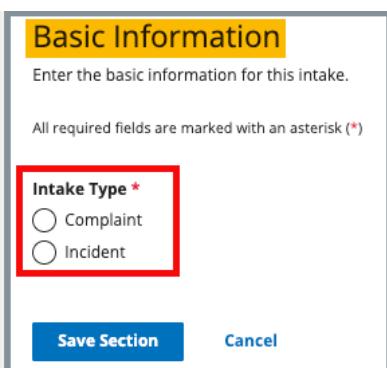
- It is also possible to click the provider from the **Basic Information** page to open **Provider History**.
- State users are permitted to enter intakes for OPO provider types; however, they are restricted from editing information beyond the basic intake details.
- An email notification is automatically sent to the Survey & Operations Group (SOG) whenever an OPO intake is created.

6.2 Click **Add Intake** on the **Provider History** page. See *Figure 20, Recent Intakes*. The **Basic Information** window opens.



*Figure 20: Add Intake*

6.3 Click **Complaint** or **Incident**. See *Figure 21, Intake Type*. A menu opens for either a complaint or an incident.



*Figure 21: Intake Type*

6.4 Fill out the information. See *Figure 22, Basic Information for Intake*.

**Note:** Nursing Home Providers will see **Receipt Date** and **Receipt Time** instead of **Intake Start Date** and **Intake Start Time** and will see an additional **External Control Number** field. See *Figure 23, Basic Information for Nursing Home Intakes*.

**Basic Information**  
Enter the basic information for this intake.  
All required fields are marked with an asterisk (\*)

**Intake Type \***  
 Complaint  
 Incident

**Intake Method**  
Select one

**Intake Start Date \***  
09/16/2024  
MM/DD/YYYY

**Intake Start Time \***  
3:09 PM  
HH:MM

**Tracking ID**  
Optional ID used by states, additional agencies, or systems.

**Sources**  
Select...

**Summary of Complaint**  
Text Editor Keyboard Shortcuts

**Intake Subtype \***  
Select one

**Save Section**

**Cancel**

*Figure 22: Basic Information for Intake*

**Basic Information**

Enter the basic information for this intake.

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

**Intake Type \***

Complaint  
 Incident

**Intake Method**

Select one

**Receipt Date \***  
MM/DD/YYYY

**Receipt Time \***  
HH:MM

**Tracking ID**  
Optional ID used by states, additional agencies, or systems.

**External Control Number**

**Sources**

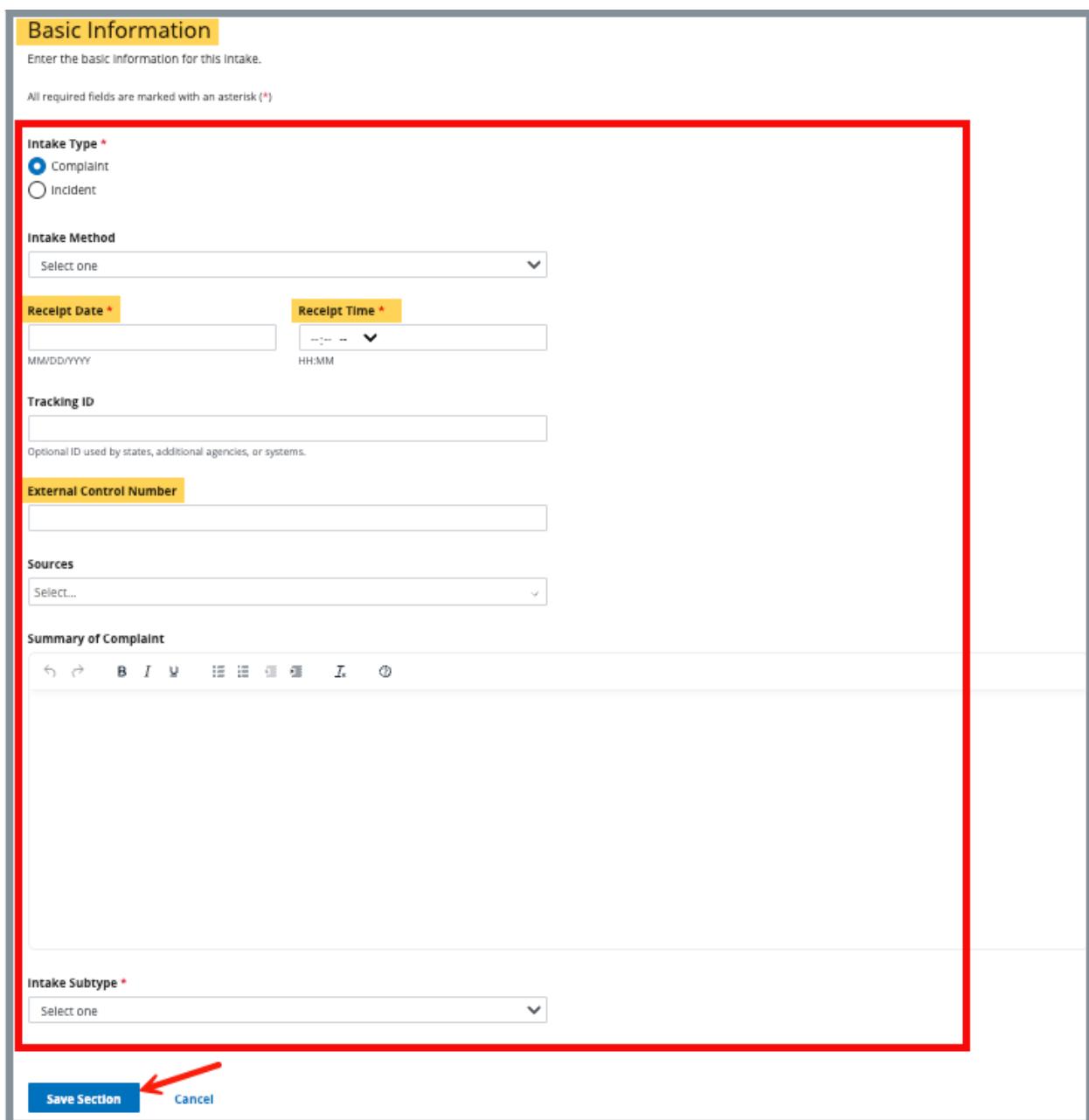
Select...

**Summary of Complaint**

**Intake Subtype \***

Select one

**Save Section**  **Cancel**



**Figure 23: Basic Information for Nursing Home Intakes**

## 6.5 Click **Save Section**.

## 7. Basic Information

**Purpose:** The **Basic Information** page gives basic information about the intake, including type, subtype, method, receipt date/time, start date/time, tracking ID, sources, and summary.

**Notes:**

- **Intake Type, Start Date/Time, and Receipt Date/Time** (Nursing Homes only) are not editable once the intake has been saved.
- **Intake Subtype** is not editable when the intake has been linked to a survey.
- **Start Date/Time** does not apply to Nursing Home providers.
- **Receipt Date/Time** is required for Nursing Home providers.
- The intake header displays a link to MDS Assessments when the intake is for a Nursing Home provider. See [MDS Assessments Link](#) for further information.

7.1 Click **Edit** to edit the **Basic Information** details. The **Basic Information** fields are now editable. See *Figure 24, Intakes Basic Information*.

**Note:** If the intake subtype is changed from non-federal to federal, and it has been marked as triage complete, the intake must be re-triaged to ensure there is adequate resident protection.

| Basic Information               |                       |
|---------------------------------|-----------------------|
| <b>Intake Type</b>              | Complaint             |
| <b>Intake Subtype</b>           | State-only, licensure |
| <b>Intake Method</b>            | No information        |
| <b>Intake Start Date / Time</b> | 03/26/2021 4:17 PM    |
| <b>Tracking ID</b>              | N/A                   |
| <b>Sources</b>                  | • Current Staff       |
| <b>Summary of Complaint</b>     | Serious stuff here    |

*Figure 24: Intakes Basic Information*

7.2 Click **Save Section**.

## 8. MDS Assessments Link

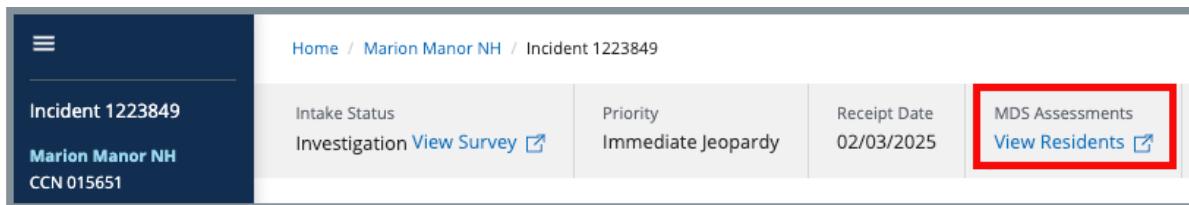
**Purpose:** The **MDS Assessments** link in the intake header provides access to records for admitted patients.

**Notes:**

- MDS Assessments link is only available for Nursing Home providers.
- Only users with appropriate permissions can view MDS Assessments.

### 8.1 MDS Assessments Link

Click **View Residents** under **MDS Assessments** on the intake header. See *Figure 25, MDS Assessments Link*. The **Manage Assessments** page opens with a list of admitted patients in a separate tab.

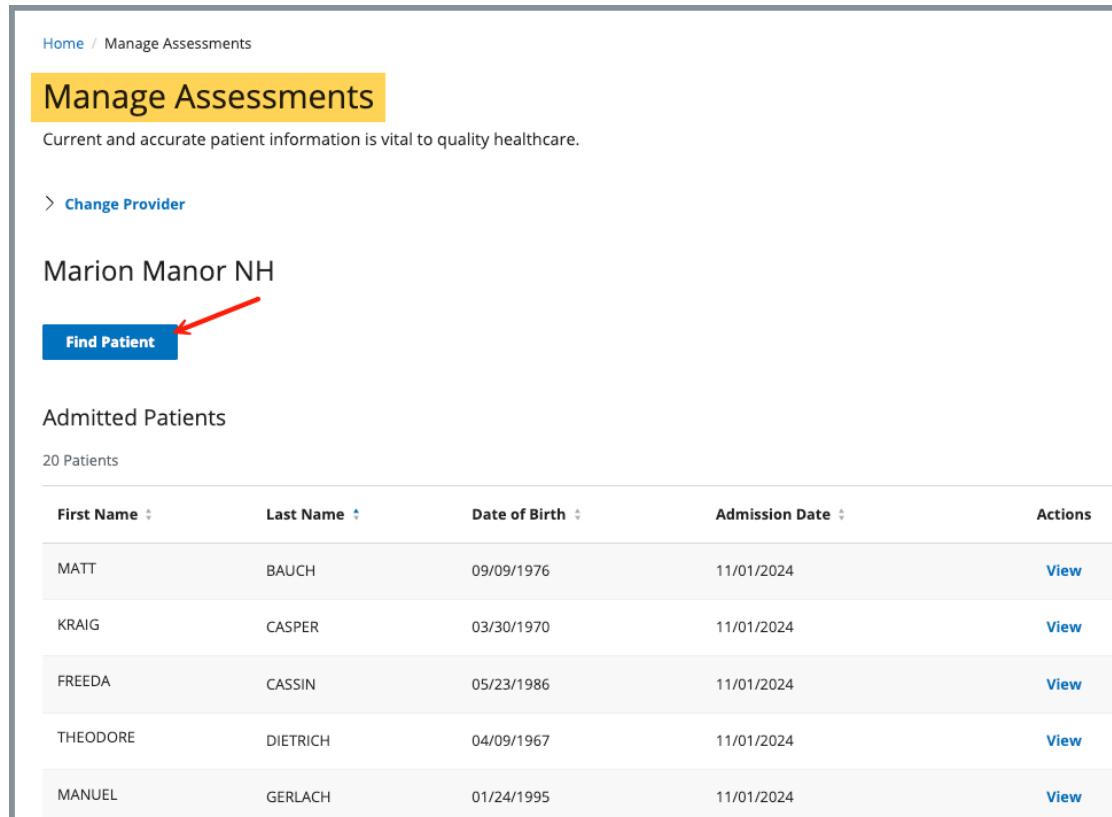


*Figure 25: MDS Assessments Link*

## 8.2 Find a Patient

8.2.1 Click **Find Patient** to find a patient within the list of admitted patients. See *Figure 26, Find Patient*. The **Find a Patient** page opens.

**Note:** It is always possible to scroll through the list of patients to view all patients.



The screenshot shows the 'Manage Assessments' page for 'Marion Manor NH'. At the top, there is a breadcrumb navigation: 'Home / Manage Assessments'. Below the title 'Manage Assessments' is a subtitle: 'Current and accurate patient information is vital to quality healthcare.' A link 'Change Provider' is present. The main content area is titled 'Marion Manor NH' and contains a 'Find Patient' button, which is highlighted with a red arrow. Below this, the section 'Admitted Patients' is shown with a count of '20 Patients'. A table lists patient details: First Name, Last Name, Date of Birth, Admission Date, and Actions (View). The patients listed are: MATT BAUCH (09/09/1976, 11/01/2024), KRAIG CASPER (03/30/1970, 11/01/2024), FREEDA CASSIN (05/23/1986, 11/01/2024), THEODORE DIETRICH (04/09/1967, 11/01/2024), and MANUEL GERLACH (01/24/1995, 11/01/2024).

| First Name | Last Name | Date of Birth | Admission Date | Actions              |
|------------|-----------|---------------|----------------|----------------------|
| MATT       | BAUCH     | 09/09/1976    | 11/01/2024     | <a href="#">View</a> |
| KRAIG      | CASPER    | 03/30/1970    | 11/01/2024     | <a href="#">View</a> |
| FREEDA     | CASSIN    | 05/23/1986    | 11/01/2024     | <a href="#">View</a> |
| THEODORE   | DIETRICH  | 04/09/1967    | 11/01/2024     | <a href="#">View</a> |
| MANUEL     | GERLACH   | 01/24/1995    | 11/01/2024     | <a href="#">View</a> |

*Figure 26: Find Patient*

8.2.2 Type **First Name** or **Last Name**, or click the caret next to **Show Advanced** for additional search options such as **Date of Birth**, **Social Security Number**, or **Admission Date**. See *Figure 27, Find a Patient Details*.

**Note:** Click the caret next to **Hide Advanced** to hide advanced search functions.

**Find a Patient**

|                               |                      |                      |
|-------------------------------|----------------------|----------------------|
| First Name                    | Last Name            |                      |
| <a href="#">Hide Advanced</a> |                      |                      |
| Date of Birth                 |                      |                      |
| Month                         | Day                  | Year                 |
| <input type="text"/>          | <input type="text"/> | <input type="text"/> |
| MM/DD/YYYY or any combination |                      |                      |
| Social Security Number        |                      |                      |
| <input type="text"/>          |                      |                      |
| Admission Date                |                      |                      |
| <input type="text"/>          |                      |                      |
| MM/DD/YYYY                    |                      |                      |

**Find Patient**

*Figure 27: Find a Patient Details*

8.2.3 Click **Find Patient**. The **Patient Results** page opens with the results. See *Figure 28, Patient Results*.

**Find a Patient**

[Show Filters](#)

**Patient Results**

| First Name | Last Name | Social Security | Date of Birth | Admission Date | Actions              |
|------------|-----------|-----------------|---------------|----------------|----------------------|
| MATT       | BAUCH     | XXX-XX-8899     | 09/09/1976    | 11/01/2024     | <a href="#">View</a> |

**View patient details and assessments**

*Figure 28: Patient Results*

## 8.3 View Patient Details

Click **View** under **Actions** next to the patient name to view patient details and MDS assessments. The patient information page opens. See *Figure 29, Patient Details and MDS Assessments* and *Table 4, Patient Details and MDS Assessments Detailed Callout*.

**Note:** The **View** option on both the [Admitted Patients](#) section and the [Patient Results](#) section navigates to the patient information page.

**MATT BAUCH**

123 Test Provider  
Test, AL 41232

**a** Patient Information

|                        |               |             |
|------------------------|---------------|-------------|
| Social Security Number | Date of Birth | Medicare ID |
| [REDACTED]             | [REDACTED]    | [REDACTED]  |
| Medicaid ID            | Sex           |             |
| No information         | male          |             |

**b** Current Provider Information

|                 |                                     |                  |        |
|-----------------|-------------------------------------|------------------|--------|
| Name            | Address                             | Agency ID        | CCN    |
| Marion Manor NH | 123 Test Provider<br>Test, AL 41232 | IQ00000004680762 | 015651 |

**c** Assessments

| Type          | Created By       | Admission Date | HIPPS Code | State    | Status                          | Actions                                      |
|---------------|------------------|----------------|------------|----------|---------------------------------|--|
| Comprehensive | Pat test.tong.so | 11/01/2024     | JDAA1      | Original | Accepted 01/02/2025 5:54 PM UTC | <a href="#">View</a>   <a href="#">Print</a> |

**Figure 29: Patient Details and MDS Assessments**

**Table 4: Patient Details and MDS Assessments Detailed Callout**

| No. | Name                                | Description  |
|-----|-------------------------------------|--|
| a   | <b>Patient Information</b>          | Shows <b>Social Security Number, Date of Birth, Medicare ID, Medicaid ID, and Sex</b>  |
| b   | <b>Current Provider Information</b> | Shows provider <b>Name, Address, Agency ID, and CCN</b>  |
| c   | <b>Assessments</b>                  | Shows assessments, <b>Type, Created By, Admission Date, HIPPS Code, State, Status</b> , and allows viewing and printing of the assessment. |

## 8.4 View Assessment

Click **View** under **Actions** in the **Assessments** section of the [Patient Details](#) page to view the assessment. See *Figure 30, View an Assessment*. The patient assessment opens.

| Assessments   |                  |                |            |          |                                 |  |
|---------------|------------------|----------------|------------|----------|---------------------------------|--|
| 1 Assessment  |                  |                |            |          |                                 |  |
| Type          | Created By       | Admission Date | HIPPS Code | State    | Status                          | Actions                                    |
| Comprehensive | Pat test.tong.so | 11/01/2024     | JDAA1      | Original | Accepted 01/02/2025 5:54 PM UTC | <a href="#">View</a> <a href="#">Print</a> |

*Figure 30: View an Assessment*

## 8.5 Print Assessment

Click **Print** under **Actions** in the **Assessments** section of the [Patient Details](#) page to print the assessment.

**Note:** The assessment downloads to the user's computer.

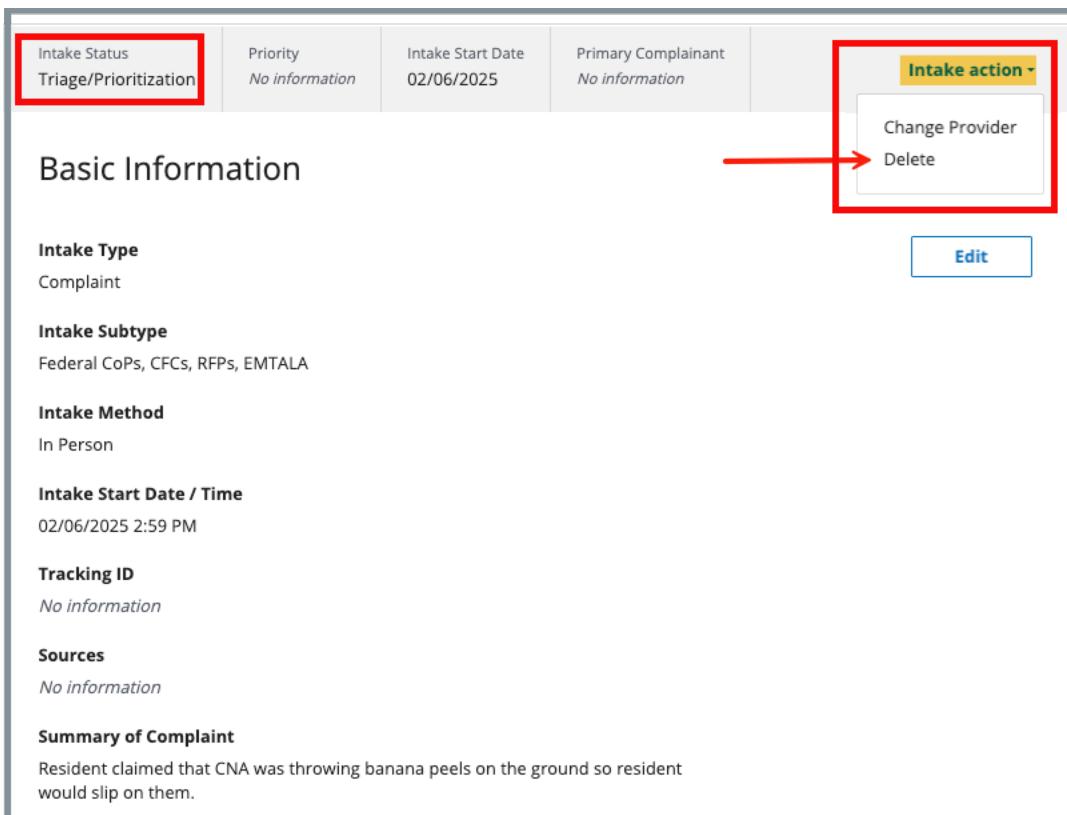
## 9. Delete an Intake

**Purpose:** To delete an existing intake.

**Notes:**

- Intake must have a status of **Triage/Prioritization**
- Only the CMS General User and the Intake Admin user roles can delete an intake

9.1 Go to the **Basic Information** page of the intake. See *Figure 31, Intake Basic Information Page*.



The screenshot shows the 'Basic Information' page for an intake. At the top, there are four fields: 'Intake Status' (Triage/Prioritization), 'Priority' (No information), 'Intake Start Date' (02/06/2025), and 'Primary Complainant' (No information). To the right of these fields is a 'Intake action' dropdown menu with 'Delete' highlighted. Below this, the 'Basic Information' section contains the following details:

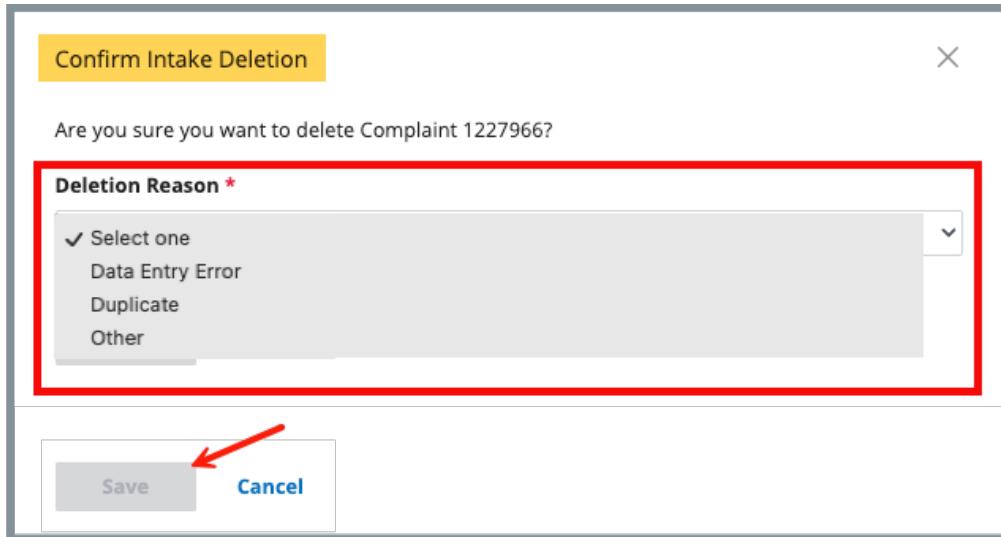
|                          |   |      |
|--------------------------|---|------|
| Intake Type              | Complaint   | Edit |
| Intake Subtype           | Federal CoPs, CFCs, RFPs, EMTALA  |      |
| Intake Method            | In Person   |      |
| Intake Start Date / Time | 02/06/2025 2:59 PM  |      |
| Tracking ID              | No information  |      |
| Sources                  | No information  |      |
| Summary of Complaint     | Resident claimed that CNA was throwing banana peels on the ground so resident would slip on them. |      |

*Figure 31: Intake Basic Information Page*

9.2 Select **Delete** from the **Intake** action drop-down menu. The **Confirm Intake Deletion** pop-up window opens.

**Note:** The **Delete** selection only appears when all conditions noted above are met.

9.3 Select the **Deletion Reason** from the drop-down menu under **Deletion Reason**. See *Figure 32, Deletion Reason*.



*Figure 32: Deletion Reason*

9.4 Click **Save**.

**Note:** Save is disabled until a reason is selected.

9.5 Verify the green notification banner confirms the intake was deleted. See *Figure 33, Intake Deletion Green Notification Banner*.



*Figure 33: Intake Deletion Green Notification Banner*

## 10. Responsible Staff

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

**Notes:**

- Responsible Staff are HARP ID users.
- One SAGU and one CMSGU must be selected as Responsible Staff for deemed providers to complete triage when CMS approval is required. This does not apply to Nursing Home providers.
- Adding Responsible Staff ensures that the appropriate individuals receive email notifications throughout the complaint process (approval, reviewing investigation findings).

10.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 34, Intakes Responsible Staff*.

| Name         | Organization | Assigned Tasks | Actions |
|--------------|--------------|----------------|---------|
| sagu_fl, Pat | State        | None           | Actions |

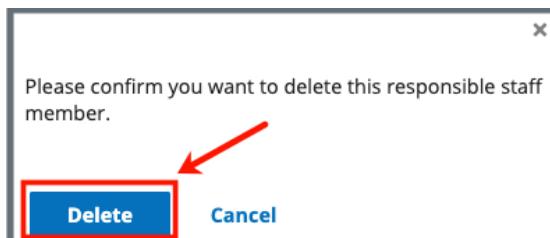
*Figure 34: Intakes Responsible Staff*

- 10.2 Click **Add Staff** to add responsible staff. The **Add Responsible Staff** page opens.
- 10.3 Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.
- 10.4 Click **Search**. The search results appear below.
- 10.5 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 select options that are greyed out.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

- 10.6 Verify the staff member was added.
- 10.7 Click **Delete** under **Actions** to delete a staff member. A confirmation pop-up window opens.
- 10.8 Click **Delete**. See *Figure 35, Delete a Responsible Staff*.



*Figure 35: Delete a Responsible Staff*

- 10.9 Verify that the Responsible Staff is no longer on the list.

## 11. 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 36, Manage Tasks*. See *Table 5, Manage Tasks Detailed Callout*.

The screenshot shows the 'Manage Tasks' screen. On the left, a sidebar lists various menu items: Home, Your Agency, Deemed-Under SA Jurisdiction, Basic Information, Responsible Staff (with 'Manage Tasks' highlighted and circled 'a'), Nurse Aide Training Ban, Sanctions, Civil Money Penalty, Appeal, Letters, Notes, and Attachments. The main area is titled 'Manage Tasks' and contains a sub-instruction 'Manage and assign tasks for your responsible staff.' Below this is a section titled 'Assign users to start managing task details.' It features a table with columns for 'Tasks' (with a dropdown menu 'a' containing 'All', 'Search tasks', and filters for 'Task', 'Due Date', 'Status', and 'Assigned To'), 'Case Review' (with a date field 'MM/DD/YYYY' and a dropdown 'To Do' set to 'Assign Staff' with a note 'Existing Comment' and a plus icon 'g'), 'Sanction/Remedy Monitoring' (with a date field 'MM/DD/YYYY' and a dropdown 'To Do' set to 'Assign Staff' with a note 'No comment' and a plus icon 'g'), and 'Send notices' (with a date field 'MM/DD/YYYY' and a dropdown 'To Do' set to 'Assign Staff' with a plus icon 'g'). At the bottom, there are buttons for 'Letters', 'MM/DD/2024', 'To Do', and 'Assign Staff'.

*Figure 36: Manage Tasks*

*Table 5: 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.<br>Click the letter icon to view an existing comment or to add a new comment.           |

## 12. Parties Involved

**Purpose:** Add new, manage, or view parties involved with the intake for the complaint.

**Note:** The **Complainant** and the **Person Affected** can be anonymous. Multiple anonymous people cannot be added.

12.1 Click **Parties Involved** on the left menu. See *Figure 37, Parties Involved*. The **Parties Involved** screen opens.

| First Name | Last Name | Involvement |
|------------|-----------|-------------|
| Eileen     | Sideways  | Complainant |

*Figure 37: Parties Involved*

12.2 Click **Add Party**. The **Add Parties Involved** screen opens. See *Figure 38, Add Parties Involved*.

Involvement \*

Complainant  
 Alleged perpetrator  
 Person affected  
 Other party

Is this person anonymous? \*

Yes  
 No

*Figure 38: Add Parties Involved*

12.3 Select **Involvement**.

12.4 Select **Yes** or **No** for Is this person anonymous?

**Note:** **Is this person anonymous?** only appears when either **Complainant** or **Person affected** is selected.

12.5 Click **Add Party**.

**Notes:**

- The **Add Parties Involved** window opens when the person is anonymous.
- The **Add Complainant** window opens when **Complainant** is selected and is not anonymous.
- The **Add Alleged Perpetrator** window opens when **Alleged perpetrator** is selected.
- The **Add Person Affected** window opens when **Person affected** is selected and is not anonymous.
- The **Add Other Party** window opens when **Other party** is selected.

12.6 Fill out the information.

12.7 Click **Save**.

12.8 Add additional parties, as necessary.

12.9 Verify all parties involved are included on the **Parties Involved** page.

12.10 Click **View**, **Edit**, or **Delete** under **Actions** to view, edit or delete an involved party. See *Figure 39, View, Edit, Delete*.

| 2 Parties Involved |           |                     | Actions  |
|--------------------|-----------|---------------------|--|
| First Name         | Last Name | Involvement         |  |
| Jon                | Valjean   | Alleged perpetrator | <a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a> |
| Anonymous Party    |           | Person affected     | <a href="#">Delete</a>   |

*Figure 39: View, Edit, Delete*

**Notes:**

- Anonymous parties can only be deleted. There is no information about them.
- A pop-up window asks to confirm a deletion.

## 13. Allegations

**Purpose:** To enter and track allegations. Each allegation must be entered separately.

13.1 Click **Allegations** on the left menu. The **Add Allegation** screen opens. See *Figure 40, Add Allegation*.

**Notes:**

- When there are existing allegations, an **Add Allegation** button is shown above the existing allegations. Click **Add Allegation** to add a new allegation.
- Nursing Home providers do not show **Allegation Findings**.

The screenshot shows the 'Add Allegation' screen. On the left, a sidebar lists various incident management tasks. The 'Allegations' option is highlighted with a red box and a red arrow points to the 'Save' button at the bottom of the main form. The main form itself is titled 'Add Allegation' and includes fields for Category, Subcategory, Seriousness (with options for Minor, Moderate, or Critical), Person Affected, Shift, Date, Time, and Allegation Details (with a rich text editor). A red box highlights the main input area of the form.

*Figure 40: Add Allegation*

- 13.2 Fill in the form with as much information possible.
- 13.3 Click **Save**. The screen populates with form information.
- 13.4 Click **Return to Allegations Overview** to add additional allegations, if necessary.
- 13.5 Click **View, Edit, or Delete** to view, edit, or delete an allegation.

**Note:** A pop-up window asks to confirm a deletion.

## 14. Triage

**Purpose:** To enter and view the triage prioritization.

14.1 Click **Triage** on the left menu. The **Triage** screen opens. See *Figure 41, Triage*.

CCN A28439  
Home Health Agency  
Non-Deemed

Basic Information  
Responsible Staff  
Manage Tasks  
Parties Involved  
Allegations  
**Triage**   (highlighted)

Letters  
Notes  
Attachments  
Investigation Narrative

**Triage**

Indicate the priority of this incident and if additional actions are required.

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

**Priority**

**Priority Level \***

Immediate Jeopardy  
 Non-Immediate Jeopardy-High  
 Non-Immediate Jeopardy-Medium  
 Non-Immediate Jeopardy-Low  
 Not Applicable

**Referral Level**

Refer Immediately  
 Refer  
 No Referral

**Survey**

**Action Required**

Survey  
 Offsite Investigation/Administrative Review  
 No Investigation

**Triage Completion**

Triage Complete

**Triage Complete Date**

MM/DD/YYYY

**Time**

--:-- --:--

HH:MM

**Save Section**   (highlighted)

*Figure 41: Triage*

14.2 Fill in the form with as much information as possible.

**Notes for Acute Care Provider Types (i.e., ASC, HHA, ESRD, etc):**

- A priority level is required.
- If a survey is required, check the **Enter calculated date** box to have the date calculated. Click **Accept Date** to accept the date. **Accept Date** populates the **Survey Due Date** box.
- The **Triage Complete Date / Time** autopopulates.

**Notes for Nursing Home Provider Type:**

- A priority level is required
  - If the **Priority Level** is **Immediate Jeopardy, Non-Immediate Jeopardy-High**, or **Non-Immediate Jeopardy-Medium**, the system selects **Survey for Action Required**.
  - If a priority level of **Immediate Jeopardy** is selected for an incident intake, the **Adequate Resident Protection** field opens. Select **Yes/No** from the drop-down menu.
- Select a **Referral Level** of **Refer Immediately** or **Refer** to add multiple referral agencies
- Additional fields open when **Refer Immediately** or **Refer** is selected.
  - Referral Agency
  - Date of Referral
  - Referral Contact Name
  - Referral Website
- The **Triage Complete Date** and **Time** fields autopopulate when **Triage Complete** is selected
- Additional comments about the intake can be made in the **Triage Comments** field.

14.3 Click **Save Section**.

14.4 Click **Edit** to edit the Triage, if desired. The **Edit Triage** window opens. See *Figure 42, Edit Triage*.

**Edit Triage**

Indicate the priority of this complaint and if additional actions are required.

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

**Priority**

**Priority Level \***

Immediate Jeopardy  
 Non-Immediate Jeopardy-High  
 Non-Immediate Jeopardy-Medium  
 Non-Immediate Jeopardy-Low  
 Not Applicable

**Referral Level**

Refer Immediately  
 Refer  
 No Referral

**Referral Agencies**

The Joint Comm on Accred for Health Care Organizations

Select...

**Survey**

**Action Required**

Survey  
 Offsite Investigation/Administrative Review  
 No Investigation

**Triage Completion**

Triage Complete

**Triage Complete Date \***

11/05/2021 **Time \*** 2:45 PM

MM/DD/YYYY HH:MM

**Survey Due Date**

Based on the priority, the federal maximum time to initiate a survey is 2 days. Enter or calculate a due date for this survey.

Enter calculated date

**Survey Due Date**

05/04/2021

MM/DD/YYYY

**Save Section** **Cancel**



**Figure 42: Edit Triage**

#### 14.5 Update the form.

**Note:** Check the **Triage Complete** box on the form to complete the triage.

See *Figure 43, Triage Completion*.



Figure 43: Triage Completion

14.6 Click **Enter calculated date**. A form opens and shows calculation dates. See *Figure 44, Calculate Date*.

**Note:** **Calculated date** does not apply for Nursing Home providers.

Survey Due Date

Based on the priority, the federal maximum time to initiate a survey is 2 days. Enter or calculate a due date for this survey.

Enter calculated date

Opens when **Enter calculated date** is checked.

**Calculate From:**

Intake start date (03/22/2021)  
 Triage completion date (04/30/2021)  
 CMS approval date (Not Available)

**Calculate Based On:**

Calendar days  
 Business days

**Days to Investigate**

2

Can be reduced to meet state requirements or for other considerations.

**Calculated Date**

05/04/2021

MM/DD/YYYY

**Accept Date**

**Survey Due Date**

05/04/2021

MM/DD/YYYY

Figure 44: Calculate Date

**Note:** The **Intake Sent Date** (automatically generated) is the date the intake was sent to CMS, if CMS approval is required. The intake may be sent more than once. In that case, it is the latest date the intake was sent.

14.7 Click **Save Section**. The screen populates with updated form information.

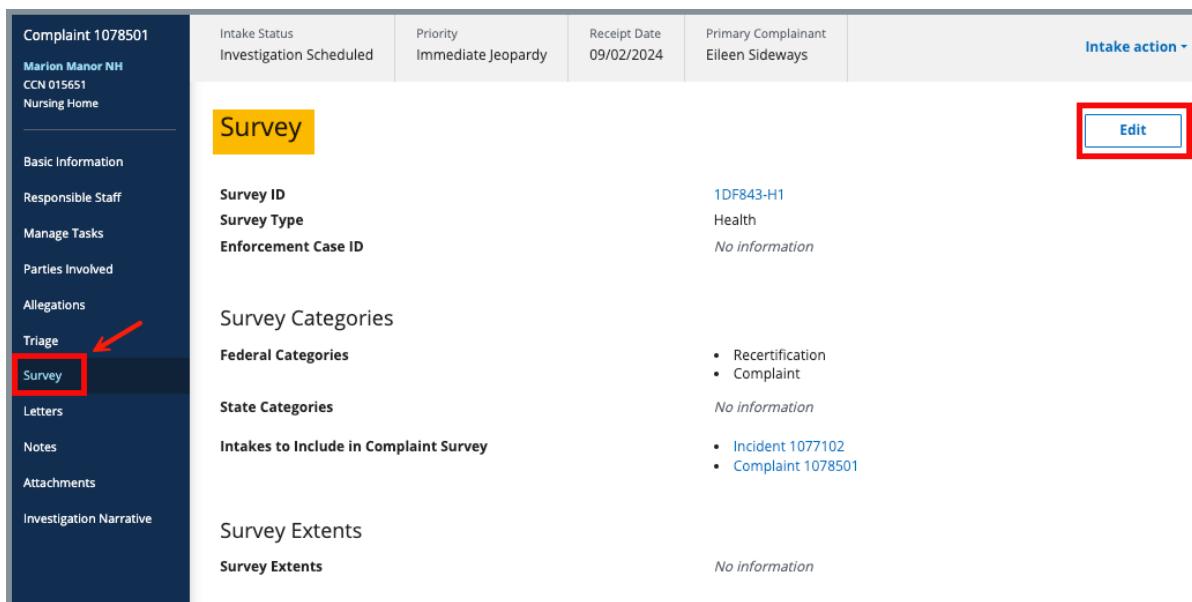
## 15. Survey

**Purpose:** To create a survey if one is required for the intake.

**Notes:**

- Triage must be completed.
- An intake can be linked to a survey when it has an **Action Required of Survey**
- A triage category that requires a survey must be selected to enable the survey tab.
- Refer to [S&C User Manual: Manage a Survey](#) for further details.

15.1 Click **Survey** on the left menu. The **Survey** screen opens. See *Figure 45, Survey*.



The screenshot shows the CMS iQIES Survey & Certification interface. On the left, a sidebar menu is visible with the following items: Complaint 1078501, Marion Manor NH, CCN 015651, Nursing Home, Basic Information, Responsible Staff, Manage Tasks, Parties Involved, Allegations, Triage, Survey (which is highlighted with a red box and has a red arrow pointing to it), Letters, Notes, Attachments, and Investigation Narrative. The main content area is titled 'Survey'. It displays the following information: Intake Status (Investigation Scheduled), Priority (Immediate Jeopardy), Receipt Date (09/02/2024), Primary Complainant (Eileen Sideways), and an 'Intake action' dropdown. Below this, there is a 'Survey' section with a yellow background, showing Survey ID (1DF843-H1), Survey Type (Health), and Enforcement Case ID (No information). The 'Survey Categories' section lists Federal Categories (Recertification, Complaint) and State Categories (No information). The 'Intakes to Include in Complaint Survey' section lists Incident 1077102 and Complaint 1078501. The 'Survey Extents' section shows Survey Extents (No information). An 'Edit' button is located in the top right corner of the main content area.

*Figure 45: Survey*

15.2 Click **Edit**. The **Survey Basic Information** page opens. See *Figure 46, Survey Basic Information*.

15.3 Click **Edit** to edit the survey, if desired.

15.4 Click **Save Basic Information**. The **Survey Basic Information** page updates.

### 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.

|  |  |
|--|--|
| <b>Federal Categories</b>  | <b>State Categories</b>                      |
| <input type="checkbox"/> Initial Certification <small> ⓘ</small>     | <input type="checkbox"/> Initial Licensure   |
| <input checked="" type="checkbox"/> Recertification                  | <input type="checkbox"/> Re-Licensure        |
| <input checked="" type="checkbox"/> Complaint <small> ⓘ</small>      | <input type="checkbox"/> Licensure Complaint |
| <input type="checkbox"/> Federal Monitoring Survey <small> ⓘ</small> |  |
| <input type="checkbox"/> Focused Infection Control <small> ⓘ</small> |  |

**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

**Open Intakes to Include in Complaint Survey \***

- Incident 1077102  ⓘ
- Complaint 1078501  ⓘ

**Regulation Sets \***

**Federal Regulation Sets**

- Emergency Preparedness (FED - E - 1.04)
- LONG TERM CARE FACILITIES (FED - F - 20.00)

[> Show Older Regulation Sets](#)

**State Regulation Sets ⓘ**

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

**Survey Status**

**Start Date ⓘ**  
06/25/2024  
MM/DD/YYYY

**Exit Date**  
MM/DD/YYYY

**Survey Status \***

- Open
- Closed  ⓘ

**Survey Due Date**  
09/06/2024

**Save Basic Information** **Cancel**

Figure 46: Survey Basic Information

## 16. Link an Intake

---

**Purpose:** To link an intake to a survey.

**Notes:**

- There must be an existing complaint intake to link an intake to a survey.
- There are two ways to link an intake to a survey, from the **Provider History** page or from the **Complaint** page.

### 16.1 Link an Intake to a Survey from the Provider History page

- 16.1.1 Click **Add Survey** on the **Provider History** page. The **Basic Information** page opens. See *Figure 47, Link an Intake Basic Information*.
- 16.1.2 Check the **Complaint** box in the **Survey Categories** section.  
**Note:** An intake must be pending investigation to check Complaint.
- 16.1.3 Select the intake to include under **Open intakes** to include in **Complaint Survey**.
- 16.1.4 Click **Save Basic Information**. The complaint is now linked to the survey.

### 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 (I)  
 Recertification  
 Complaint  
 Focused Infection Control

**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 survey extent is Standard.

**Survey Extents** (I)

Standard  
 Abbreviated  
 Extended  
 Partial Extended  
 Other

**Open Intakes to Include in Complaint Survey \***

Incident 412536 (I)

**Regulation Sets \***

**Federal Regulation Sets**

Emergency Preparedness (FED - E - 1.01)  
 HOME HEALTH AGENCIES (FED - G - 12.00)

[Show Older Regulation Sets](#)

**State Regulation Sets**

Core Licensure (ST - C - 2.04)  
 HOME HEALTH AGENCIES (ST - H - 7.02)

[Show Older Regulation Sets](#)

**Survey Status**

Start Date  MM/DD/YYYY

Exit Date  MM/DD/YYYY

**Survey Due Date**  
No information

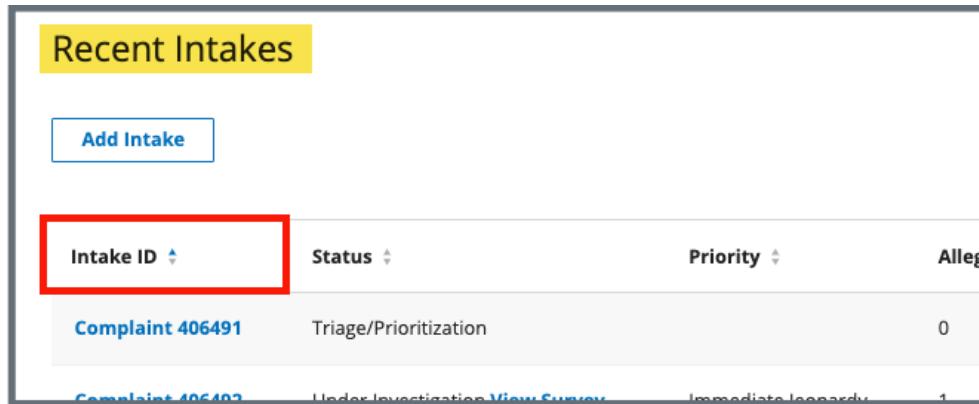


**Save Basic Information** **Cancel**

Figure 47: Link an Intake Basic Information

## 16.2 Link an Intake to a Survey from the Complaint page.

16.2.1 Select the **Intake ID** under **Recent Intakes** on the **Provider History** page. See *Figure 48, Intake ID Link*. The **Basic Information** page opens.

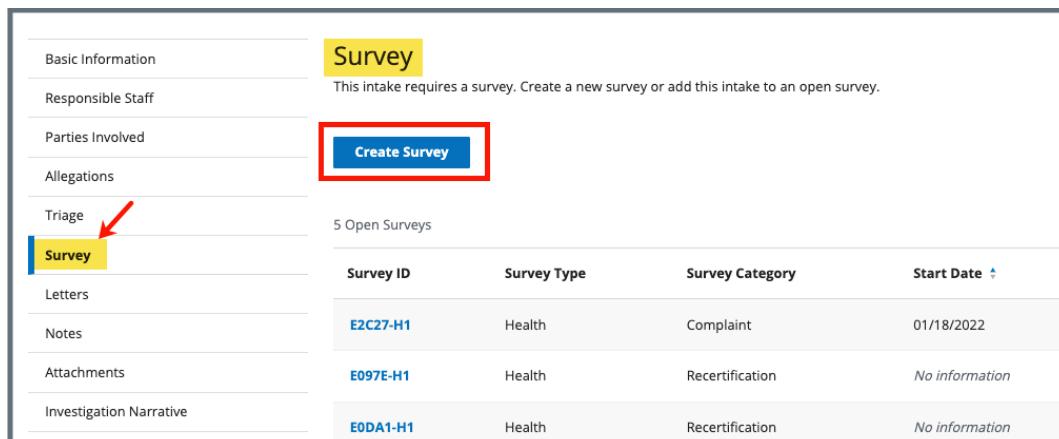


| Recent Intakes             |                       |                             |                    |   |
|----------------------------|-----------------------|-----------------------------|--------------------|---|
| <a href="#">Add Intake</a> |                       |                             |                    |   |
| Intake ID                  | Status                | Priority                    | Alleg              |   |
| Complaint 406491           | Triage/Prioritization |                             | 0                  |   |
| Complaint 406491           | Under Investigation   | <a href="#">View Survey</a> | Immediate Jeopardy | 1 |

*Figure 48: Intake ID Link*

16.2.2 Click **Survey** on the left menu. The **Survey** page opens.

16.2.3 Click **Create Survey**. See *Figure 49, Create Survey*. The **Create Survey Basic Information** page opens.



Survey

This intake requires a survey. Create a new survey or add this intake to an open survey.

[Create Survey](#)

| Survey ID | Survey Type | Survey Category | Start Date     |
|-----------|-------------|-----------------|----------------|
| E2C27-H1  | Health      | Complaint       | 01/18/2022     |
| E097E-H1  | Health      | Recertification | No information |
| E0DA1-H1  | Health      | Recertification | No information |

*Figure 49: Create Survey*

**Note:** Under **Open intakes to include in Complaint Survey**, the correct complaint intake is already selected. See *Figure 50, Open Intakes to Include in Complaint Survey*.



**Survey Extents**  
Survey extents are determined based upon the Federal Survey Category and the process of locking citations.

**Survey Extents** ⓘ

- Standard
- Abbreviated
- Extended
- Partial Extended
- Other

**Open Intakes to Include in Complaint Survey** \* ⓘ

Complaint 406492

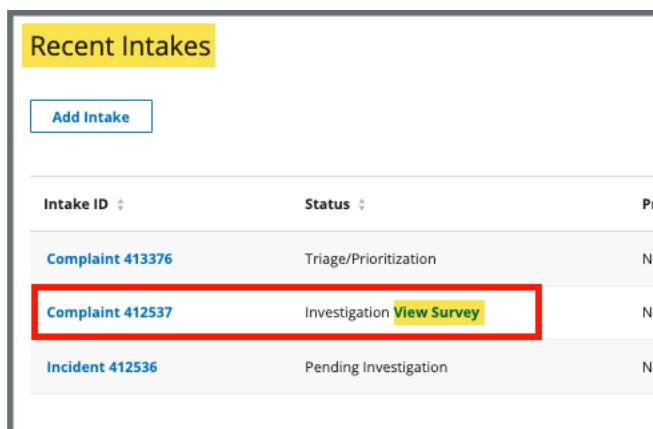
**Regulation Sets \***

**Federal Regulation Sets** ⓘ

- Emergency Preparedness (FED - E - 1.00)
- Emergency Preparedness (FED - E - 1.01)
- Emergency Preparedness (FFD - F - 1.02)

*Figure 50: Open Intakes to Include in Complaint Survey*

- 16.2.4 Fill out any other required information.
- 16.2.5 Click **Save Basic Information**. The **Survey Basic Information** page opens. The complaint or incident is now linked to the complaint survey. See *Figure 51, Linked Survey to Intake*.



**Recent Intakes**

[Add Intake](#)

| Intake ID        | Status                | Priority                    |
|------------------|-----------------------|-----------------------------|
| Complaint 413376 | Triage/Prioritization | No                          |
| Complaint 412537 | Investigation         | <a href="#">View Survey</a> |
| Incident 412536  | Pending Investigation | No                          |

*Figure 51: Linked Survey to Intake*

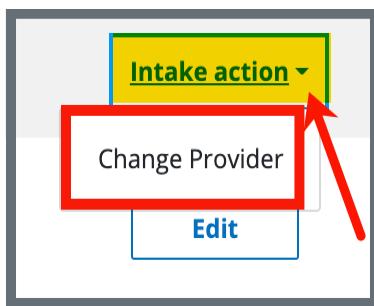
## 17. Reassign Intake to a Different Provider

**Purpose:** To change a provider on an intake after intake information such as a complaint, allegation, letters, Investigation Narrative, etc., has been added. When a provider is changed, all information entered in the intake is moved to the new provider.

**Note:** The provider cannot be changed when:

- The intake status is **Pending Investigation, Investigation Scheduled, Pending Finalization, Investigation Completed**
- The intake is included in a complaint survey
- The intake is marked as **Triage Complete**

17.1 Click **Change Provider** from the **Intake** action drop-down menu. See *Figure 52, Change Provider Drop-Down Menu*. The **Change Provider** pop-up window opens.



*Figure 52: Change Provider Drop-Down Menu*

17.2 Type the provider, DBA name, CCN or State Facility ID (FACID) to search for the correct provider. See *Figure 53, Change Provider for Complaint*.

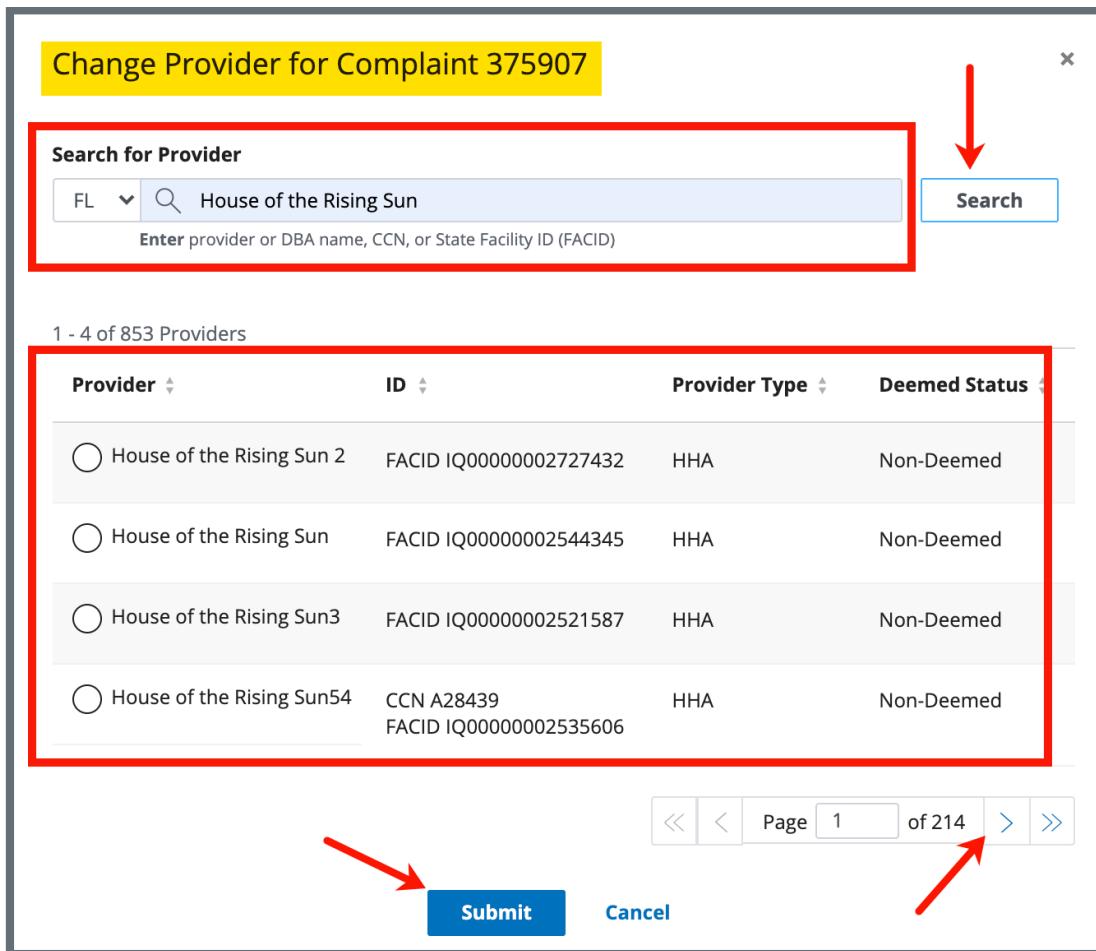


Figure 53: Change Provider for Complaint

- 17.3 Click the radio button next to the correct provider.
- 17.4 Click **Submit**. The **Changing Provider** pop-up window opens. See *Figure 54, Changing Provider*.

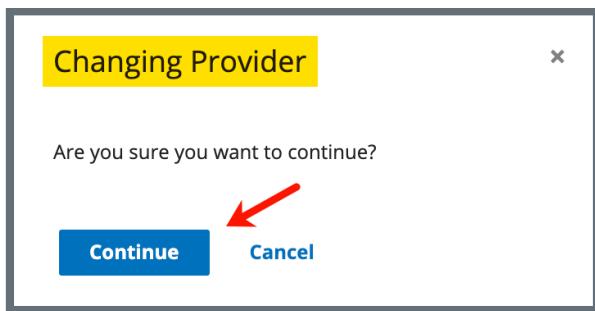


Figure 54: Changing Provider

- 17.5 Click **Continue**.

17.6 Verify the green notification banner is at the top of the screen confirming the intake provider was changed. See *Figure 55, Provider Intake Changed Green Notification Banner*.



**Figure 55: Provider Intake Changed Green Notification Banner**

## 18. Finalization

**Purpose:** To close out an intake.

**Notes:**

- Once the Statement of Deficiency has been sent, the intake status changes to **Pending Finalization** and the intake must be closed manually.
- Closed intakes cannot be modified. [Go to Reopen Intake](#) if an intake needs to be reopened.
- Intakes with an **Action Required** other than **Survey** can also be closed when the intake status is **Pending Finalization**.

18.1 Click **Triage** on the left menu. The **Triage** window opens.

18.2 Click **Edit**. Scroll down to **Finalization**. See *Figure 56, Finalization*.

Finalization

Finalized

Closed Date \*  
07/11/2022  
MM/DD/YYYY

Time \*  
12:51 PM  
HH:MM

Closed Reasons \*  
Select...  
All  
Paperwork Complete  
Withdrawn  
Referred  
No Jurisdiction  
Provider/Supplier/Lab Termination

*Figure 56: Finalization*

18.3 Check the box next to **Finalized**. The date and time automatically populate.

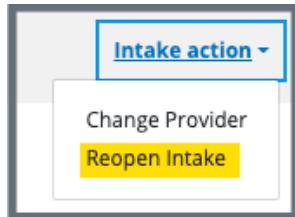
18.4 Select one or more **Closed Reasons** from the drop-down list.

18.5 Click **Save Section**. The **Intake Status** changes to **Closed**. See *Figure 57, Intake Status*.



*Figure 57: Intake Status*

18.6 Click **Reopen Intake** under Intake action to reopen an intake. See *Figure 58, Reopen Intake*. A green banner notes that the intake is reopened. The **Edit** button is now available.



*Figure 58: Reopen Intake*

## 19. Letters, Notes, Attachments

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

## 20. Investigation Narrative

**Purpose:** To add a summary of the investigation, additional notes, or other text.

**Notes:**

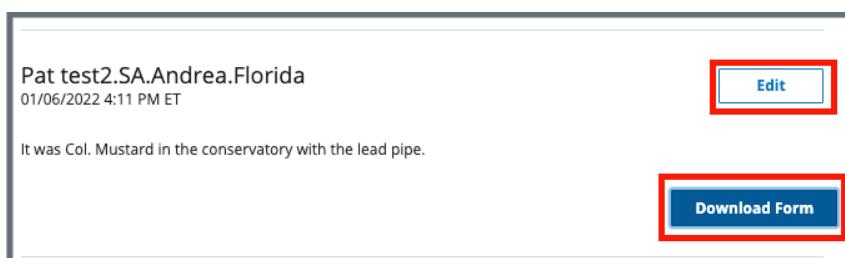
- Investigation narratives cannot be deleted once they are saved.
- Anyone can update the **Investigation Narrative**; it is not limited to the original creator.

20.1 Click **Investigation Narrative** on the left menu. The **Add Investigation Narrative** window opens. See *Figure 59, Add Investigation Narrative*.



*Figure 59: Add Investigation Narrative*

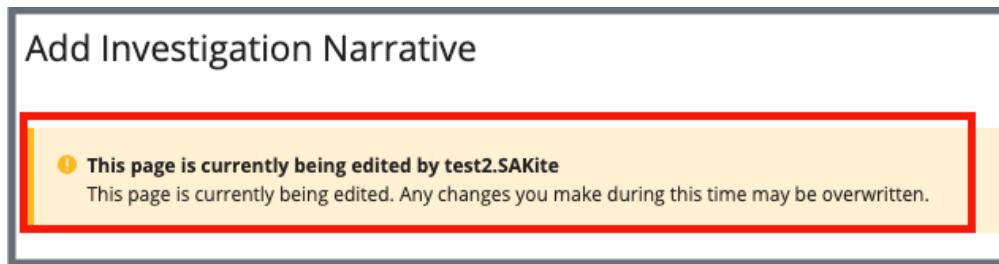
- 20.2 Type freeform text in the text box.
- 20.3 Click **Save**. The **Add Investigation Narrative** window closes. The investigation narrative shows on the intake page. It can be edited or downloaded.
- 20.4 Click **Edit** to edit the investigation narrative. Click **Save** after editing. See *Figure 60, Edit or Download an Investigation Narrative*.



*Figure 60: Edit or Download an Investigation Narrative*

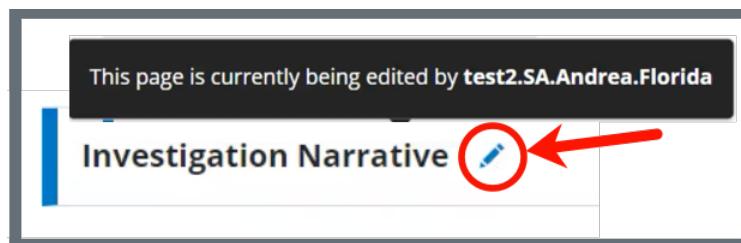
**Notes:**

- Be aware that two users can be in **Edit mode** in the **Investigation Narrative** at the same time. See *Figure 61, Concurrent Editor Notification*. One user will overwrite the other person's data. Exit **Edit mode** if either of the notifications below is shown. Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.



*Figure 61: Concurrent Editor Notification*

- A pencil icon is shown next to **Investigation Narrative** 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 **Investigation Narrative**. See *Figure 62, Investigation Narrative Pencil Icon*.



*Figure 62: Investigation Narrative Pencil Icon*

- 20.5 Click **Download** to download the narrative, if desired. The narrative downloads as a .pdf.