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Centers for Medicare & Medicaid Services

Internet Quality Improvement Evaluation System (iQIES)

**Frequently Asked Questions from
Training Sessions and Monthly Office Hours
for HHA and ASC Provider Types**

Version 3.0

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iQIES FAQ on QTSO and CMS.gov

This document is a compilation of questions from all training sessions and monthly office hours for the HHA and ASC provider type rollouts. It is organized into sections based on question type.

Note: Please refer to the user manual and/or video tutorials for detailed instructions on how to use iQIES.

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1. LAUNCH QUESTIONS

1.1. What is the transition window for ASPEN to IQES? How long will we have access to ASPEN? Will it have a sunset date?

We do not have a date that ASPEN will be shut down.

1.2. Will other facility types be going to iQIES?

Yes. The plan is to ultimately migrate all providers from ASPEN to iQIES.

1.3. Will a roll-out schedule of license categories be posted for hospitals, nursing homes, etc.?

We do not have a schedule currently. When we can give information, we will.

1.4. Can I enter information into the ASPEN system after iQIES goes live?

No. After a provider type goes live in iQIES, you can no longer enter information for that provider type into ASPEN. The exception is for Ownership info which is still entered into ASPEN for now until that function exists in iQIES.

1.5. If we have surveys in-progress during our iQIES go-live, will the information already entered into ACO migrate to iQIES?

Yes. In-progress surveys will migrate to iQIES.

1.6. When a provider type is transferred to iQIES, what data is migrated and what do staff at the state level need to move ourselves?

In preparation for the migration, staff at the state level should update any records that they know need updating prior to the ASPEN shut-off. All Medicare and Medicaid data for that provider type will be migrated to iQIES by the iQIES team. We expect to handle all provider types in the same fashion.

1.7. Were inactive providers migrated?

Yes. You can find them if you add “closed” as search criteria.

2. CMS PROCESS QUESTIONS

2.1. Who can I reach out to if I have questions related to iQIES? Should I email all iQIES-related questions and concerns to the same email address or are there separate email addresses depending upon the issue?

Please direct all inquiries questions, comments, concerns, etc. to our Service Center by calling 1-888-477-7876 (Select Option 1) or emailing iQIES@cms.hhs.gov.

In the subject line, be specific about what the iQIES issue is so that the Service Center Team can route your issue to the appropriate team members.

2.2. What do I need to do to register for iQIES?

To begin onboarding, create an account in the [HCQIS Access Roles and Profile Management \(HARP\)](#) system. HARP is a secure identity management portal that uses Experian to remotely proof users. As part of the registration process, you'll be asked to verify your identity by entering personally identifiable information such as date of birth and social security number (SSN) and then to answer a list of personal questions to verify your identity.

After Two-Factor Authentication is complete, go to [iQIES](#) and enter your HARP credentials to complete your role request.

For a complete list of registration steps, refer to the [iQIES Onboarding Guide](#).

2.3. What happens when a surveyor does not have Internet access? Is there a standalone survey application?

For now, surveyors who lack Internet access will continue using existing paper-based processes. At some point in the future, iQIES will provide offline functionality within the survey application for surveyors in the field. However, this functionality is not available yet.

2.4. Who creates and maintains accounts for providers and state agencies?

Account creation is quite different in iQIES. State systems users will create an account through [HCQIS Access Roles and Profile Management \(HARP\)](#). State Security Officials are responsible for approving state user roles and managing local issues such as hardware. State Security Officials are not responsible for approving providers' accounts. A help desk, user manual, and training webinar recordings are available through the [QIES Technical Support Office \(QTSO\)](#). Providers do not have access to the Survey & Certification portion of iQIES.

2.5. If iQIES automatically generates a branch ID, do we still need to send branch information to our CMS location?

There is no change in the process for entering information into the system, approving branches, and creating the CCN.

2.6. What is the process if a Provider is denied?

If the provider is denied, change the **Federal Certification Status** to **Not Applicable**. Then, the state can use that record for state licensure purposes as needed.

If the provider requests a new Medicare initial certification survey, a new provider record must be created. The iQIES team will review this process for future enhancements.

2.7. Which CMS Forms are used in iQIES?

The forms included are 2567, 1572, 670, and 377 which means that there is no “packet” or “cert kit” to upload.

2.8. For Intake priorities, can we change the investigation due dates to allow for state holidays?

Yes, you can manually overwrite investigation due dates to be consistent with state holidays.

2.9. Are the business days based on state or federal business days?

Business days in iQIES are based on Federal guidelines but you can edit your state holidays to incorporate them.

2.10. Do calculated dates include state and federal holidays?

Federal holidays are included. State holidays are all different and each state can add those.

2.11. Do users have to close or finalize intakes in iQIES?

No. Users do not have to close or finalize intakes in iQIES.

2.12. Do the SAs still enter some initial AO surveys (CHAP, ACHC) or will CMS take that over?

This is not changing. Continue to use the process that is currently in place.

2.13. If we run out of CCNs for a particular state, will the CMS office request the new number/state series? How would that information get transmitted to iQIES?

iQIES automatically generates a new number/state series for the CCN. No manual request is needed.

2.14. Can providers access any of this information or is this system for state and CMS use only?

Providers cannot access this information.

2.15. Will we still use the same format for complaint/intake IDs?

The intake number has a new format to make it a unique number across all states. The old ID with the state abbreviation and leading zeroes is not generated in iQIES. The ACTS intake ID has been kept in the system.

2.16. Can we add our own referral agencies or is this only for accrediting agencies? Each state might have different ones.

The referral agencies were not brought over from ASPEN. This is currently being worked by the development team.

2.17. How are complaints that would go to the Accreditation Organization be captured in iQIES?

The entry is the same as you would treat them in ACTS and, at this time, referrals will continue outside of the system.

2.18. What is the process for state agencies to close accounts in iQIES? In ASPEN, if the agency is certified, we would upload a C&T. Is the process the same in iQIES?

To terminate a certified provider record, you must coordinate with your contact at the CMS Location to have them terminate the provider. That coordination can be done by email, phone, or other mechanism outside of iQIES. Updating the status is done under Provider > Basic Information > Certification and Licensure.

We will be adding communication functionality in future.

2.19. How is the CMS-2567 sent? In ASPEN, it is sent automatically once it is locked.

The CMS-2567 must be sent outside of the iQIES system at this time. The ASPEN ePOC system was for nursing homes only, and we will review an ePOC system for all provider types as we consider the nursing home development.

2.20. Does the SA get an alert once CMS has certified (or terminated) a facility?

Not currently. This type of feature will be added in the future, and until then, it is important to follow-up with your CMS/SA reps when working on certifications, terminations, deemed intakes, etc. through email, phone, etc.

2.21. Are providers entering their data, such as corrective action dates, POC's for review?

No, providers do not have access to that information. It would still need to be entered into the system by the state agency.

- 2.22. Since iQIES has only HHAs and ASCs with CCN#, who enters new provider information in iQIES (for those seeking certification) after licensure applications have been approved...State or CMS staff?**

You should consult with your CMS location.

- 2.23. Who creates the new provider record in iQIES and when should that happen?**

A provider should be created in iQIES before certification so that you can associate the Initial Certification and track the process. Once complete, CMS changes the provider's status from Pending Certification to Certified.

- 2.24. Is the RO notified automatically when a federal intake is created for deemed agencies? If so, is there a notification or prompt to alert the SA when an approval is received from the RO?**

Any CMS users added to Responsible Staff will be notified when the Intake is Pending CMS approval. If CMS users are not added to Responsible Staff, they will not be notified. When CMS approves, any State Agency users added to Responsible Staff will be notified that the approval is complete.

- 2.25. How are the state agencies to know who at CMS to designate as the Responsible Person for a survey?**

You should coordinate with your CMS Location to identify who this will be. The CMS person could also add themselves as needed.

3. USER ROLE QUESTIONS

- 3.1. Can the same user be registered for multiple roles in the iQIES System?**

You can request multiple roles within the same User Category (i.e., a state agency user could request the State Agency Security Official (SASO) role and the State Agency General User (SAGU) role). A security official must approve all user roles.

- 3.2. After a user has requested a role and been approved in iQIES, do they need to resubmit a user role request for each provider type rollout in the future?**

No, they don't need to submit a user role request for each provider type that is rolled out. Once you're in for one provider type, you're in for all provider types as long as you still have your HARP ID.

- 3.3. Does iQIES allow surveyors to make Enforcement recommendations or add remedies? Have these functions been limited to only supervisors/Quality Assurance (QA) persons, since this is beyond their scope?**

Anyone that is a State Agency General User can do this.

3.4. Who is allowed to add a Provider?

State Agency General Users and CMS General Users (CMSGU) can do this.

3.5. Are HFENs (nurses or surveyors) classified as State Agency General Users?

Yes. They are State Agency General Users.

3.6. When I request a role in the training system, I keep getting message saying, “Role Request Cannot be Submitted. A Security Official role is required for your organization in order to submit and approve role requests.” What do I do?

Your state needs to select a security official.

3.7. Who has permission to create and modify letter templates?

State Agency General Users (SAGU) can create and modify letter templates for their State. CMS General Users (CMSGU) can create and modify letter templates for all CMS locations.

3.8. Who can unlock a citation?

A user with the General User role can unlock citations, however only members of the QA Team or the original authors of the citation(s) can edit citations.

4. TRAINING QUESTIONS

4.1. I’m new to iQIES, where can I find the training?

The iQIES Team has developed video tutorials to provide an overview of the S&C Provider, Survey, Intake, and Enforcement Modules, S&C New User Orientation, and S&C Reports.

These video tutorials can be accessed on the secured login side of the [Quality, Safety & Education Portal \(QSEP\) website](#) under the recommended Post-Basics Training section. These tutorials are to be used for staff training related to iQIES functionality and are not mandatory. Each module covers a different topic within the S&C process.

Additionally, there is an iQIES Reference and Manuals section of the [QIES Technical Support Office \(QTSO\) website](#) that contains the following information:

- User Manual
- Onboarding Guide
- Quick Reference Guides/Job Aids

4.2. What's the difference between QSEP, QTSO, and iQIES?

The Quality, Safety & Education Portal (QSEP) is the CMS surveyor training website.

The QIES Technical Support Office (QTSO) is the QIES/iQIES repository for reference and supporting materials for each system.

iQIES is the new cloud based, Internet system that is going to replace QIES, including ASPEN.

4.3. How do I log into the training environment?

Refer to [iQIES Training Environment Access Instructions for State Agencies and Regional Offices](#) for details on how to register and then access the training environment.

***Important:** Your HARP login works for both the production and training environments. It is critical that you remain aware of which environment you are in at all times to avoid inadvertently altering live data.*

4.4. Is my login the same for the production and training site?

Yes. Your login credentials for both sites are controlled by your HARP access.

4.5. Is there a procedure manual for this new process?

Yes. You can find the [iQIES S&C user manual](#) on QTSO.

4.6. Currently we only have permission to pull data via the ODB for Kentucky. When will the data for our own states be available on the iQIES training site?

The training site has no real data. It only has an assortment of sample data that you can use for testing and learning.

4.7. Can I create an LSC survey for an existing provider on the training site? It only allows me to enter health survey information and I want to practice creating LSC survey information and findings.

You'll first need to make sure that the provider has at least one building associated to it. Then, you should be able to create an LSC survey for that provider.

4.8. What process should we follow to get CMS to approve things in the training environment so that we can move through the workflow from new facility to initial survey to recertification survey?

Send an email to the Service Center at iqies@cms.hhs.gov asking for the provider in UAT to be certified so you can proceed through the workflow.

4.9. Will the Training Environment sandbox be available after the go-live?

Yes, it will remain available. We will continue to use it for training as new features are rolled out. It will not go away.

5. GENERAL SYSTEM FUNCTIONALITY QUESTIONS

5.1. When something is deleted in iQIES, is there a history logged for these items?

Yes. For auditing purposes, iQIES keeps a log of items that are deleted. If you have questions, please contact the Service Center.

5.2. How long does it take for the system to “time out” or go idle after there’s been no activity?

The time-out duration is 15 minutes. Your session remains active while you are actively working (i.e., typing, clicking, etc.). When you stop working, the 15-minute timer starts. If you do not resume working in iQIES within that 15-minute window, you’ll be logged out and any unsaved information will be lost. Currently, there is no autosave feature.

5.3. Is there a place to read the regulation and interpretive guidelines? Are there previous cites for regulations?

Above the **Findings** text box, there is an arrow pointing to **Show Regulation Text and Interpretative Guidelines**. Click the arrow or text to expand the regulation text. Previous cites are currently unavailable.

5.4. Does iQIES allow for copy & paste in all text fields (i.e., citation text)?

Yes, you can copy and paste anything into the text fields.

5.5. Are state regulations also in iQIES?

Yes. State citations are available for Federal HHA and ASC facilities.

5.6. Is the iQIES ID unique by state or nation?

The iQIES ID is unique by nation.

5.7. Is there a way to search for users or complaints only in the region or state you work in?

Yes. Your search results are automatically filtered to show only the users and complaints from your state. You cannot filter by CMS location or State Region.

5.8. Does iQIES require VPN or other secured connection?

No. iQIES does not require a VPN or secured connection because of the two-factor authentication and built-in security for PII/PHI.

5.9. Does this system default to the correct font size?

Because this system is web-based, you can change the magnification of your browser just as you would for any other website.

5.10. Is grammar and spell check built in?

Currently, there is no spelling and grammar check built into iQIES. To enable these features in your browser, please refer to your browser's help file. Browser extensions such as Grammarly seem to interact with iQIES.

5.11. As we enter certification information, what is the process of getting the information from iQIES to CMS' national systems?

There is no upload process in iQIES. The system is web-based and viewable in real time.

5.12. Is the 200 MB file size limit per attachment or per record?

It is 200 MB per attachment.

5.13. Currently in ASPEN, I can set my view to only look at facilities for one provider type. Can I do that in iQIES?

Yes, you can do this in the Advanced Search. There, you can select Provider Type/s.

5.14. Can we track IDR information in iQIES? Where is it entered?

Yes, you can enter IDR information into the survey when the survey has its status set to **Statement of Deficiencies Sent**. To find the IDR section, select the affected survey and click Informal Dispute Resolution on the left menu.

5.15. If I add a note, can someone else change it or delete it?

No, they cannot. You can only edit and delete your own notes.

5.16. Is there a notes section for users if edits or changes are made and why someone is making those changes? Is there an option to see who made the last edit or change to a provider's account/record?

There will be auditing functionality in iQIES in the future. In the interim, the Notes section in each component (Providers, Surveys, Intakes, Enforcements) is a good place to document changes that are made. Unlike ASPEN, iQIES breaks out each note separately, and shows the user who made the note and the date/time it was made.

5.17. I am an RO surveyor and float to other regions. Will RO have access to all states?

Yes. A user with the CMS General User role is not tied to a specific CMS Location so they will have (access to data in all CMS locations).

6. PROVIDER QUESTIONS

6.1. How are CCNs assigned in iQIES and are they state specific?

All CCNs in iQIES are auto generated. The CCNs are state-specific and identified by the first 2 numbers of the CCN.

6.2. Do voluntary terminations for an HHA or ASC Provider have to be done within iQIES?

Yes, voluntary terminations must be done in iQIES.

6.3. Where in iQIES would a user amend the certification date?

The certification dates are based on the end date of the last recertification survey. CMS can change the original participation date if needed.

6.4. Can I enter information for both Medicare and Medicaid?

Yes. On the **Certification and Licensure** tab in the **Provider Details**, you can **Edit** the information by checking the **Title-18 and/or Title-19** box.

6.5. Can an active branch be terminated, and if so, will the record be maintained?

Yes. Users with permission can terminate a branch. Information from terminated branches is retained.

6.6. Can we assign CMS Certification Numbers from iQIES?

Yes.

6.7. Does the system assign FAC IDs?

Yes, but the FAC ID can be changed. We recommend that you contact the Service Center if a state FAC ID change is needed.

6.8. Under Provider - Certification & Licensure, can we edit the State Facility ID under additional information? iQIES generates a number automatically and it reappears even after we have attempted to put in a new 4-digit number.

If you need to make a state FAC ID change, please contact the Service Center to let them know. For purposes of patient assessment submissions, the FAC ID should remain, but they can make the appropriate changes on their end if that number needs to change.

6.9. For address 1 and address 2, is one for the physical address and one for the mailing address or does that part matter/differ?

These fields pertain to the physical location of the provider. Address 1 is the street address (e.g., 123 Main Street) and Address 2 is the apartment, suite, unit number, or other similar designation. (e.g., Suite 402).

6.10. Can the state in the mailing address field be different than state for the State Agency?

Yes.

6.11. In ASPEN, one of the addresses is defined (or should be) as primary. This simplifies reporting. Please clarify how an address or contact info (or similar) is defined as primary if there is more than one entry.

The address entered on the Basic Information tab is considered the provider's primary address.

6.12. How often does the system update addresses with the USPS? The building address changes seem to take a long time to update.

iQIES does not update addresses based on the USPS. You can update any building information in real time in iQIES.

6.13. At what point during the Add a Provider function is the CCN generated? SA usually enters a new provider prior to completion of the initial certification survey and receipt of required documentation.

After the state adds a provider and the initial certification information, a CMS user can update the Certification and Licensure section for that provider by changing their federal certification status to certified. This is the point at which the system automatically assigns the next available CCN.

6.14. Is data that is currently entered into the Notes field in a provider record in ASPEN carried over into iQIES? If so, where would that information be stored?

We will have to migrate that information when we have that functionality in iQIES.

6.15. What if a facility is deleted by mistake? Can it be restored?

You would need to contact the service desk until that function is available in iQIES.

6.16. Since ACTS will no longer be available, would we use iQIES to enter state only/licensing intakes for certified HHAs and ASCs?

All information about certified HHAs and ASCs – including licensure but excluding Change of Ownership – should be entered into iQIES.

6.17. What does the Deemed Status code 3 *Under SA Jurisdiction* mean?

This applies to deemed facilities that are under State purview due to noncompliance with at least one Condition of Participation/Condition for Coverage from a previous survey.

6.18. Can I view the AO Survey Date or the AO Drop Date for deemed and recently dropped AO providers?

This is in the Provider Details under the **Deeming Information** in the left menu.

6.19. How do I close a building that has deficiencies tied to it?

When you edit a building, you can enter the **Closed Date** which marks it as closed rather than deleting it.

7. SURVEY QUESTIONS

7.1. If I start a survey in ACO but do not finish before iQIES rolls out, where will I finish it?

Partial surveys are migrated to iQIES. You must finish the survey within iQIES. The best practice is to try to complete all surveys before your iQIES rollout.

7.2. Can multiple surveyors be in the same survey at the same time? Will we run into any issues with 8 different surveyors writing tags for the same survey?

Yes. The citation management functionality in iQIES allows multiple team members to add tags and create citation text for the same survey simultaneously. If multiple surveyors add findings for the same citation, a merge function allows the team coordinator to combine that work.

Important Note: Be aware that two users can be in Edit mode at the same time for the individual citation findings, merged citation findings, the Deficient Practice Statement, and the Investigation Narrative. You should exit the Edit mode if you see a notification that the page is being edited by someone else because your work may be overwritten.

7.3. If different surveyors are writing on the same tag number, does the system identify who wrote which part of the citation?

They are saved as separate citations.

7.4. Does the program's QA person have to be added to each survey to view the writing?

To view, they should not need to be added to the survey. However, to edit the findings, the QR person would have to be added as part of QA Teams.

7.5. Does iQIES include a component for electronic plans of correction (ePOC) for all provider types?

Yes, although ePOC will not be available until a later release. The iQIES development team does not have a confirmed date for this functionality. However, we anticipate ePOC being available with the iQIES rollout for long-term care nursing homes, and once available, ePOC capabilities will be available for all provider types.

7.6. Will “Offsite” be added as an option for Survey Extents?

In iQIES, the offsite option has been moved out of the survey extents and currently appears in two places:

- As an option for any licensure follow-up survey
- On any federal revisit survey with no condition-level citations on the preceding survey

7.7. Isn't the exit date the same date of when the survey is completed? If so, then you should not be able to enter a date in the Survey Exit date until the survey is completed, right?

ASPEN required both a **survey start** and **exit date** to create a new survey. Both fields are optional in iQIES but must be entered before citations can be locked and finalized.

7.8. What is the maximum number of characters allowed for a citation finding or deficient practice statement?

There is no limit to the number of allowed characters.

7.9. Does iQIES have a supervisor feature for the instances when a surveyor has an unexpected absence (i.e., ill) and the citation needs to be corrected?

Yes, the QA Team feature fulfills this need. It allows others to enter information about the survey.

7.10. Can users see AO citations in iQIES?

No, AO citations are not available in iQIES.

7.11. How do I enter the 1572 for a survey done by the AO?

Currently, you can enter the 1572 information for a deemed provider by adding a new certification survey with the same dates as the AO survey. This is only temporary, and we are working on a more permanent solution to properly track the AO-related information.

7.12. If more than one surveyor is working on the same tag within a survey, is there a way to choose whose text is above or below the other?

Yes. When using the Merge feature, you can see and review citation text for all surveyors and use arrows next to the text to rearrange the order before finalizing the merge.

7.13. Can you add a POC due date and save without having an actual POC received yet?

Yes.

7.14. Is there a limit of people allowed to work in the same survey at the same time? Will each person's information be saved and viewable to others?

iQIES offers a merge function so everyone's text is seen after it is done. The team coordinator must perform the merge process. The Team Lead can rearrange the order of the text using arrows next to the text before finalizing the merge. There is no limit to how many people are in the survey at one time.

7.15. Is it possible to authorize a revisit without accepting a POC?

Yes, in iQIES this is possible. You can create a revisit from the **Survey action** link in the gray information bar at the top of most pages, but you cannot create it from within the POC screen.

7.16. Can you attach the POC document in iQIES?

Yes. It can be downloaded and added as an attachment.

7.17. Can other states see attachments in survey records?

No

7.18. Can a State Agency General User (SAGU) delete attachments from surveys? Can they delete attachments that they did not associate with that survey? If attachments can be deleted, can they be recovered?

Yes, a State Agency General User can delete attachments from surveys. If you need to recover a deleted attachment, submit a Service Center ticket.

7.19. Can deleted citations be recovered?

No, deleted citations cannot be recovered at this time.

7.20. What is the purpose of locking a citation when any SAGU can then unlock it?

Locking citations allows for the next steps in the process to take place. We're working on enhancements to provide an audit trail and add more control for states within the workflow.

7.21. What do I do if I need to amend the CMS-2567 after sending it to the provider?

You can unlock citations, edit as needed, relock the citations, and then generate a new CMS-2567.

7.22. Suppose no deficiencies found during a survey. Is there be a standard letter for that, or should the State create a template letter?

States can create a template letter for that situation.

7.23. You can merge findings and place them in order by writer, but if each writer has findings regarding 3 different patients, can you rearrange all those findings into whatever order you want after they are merged?

Once they are merged, you cannot change the order. But you can edit the citation in its entirety once it has been merged and use cut and paste to have the information in the right order.

7.24. Can any changes be made to the findings by the QI or supervisor after they have been merged?

Yes. The findings and summary text will be combined, and that combined text can be edited by any of the authors of that citation, or by someone on the QA Team.

7.25. How can a supervisor edit a surveyor's citation findings?

A supervisor must be a member of the QA Team for that survey before they can edit findings. They can add themselves to the QA Team by opening the survey, and then going to the Teams section and then the QA Team tab.

7.26. Can all QA team members delete citations or is it only the person who wrote them? What if the QA team member who wrote a citation is unavailable to delete it? Can citations be deleted after their findings are merged? For some surveys, our supervisors/division directors may want to review before sending to the facility, but they would need to see the merged data.

Any QA Team member can delete the citation. You cannot currently delete citations with merged findings, but that functionality will be coming. If you need to remove a citation that has merged findings, please submit a Service Center ticket.

7.27. Does a surveyor select "writing complete", then a QA team member edits the citation, and then a QA Team member locks the surveyor's DPS and Findings? Alternatively, does the surveyor have to lock their own DPS and Findings after the QA Team member edits DPS and Findings?

All Citations are locked at the same time. Citations cannot be locked until writing is complete. iQIES does not require the surveyor to lock individual citations. Instead, they just need to indicate that the writing is complete.

7.28. Can any SAGU put themselves on the QA Team and delete citations? If they do so, what evidence would there be to show that the deletion occurred? Can a SAGU from another county within the state delete citations if they put themselves on the QA Team?

Yes, a SAGU can put themselves on the QA Team for any survey and perform applicable actions. We are currently working on an audit trail to provide more visibility. A SAGU from another county within the state can delete citations if they are on the QA Team.

7.29. Do clerical staff need to be 'on the survey' to make edits.

No, they do not. They can be on the QA Team without being on the Survey Team.

7.30. When another SAGU adds themselves to the QA Team and edits findings on behalf of a surveyor, what evidence is there that this occurred?

Currently, the Last Updated By and Last Updated date will show the individual. We are working on implementing Audit History as well, which will capture a history of those types of changes.

7.31. We review surveys (QA) and save our suggestions and comments for the survey in ASE-Q. Is there a function in iQIES to save before we send back to surveyors for changes?

You would be able to add yourself to a survey's QA Team and make edits as needed. There, you can log notes tied to the survey itself. The information you enter is immediately visible to anyone with access to see it. If you're not ready for the surveyor to do the next step, you can mark it as in-progress to show that the work is not yet complete.

7.32. Can a SAGU add themselves to the QA Team after the citation is locked and unlock the citation?

You do not have to be part of the QA team to unlock the citations. If applicable, the Unlock Citations function is available to any SAGU.

7.33. How many people can be part of the QA team?

As many as necessary.

7.34. If an event ID for the initial licensing of a provider was created in ACO before our iQIES go-live, but the actual licensing was conducted after go-live, can a 2567 be completed in ACO for license approval?

Yes. There are no limitations on this with the licensure 2567. However, this must still be done in ACO for facilities that are only state licensed because they have not been migrated to iQIES.

7.35. Can you print a Statement of Deficiencies (SOD) for review before it is finalized?

Yes, you can print it.

7.36. How will State Agencies finalize survey kits started in ACO in iQIES?

The survey/certification information will migrate from ACO to iQIES, and you can finish processing this information in iQIES.

7.37. Is the Survey Team an optional field?

No. It is not optional for surveys.

7.38. We are working on our first recertification survey and iQIES will not allow the team coordinator to put in her 670 hours. At the top, a message states that an RN needs to be on the survey but both team members are RNs. What could cause this?

That warning does not prevent you from proceeding but it's a good idea to have each RN surveyor set the discipline in their user profile to Registered Nurse to avoid the warning message in the future. To do this, go into My Profile > User Roles. Click Edit and then set the Discipline field to Registered Nurse.

7.39. We are required to track our time for observing and reviewing infection control, etc., for COVID. How can we document our COVID time when that option has been removed?

The 670 time is associated with a survey rather than being broken down by individual investigations. You can choose **Focused Infection Control** as a survey category in iQIES.

7.40. When surveys are completed, can you see both your state's surveys and those from other states?

Yes, you can see surveys from both your state and from other states, but you cannot see attachments, notes, or letters on surveys from other states.

7.41. Life Safety also conducts the Emergency Preparedness. Will there be another Event ID for the EP or will it be connected to the LSC Survey Event ID?

It will be connected to the LSC Survey Event ID.

7.42. Can I add an LSC survey to a health survey that was already entered and closed in ASPEN and migrated into iQIES?

Yes, you can add and link an LSC survey to a migrated health survey.

8. INTAKE QUESTIONS

8.1. Can intakes be printed in iQIES?

You can print an intake from iQIES using your browser's print function. We are working on printing intake/investigation reports from within iQIES.

8.2. When I enter a complaint, can other users also be in that complaint or are they locked out until I am finished?

Other users will not see a complaint until you finish entering it. Then, multiple users can edit an existing complaint simultaneously.

8.3. Is CMS's approval of a complaint automatically generated?

After CMS approves a complaint, you can see it. It is real time.

8.4. Can you add more than one allegation at a time from the same screen?

No, you must add each allegation separately from the allegation screen.

8.5. Can you export an intake out of iQIES so that it can be sent to someone else?

Not at this time but if the user has access to iQIES, they will be able to view the intake.

8.6. Can people submit complaints through this system?

No. The public does not have access to this system.

8.7. We used to add an allegation category, not a CoP. Must we now guess at a possible CoP?

No, you do not have to guess. You can still add an allegation category under the **Allegations** section. However, for deemed intakes requiring an investigation, you'll set the **Survey Action Required** field to **Survey**, check the **Triage Complete** box, and then save the section. This notifies any CMS user listed in the **Responsible Staff** section of that intake. They will choose the applicable CoPs. This is like the process on the Deemed tab for deemed intakes in ACTS.

8.8. How do you delete an intake if one is created in error, such as adding an intake to the wrong provider?

You would need to contact the Service Center until that function is available in iQIES.

8.9. Is there a search engine for the complaint number? Often a complainant will call to check on their complaint and they will give us a complaint number to search for.

Intake ID is part of the main search under the Intakes tab.

8.10. How would the triage person know that there is an intake in the system to triage?

As a triage person, you would want to do an advanced search on intakes with an **Intake Status of Triage/Prioritization**. That will allow you to filter then sort all intakes pending triage.

8.11. Do you have to Triage before you add an attachment?

No, you can add an attachment as soon as the Basic Information is saved.

9. ENFORCEMENT QUESTIONS

9.1. Does this enforcement/sanction platform take the place of our current practice of sending a 1539 and email to our CMS representative with our recommendation to continue or terminate participation?

For now, you should still email your CMS rep with recommendations.

9.2. As a supervisor, can I make edits to enforcement recommendations? Can I make changes to the SOD? For example, after supervisory review, the deficiency might be elevated to Condition level vs. Standard.

The QA Team feature allows you to add yourself as a non-survey team member so that you can make these kinds of changes. Please be aware that we have not yet implemented the QA Team functionality for enforcements.

9.3. How would a QA person search to determine all open enforcement cases?

Anyone can search open enforcement cases regardless of whether they're on the QA Team. In the Advanced Search, you can filter to show only the enforcement cases that are open. You can then use the column headers to sort the resulting list as needed.

10. DATA QUESTIONS

10.1. Does iQIES allow states to capture state-only data?

Initially, iQIES supports state licensure of federally certified providers. In the future, it will support state licensure-only providers.

10.2. Do states have access to the same data they have access to today within the legacy system?

States should have access to the same types of data they have access to today, including data migrated from the legacy (QIES and ASPEN) systems. The exception to this is that iQIES does not currently have ownership information. That information will only be accessible in ASPEN.

10.3. Will states continue to have real-time access to the data?

All data entered by the states into iQIES is available to view within the iQIES system in real-time. Additionally, states will still be able to access the iQIES database using Structured Query Language (SQL) via an Open Database Connectivity (ODBC) connection.

10.4. How are regulation sets created?

The current regulations will migrate into iQIES. iQIES will make any required updates to federal and state regulations and the plan is that states can eventually make updates on their own.

10.5. How long is data retained in iQIES?

As of now, all provider information that was in ASPEN and has been migrated to iQIES will be retained following a 10-year retention schedule.

10.6. ACO requires a state Facility ID to enter a new provider. Is that required in iQIES? Is a state Facility ID required for provider patient submissions or can the iQIES identifier or another field be used for that?

iQIES assigns a unique ID number as providers are added. However, states can still create and assign their own unique Facility ID in the system. A Facility ID is needed for patient assessment submissions in iQIES, as it was in ASPEN.

You do not have to add your own Facility ID. It's totally up to the state if they wish to assign a Facility ID. Otherwise, you can simply use the number iQIES assigns the provider.

10.7. Are the providers from ASPEN automatically added to the iQIES platform? Are state-only providers in iQIES?

All federally certified HHA and ASC providers have been migrated to iQIES. Licensure information for those federally certified providers was also migrated. State/licensed-only providers will be available in a later release.

10.8. What is the maximum number of Administrator records allowed? Does that include only active records or both active and inactive records? How would I know when the maximum has been reached?

This is for either active or inactive records. When the maximum of 5 Administrator records is reached, the **Add Administrator** button is disabled and hidden.

10.9. Will a certified provider's CCN change as they are migrated from ACO to iQIES?

CCNs will not change at all between systems.

10.10. Will the data from the "Licensing" tab in ASPEN ACO migrate over to iQIES?

Most state licensure data has been migrated, but additional operating details, such as the CMS-1539 form information, will be added to iQIES in the coming months.

10.11. Are the data structures used to store the data different from ASPEN to iQIES?

Yes, the schema is different than ASPEN.

10.12. Where can I find ownership information in iQIES? I'm looking for more than simply the info in the 1572 but things such as the entity name.

Ownership information was not migrated over to iQIES with the rest of the data. It is still stored in ACO, and you can work with it there.

10.13. If access to the facilities goes away when they migrate to iQIES, how will I make updates to ownership?

Ownership will remain editable in ACO.

10.14. When iQIES goes live for a provider type, what happens to the providers that are in a pending certification status in ASPEN?

That information is transferred to iQIES and the work can continue.

10.15. Is there any data that we must make sure is updated in ACO prior to the move to iQIES? If so, can we get a list of these fields so states that have not moved over yet can make sure the pertinent records are complete prior to the migration?

All data will be brought over and will be duplicated in iQIES. If there is a field missing in ASPEN, it will be missing in iQIES. But it can be updated in iQIES after the data migration.

10.16. Are changes to state regulations automatically pulled from ASPEN to iQIES or do we have to update them in both systems?

If you have providers that are only licensed instead of "certified and licensed," you will have to update state regulation sets in both ASPEN and iQIES. Otherwise, all processing will occur in iQIES except for ownership. For now, if your state has new regulation sets that need to be added, please contact the service desk.

10.17. When a new regulation set is created in ACO after the iQIES go-live, is that reg set automatically transferred over to iQIES?

Federal tags are updated in iQIES. For now, if your state has new regulation sets that need to be added, please contact the service desk.

10.18. We have upcoming surveys already created in ACO and they have a unique Federal survey ID. Those surveys are scheduled for after we go live in iQIES. Should those surveys be recreated in iQIES?

When we start migrating everything over, surveys that were created in ASPEN will retain the same event ID that was created and displayed in ASPEN. That allows you to retain your history in other systems or documentation.

10.19. If a facility has a waiver on file, will it automatically populate on iQIES?

Yes, the waiver will automatically populate.

11. LETTER TEMPLATE MANAGEMENT QUESTIONS

11.1. How does letter management work in iQIES?

The Letters Template Management feature allows you to create letters and letter templates to use for Providers, Surveys, Intakes, and Enforcements. Please refer to the user manual and/or video tutorials for detailed instructions.

11.2. Can I create a table in a letter template? We have an existing table in a letter template in ACO but when I copied the rtf file from ACO into iQIES, the table formatting did not copy over as anticipated.

Yes. The editor includes a function to insert a table.

11.3. How can I make text in a letter single-spaced?

The Line Height tool in the editor allows you to adjust the line spacing. The icon is three horizontal lines with a vertical arrow. Select the desired text and then click that icon to choose the type of spacing you want.

11.4. Will a signature at the bottom of the page be saved if it is a graphic?

Graphics that you add to letters are embedded in the template and this includes a signature graphic. You can also create headers and footers to use in multiple letter templates.

11.5. Are the letter templates available across regions and states? Can anybody use a template after it is created?

Yes, anyone within the State Agency can use the letter templates for your state. Templates are not shared between states or with CMS.

11.6. Can anyone with access to iQIES create their own letter?

Any State Agency General User or CMS General User can create their own letter.

11.7. Can a CMS user create one letter template and use it for all states, or must I create one template for each state?

CMS can create one letter template and use it for all the states.

11.8. Is a non-standardized letter available for all providers or do we need to create letters for each provider individually?

With letter templates, you can use data placeholders to personalize the letter for the provider you are writing to. You can also specify the provider type when you first create the letter.

11.9. After a letter template is published, who can edit the letter?

If you wish to edit a standardized letter template after it has been published, you must do so in Letter Template Management.

After a letter is generated from a template and as an attachment, you can edit the letter's details, but you cannot edit the letter's content.

11.10. Can CMS General Users view other CMS location's template letters?

All federal templates are shared across all CMS Locations.

11.11. If I use letter templates, do I also still need to attach copies of the letters each time I create a letter, or does it automatically save them into the system?

When you create a letter from a template, a .pdf is generated and attached to the letter record. There is no need to upload additional copies of that letter.

11.12. It looks like I cannot duplicate a letter from one category (survey) to use in another area (enforcement) even though the text holders used (Admin contact info and exit date) are common to both fields.

That is true. Currently, the text holder bank is tied to each of the modules - Providers, Surveys, Intakes, Enforcements. Although some text holders are repeated across modules, the restriction is in place to ensure users do not create templates that will not compile when creating a letter from that template.

12. DOCUMENTATION QUESTIONS

12.1. Can users attach documents to surveys and complaints/incidents?

Users can upload attachments to the provider, survey, intake, and enforcement modules. Examples may include license certificates, application and proof of insurance, MAC letters, etc.

12.2. What restrictions exist on the types of system attachments?

There are some restrictions on file types, but most commonly used file types (e.g. .jpeg, .jpg, .png, .pdf, .doc, .docx, .xls, .xlsx, .txt, .rtf, tif, .msg, .eml) are accepted. The file size limit is 200 MB (Megabytes) per attachment. iQIES also scans the attachments for viruses before accepting them into the system.

12.3. How long will states be able to use ASPEN for their state licensure?

For federally certified entities that are licensed by the state, both federal and state information will be migrated to iQIES as the location and provider type are added to iQIES. At that time, ASPEN will no longer be available to enter new data. Information will only be available as read only. Entities that are only licensed will remain available for access and modifying in ASPEN until the end of the process.

12.4. Can you select and attach multiple files at once?

No. You must attach files one at a time.

12.5. If you edit a note, does it keep the note in the same sequence or move it to the top/bottom of the note chain?

The newest note appears at the top of the Notes section.

12.6. In ASPEN we can attach things that are not related to a survey - for example CMS 855s, MAC letters, current state licenses. Will we continue to do this?

From a technical standpoint, yes, you will be able to do this.

12.7. Can you upload supporting documents such as license certificate, application, and proof of insurance?

You can do this in the Attachments area.

13. REPORTING QUESTIONS

13.1. Does iQIES provide Ad-Hoc Reporting (i.e., Crystal Reports)?

At this point, there is no survey and certification report capability in iQIES except for the Provider History Report. We are working on creating reports and dashboards in iQIES. There will also be capability to create user defined reports.

13.2. Does iQIES retain Survey Event IDs? If so, how are they used?

iQIES retains legacy Survey Event IDs for migrated data. For all new surveys, the system assigns a unique alphanumeric ID that has a slightly different format. Survey IDs infer the type of survey and visit number. EventIDs migrated from ASPEN will not change.

13.3. Are C&Ts (1539s) still required? If so, will they be generated in iQIES?

At this point, the 1539 cannot be generated in iQIES. We are considering the creation of a 1539 report.

13.4. Because there is no 1539, what is the process for notifying CMS of a specific activity that would require a 1539? Will we just notify CMS via email?

Yes, at this time, you will notify CMS via email.

13.5. How can we run reports on the fly?

The report section at the top of iQIES will evolve to include many S&C reports but is limited to the provider history report at this time. Other reports, such as the ASPEN "Quick Reports", are not currently available. If you have a list of reports that you commonly use, please send those to the Service Center and we'll make sure we get it to the right team for review.

13.6. Is there a record of Administrators for the facility or does iQIES only keep the current Administrator on record?

iQIES keeps a record of the last five Administrators for a facility.

13.7. Does iQIES have an equivalent to a full facility report that can be printed with the agency's general information/past survey history?

Yes. You can access the Provider History Report on the initial Provider page.

13.8. Will we use SAS VIYA to compile reports? For example, we might want a list of current survey dates.

Yes. Another development group is working on reports and data that will come from iQIES and be made available in SAS Viya.

14. SECURITY QUESTIONS

14.1. What kind of security control do states have in iQIES?

States have security official(s) who can approve the roles-based access for their state users. HARP requires two-factor authentication, which brings additional security to the system.

14.2. How do you add email as an option for multi-factor authentication in iQIES?

When you first set up authentication, you can select email, phone, Google Authenticator. You can change this selection in HARP at any time or you can contact the Service Center.

14.3. Do we need a phone to get the code to log in? Not all state employees have a state phone.

You can do it through email too. There are several ways to get the code.

14.4. Does the Responsible Staff and Survey Team filter to the applicable state or does it display all iQIES users even if they are in other states?

The Responsible Staff and Survey Team filters the iQIES users depending on your state.

14.5. If a surveyor's employment is terminated, how is their name removed from the surveyor list?

Through the state/CMS security official, depending on if you are state or CMS employee.

14.6. Considering this is an Internet-based application, how are we assured PHI is secure?

The site itself is encrypted to meet federal standards, and the two-factor authentication coupled with a 15-minute time-out helps ensure the data is secure and protected.