iQIES Survey & Certification Job Aid

Enforcements

Overview

This document explains how to add an enforcement, add responsible staff, add a sanction, add a civil money penalty (CMP), and how to add an appeal.

An enforcement cannot be implemented until a survey has been submitted for a certified provider.

Contact the iQIES Service Center to delete an enforcement.

The letter that follows the **Enforcement ID** shows whether the enforcement is a federal (**F**) or state (**S**) enforcement.

The examples provided in this document pertain to S&C and require a State Agency or Centers for Medicare & Medicaid Services (CMS) role with the capability to view or edit this information.

Refer to the S&C User Manual: Manage an Enforcement for more detailed information on enforcements.

Basic Information Page Overview

The **Basic Information** page of an enforcement shows an overview of the provider's enforcement information which include enforcement status, starting survey, case status, facility, cycle surveys and citation management.

The left menu on the **Basic Information** for an enforcement varies depending on the provider type. **CMP** and **Appeals** are greyed out until a sanction is added.

The left menu on the **Basic Information** for an enforcement contains:

- Responsible Staff
- Nursing Aide Training Ban
- Sanctions
- Civil Money Penalty
- Appeal
- Letters
- Notes
- Attachments

Add an Enforcement

1. Click the desired provider record. The **Provider History** page opens.
2. Click **Add Enforcement** on the **Provider History** page. The **Basic Information** window opens.
3. Select one or more surveys.
4. Fill out the **Basic Information** for a **New Enforcement.**
5. Click **Save Section**. The **Basic Information** window updates.
6. Click **Edit** on the **Basic Information** page to make edits, if necessary.

Add Responsible Staff

1. Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens.
2. Click **Add Staff** to add responsible staff. The **Add Responsible Staff** page opens.
3. Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.
4. Click **Search**. The search results appear below.
5. Check the box under **Select** next to the correct name.
6. Click **Save**. A green notification box appears at the top of the screen, verifying the member was successfully added.

Add a Nursing Aide Training Ban

1. Click **Nurse Aide Training Ban** on the left menu. The **Nurse Aide Training Ban** screen opens.
2. Click **Add Ban Record**. The Nurse Aide Training Ban form opens.
3. Fill out information.
4. Click **Save**. The form closes and the **Nurse Aid Training Ban information** is shown on the screen.

Add a Sanction

1. Click **Sanctions** on the left menu. The **Sanctions** screen opens.
2. Click **Add Sanction** to add sanctions. The **Add Sanctions** page opens.
3. Select **Type** from drop-down menu.
4. Fill out the information.
5. Click **Save**. The **Sanctions** window updates with the new sanction.
6. Verify the **Sanction** was added.

Add a Civil Money Penalty

1. Click **Civil Money Penalty** on the left menu. The **Civil Money Penalty** screen opens.
2. Click **Add CMP** to add a **CMP**. The **Add Civil Money Penalty** page opens.
3. Select a survey from the **Survey** drop-down menu.
4. Fill out the rest of the form.
5. Click **Save**. The **Civil Money Penalty** window updates with the new CMP.
6. Verify the CMP was added.
7. Click the CMP to view or edit the CMP.

Add an Appeal

1. Click **Appeal** on the left menu. The **Add Appeal** screen opens.
2. Fill out as much information as possible.
3. Click **Save**. The **Appeal** window updates with the new appeal.

Additional Resources

Assistance Accessing iQIES:	Contact the iQIES Security Official (SO) for your organization
Technical Support:	Contact the iQIES Service Center:
Phone:	888-477-7876 (select Option 1)
Email:	iQIES@cms.hhs.gov
CCSQ Support Central:	Create a new ticket or track an existing ticket: https://cmsqualitysupport.servicenowservices.com/ccsq_support_central
Idea Portal:	Feedback for future iQIES software development: CCSQ Support Central. Click **Idea Portals**.
More information on iQIES:	Refer to the QIES Technical Support Office (QTSO) and the Quality, Safety, & Education Portal (QSEP). Logging in to HARP may be required before accessing some documentation in QTSO and QSEP.