



iQIES Survey & Certification Job Aid

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

Overview

An Informal Dispute Resolution (IDR) provides an opportunity for providers to dispute cited deficiencies after receiving CMS-2567.

An Independent Informal Dispute Resolution (IIDR) provides an external review when a Civil Money Penalty (CMP) is imposed.

Quick Start: Create an IDR or IIDR

1. Confirm eligibility. Refer to [IDR Conditions](#) and [IIDR Conditions](#).
2. Open the survey record.
3. Select **Create Informal Dispute Resolution** or **Create Independent Informal Dispute Resolution** from the **Survey Action** menu. See *Figure 1, Survey Action Menu*.

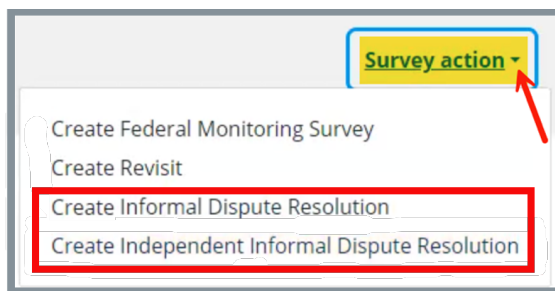


Figure 1: Survey Action Menu

4. Type the **Request for [IDR/IIDR] Received** date.
5. Verify the IDR **Status** is set to **02 Requested** for each applicable citation in the **Survey Citation [IDR/IIDR] Status** section.
6. Complete additional fields, as applicable.
7. Click **Create Informal Dispute Resolution/Save Independent Informal Dispute Resolution**.

Key Terms

Term	Definition
IDR	Informal Dispute Resolution
IIDR	Independent Informal Dispute Resolution
CMP	Civil Money Penalty
CMS-2567	Statement of Deficiencies
S/S	Scope and Severity

IDR Conditions (Eligibility Requirements)

Use IDR when all of the following conditions are met:

- Survey **Start Date** and **Exit Date** are entered
- At least one citation is a requirement or condition-level deficiency
- Citations are locked
- Statement of Deficiencies **Date Sent** field is completed
- Survey status is **Statement of Deficiencies Sent**

Note: All nursing home tags are eligible for IDR. HHA and hospice require a condition-level deficiency.

IIDR Conditions (Eligibility Requirements)

Use IIDR when all of the following conditions are met:

- At least one citation has **Scope/Severity** of **D** or higher
- Survey status is **Statement of Deficiencies Sent**
- Survey is linked to an enforcement case
- CMP enforcement action is in effect
- **CMP Imposition Notice Date** is within the allowable request timeframe

Note: CMS determines IIDR eligibility. iQIES system conditions do not determine eligibility.

IDR/IIDR Process: Submit Request

1. Open the survey record.
2. Select **Create Informal Dispute Resolution** or **Create Independent Informal Dispute Resolution** from the **Survey Action** menu.
3. Type **Request for [IDR/IIDR] Received** date.
4. Verify the **[IDR/IIDR] Status** is set to **02 Requested** for each applicable citation in the **Survey Citation [IDR/IIDR] Status** section.
5. Complete additional fields, as applicable.
6. Click **Create Informal Dispute Resolution/Save Independent Informal Dispute Resolution**.

IDR/IIDR Process: Update Record and Results

1. Click **Informal Dispute Resolution** or **Independent Informal Dispute Resolution** on the left menu.
2. Click **Edit**.
3. Update fields.
4. Complete required fields when **IDR Status** is **Conducted**:
 - **IDR Type**
 - **Date Conducted**
 - **Conducted By**
5. Update **[IDR/IIDR] Status**. See *Figure 2, Survey Citation IDR Status*.

Citation	IDR Status	Request Reason	Decision Reason	Action
E0001	01-None	00-Not Selected	01-No Change	Undo Changes
E0006	01-None		01-No Change	Undo Changes
E0029	01-None		01-No Change	Undo Changes
F0552	01-None		01-No Change	Undo Changes
F0553	01-None		01-No Change	Undo Changes

Figure 2: Survey Citation IDR Status

6. Click **Save Informal Dispute Resolution/Save Independent Informal Dispute Resolution**.

Update Citations, Based on IDR/IIDR Results

1. Click **Citations** on the left menu.
2. Click citation ID. The **Citation Overview** window opens. See *Figure 3, Citation Overview Window*.

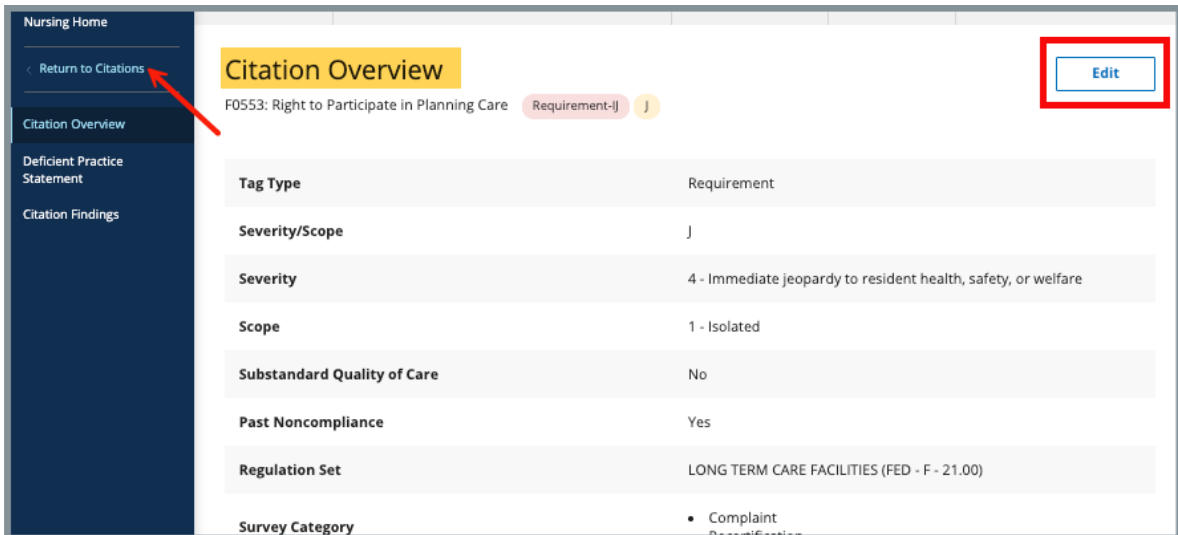


Figure 3: Citation Overview Window

3. Click **Edit**.
4. Update citation details.
5. Click **Save**.
6. Click **Return to Citations** on the left menu.
7. Click **Lock Citations**. See *Figure 4, Lock Citations*.

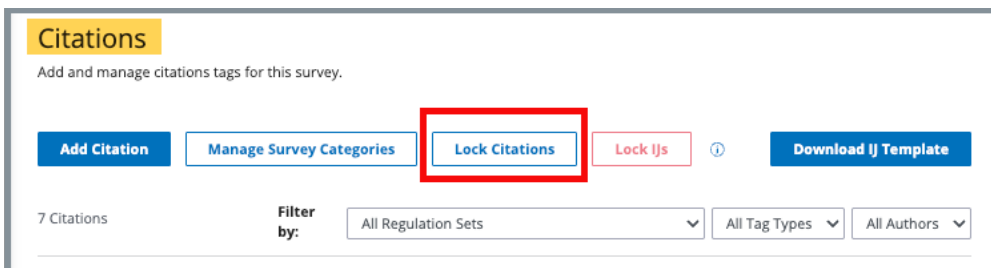


Figure 4: Lock Citations

Notes:

- Citations unlock when an IDR or IIDR is created
- Once citations are locked, further edits require Help Desk assistance
- Findings can be edited from any of the four options below:
 - Select **Edit Findings** under the **Action** menu on the **Citations** page. See *Figure 5, Edit Findings*.

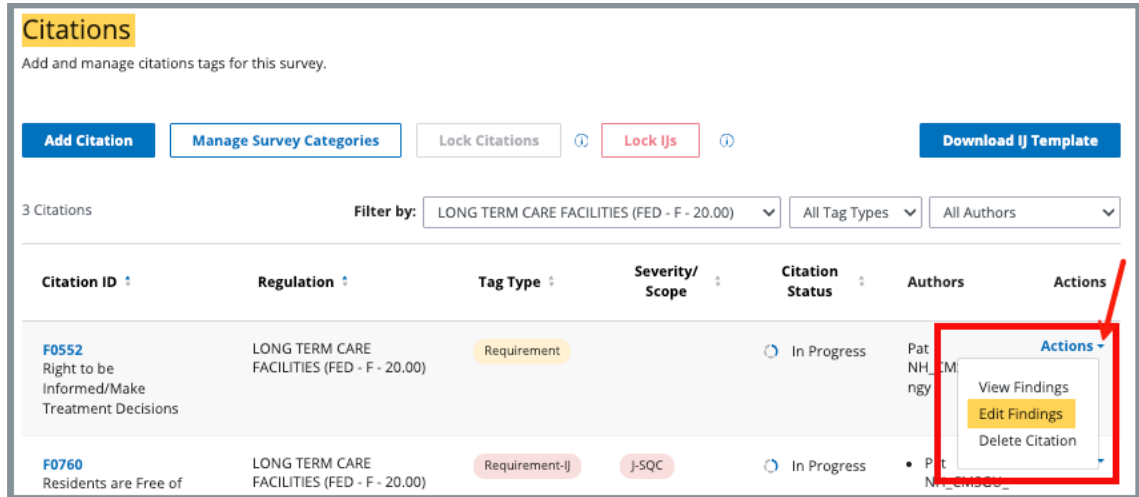


Figure 5: Edit Findings

- Select **Edit Findings** from the **Deficient Practice Statement** in the citation. See *Figure 6, Edit Findings from the DPS.*

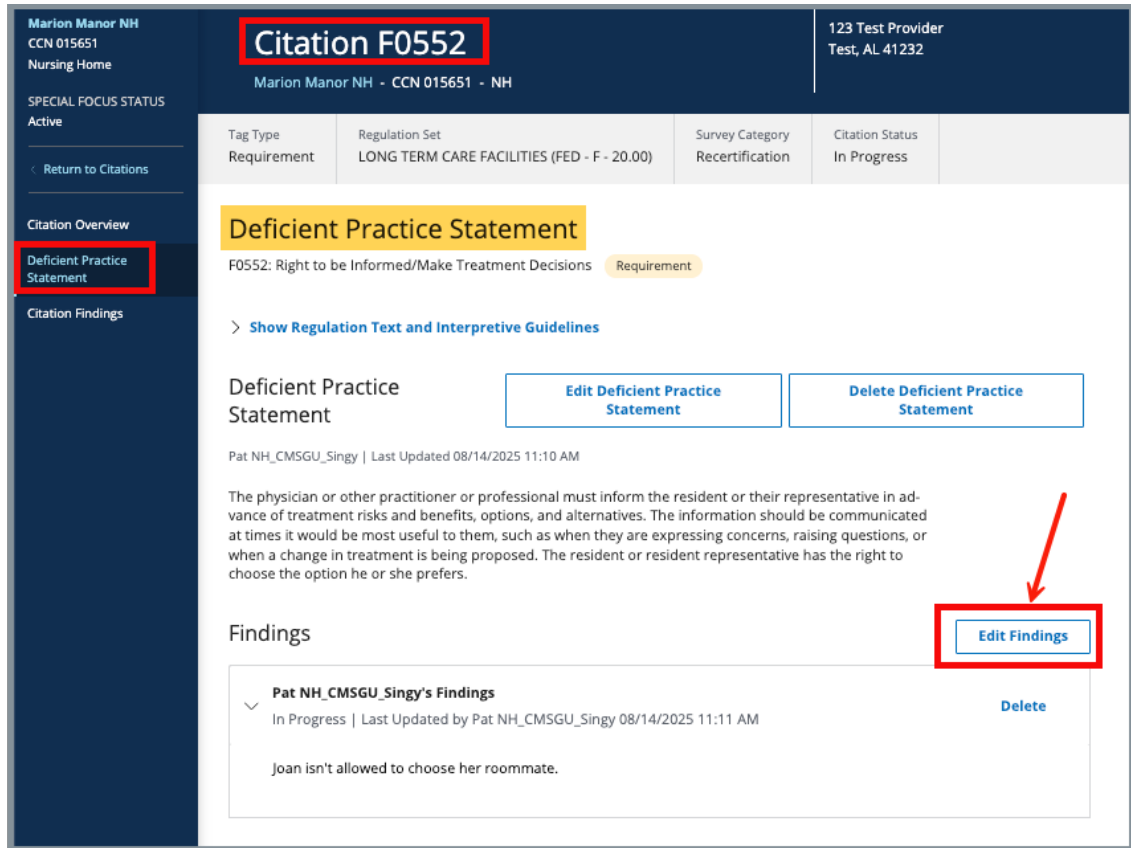


Figure 6: Edit Findings from the DPS

- Select **Citation Findings** for the citation. See *Figure 7, Edit Findings from Citation Findings.*

The screenshot shows the 'Citation F0552' page for 'Marion Manor NH'. The page includes a header with the citation ID and provider information. A sidebar on the left contains navigation options like 'Return to Citations', 'Citation Overview', 'Deficient Practice Statement', and 'Citation Findings'. The main content area displays 'Citation Findings' for 'F0552: Right to be Informed/Make Treatment Decisions'. It includes a 'Deficient Practice Statement' section with 'Edit Deficient Practice Statement' and 'Delete Deficient Practice Statement' buttons. Below this is a 'Findings' section with a table listing findings. The 'Edit Findings' button in the findings table is highlighted with a red box and a red arrow.

Figure 7: Edit Findings from the Citation Findings

Survey Citation IDR Status Code Reference

Code	Status	Description
01	None	No IDR requested
02	Requested	Request submitted
03	No Change	Citation unchanged after review
04	Tag Change	Tag number updated
05	Tag Removed	Citation removed
06	S/S Change	Scope or severity updated
07	Wording Change	Evidence updated
08	S/S Change and Wording Change	Scope or severity and evidence updated
10	Request Withdrawn	Request withdrawn
11	Result of Tag Change	New tag created as a result of change
12	IJ Removal	Immediate jeopardy removed

IDR Request Reasons

Use the following when documenting why a request is submitted:

- Errors in citation details
 - Incorrect scope or severity
 - Wrong citation code
 - New information available
 - Code interpretation issues
 - Other
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IDR Decision Reasons

Use the following when documenting the outcome:

- No change
 - Additional information provided
 - Insufficient evidence
 - Inaccurate facts
 - Wording or grammar change
 - Other
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Common Mistakes

- Citation status is not set to **02 – Requested**
 - Citation status is not updated after completion
 - Required fields (**Request Date**, **Conducted Date**, etc.) are not completed
 - Citations are not locked after updates
 - Edits are attempted after citations are locked
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Tips

- Verify eligibility before submitting a request
 - Confirm all required fields are completed
 - Use consistent status codes across citations
 - Lock citations when all updates are complete
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Summary Workflow

1. Confirm eligibility: Quick Start: Create an IDR or IIDR
2. Submit request: IDR/IIDR Process: Submit Request
3. Set citation status: IDR/IIDR Process: Update Record and Results
4. Save: IDR/IIDR Process: Update Record and Results
5. Update after review: Update Citations Based on IDR/IIDR Results
6. Lock citations: Update Citations Based on IDR/IIDR Results