



iQIES Survey & Certification Job Aid

Informal Dispute Resolution (IDR) and Independent Informal Dispute Resolution (IIDR)

Overview

An IDR provides an informal opportunity for facilities to dispute cited deficiencies upon receipt of the official form CMS-2567.

Nursing homes are provided the opportunity to request and participate in an IIDR if CMS imposes civil money penalties against the facility. The IIDR is conducted by an entity that is independent from the state survey agency or, in the case of federal surveys, the CMS Location.

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IDR Conditions

Note: All nursing home LSC/EP tags are subject to IDR.

- **Start** and **Exit** dates must be completed
- One citation must be at least a requirement or condition level deficiency
- Citations must be locked
- The survey status must be **Statement of Deficiencies Sent**

IDR Process

Note: The deficiency tag/text can be changed in **Edit Citation Review**. Review the [Manage a Survey User Manual](#) for more details on how to navigate there.

1. Click **Survey action** menu on any survey page.
2. Select **Create Informal Dispute Resolution**. The **Informal Dispute Resolution** page opens.
3. Set **Request for IDR Received** date.

Note: This is a required field

4. Complete or update all available fields.
5. Click **Create Informal Dispute Resolution**. The **Informal Dispute Resolution** page updates.
6. Conduct the IDR.
7. Click **Informal Dispute Resolution** on the left menu.
8. Click **Edit**.
9. Update status to **Conducted** or **Withdrawn**
10. Complete or update all available fields.
11. Click **Save Informal Dispute Resolution**

Citation Table

The citation table is a list of all the citations from that survey that can be modified through both the IDR and IIDR processes. Action can be taken by selecting the correct **Status**, **Reason** and **Decision**. The citation numbers and explanations are shown below.

Note: The citations automatically unlock when editing IDR/IIDR pages. Citations then need to be locked once changes are complete. Review the [Manage a Survey User Manual](#) for details or follow yellow notification banner instructions in iQIES.

- 01 None** - no IDR/Independent IDR requested.
- 02 Requested** - a request for IDR/Independent IDR has been received.
- 03 No Change** - the IDR/Independent IDR was completed, with no change to the tag.
- 04 Tag Change** - tag number was changed as a result of IDR/Independent IDR. The tag has a line through it. To change a tag select 04-Citation Change and you will be taken to a screen to select the new tag. Once selected, you can copy the evidence into the new tag from the original.
- 05 Tag Removed** - tag was removed as a result of IDR/Independent IDR. The tag has a line through it. To remove a tag you will select 05-Citation Removed and the tag will be set with a strikethrough and omitted from the SOD, not carried over to the revisit, show with a strikethrough on the POC and Citations table.
- 06 S/S Change** - the Scope and Severity level was changed as a result of the IDR/Independent IDR. The old and new SS levels are shown in the Current SS and Original SS section when you select “see details” next to the tag number. To modify the S/S you will need to navigate to the citations page and edit the S/S directly on the tag and set the status to 06-S/S Change.
- 07 Examples Removed/Other Wording Change** - changes were made to the evidence as a result of IDR/Independent IDR.
- 08 SS Change/Examples Removed/Other Wording Change** - changes were made to both evidence and SS as a result of IDR/Independent IDR. The old and new SS levels are shown in the Current SS and Original SS columns when you select the See Details link.
- 10 Request Withdrawn** - IDR/Independent IDR request for the tag was withdrawn.
- 11 Result of Tag Change** - Status assigned to tag that replaced a tag with IDR/IIDR Status = 04.

IDR Request Reason

A **Request Reason** can be set on each citation to document the primary reason given by the facility for requesting. The request reasons are shown below

- 00 Not Selected
- 01 Errors in Citation Details
- 02 Incorrect Scope
- 03 Incorrect Severity
- 04 Wrong Citation Code
- 05 New Information Available
- 06 Code Interpretation
- 07 Other
- 08 Not Condition Level

IDR Decision Reason

The primary reason for the IDR/Independent IDR decision is shown below.

- 01 No Change when there is no change to the citation
- 02 Additional information provided after the survey
- 03 Facility found non-culpable for incident
- 04 Insufficient evidence/facts do not support def.
- 05 Inaccurate facts
- 06 Wording/grammar change
- 07 Other

IIDR Conditions

- An existing IDR does not prohibit an IIDR from being created
- A status of **Statement of Deficiencies Sent**
- A scope/severity level of **D** or higher
- An enforcement case linked to the survey with a CMP that is in effect

IIDR Process

1. Click **Survey action** menu on any survey page or on the gray status bar at the top of the page.
2. Select **Create Independent Informal Dispute Resolution**. The **Independent Informal Dispute Resolution** page opens.
3. Click **Edit** to update the information. The fields become editable.
4. Type **Request for IIDR Received** date.
5. Complete or update all available fields.
6. Click **Save Independent Informal Dispute Resolution**. The **Independent Informal Dispute Resolution** page updates.