



iQIES Survey & Certification

Job Aid

CLIA AI Assistant

Overview

This guide provides example prompts for common CLIA AI Assistant reporting tasks.

Designed for	Use it to
State Agency users	Find providers, build worklists, review certificates and survey activity, and explain results.
CMS Office users	Compare states, Accrediting Organizations (AOs), specialties, exceptions, and operational patterns.
CMS Office users	Build national inventories, validation summaries, and executive briefings.
New AI users	Copy a beginner prompt and replace the bracketed values.
Intermediate AI users	Add analysis, reconciliation, source-based evidence, and plain-language summaries.

Getting Started

Five Minutes to a Useful Result

- 1. Name the population: Active Accreditation laboratories, Terminated laboratories, or one CCN.**
- 2. Name the place: A state, an explicit list of states, or the full available national population.**
- 3. Name the date field: Certificate Expiration Date, Bill Date, Survey Exit Date, or Termination Date.**
- 4. Ask for explicit columns: CLIA Number, Laboratory Name, Status, Date, and supporting fields.**
- 5. Analyze returned records: Count, compare, classify, prioritize, or explain after retrieval.**

PROMPT BASICS

Prompt component	Question to answer	Example
Population	Who or what?	Active CLIA laboratories with a Certificate Type of Accreditation
Geography	Where?	IL, IN, MI, OH, and WI
Time	When, and using which field?	Bill Date between January 1 and December 31, 2026
Fields	What evidence should be returned?	CLIA Number, AO, status, and applicable dates
Analysis	What should happen next?	Using the returned records, count by State and AO
Output	How should it be presented?	Excel-ready tables plus a plain-language summary

Example

Part 1: Return [population] in [place] for [date field and range]. Return [fields].

Part 2: Using the returned records, [analysis].

Part 3: Provide a plain-language summary based only on those records.

Note:

Avoid putting too much information in the prompt. Multi-part prompts help, and separate turns help even more.

LANGUAGE GUIDE

Common phrases and the tested CLIA meaning

Common Term	Better-Defined Meaning	Example Wording
Region	Explicit state list	In IL, IN, MI, OH, and WI
Compliance bills	Paid certificate fees or paid survey fees	With paid certificate fees or paid survey fees
Matched	All stated verification requirements pass	classify as Matched only if...
Unmatched	One or more explicit exception conditions	AO missing, status false, date missing, or expired
Priority	Order by documented due date, expiration, age, or unresolved status	Sort by Certificate Expiration Date
Coverage gap	Zero or low count under a stated threshold	Identify states with zero or five or fewer labs
Current	Use the current date or an explicit as-of date	As of [MONTH DAY, YEAR]
Excel-ready	A stable detail or summary table	Return separate Excel-ready summary and detail tables

Note: Users can still ask natural questions. The extra definition belongs in the prompt when a term could mean several different things.

PROMPTING TECHNIQUE

When to Use a Multi-Part Prompt

Break complex requests into separate steps. Retrieve records first, then analyze the results.

What is a Multi-Part Prompt?

A multi-part prompt breaks a complex request into smaller steps. Use a multi-part prompt when records must be retrieved before analysis

Note: Multi-part prompts work especially well when the Assistant needs to retrieve records before analyzing them.

Part	Purpose	Typical Instruction
1. Retrieve	Establish the record set	Return all Active Accreditation laboratories in [STATE LIST].
2. Classify	Apply explicit conditions	Using the returned records, classify Matched, Not Matched, or Not Available.
3. Summarize	Count or compare groups	Return counts by State, AO, and Validation Status.
4. Explain	Translate for the audience	Provide a plain-language summary for a non-technical reviewer.

Multi-part example – See screenshot below.

- Part 1:** Return all Active CLIA laboratories in Illinois with certificates expiring within the next 90 days.
- Part 2:** Using the returned records, identify laboratories with pending or overdue survey activity.
- Part 3:** Create a worklist sorted by Certificate Expiration Date.
- Part 4:** Provide a plain-language summary suitable for a non-technical State Agency reviewer.

Return all Active CLIA laboratories in Illinois with certificates expiring within the next 90 days. Using the returned records, identify laboratories with pending or overdue survey activity. Create a worklist sorted by Certificate Expiration Date. Provide a plain-language summary suitable for a non-technical State Agency reviewer.

Here is your Illinois CLIA renewal worklist as of today, covering all active laboratories whose certificates expire within the next 90 days. The two datasets below give you the full detail – the first lists every lab with its certificate information, and the second overlays the most recent survey record so you can see where survey activity is pending, open, or overdue.

Illinois Active Labs Expiring in the Next 90 Days

Showing 200 of 1,132 – Click [Download](#) for complete results

Provider	Lab Name	Address Line 1	Address Line 2	City	ZIP Code	Certifica
14D1106921	INNOVATIVE DERMATOLOGY	3000 N HALSTED ST, SUITE 500		CHICAGO	60657	1 – Comp
14D2084809	PREFERRED CARE MEDICAL CENTER LTD	1932 S MAIN ST		EUREKA	61530	2 – Waive
14D0677845	MIDWEST WOMEN OB GYN LTD	3825 HIGHLAND AVE SUITE 2F		DOWNERS GROVE	60515	4 – Micro
14D2001027	UNIVERSITY DERMATOLOGY AND VEIN CLINIC	8110 S CASS AVE		DARIEN	60561	1 – Comp
14D2194605	EVERGREEN PLACE	100 GLENHAVEN DR		ALTON	62002	2 – Waive
14D2098221	MODERN PAIN CONSULTANTS	1802 N DIVISION - STE 605		MORRIS	60450	3 – Accre

Type your question here...

[Top](#) [Clear prompt](#) [New Chat](#) [Send](#)

USING RESULTS RESPONSIBLY

Review Before You Rely

AI-generated results may appear complete or accurate but should still be reviewed before use.

- Verify the criteria used to include each record.
- Request the supporting field, current value, expected condition, and applicable date.
- Distinguish unique laboratory count from record count.
- Use **Not Available** for missing optional values.
- Use **Not Available** when an optional value is blank or was not returned. Use **Unable to Validate** when information required to reach a conclusion is unavailable.
- Do not assume a Remarks Code is open unless the returned data indicates that it is.
- Do not infer causes, intent, fault, or required regulatory action.
- Only authorized program staff make final decisions.

Note:

Not Available versus **Unable to Validate**

- **Not Available** means an optional value is missing, blank, or was not returned.
- **Unable to Validate** means information required to determine whether a condition passes or fails is unavailable.
- Missing required evidence should not automatically be treated as a failure.

Using the records returned in the previous response for [CCN or population], provide the source evidence supporting each finding. Return Finding, Record Type, Source Field, Source Value, Applicable Date, Included Records, Excluded Records, and Exclusion Reason.

CHOOSE YOUR PATH

State Agency	CMS multi-state	CMS National
Certificate expiration worklists	Specialty distribution across states	Matched/unmatched AO validation summary
Provider profile and case follow-up	Compare states and AO exception activity	National inventory and program briefing
Terminations and financial follow-up	Regional-style analysis using an explicit state list	National refund and termination summaries
Audit trail for one provider	Cross-state operational patterns	Executive evidence and retirement decisions

Tip: The query mechanics are similar. What changes is the population: one provider, one state, a state list, or all state

CASPER 0074D

Accreditation Remarks

Find accreditation remarks and supporting laboratory records.

Use this when you need...	Recommended Query Approach
Find accreditation remarks and supporting laboratory records.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

List Active CLIA laboratories in [STATE] with a Certificate Type of Accreditation. Return CLIA Number, Laboratory Name, AO, Remarks Code, Remarks Date, and Certificate Expiration Date.

Intermediate prompt

Using the returned records, summarize laboratories by Remarks Code and AO. Identify remarks appearing across multiple laboratories and provide supporting CLIA Numbers.

Best Practices

- Ask for full Remarks Code descriptions when available.
- Do not label a remark open or unresolved unless the returned fields support that status.
- For multi-state use, replace Region with an explicit state list.

CASPER 0075D

AO Verification

Define the conditions that determine whether a laboratory is matched or unmatched.
Review AO affiliation, confirmation status, confirmation dates, and exceptions.

Use this when you need...	Recommended Query Approach
Review AO affiliation, confirmation status, confirmation dates, and exceptions.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

List laboratories in [STATE] with a Certificate Type of Accreditation. Return CLIA Number, Laboratory Name, AO, Accreditation Confirmed Status, Accreditation Confirmation Date, and Certificate Expiration Date.

Intermediate prompt

Using the returned records, identify missing AO, false or missing confirmation status, missing confirmation date, or expired certificate. Summarize by State and AO.

Best Practices

- Define each exception explicitly.
- Keep supporting detail for every summary count.

CASPER 0080D

Paid Compliance Fees

Bill Date and Payment Date represent different data elements. Specify which date field to use in the prompt.

Find paid certificate or survey fee records and related operational follow-up.

Use this when you need...	Recommended Query Approach
Find paid certificate or survey fee records and related operational follow-up.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

List CLIA laboratories in [STATE] with paid certificate fees or paid survey fees and a Bill Date between [START DATE] and [END DATE]. Return billing and certificate fields.

Intermediate prompt

Using the returned records, identify missing Entry Dates, populated Pending Effective Dates, or upcoming Certificate Expiration Dates. Create a worklist sorted by expiration date.

Best Practices

- Use paid certificate fees or paid survey fees, not only compliance bills.
- Define Compliance Certificate or associated Registration Certificate scope.
- Name Bill Date or Payment Date explicitly.

CASPER 0085S

Counts by Application Type

Count laboratories by application or certificate category.

Use this when you need...	Recommended Query Approach
Count laboratories by application or certificate category.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Count CLIA laboratories in [STATE] by Application Type. Return Application Type and Number of Laboratories.

Intermediate prompt

Count laboratories in [STATE LIST] by Application Type. Return State, Application Type, and Number of Laboratories. Using the returned counts, summarize state totals and contributions.

Best Practices

- Keep retrieval counts simple before adding percentages.
- State the denominator for every percentage.
- Large multi-state percentage displays may need a focused follow-up.

CASPER 0095S

Specialty and Subspecialty Counts

A low count may indicate a potential coverage gap. Additional review may be required before drawing conclusions.

Understand specialty inventory by provider population and geography.

Use this when you need...	Recommended Query Approach
Understand specialty inventory by provider population and geography.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Count CLIA laboratories in [STATE] by Specialty. Return Specialty and Number of Laboratories.

Intermediate prompt

Count CLIA laboratories in all states by Specialty. Return State, Specialty, and Number of Laboratories. For each state, identify the highest-count specialty.

Best Practices

- Retrieve Specialty and Subspecialty separately if a combined query struggles.
- A low count is a potential coverage indicator, not proof of inadequate access.
- Use a stated low-count threshold, such as zero or five or fewer.

CASPER 0096D

Application and Survey Summary

Build a provider profile spanning certificate, application, survey, and deficiency information.

Use this when you need...	Recommended Query Approach
Build a provider profile spanning certificate, application, survey, and deficiency information.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Show CLIA laboratory information for [CCN]. Return certificate, application, and survey fields in Excel-ready tables.

Intermediate prompt

Using the records returned in the previous response for [CCN], identify open, active, pending, unresolved, or incomplete records. If none are present, state that.

Best Practices

- Anchor follow-ups to the CCN and previous response.
- Request Citation, Deficiency Practice Statement, and Finding Detail separately.
- Ask for a plain-language provider briefing after the technical tables.

Current limitation: Complete deficiency narrative results depend on the approved Citation, Deficiency Practice Statement, and Finding Detail mappings. These mappings are targeted for availability before November 6, 2026, subject to release approval and validation.

CASPER 0097D

Terminated Laboratories

Review terminated laboratory inventory and documented follow-up indicators.

Use this when you need...	Recommended Query Approach
Review terminated laboratory inventory and documented follow-up indicators.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

List CLIA laboratories in [STATE] with Laboratory Status = Terminated. Return CLIA Number, Laboratory Name, Termination Status Code, Termination Date, and Certificate Expiration Date.

Intermediate prompt

Using the returned termination, billing, survey, deficiency, complaint, and enforcement records, identify documented outstanding, missing, open, pending, unresolved, or incomplete conditions.

Best Practices

- Use an explicit Termination Date range for historical reporting.
- Do not infer a reason when only a code is available.
- State that no follow-up indicators were identified when the records show none.

CASPER 0098D

Unmatched Accreditation Laboratories

Create an accreditation exception and reconciliation worklist.

Use this when you need...	Recommended Query Approach
Create an accreditation exception and reconciliation worklist.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Return Active Accreditation laboratories in [STATE] where AO is missing, confirmation status is false or missing, confirmation date is missing, or the certificate is expired.

Intermediate prompt

For each returned laboratory, show Exception Condition, Supporting Field, Current Value, Expected Condition, and Validation Status. Summarize by State and AO.

Best Practices

- Replace **Unmatched** with explicit exception conditions.
- One laboratory may meet more than one condition.
- Missing required evidence results in **Unable to Validate**, not automatically **Not Matched**.

CASPER 0099D

Matched Accreditation Laboratories

Validate and summarize laboratories meeting defined AO verification requirements.

Use this when you need...	Recommended Query Approach
Validate and summarize laboratories meeting defined AO verification requirements.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Return Active Accreditation laboratories in [STATE] with AO present, confirmation status true, confirmation date present, current certificate, and Termination Status Code 00.

Intermediate prompt

Classify each record as Matched, Not Matched, or Unable to Validate. Return counts by State and AO and supporting CLIA Numbers.

Best Practices

- Define the verification requirements in the prompt.
- Do not exclude a laboratory solely because a Remarks Code exists.
- For national scope, use a multi-part prompt or state/AO batches if necessary.

CASPER 0104D

CLIA Activity Audit

Audit records show documented system activity. They do not explain the reason for the activity.

Create provider-level audit and change-activity views.

Use this when you need...	Recommended Query Approach
Create provider-level audit and change-activity views.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Show all CLIA activity records associated with [CCN]. Return Activity Date, Activity Type, Record Type, User ID, Previous Value, and New Value.

Intermediate prompt

Using the returned records, create a chronological audit trail, summarize by Record Type and Activity Type, and provide a plain-language explanation of what changed and when.

Best Practices

- Return previous and new values only when available.
- Do not infer why the change was made.
- Keep User ID in the technical table, not the non-technical narrative unless needed.

CASPER 0125D

Unpaid Refunds and Overpayments

Exclude Resolution Code 99 records when reporting active unresolved refunds.
Review refund, overpayment, aging, and financial follow-up records.

Use this when you need...	Recommended Query Approach
Review refund, overpayment, aging, and financial follow-up records.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Return refund and overpayment records for laboratories in [STATE]. Return amounts, dates, and documented statuses.

Intermediate prompt

Using the returned records, identify active unpaid refunds and unresolved overpayments. Exclude final resolution Code 99, summarize aging by State, and explain missing-status limitations.

Best Practices

- Do not invent missing refund or resolution status.
- Define the date used to calculate aging.
- Keep resolved, closed, paid, and audited-off records out of active workload counts when the business rule requires it.

CASPER 0850D

Certificates Expiring Before Survey Upload

Build certificate expiration and pending-survey worklists.

Use this when you need...	Recommended Query Approach
Build certificate expiration and pending-survey worklists.	A focused record retrieval with explicit fields, state(s), and dates.

Beginner prompt

Return Active laboratories in [STATE] with Certificate Expiration Date between [START DATE] and [END DATE].

Intermediate prompt

Using the returned records, identify pending or overdue survey activity, missing condition counters, and imminent expirations. Create a priority worklist sorted by expiration and due date.

Best Practices

- Define **Imminent** as 30, 60, 90, or another number of days.
- Priority should be based on documented dates and statuses.

TROUBLESHOOTING

When the Assistant Cannot Write the Query

If the response does not meet the need: Shorten or simplify the request and try again. If the issue persists, use the **Feedback** button to provide the expected result and additional context.

Try	Why it helps
Add a CCN, state code, or explicit state list.	It establishes the population.
Name the date field and date range.	It removes ambiguity among several dates.
Ask for fewer fields first.	It tests whether the core data domain is available.
Remove ranking or comparison from Part 1.	It keeps retrieval distinct from analysis.
Use “returned in the previous response for [CCN/population].”	It anchors the follow-up to the existing result set.
Split nationwide work by AO or state group.	It reduces result and query complexity.
Replace vague words with conditions.	It turns Unmatched or Priority into testable rules.

Note: Begin with a focused retrieval prompt. Request analysis only after the required records are returned.

COMMUNICATION

Technical Detail Plus Plain Language

One result can serve both auditors and operational reviewers

Technical table

- Retain identifiers, dates, codes, statuses, previous/new values, and source fields.
- Use stable Excel-ready columns and separate summary/detail tables.

Non-technical explanation

- Explain what happened, when it happened, and what remains open.
- Avoid field names, database terms, raw codes, and User IDs unless necessary.
- Distinguish facts from observations and do not speculate about cause or intent.

Plain-language add-on

Then provide a plain-language summary suitable for a non-technical State Agency reviewer. Explain what the records show, what changed, when it changed, and which documented conditions are open or unresolved. Base the explanation only on the returned records.

QUALITY CHECKLIST

Before sharing results, verify the scope, counts, dates, and supporting evidence.

Check	Question
Scope	Did the response use the correct provider, state(s), AO, certificate type, and dates?
Counts	Are record counts and unique laboratory counts clearly distinguished?
Dates	Is each date tied to the correct field?
Missing data	Are Not Available used appropriately?
Evidence	Can each finding be traced to a supporting record and field?
Exclusions	Are closed, resolved, historical, or Code 99 records handled according to the business rule?
Language	Does the summary avoid unsupported conclusions?
Export	Are the columns usable and complete for the intended reviewer?

SCOPE AWARENESS

Note: CLIA AI Assistant isn't fully enabled for all data sets and will continue to evolve.

Do not assume parity until the data and mappings are enabled and tested.

- Average hours per survey and the correct survey-hour measure.
- Enforcement Activity Summary scenarios that were not testable at the time of the UAT document.
- Laboratory Registry and Annual Registry Summary scenarios.
- Individual Laboratory PT Profile and Excused PT Nonparticipation scenarios.
- Authorization-table-dependent audit requests.
- Complete deficiency narrative output where Citation, Deficiency Practice Statement, or Finding Detail mappings are not enabled.

How to handle an unvalidated need

Retrieve the smallest available record set, document the missing field or source, and route the gap through the established product or data-governance process. Do not fill the gap with an assumption.

TAKEAWAY

Six things to remember

1. Define the population.
2. Name the state or state list.
3. Name the date field and range.
4. Ask for explicit columns.
5. Retrieve first, analyze second.
6. Ask for a plain-language summary when useful.

Final Note

The CLIA AI Assistant is intended to make CLIA information easier to reach and easier to understand. The examples in this job aid are flexible starting points, not rigid scripts.

Successful prompts define the required population, date range, and evidence. Exact wording is less important than clear requirements.

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