Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Survey and Certification (S&C)

CMP/CMPTS

User Manual

Version 1.1

November 27, 2023

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1.   Introduction

This user manual addresses how to view, manage, and add Civil Money Penalty (CMP) and sanction information for both State Agency General Users (SAGU) and CMS General Users (CMSGU), and Civil Money Penalty Tracking System (CMPTS) cases for CMSGU.

For information on other modules, refer to Reference & Manuals on QTSO.

1.1   Getting Started in S&C – Important Information to Know

Below is important general information about iQIES.

- Log in to iQIES at https://iqies.cms.gov/ with Health Care Quality Information Systems (HCQIS) Access Roles and Profile (HARP) login credentials. Refer to the iQIES Onboarding Guide for further information, if necessary.

- All screenshots included in this manual contain only test data. Current screens in iQIES may differ from what is shown in screenshots below.

- Screenshots are dependent on user role and may not be an exact representation.

- Words highlighted in blue are clickable links.

- A red asterisk (*) indicates a required field.

- Blank fields may have a limited number of characters allowed in that field. If so, the character limit is shown on the bottom left. The blank fields may also be expanded. Click the two 45° parallel lines and drag to the right to enlarge the box. See *Figure 1, Expandable Field*.
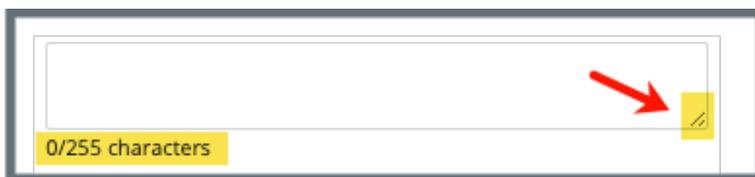

Figure 1: Expandable Field

- iQIES times out after 15 minutes of nonuse and reverts to the login page. Be sure to save data regularly. iQIES remains up and active as long as it is in use.

- iQIES uses a smart search. Once three letters/digits are typed in the search bar, results are shown based on the letters/digits entered. The

more letters/digits entered, the narrower the search. If any of the results is the correct result, click the result to open.

- Review any yellow/orange notification banners. See *Figure 2, Notification Banner*. These banners can be closed (X'd out) if they do not apply or they are resolved.
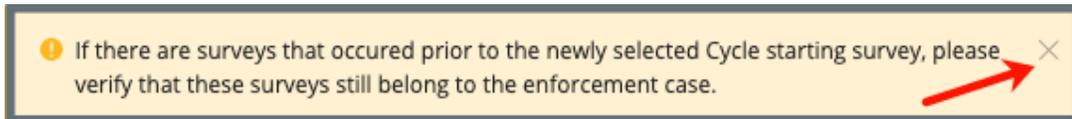

Figure 2: Notification Banner

- Review any Tool Tips for additional information to perform an action. Hover over the **i** icon to see the tip. Tool Tips are in iQIES to communicate information. Look for the information icon. See *Figure 3, Tool Tip Icon.*
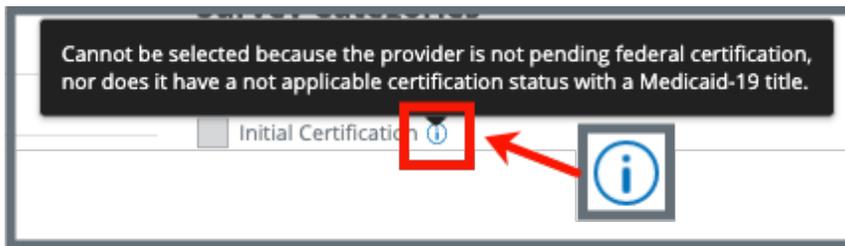

Figure 3: Tool Tip Icon

- Below are the supported browsers for access to iQIES. **Do not use Internet Explorer.** It is not supported. Be sure to keep your browser updated.

  For best results, please use the latest version of these browsers:
  Chrome
  Firefox

  The latest versions of the browsers below are also supported:
  Microsoft Edge
  Safari

1.2   iQIES Service Center

The iQIES Service Center supports users working within the various iQIES components: S&C, Patient Assessment, and Reporting.

Assistance Accessing iQIES: Contact the iQIES 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.

iQIES reference materials include:

- Links to Training Videos for providers
- Assessment Management User Manual
- Quick Reference Guides
- Onboarding Guide
- Managing User Information
- Other helpful iQIES material

iQIES training materials on QSEP include S&C Foundation Series Videos

1.3   Roles and Permissions

iQIES roles allow users to access information pertinent to their area of work. 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.

Permissions are ultimately governed by HARP access privileges. Contact the Security Official (SO) for your organization or the iQIES Service Center for issues relating to access and permissions. Refer to the iQIES User Roles Matrix for detailed information on roles.

For additional help, refer to https://iqies.cms.gov/iqies/help or click the help icon in the top right corner of the screen, see *Figure 4, Help Icon*, for further information.

Figure 4: Help Icon

1.4   Workload Management

Workload Management is a tool used to track and display data for individual users. It consolidates information and processes into one area so that the user can see at a glance what actions must be performed.

Note: Workload Management is limited to the State Agency General User and CMS General User roles.

1.4.1   Log in to iQIES. The landing page displays the Workload Management tool. See *Figure 5, Workload Management Landing Page.*

Note: The Workload Management landing page defaults to active tasks. Click the **List View** drop-down and select **Closed tasks** to view completed tasks.
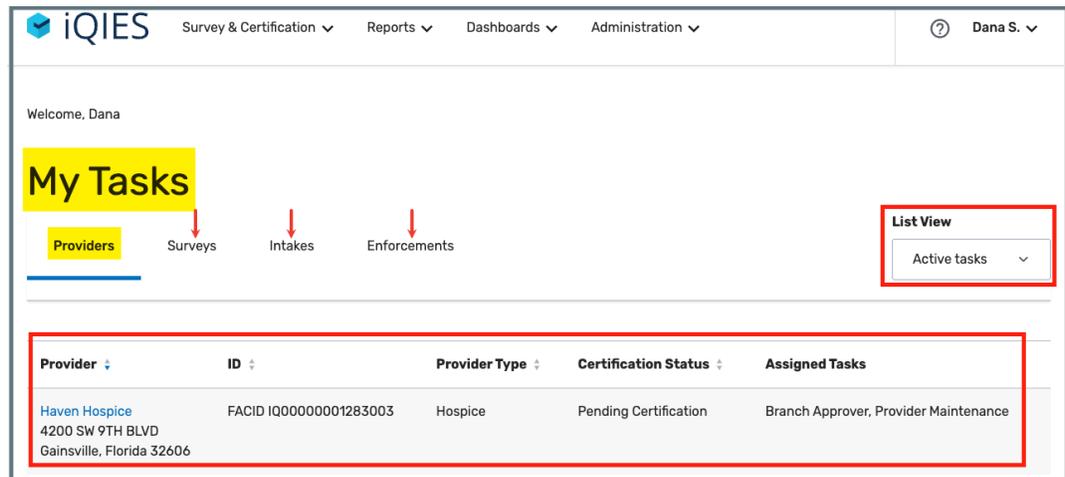
Figure 5: Workload Management Landing Page

Note: Click the iQIES logo on the top left of the screen or Home to return to the Workload Management landing page at any time. See *Figure 6, iQIES Logo*.

Figure 6: iQIES Logo

1.4.2   Review tasks. Click each tab (**Providers**, **Surveys**, **Intakes**, **Enforcements**) to review tasks. See *Table 1: Workload Management Data Display* for details on when data is displayed.

Table 1: Workload Management Data Display

Tab	Data Displayed When User Is:
Providers	• Responsible Staff for a provider or • Survey team member for a survey for a provider
Surveys	• Responsible Staff for a survey or • Survey team member
Intakes	• Responsible Staff for an intake or • Survey team member for a survey associated to an intake
Enforcements	Responsible Staff for an enforcement

Notes:

- A blue **New** in an oval shape (pill) next to the **Survey ID** in the **Survey** tab indicates that the survey's status is **New**.

- A blue **New** pill next to the **Intake ID** in the **Intakes** tab or next to the **Enforcement ID** in the **Enforcements** tab indicates that the task was created in the past seven days.

- If there are no tasks, then a message appears below the selected tab. See *Figure 7, No Active Tasks*, for an example from the **Providers** tab.

You have no active Provider Tasks.

New Tasks will show up here.
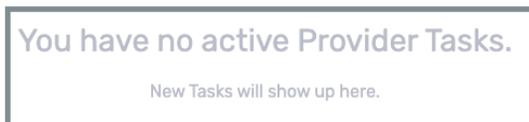
Figure 7: No Active Tasks

2. CMP for State Agency General Users

This section shows SAGUs how to view, manage, and add Civil Money Penalty (CMP) and sanction information.

Review the top menu bar for CMP details: **Enforcement Case ID**, **Outstanding Balance**, **Next Payment Due**, **Cycle Start Date** and **CMPTS Case Created**. See *Figure 8, CMPTS Case Menu.*

CMS General User (CMSGU) information is in the next section: [CMP and CMPTS for CMS General Users](#).

Only CMSGUs can delete a CMP.

CMPs are available for:

- Nursing Homes
- Home Health Agencies (HHA)
- Hospices
- CLIA (Clinical Laboratory Improvement Amendment) Laboratories

Figure 8: CMPTS Case Menu

2.1   Add a CMP

Note: There must be an enforcement before a CMP can be added.

2.1.1   Open the **Basic Information** page of the enforcement that needs a CMP.

2.1.2   Click **Civil Money Penalty** in the left menu. The **Add Civil Money Penalty** page opens. See *Figure 9, Add Civil Money Penalty.*

Figure 9: Add Civil Money Penalty

Notes:

- When there are one or more existing CMPs, the **Add Civil Money Penalty** page will list the CMPs. To add a new CMP, click **Add CMP**.

- There is a minimum and maximum CMP **Per Instance** amount or **Per Day** amount. Contact CMS for more information on minimum and maximum amounts, if needed.

2.1.3   Fill out the information. A **Survey** must be selected. The **Related Citation** field opens when a survey is selected.

Note: The **In Effect** selection is always set to **Recommended** for a SAGU. Only a CMSGU can change the **In Effect** status.

2.1.4   Click **Save**. The CMP is created and the **Civil Money Penalty** window opens.

Notes:

- The CMPTS case appears in a search only after CMS generates the CMPTS number.

- Only CMSGUs can generate a CMPTS case number.

2.2   View CMPTS Details

2.2.1 Click on the case number to view case details. The CMPTS Details
         page opens. See *Figure 10, CMPTS Details Page*.

Figure 10: CMPTS Details Page

Note: Only CMSGUs can edit details.

2.2.2 Scroll down to review **Payment Details.** Click each tab to review
         Installments & Payments, **Allocation History**, **Notes** and
         Attachments.

2.2.3 Click the **Installments & Payments** tab to view payment details,
         outstanding balance, payment method, and installment information.
         See *Figure 11, Installments & Payments*.

         Notes:

         • CMSGU can edit Due Date and Amount Due only. OFM can edit
            Medicare, Medicaid, Interest amounts, Payment Method, and
            Posted Date only

         • Home Health Agencies (HHA) do not use multiple installment
            payments. They have only one installment.

Figure 11: Installments & Payments

2.2.4   Click **Allocation History** tab to view the CMP instance or per day that was created in the enforcement. See *Figure 12, Allocation History*.

Figure 12: Allocation History

2.2.5   Click **Notes** tab to add a note.

   Note: Notes can be edited or deleted by the owner.

   Note: Notes are time/date stamped.

2.2.6   Type the note. Click **Save**. The note is added to the case.

2.2.7   Click **Attachments** tab to view any attachments. If there are no attachments, *No information* is shown in the section.

3. CMP and CMPTS for CMS General Users

This section shows CMSGUs how to view, manage, and add CMP and CMPTS cases.

SAGU information for CMP is located in the previous section: CMP for State Agency General Users.

Review the top menu bar for CMPTS details: **Enforcement Case ID**, **Outstanding Balance**, **Next Payment Due**, **Cycle Start Date** and **CMPTS Case Created**. See *Figure 13, CMPTS Case Menu Bar.*

CMSGUs cannot receive or enter payments in the CMPTS area.

CMPs are available for:

- Nursing Homes
- Home Health Agencies (HHA)
- Hospices
- CLIA (Clinical Laboratory Improvement Amendment) Laboratories

Figure 13: CMPTS Case Menu Bar

3.1   Add a CMP

Note: There must be an enforcement before a CMP can be added.

3.1.1   Open the **Basic Information** page of the enforcement that needs a CMP.

3.1.2   Click **Civil Money Penalty** in the left menu. The **Add Civil Money Penalty** page opens. See *Figure 14, Add Civil Money Penalty.*

Figure 14: Add Civil Money Penalty

Note: When there are one or more existing CMPs, the **Add Civil Money Penalty** page will list the CMPs. To add a new CMP, click **Add CMP**.

3.1.3   Fill out the information. A **Survey** must be selected. The **Related Citation** field opens when a survey is selected.

Note: CMSGUs must select an option under **In Effect*** to decide whether the sanction is in effect (**Yes**), denied (**No**), **Recommended**, or **Awaiting Appeal Outcome**.

3.1.4   Click **Save**. The CMP is created and the **Civil Money Penalty** window opens.

Note: The CMPTS case only appears in a search after CMS generates the CMPTS number.

3.1.5   Click **Generate CMPTS Case** to generate a CMPTS number. A CMPTS case number is automatically assigned. See *Figure 15, Generate CMPTS Case*.

Figure 15: Generate CMPTS Case

3.2   Search for a CMPTS

3.2.1   Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.

3.2.2   Click **Search**. The **Search** screen opens. *See Figure 16, S&C Search*.

Figure 16: S&C Search

3.2.3   Click the **CMPTS Cases** tab. See *Figure 17, CMPTS Cases Tab.*
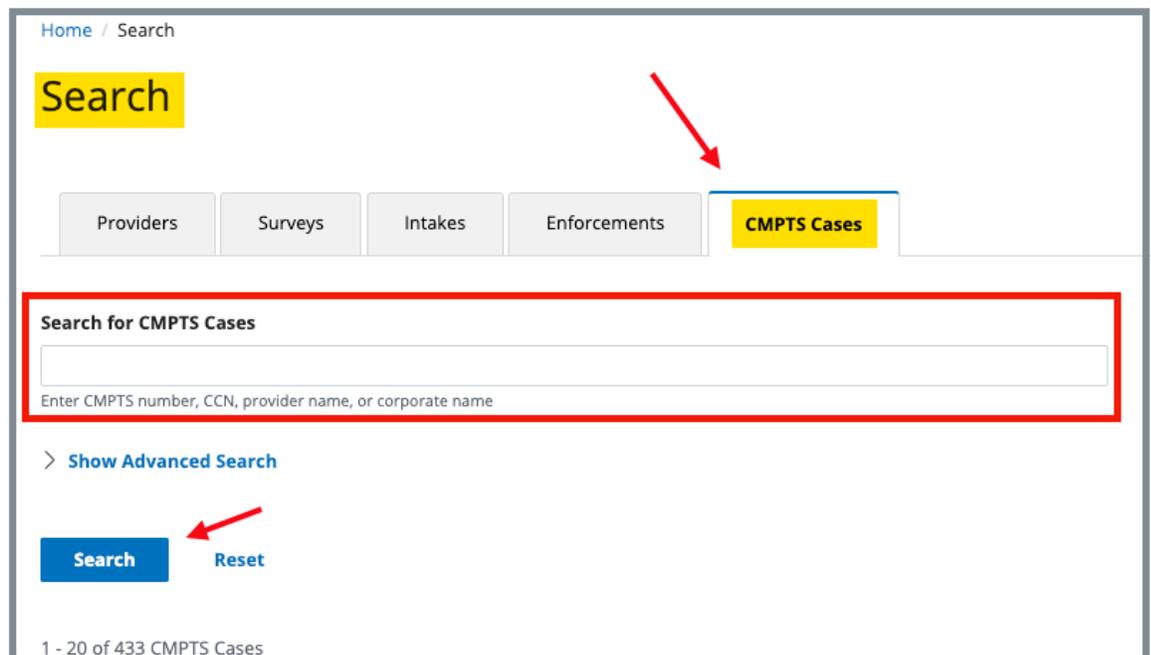
Figure 17: CMPTS Cases Tab

3.2.4   Type CMPTS number, CCN (CMS Certification Number), provider name, or corporate name.

3.2.5   Click **Search**. The CMPTS cases show below. Click **CMPTS Number** on the correct case to go directly to the CMPTS.

Notes:

- Click the Provider name or CCN to go to the **Provider History** page.

- Click **Show Advanced Search** for a more detailed search. Refer to step 3.2.6 for details.

3.2.6 Click **Show Advanced Search**, if desired, to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 18, CMPTS Advanced Search*.

Figure 18: CMPTS Advanced Search

3.2.7 Type in desired detailed criteria. Click **Search**. The CMPTS cases show below.

Note: Click **Hide Advanced Search** to close the **Advanced Search** menu.

3.3   Edit CMPTS Details

3.3.1   Click on the case number to view case details. The **CMPTS Details** page opens. See *Figure 19, CMPTS Details*.

Figure 19: CMPTS Details

3.3.2   Click **Edit CMPTS Details**. The editable fields open. See *Figure 20, Edit CMPTS Details*.

Figure 20: Edit CMPTS Details

3.3.3   Edit details.

3.3.4   Click **Submit**.

3.4 Payment Details

3.4.1 Scroll down to **Payment Details** on the **CMPTS Details** page. Click each tab to review **Installments & Payments**, **Allocation History**, **Notes,** and **Attachments.**

3.4.2 Click the **Installments & Payments** tab. See *Figure 21, Installments & Payments*.

Figure 21: Installments & Payments

3.4.3 Click **Edit** to update the **Installments & Payments** section. See *Figure 22, Installments Edit Tab.*

Figure 22: Installments Edit Tab

Notes:

- CMSGU can edit **Due Date** and **Amount Due** only. OFM can edit **Medicare**, **Medicaid**, **Interest** amounts, **Payment Method**, and **Posted Date** only.

- Once a payment is added, the **Edit** link under Installments is disabled.

- Home Health Agencies (HHA) do not use multiple installment payments. They have only one installment.

- Reallocation of funds, e.g., a refund, is not done in iQIES.

3.4.4   Click **Calculate Installments**. An **Installments** section opens below. See *Figure 23, Installments*.

Figure 23: Installments

3.4.5   Click **Save**. **Installments** information appears below the **Payment Details**.

3.4.6   Click **Allocation History** tab to view the per instance or per day CMP that was created in the enforcement. See *Figure 24, Allocation History*.

Figure 24: Allocation History

3.4.7   Click **Notes** tab to add a note.

Notes:

- Notes can be edited or deleted by the owner.

- Notes are time/date stamped.

3.4.8   Type the note. Click **Save**. The note is added to the case.

3.4.9   Click **Attachments** tab to add an attachment. See *Figure 25, Add an Attachment.*

a. Click **Select File** and browse for the desired file on the computer.

b. Type a **File Description**, if desired.

c. Click **Save**. The attachment is added to the case.

Figure 25: Allocation History

3.5   Delete a CMP

A CMP cannot be deleted if a payment was received.

3.5.1   Click **Delete** next to the CMP. See *Figure 26, Delete a CMP*. A **Delete** pop-up window opens.
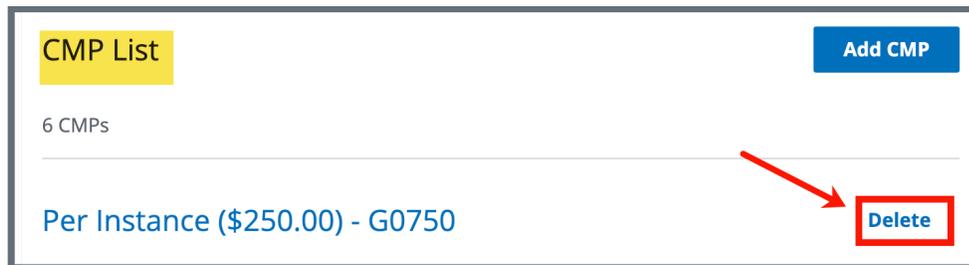
Figure 26: Delete a CMP

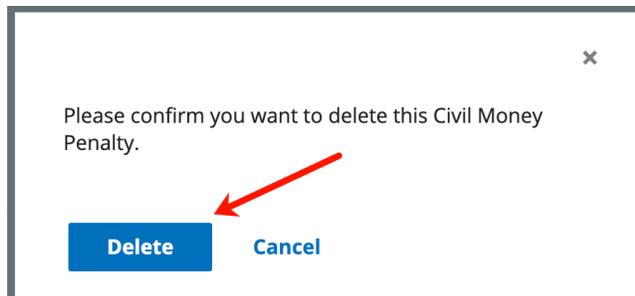3.5.2   Click **Delete**. See *Figure 27, Delete a CMP Pop-Up Window.*

Figure 27: Delete a CMP Pop-Up Window

4.   CMP and CMPTS for CMS Office of Financial Management (OFM)

This section shows OFM users how to view and manage CMP and CMPTS cases.

Review the top menu bar for CMPTS details: **Enforcement Case ID**, **Outstanding Balance**, **Next Payment Due**, and **Cycle Start Date**. See *Figure 28, CMPTS Case Menu Bar Details.*

OFM can edit Received Date, Payment Received, Medicare, Medicaid, Interest, Payment Method, and Posted Date for Installments.

CMPs are available for:

- Nursing Homes
- Home Health Agencies (HHA)
- Hospices
- CLIA (Clinical Laboratory Improvement Amendment) Laboratories

Home / Search / CMPTS Case

2021-04-HHA-013

CARE ONE HOME HEALTH INC - CCN 108248 - HHA

12905 SW 42ND ST, STE 114
MIAMI, FL 33175
☎ (305) 228-0301

Enforcement Case ID	Outstanding Balance	Next Payment Due	Cycle Start Date
FLU077-F	$660.00	10/29/2021	09/06/2018

Figure 28: CMPTS Case Menu Bar Details

4.1   Search for a CMPTS Case

4.1.1   Go to **Find a CMPTS Case** at the top of the iQIES home page. Click the arrow to open the drop-down menu. *See Figure 29, OFM User Homepage.*

Figure 29: OFM User Homepage

4.1.2   Click **CMPTS Search**. The **Search** screen opens. *See Figure 30, CMPTS Cases Search*.
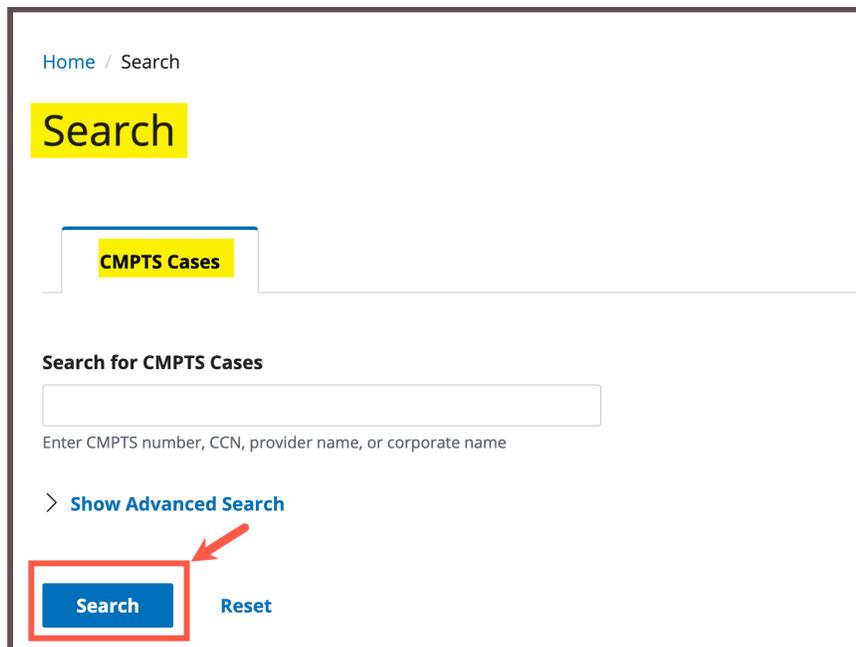
Figure 30: CMPTS Cases Search

4.1.3   Type CMPTS number, CCN (CMS Certification Number), provider name, or corporate name.

4.1.4   Click **Search**. The CMPTS cases show below. Click **CMPTS Number** on the correct case to go to the CMPTS.

4.1.5 Click **Show Advanced Search**, if desired, to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 31, OFM Advanced Search.*

Figure 31: OFM Advanced Search

4.1.6 Type in desired detailed criteria. Click **Search**. The CMPTS cases show below.

> **Note**: Click **Hide Advanced Search** to close the **Advanced Search** menu.

4.2   Payment Details

4.2.1   Click on the case number to view case details. The **CMPTS Details** page opens. See *Figure 32, CMPTS Details Page*.

Figure 32: CMPTS Details Page

4.2.2   Scroll down to **Payment Details** on the **CMPTS Details** page. Click each tab to review **Installments & Payments**, **Allocation History**, **Notes,** and **Attachments.**

4.2.3   Click the **Installments & Payments** tab.

4.2.4   Click **Edit** to update existing records in the **Installments & Payments** section. See *Figure 33, Edit Installments.*

Figure 33: Edit Installments

Notes:

- CMSGU can edit Due Date and Amount Due only. OFM can edit Medicare, Medicaid, Interest amounts, Payment Method, and Posted Date only.

- Home Health Agencies (HHA) do not use multiple installment payments. They have only one installment.

- Reallocation of funds, e.g., a refund, are not done in iQIES.

4.2.5   Fill in the information as desired. Click **Save Installment.** See *Figure 34, Save Installment.*

Figure 34: Save Installment

Note: OFM can edit Received Date, Payment Received, Medicare, Medicaid, Interest amounts, Payment Method, and Posted Date for Installments.

4.2.6   Click **Notes** tab to add a note.

Note: Notes can be edited or deleted by the owner.

Note: Notes are time/date stamped.

4.2.7   Type the note. Click **Save**. The note is added to the case.

4.2.8   Click **Attachments** tab to add an attachment.

a. Click **Select File** and browse for the desired file on the computer.

b. Type a **File Description**, if desired.

c. Click **Save**. The attachment is added to the case.