



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Survey and Certification (S&C) Electronic Plan of Correction (ePOC): Survey Team User Manual

Version 1.1

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1. Introduction

This user manual addresses the processes necessary to perform Survey & Certification (S&C) Electronic Plan of Correction (ePOC) functions for Survey Team members 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*.

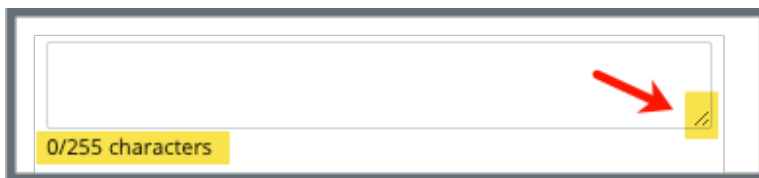


Figure 1: Expandable Field

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

- iQIES uses a smart search. Once three letters/digits are typed in the search bar, results are shown based on letters/digits entered. The more letters/digits entered, the narrower the search. If any of the results is the correct result, click the result to open.
- Review any notification banners. Some banners may have links to review further information; others may be a reminder of a task that must be completed. See *Figure 2, Notification Banner* and *Table 1, Notification Banner Color Descriptions*. These banners can be closed (X'd out) at any time.

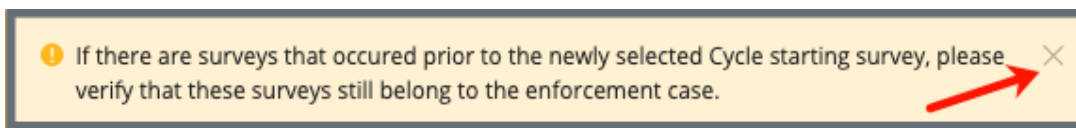


Figure 2: Notification Banner

Table 1: Notification Banner Color Descriptions

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

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

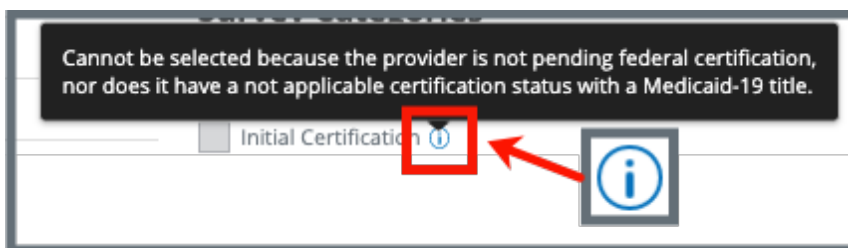


Figure 3: Tool Tip Icon

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

[Chrome](#)

[Edge](#)

1.2 iQIES Service Center

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

Assistance Accessing iQIES: Contact the iQIES 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_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, as well as an ePOC Provider Administrator role.

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

2. ePOC Process

Purpose: ePOC allows healthcare providers to submit and manage their Plans of Correction (POC) electronically in response to identified deficiencies found during surveys conducted by CMS or state agencies.

This manual shows the State Agency General User role with appropriate permissions. The Contract Surveyor, Survey Admin, State Agency Admin and CMS General User roles can also follow this procedure.

- 2.1** The Survey Team user with appropriate permissions reviews and updates the status of the citation. Review [ePOC Overview](#) for details.
- 2.2** The Provider ePOC Administrator reviews the citations, then writes a POC or acknowledges the citation and updates the citation status. Review [Provider ePOC Administrator](#) for details.
- 2.3** The Survey Team user with appropriate permissions reviews and rejects or approves the POC. Review [Reject or Approve the POC](#).

Note: This process may take several iterations before a POC is finalized.

Notifications:

Each of the survey's Responsible Staff receives an email when the provider submits each citation's plan of correction and completion date for review.

The provider receives email alerts when:

- Citations that need a plan of correction are posted
- Citations that need acknowledgement are posted
- Citation POC is rejected
- Citation POC is accepted

3. ePOC Overview

Purpose: To review the citations and select which citations need a plan of correction or need to be acknowledged by the Provider ePOC Administrator.

Notes:

- ePOC is not available until at least one citation is in **Writing Complete** status and a Provider ePOC Administrator is registered to the provider.
- The ePOC page is separate and different from the Plan of Correction Page located in the left navigation menu. Both pages must be updated independently.

3.1 Electronic Plan of Correction Overview

Click **ePOC** on the left menu. The **Electronic Plan of Correction Overview** page opens. See *Figure 5, ePOC Plan of Correction Overview* and *Table 2, ePOC Plan of Correction Overview Detailed Callout*.

The screenshot displays the 'Electronic Plan of Correction Overview' page. On the left is a sidebar with navigation options: Survey 1DF843-H1, Marion Manor NH, CCN 015651, Nursing Home, SPECIAL FOCUS STATUS, Active, Basic Information, Responsible Staff, Manage Tasks, Teams, LTCSF, Survey Prep, Initial Pool, Investigation, Resources, Citations, Statement of Deficiencies, ePOC (highlighted with a red box and arrow), Informal Dispute Resolution, Independent Informal Dispute Resolution, Plan of Correction, and CMS-1539. The main content area has a top summary bar with fields: Status (Statement of Deficiencies sent), Category (Recertification, Complaint), Start Date (06/25/2024), Exit Date (11/07/2024), Revisit Status (Required), Track Status (1DF843, 16%), and a Survey action button. Below this is a section titled 'Electronic Plan of Correction Overview' with a red circle 'a' next to the text 'Add and manage the status and dates for the Plan of Correction (POC)'. This section contains a table with columns: Provider Due Date (12/05/2024), Provider Sign Off Date, Received Date, and Status (Open). Below this is the 'ePOC Posting' section with the text 'Citations for ePOC display'. It features a table with columns: Citation ID, Reg Set, Status, Tag Type, Description, S/S, Comp (XS), Posted, Changed, and Actions. The table lists three citations: F0554, F0602, and F0610. Red circles 'b' through 'l' are placed above the table headers and data rows. A red circle 'a' is placed above the 'Add and manage the status and dates for the Plan of Correction (POC)' text.

Provider Due Date	Provider Sign Off Date	Received Date	Status
12/05/2024			Open

Citation ID	Reg Set	Status	Tag Type	Description	S/S	Comp (XS)	Posted	Changed	Actions
F0554	F - 20.00	No POC	Requirement	Resident Self-Admin Meds-Clinically Approp	D	-	Not Posted	N	Actions -
F0602	F - 20.00	No POC	Requirement	Free from Misappropriation/Exploitation	J-SQC	-	Not Posted	N	Actions -
F0610	F - 20.00	No POC	Requirement	Investigate/Prevent/Correct Alleged Violation	J-SQC	-	Not Posted	N	Actions -

Figure 5: ePOC Plan of Correction Overview

Table 2: ePOC Plan of Correction Overview Detailed Callout

No.	Name	Description
a	Add and manage the status...	Plan of Correction status and dates
b	Bulk check box	<p>Check the top box or at least two boxes to open a Bulk Actions field over the Actions drop-down menu.</p> <p>Select two or more Bulk Actions checkboxes to post the SOD of the selected citations to the facility.</p> <p>Note: The Posted date updates when Post SOD to Facility is selected, and the Status is updated to Posted.</p>
c	Citation ID	The citation ID
d	Reg Set	Regulation set number
e	Status	<p>There are 5 statuses:</p> <p>No POC The SOD is not available</p> <p>Posted SOD is available</p> <p>Submitted POC was submitted by the provider</p> <p>Approved POC is approved by the State Agency/CMS</p> <p>Rejected POC has been rejected by the State Agency/CMS</p>
f	Tag Type	<p>Citation Tag Type:</p> <ul style="list-style-type: none"> • Conditions • Standard • Licensure • Element • Memo • Requirement
g	Description	Citation description
h	S/S	Scope/Severity level

No.	Name	Description
i	Comp (X5)	Citation completion date
j	Posted	Posted date
k	Changed	Has the citation been changed? Y/N
	Actions View Details	See Actions for details on Actions menu drop-down selections.
	Actions Repost SOD to Facility	The Posted date updates when Post SOD to Facility is selected, and the Status is updated to Posted .
	Actions Remove SOD Posting	Remove SOD Posting is grayed out until the ePOC has been posted. The Posted date updates when Post SOD to Facility is selected, and the Status is updated to Posted .
	Actions Change Approval Date	The Posted date updates when Post SOD to Facility is selected, and the Status is updated to Posted .
	Actions View History	View History is grayed out until the ePOC has been posted.

3.2 Actions Drop-Down Menu

3.2.1 View Details

Note: **View Details** is grayed out until the ePOC has been posted.

Once **View Details** is selected:

- The page lands on the **Electronic Plan of Correction** page.
- The citation that is highlighted in blue in the **POC List** is the selected citation.

Note: Only posted tags show in the **POC List**.

- The **Due Date**, **S/S**, **Completion X5** and whether the citation has been **Changed** are shown.
- There are two tabs: **POC Information** and **History**. The page defaults to the **POC Information** tab. See *Figure 6, Tag and POC Information*.

The screenshot displays the 'Electronic Plan of Correction' interface. At the top, there is a navigation bar with a 'Back to POC Overview' link. Below this, the 'POC List' tab is active, showing a table of citations. The first citation, 'F0554 Resident Self-Admin Meds-Clinically Approp', is highlighted in blue. A red box highlights the 'Due Date' (11/17/2024), 'S/S' (D), 'Completion X5' (-), and 'Changed' (No) columns. To the right, the 'POC Information' tab is active, showing the 'Observation Text - Deficiency F0554 Detail'. The text describes the deficiency and the standard that was not met. A red box highlights the 'Observation Text' section. The 'History' tab is also visible but not selected.

Tag	Posted	Resident Self-Admin Meds-Clinically Approp
F0554		

Due Date	S/S	Completion X5	Changed
11/17/2024	D	-	No

POC Information | History

Observation Text - Deficiency F0554 Detail

Resident Self-Admin Meds-Clinically Approp
CFR(s): 483.10(c)(7)

§483.10(c)(7) The right to self-administer medications if the interdisciplinary team, as defined by §483.21(b)(2)(ii), has determined that this practice is clinically appropriate.

This STANDARD is NOT MET as evidenced by:

test

Figure 6: Tag and POC Information

Note: Click **View History** from the **Actions** drop-down menu to go directly to the **History** tab or just click **History** from this page. For more details, see [View History](#).

- Click **Back to POC Overview** to return to the **Electronic Plan of Correction Overview** page.

3.2.2 Post/Repost SOD to the Facility

Once **Post/Repost SOD to the Facility** is selected:

- **Citation ID** becomes a clickable link
- **Status** changes to **Posted**
- **Changed** is updated to **Y** (yes) when **Repost** is selected only

3.2.3 Remove SOD Posting

Note: **Remove SOD Posting** is grayed out until the ePOC has been posted.

Once **Remove SOD Posting** is selected:

- **Status** is updated to **No POC**
- **Posted** is updated to **Not Posted**
- **Changed** is updated to **Y** (yes)

3.2.4 Change Approval Date

Once **Change Approval Date** is selected:

- The **Corrective Actions** page opens with details about the citations.
- There are two tabs: **POC Information** and **History**. This page defaults to the **History** tab. See *Figure 7, Corrective Actions*.

Plan of Correction
Add and manage the status and dates for the Plan of Correction (POC).

[Add Plan of Correction](#) ⓘ

Due Date	Provider Sign-Off Date	Received Date	Survey	Status	Latest Complete Date	Actions
11/17/2024	No information	No information	1DF843-H1	Pending Review on 11/07/2024	No information	Edit

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Sort by: Citation ID ▼

Citation ID	Severity/Scope	Complete Date	Corrected Date	Correction Status	Needs Revisit
F0554 Resident Self-Admin Meds- Clinically Approp	D	No information ⓘ	No information ⓘ	Not Corrected	Yes
F0602 Free from Misappropriation/Exploitati on	J-SQC	No information ⓘ	No information ⓘ	Not Corrected	Yes
F0610 Investigate/Prevent/Correct Alleged Violation	J-SQC	No information ⓘ	No information ⓘ	Not Corrected	Yes

Figure 7: Corrective Actions

- Click **Edit** to update the Plan of Correction
- The citations can be sorted by
 - **Citation ID**
 - **Immediate Jeopardy**
 - **Complete Date**
 - **Corrected Date**
 - **Correction Status**
- Click the **Citation ID** to view the citation

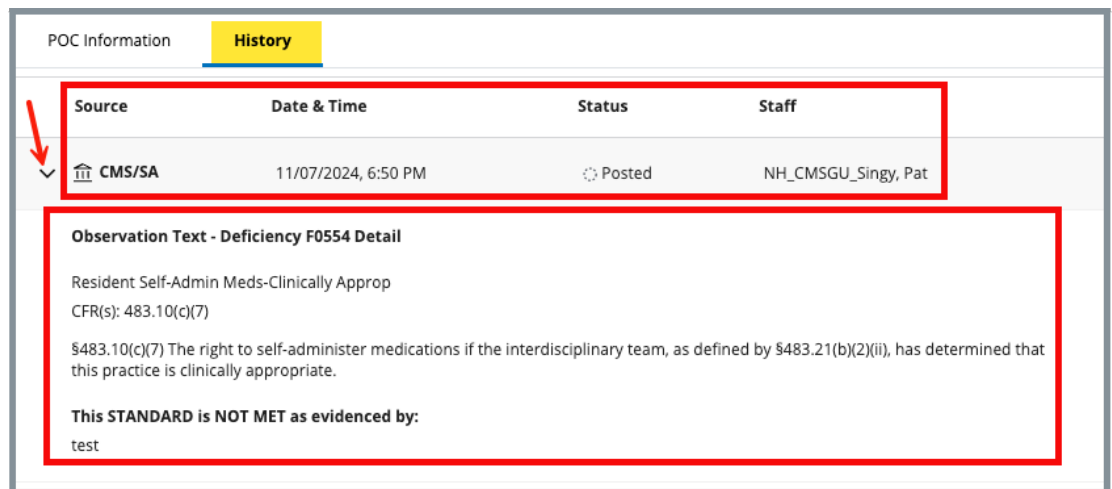
3.2.5 View History

The **History** tab shows the history of the citation and gives status, date, time and the staff member who worked on the citation.

Note: **View History** is grayed out until the ePOC has been posted.

Once **View History** is selected:

- The page lands on the **Electronic Plan of Correction** page on the **History** tab. See *Figure 8, History Tab*.



Source	Date & Time	Status	Staff
✓ CMS/SA	11/07/2024, 6:50 PM	Posted	NH_CMSGU_Singy, Pat

Observation Text - Deficiency F0554 Detail

Resident Self-Admin Meds-Clinically Approp
 CFR(s): 483.10(c)(7)

§483.10(c)(7) The right to self-administer medications if the interdisciplinary team, as defined by §483.21(b)(2)(ii), has determined that this practice is clinically appropriate.

This STANDARD is NOT MET as evidenced by:
 test

Figure 8: History Tab

Note: Click **View Details** from the **Actions** drop-down menu to go directly to the **POC Information** tab or just click **POC Information** from this page. For more details, see [View Details](#).

- Click the caret to the left of the **Source** listing to view the details about the listing.
- Click **Back to POC Overview** to return to the **Electronic Plan of Correction Overview** page.

4. Reject or Approve the POC

Purpose: To reject or approve a POC after the Provider ePOC Administrator has updated the citation.

- 4.1 Select any citation with the status of **Submitted**.
- 4.2 Click **View Details** from the **Actions** drop-down menu to go to the **Electronic Plan of Correction** page.
- 4.3 Scroll to the **Plan of Correction (POC) – Facility Response** section. See *Figure 9, Plan of Correction (POC) – Facility Response*.

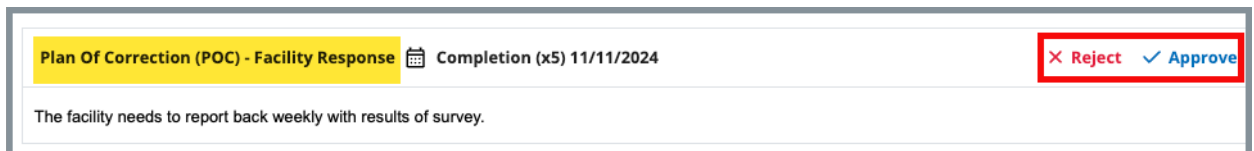


Figure 9: Plan of Correction (POC) – Facility Response

- 4.4 Review the POC.
- 4.5 Click [Reject](#) or [Approve](#). Review information below.

To Reject the POC

- a. Click **Reject**.
- b. The **Rejection Response** selections populate. See *Figure 10, Rejection Reasons*.
- c. Select as many reasons as desired.
- d. Type any message desired.
- e. Click **Publish to Provider**.

× **REJECTION RESPONSE** Draft
Publish to Provider Save Draft

Rejection Reasons

- ☐ Does not contain elements detailing how the facility will correct the deficiency as it relates to the individual.
- ☐ Does not indicate how the facility will act to protect residents in similar situations.
- ☐ Does not include plans to monitor its performance to make sure that solutions are sustained.
- ☐ POC does not indicate an acceptable completion date(s) as to when corrective action will be completed.
- ☒ POC does not indicate an acceptable Plan of Correction for the deficiency as stated.
- ☐ Requested waiver has been denied.
- ☐ Additional information is required for an acceptable Plan of Correction.
- ☐ Approval for this tag has been removed. Contact your state survey agency or regional office.
- ☐ Other.
- ☐ Revised deficiency information exists. See details.
- ☐ Does not include the policy changes and measures the facility will take or the systems it will alter to ensure that the problem does not recur.
- ☐ See additional details in letter posted on iQIES ePOC.
- ☐ Does not include any in-service to staff to reinforce policies to prevent future non-compliance.

↶ ↷ **B** *I* U

- ☰
- ☷
- ☰
- ☷
- ↶*

Last saved: 11/11/2024 6:53 PM

Figure 10: Rejection Reasons

To Approve the POC

- a. Click **Approve**.
- b. The **APPROVAL COMENTS** section opens.
- c. Click **Edit**. See *Figure 11, Edit Approval Comments*.

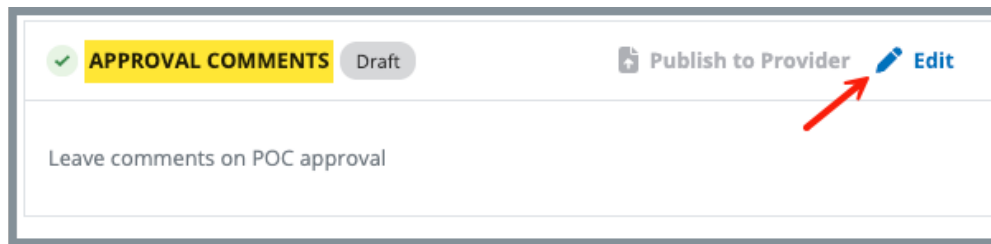


Figure 11: Edit Approval Comments

- d. Type approval comments.
 - e. Click **Publish to Provider**.
- 4.6** Click **Back to POC Overview** to return to the **Electronic Plan of Correction Overview** page.
- 4.7** Verify the citation status is updated to **Approved** or **Rejected**.

5. Letters

Purpose: To view or add a letter.

Note: Review the [S&C User Manual: Manage a Survey Long Term Care Facilities](#) for further information on Letters.

5.1 View a Letter

5.1.1 Click **Letters** on the left menu to view any letters that have been uploaded or to add an additional letter. The **Letters** page opens. See *Figure 12, Letters*.

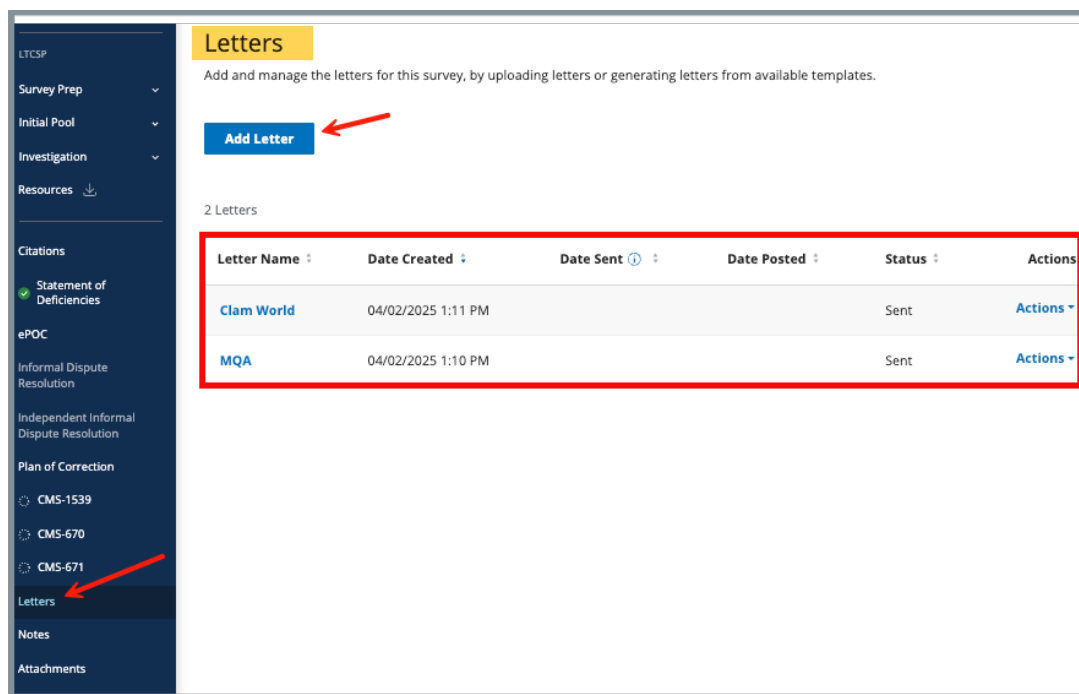


Figure 12: Letters

5.1.2 Click the letter name to view the letter overview. The **Letter Overview** opens. See *Figure 13, Letter Overview* and *Table 3, Letter Overview Detailed Callout*.

< [Return to Letters](#) **a**

Letter: Important POC Letter with Important Details

Overview **b**

Description	POC information for this survey
Status	Sent
Federal/State Licensure	Federal
Letter Category	No information
Date Created	04/16/2025 1:25 PM
Post Date	04/16/2025 2:57 PM
First Viewed	04/17/2025 11:58 AM

Attachments **c**

1 Letter Attachment

File Name	Date Uploaded	Description
Plan of Correction Backup Information.docx d	04/16/2025 1:26 PM	Important POC backup information

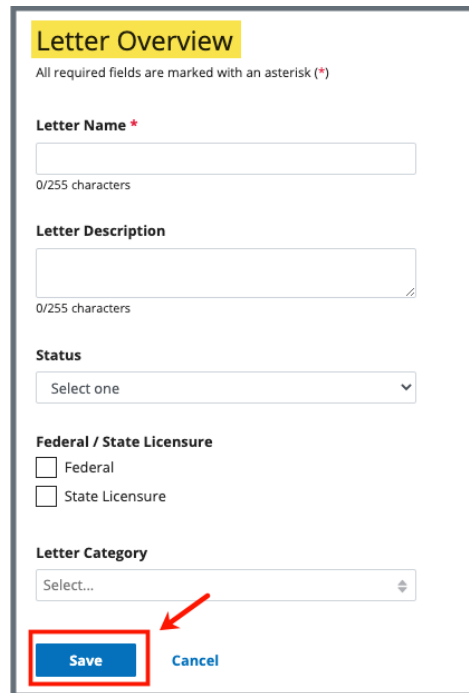
Figure 13: Letter Overview

Table 3: Letter Overview Detailed Callout

Letter	Description
a	Click Return to Letters to go back to the Letters page.
b	Overview: Detailed information about the letter, including a description, status, whether it is a federal or state licensure, letter category, the date the letter was created, posted and first viewed
c	Attachments: Shows attachments and gives details about the file name, the date the file was uploaded and a description of the attachment.
d	File Name: Click the file name to download the document. The document downloads to the Downloads folder on the host computer. This area also shows the date uploaded and file description.

5.2 Add a Letter

5.2.1 Click **Add Letter**. The **Letter Overview** window opens. See *Figure 14, Providers Letter Overview*.



The screenshot shows a web form titled "Letter Overview" with a yellow header. Below the title is a note: "All required fields are marked with an asterisk (*)". The form contains the following fields:

- Letter Name ***: A text input field with a "0/255 characters" character count below it.
- Letter Description**: A text input field with a "0/255 characters" character count below it.
- Status**: A dropdown menu currently showing "Select one".
- Federal / State Licensure**: Two checkboxes, "Federal" and "State Licensure", both of which are currently unchecked.
- Letter Category**: A dropdown menu currently showing "Select...".

At the bottom of the form are two buttons: "Save" and "Cancel". The "Save" button is highlighted with a red rectangular box, and a red arrow points to it from the right.

Figure 14: Providers Letter Overview

5.2.2 Fill out the information.

5.2.3 Click **Save**. The information updates in a new screen. See *Figure 15, Letter Attachment and Recipient*.

Figure 15: Letter Attachment and Recipient

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

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

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

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

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

6. Attachments

Purpose: To view or add an attachment.

Note: Review the [S&C User Manual: Manage a Survey Long Term Care Facilities](#) for further information on Attachments.

6.1 View an Attachment

Click **Attachments** on the left menu to view any attachments that have been uploaded. The **Attachments** page opens. See *Figure 16, Attachments* and *Table 4, Attachments*.

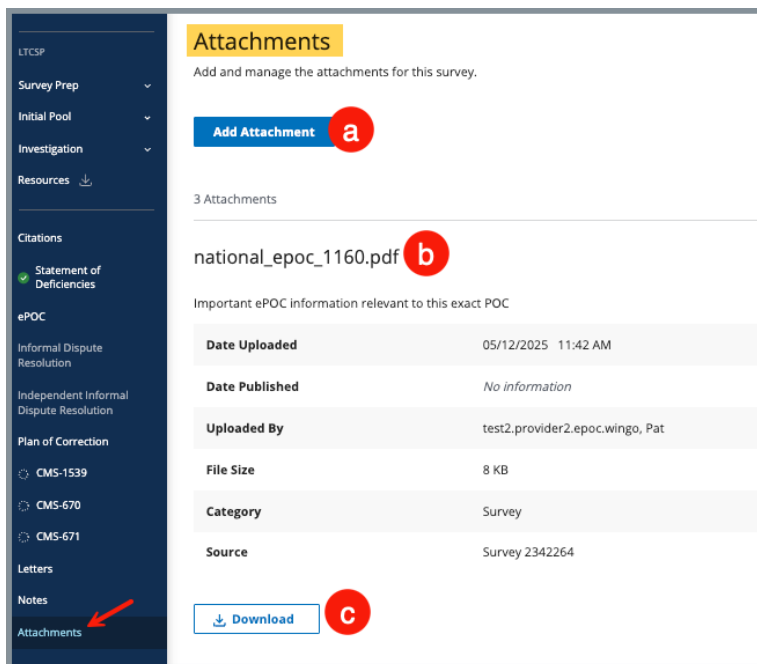


Figure 16: Attachments

Table 4: Attachments Overview Detailed Callout

Letter	Description
a	Review Add an Attachment for details.
b	View document information including the date uploaded, date published, by whom it was uploaded, the file size, category and source.
c	Download: Click to download the document. The document downloads to the Downloads folder on the host computer.

6.2 Add an Attachment

6.2.1 Click **Attachments** on the left menu to view any attachments that have been uploaded. The **Attachments** page opens. See *Figure 17, Add Attachments*.

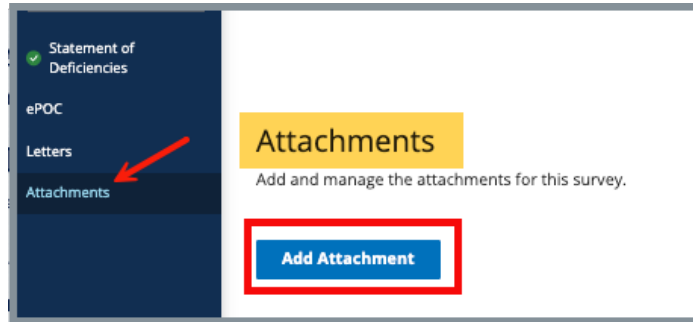


Figure 17: Add Attachments

6.2.2 Click **Add Attachment** to add an attachment. See *Figure 18, Add Attachments Overview* and *Table 5, Add Attachments Overview Detailed Callout*.

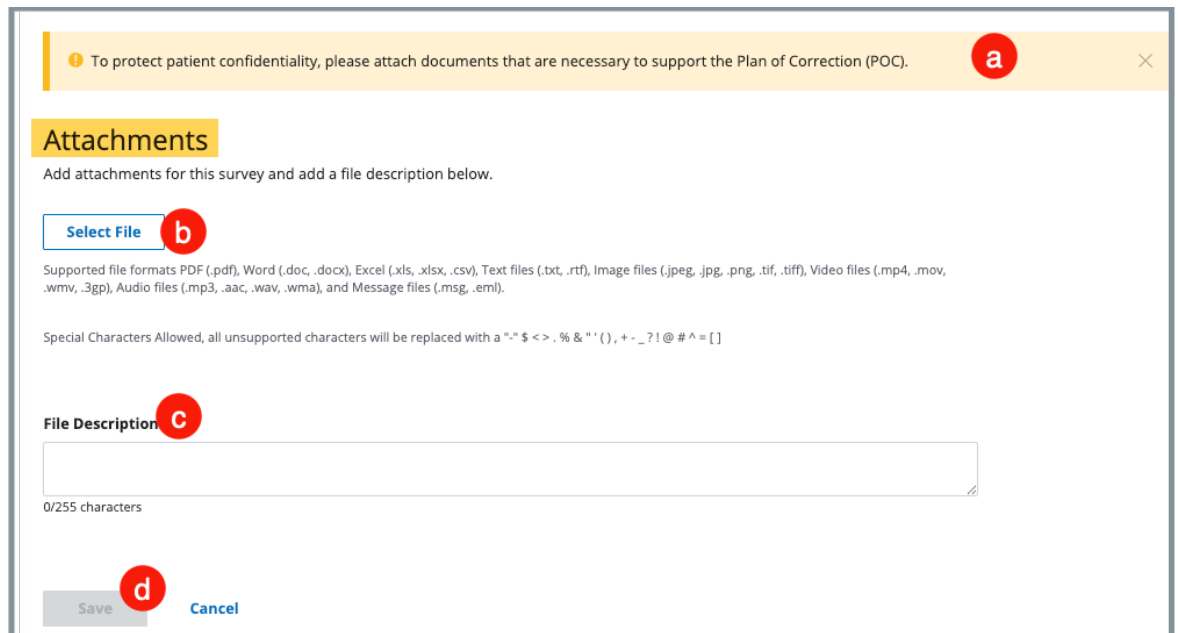
The image shows a web form titled 'Attachments'. At the top is a yellow banner with a warning icon and the text 'To protect patient confidentiality, please attach documents that are necessary to support the Plan of Correction (POC).'. Below the banner is the form content. It has a yellow header with the word 'Attachments'. Underneath is the instruction 'Add attachments for this survey and add a file description below.' There is a blue button labeled 'Select File' with a red circle 'b' next to it. Below the button is a list of supported file formats: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx, .csv), Text files (.txt, .rtf), Image files (.jpeg, .jpg, .png, .tif, .tiff), Video files (.mp4, .mov, .wmv, .3gp), Audio files (.mp3, .aac, .wav, .wma), and Message files (.msg, .eml). Below the list is a text area for 'File Description' with a red circle 'c' next to it. At the bottom of the form are two buttons: 'Save' (with a red circle 'd' next to it) and 'Cancel'.

Figure 18: Add Attachments Overview

Table 5: Add Attachments Overview Detailed Callout

Letter	Description
a	Yellow Notification Banner: This is a reminder to protect patient confidentiality.
b	Select File: Click to select the file from the computer. A window opens and it is possible to select files from the host computer. Note: Review supported file formats noted on iQIES.
c	File Description: Write a short description of the file contents.
d	Click Save to upload file. Save is disabled until the upload is selected.