

Internet Quality Improvement Evaluation System (iQIES)

Survey & Certification (S&C) Manual



Training Module 4 – Enforcements - Quick Reference Guide

1. View Recent Enforcements - Instructions

1. To view a recent enforcement, click on the 'Survey & Certification' tab at the top of the iQIES Home Page, then click 'Search'.
2. On the 'Search' page, click on the 'Enforcements' tab and then select a provider under the Provider column.
3. From the 'Provider History' page, a provider's existing enforcement cases can be found in the 'Recent Enforcements' table and their details accessed by selecting 'View'.
4. When a provider has three or more enforcement cases, the 'View All Enforcements' button will become enabled (highlighted).
5. Refer to section 7.1.1 – Recent Enforcements in the iQIES S&C manual for more details.

2. Add an Enforcement – Instructions

1. Enforcement cases cannot be created until the provider is certified, and a survey has been created. The survey must have locked citations and not be attached to another case.
2. To add a new enforcement, select the 'Add Enforcement' button. You will be taken to the enforcement's Basic Information page.
3. Select the 'Enforcement Type' and, if the case contains multiple surveys, select the starting survey for the case.
4. Refer to Section 7.1.2.1 – Add a New Enforcement in the iQIES S&C manual for more details.

3. Enforcement Basic Information Page - Instructions

NOTE: Selecting any of the enforcements listed (blue link) under the Case ID toggle will open the Basic Information page for that enforcement.

1. The 'Basic Information' page contains an overview of the provider's enforcement information including enforcement status, enforcement type, date transferred to CMS location (this field can only be filled-in by state agency), added surveys, and the cycle start date.
2. From the enforcement 'Basic Information' page, the user can access additional sections, such as: responsible staff, sanctions, civil money penalty (CMP; this section is active when CMP is added as a sanction), appeal, letters, notes, and attachments. Select any section to add new information or edit existing.
3. Select the provider's information in the heading (in blue) to return to Provider History page.
4. Refer to Section 7.1.1 – Enforcements - Basic Information Page in the iQIES S&C manual for more details.

4. Sanctions – Instructions

1. The Sanction section is where you manage and add sanctions against a provider.
2. Refer to Section 7.1.4 – Sanctions in the iQIES S&C manual for more details.

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5. Civil Money Penalty (CMP) - Instructions

1. If a CMP sanction is added, the CMP section of the enforcement case will become enabled. In this section, you can add new CMP details and manage amounts and payment details for a CMP sanction.
2. When adding or editing a CMP in this section, each CMP must be tied to the related survey and citation.
3. A CMP cannot be linked to a survey if the survey does not have any citations. There is an option to enter additional payment details and link the CMP to the survey's citation. Save the CMP.
4. Refer to Section 7.1.5 – Civil Money Penalty - Sanctions in the iQIES S&C manual for more details.

6. Appeals - Instructions

1. In the Appeals section, users can add and manage appeals and court hearing case information.
2. When adding an appeal, the Appeal Type, Appealed Surveys, and Appealed Sanctions must all be entered and saved. Note that all required fields are marked with an asterisk.
3. Refer to Section 7.1.6 – Appeal in the manual for more details.

7. Add Legal Action - Instructions

1. The Add Legal Action page (from the Appeal section) will be displayed upon selecting the 'Add Legal Action' button. Once the appeal information is added, the status of the enforcement will change to 'Open Under Appeal'.
2. Refer to Section 7.1.6.2 – Add Legal Action on Appeal Page in the iQIES S&C manual for more details.

8. Supplemental Information – Instructions

1. Refer to Section 7.1.7 – Letters, Section 7.1.2.8 – Notes, and Section 7.1.2.9 - Attachments in the iQIES S&C manual for more details.

9. Help and Support Information

Available Help Resources:

View Resources

QIES Technical Support Office

Known Issues

Validation Utility Tool

System Requirements

Medicare

Help

Get Help

By Phone: (800) 339-9313

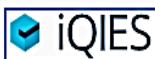
By Email: iQIES@cms.hhs.gov

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