



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Survey and Certification (S&C) Manage an Enforcement User Manual

Version 1.2

November 27, 2023

Table of Contents

1. Introduction	1
1.1 Getting Started in S&C – Important Information to Know	1
1.2 iQIES Service Center	3
1.3 Roles and Permissions	4
1.4 Workload Management	5
2. Manage an Enforcement Overview	7
3. Search for an Enforcement	7
4. Add an Enforcement	10
5. Responsible Staff	12
6. Nurse Aide Training Ban	14
6.1 Add Nurse Aide Training Ban	14
6.2 View Nurse Aide Ban Notes	16
6.3 Edit a Training Ban	16
7. Sanctions	17
7.1 Add or View a Sanction	17
7.2 Edit a Sanction	19
7.3 Delete a Sanction	20
8. Civil Money Penalty	21
8.1 Add a CMP	21
8.2 Edit a Waiver	24
9. Appeal	26
9.1 Add an Appeal	26
9.2 Edit an Appeal	28
9.3 Add Legal Action	28
10. Letters	30
10.1 Add/Upload a letter	30
10.2 Generate a letter from an existing template	33
10.3 Add recipients to a letter	37
10.4 Edit a Letter Overview	38
10.5 Delete a Letter	39
11. Notes	40

12. Attachments	41
Appendix A: Tips and Tricks for Working in a Template	42
Appendix B: Enforcement Textholder Text	43

List of Figures

Figure 1: Expandable Field	1
Figure 2: Notification Banner	2
Figure 3: Tool Tip Icon.....	2
Figure 4: Help Icon	4
Figure 5: Workload Management Landing Page.....	5
Figure 6: iQIES Logo	5
Figure 7: New Notification	6
Figure 8: No Active Tasks	6
Figure 9: Enforcement ID	7
Figure 10: Enforcements Search	7
Figure 11: Enforcements Advanced Search.....	8
Figure 12: Enforcements Basic Information	9
Figure 13: Add Enforcement	10
Figure 14: Add Basic Information for a New Enforcement	11
Figure 15: Enforcements Responsible Staff.....	12
Figure 16: Survey Team Member Successfully Added	12
Figure 17: Delete a Responsible Staff.....	13
Figure 18: Nurse Aide Training Ban	14
Figure 19: Nurse Aide Training Ban Form.....	15
Figure 20: Nurse Aide Training Ban Notes.....	16
Figure 21: Edit Nurse Aide Training Ban	16
Figure 22: Sanctions.....	17
Figure 23: Add Sanction	18
Figure 24: Edit Sanction	19
Figure 25: Delete a Sanction Pop-up Window	20
Figure 26: Civil Money Penalty.....	21

Figure 27: Add Civil Money Penalty..... 22

Figure 28: CMP Detail 23

Figure 29: Edit a Waiver 24

Figure 30: Edit a Payment 25

Figure 31: Add Appeal..... 26

Figure 32: Appeal 27

Figure 33: Add Legal Action 28

Figure 34: Edit Injunction..... 29

Figure 35: Enforcements Letters 30

Figure 36: Enforcements Letter Overview..... 31

Figure 37: Letter Attachment and Recipient 31

Figure 38: Generate from Template..... 33

Figure 39: Add Letter Template 33

Figure 40: Letter Template..... 35

Figure 41: Letter Attachment..... 36

Figure 42: Add Recipient..... 37

Figure 43: Edit a Letter Overview 38

Figure 44: Edit Letter Overview..... 38

Figure 45: Delete Letter Pop-Up Window 39

Figure 46: Enforcements Add Note 40

Figure 47: Delete Note Pop-Up Window 40

Figure 48: Enforcements Attachments..... 41

List of Tables

Table 1: Workload Management Data Display 6

1. Introduction

This user manual addresses the processes necessary to perform Survey & Certification (S&C) Enforcement functions in iQIES.

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 [iQIES Onboarding Guide](#) for further information, if necessary.
- All screenshots included in this manual contain only test data. Current screens in iQIES may be different 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*.

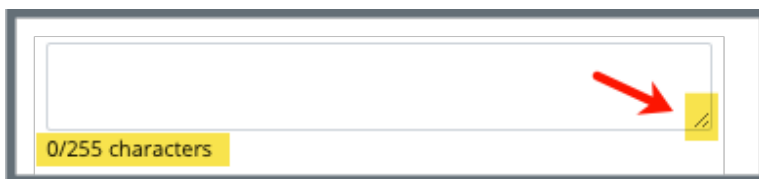


Figure 1: Expandable Field

- 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 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.

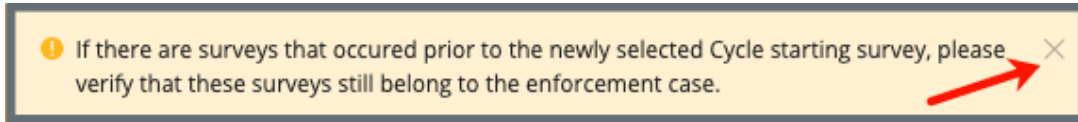


Figure 2: Notification Banner

- 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*.

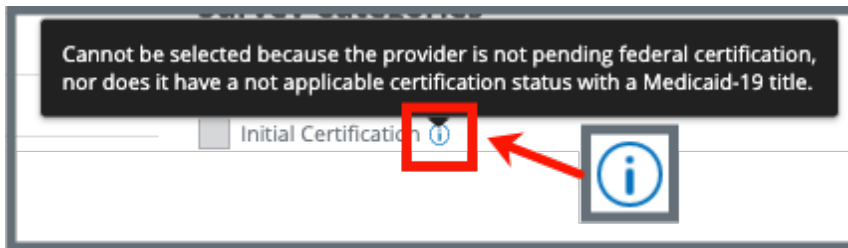


Figure 3: Tool Tip Icon

- 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 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.

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 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.

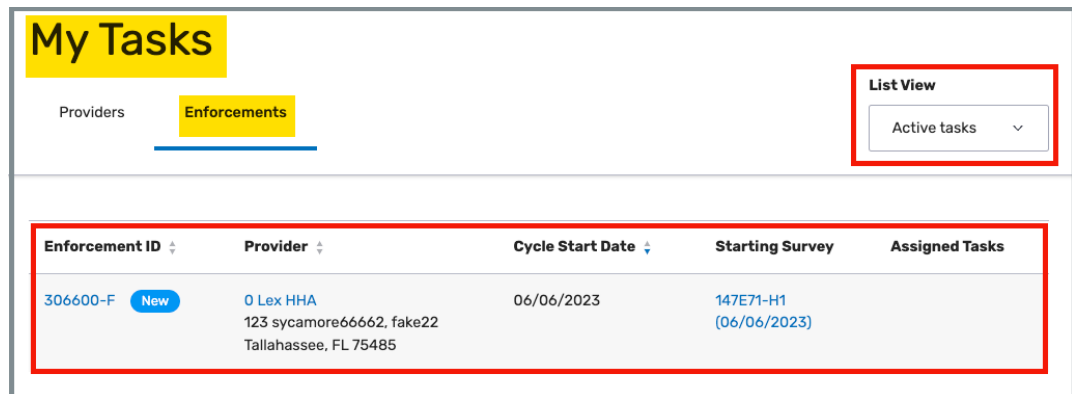


Figure 5: Workload Management Landing Page

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*.

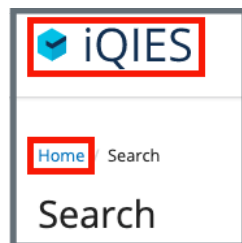


Figure 6: iQIES Logo

1.4.2 Review tasks. Click each tab (**Providers, 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	<ul style="list-style-type: none"> Responsible Staff for a provider or Survey team member for a survey for a provider
Enforcements	Responsible Staff for an enforcement

Notes:

- A blue **New** in an oval shape (pill) under the **ID** indicates that the survey's status is **New**. See *Figure 7, New Notification*.

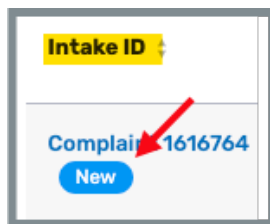


Figure 7: New Notification

- If there are no tasks, then a message appears below the selected tab. See *Figure 8, No Active Tasks*, for an example from the **Providers** tab.

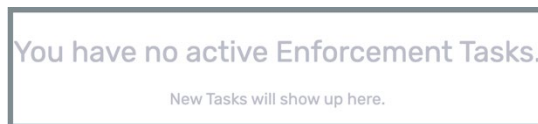


Figure 8: No Active Tasks

2. Manage an Enforcement Overview

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. See *Figure 9, Enforcement ID*.



Figure 9: Enforcement ID

3. Search for an Enforcement

Purpose: To search for an enforcement.

- 3.1 Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.
- 3.2 Click **Search**. The **Search** page opens.
- 3.3 Click **Enforcements** tab on the **Search** page. See *Figure 10, Enforcements Search*.

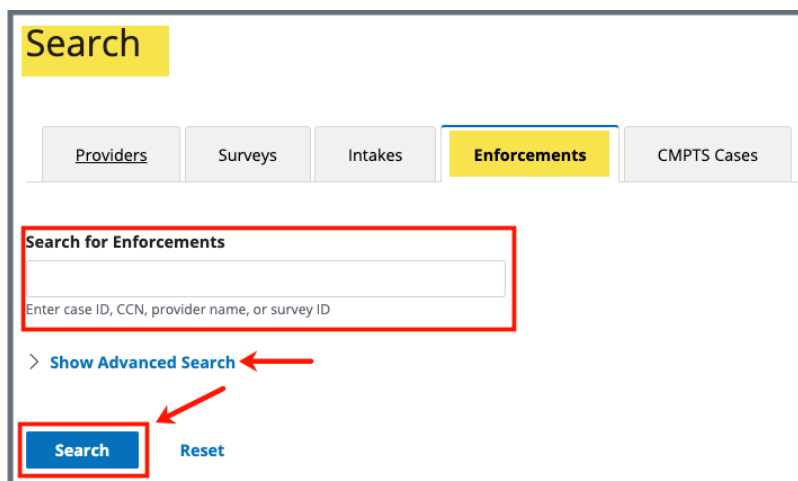


Figure 10: Enforcements Search

Note: Click **Show Advanced Search** for a more detailed search. Refer to step 3.2 for details.

- 3.4 Click **Show Advanced Search** to open the **Advanced Search** drop-down menu and narrow the search criteria. See *Figure 11, Enforcements Advanced Search*. Otherwise, go to step 3.3.

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

The screenshot displays the 'Enforcements' search interface. At the top, there are tabs for 'Providers', 'Surveys', 'Intakes', 'Enforcements' (which is active), and 'CMPTS Cases'. Below the tabs is a search bar labeled 'Search for Enforcements' with a placeholder text 'Enter case ID, CCN, provider name, or survey ID'. A red box highlights this search bar. Below the search bar is a button labeled 'Hide Advanced Search' with a dropdown arrow, also highlighted with a red box and a red arrow pointing to it. The main area contains several filter panels:

- CATEGORY:** 'Enforcement Type' with a 'Select one' dropdown.
- STATUS:** 'Enforcement Case Status' with a 'Select one' dropdown and two checkboxes: 'Only show enforcement cases containing IJs' and 'Only show enforcement cases containing an appeal'.
- PROVIDER INFO:** 'Provider Type' with a multi-select dropdown (currently showing 'All') and 'State' with a multi-select dropdown (currently showing 'Virginia').
- SANCTION:** 'Sanction Type' and 'Sanction Status In Effect', both with multi-select dropdowns.
- START DATE RANGE:** 'Enforcement Start Dates' with 'From' and 'To' input fields.
- SURVEY EXIT DATE RANGE:** 'Dates with IJ Conditions Tags Cited' with 'From' and 'To' input fields.

 At the bottom left, there is a blue 'Search' button and a 'Reset' link, both highlighted with red boxes and red arrows.

Figure 11: Enforcements Advanced Search

- 3.5 Type **case ID, CCN, provider name, or survey ID**. Click **Search**. The provider information shows below.
- 3.6 Click the enforcement number to view basic information. The **Basic Information** window opens with a status, enforcement type, transfer information, surveys and cycle start date. See *Figure 12, Enforcements Basic Information*.

Enforcement 259328-F	Enforcement Status	Transferred To RO	Starting Survey	Enforcement Start Date	Termination Date	Termination Outcome
	Open	No information	🔗	12/31/2022	No information	No information

Home Health Agency
Non-Deemed

Basic Information ←

Responsible Staff

Nurse Aide Training Ban

Sanctions

Civil Money Penalty

Appeal

Letters

Notes

Attachments

Basic Information

Edit

Status Open

Enforcement Type Federal

Transferred To RO No information

Added Surveys [🔗](#) - Starting Survey

Cycle Start Date 12/31/2022

[View Provider History Report](#)

Figure 12: Enforcements Basic Information

4. Add an Enforcement

Purpose: To add an enforcement.

Notes:

- To add a new enforcement, the following conditions must be met:
 - A certified provider
 - A survey with deficiencies with locked citations that has not been added to a different enforcement. Only one survey can be designated as the starting survey.
- The **Starting Survey** is the survey used to create an enforcement case. Its exit date is the start of the enforcement cycle.
- Contact the [iQIES Service Center](#) to delete an enforcement.

4.1 Click the desired provider record. The **Provider History** page opens. For more information on searching for and accessing a provider, refer to the [Manage a Provider User Manual](#) on QTSO.

Note: It is also possible to click the provider from the **Basic Information** page to open **Provider History**.

4.2 Click **Add Enforcement** on the **Provider History** page. See *Figure 13, Add Enforcement*. The **Basic Information** window opens with a list of available surveys.



Figure 13: Add Enforcement

4.3 Select one or more surveys. See *Figure 14, Add Basic Information for a New Enforcement*.

Notes:

- Only one survey can be designated as the starting survey.
- When a survey has **Memo** under the **Deficiency** column, the only citation is the CMS-2567 (initial comments).
- Dates are system generated.

4.4 Click **Save Section**. The **Basic Information** window updates.

Notes:

Click **Edit** on the **Basic Information** page to make edits, if necessary.

The **Transferred to RO** field is only available to SAGUs.

Basic Information

Enter the basic information for this enforcement.

All required fields are marked with an asterisk (*)

Enforcement Type *

Federal

State [i](#)

Transferred to RO

10/05/2021

MM/DD/YYYY

Add Surveys *

Add surveys to this enforcement cycle and indicate the starting survey.

Select	Survey ID	Survey Category	Exit Date	Status	Deficiency	Starting
<input type="checkbox"/>	9AA03-H1 i	Recertification	01/31/2021	Statement of Deficiencies sent	Condition	<input checked="" type="radio"/>

Cycle Start Date *

MM/DD/YYYY

Save Section

Cancel

Figure 14: Add Basic Information for a New Enforcement

5. Responsible Staff

Purpose: To add new, delete, or view existing staff responsible for the enforcement.

Note: Responsible Staff are HARP ID users.

5.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 15, Enforcements Responsible Staff*.

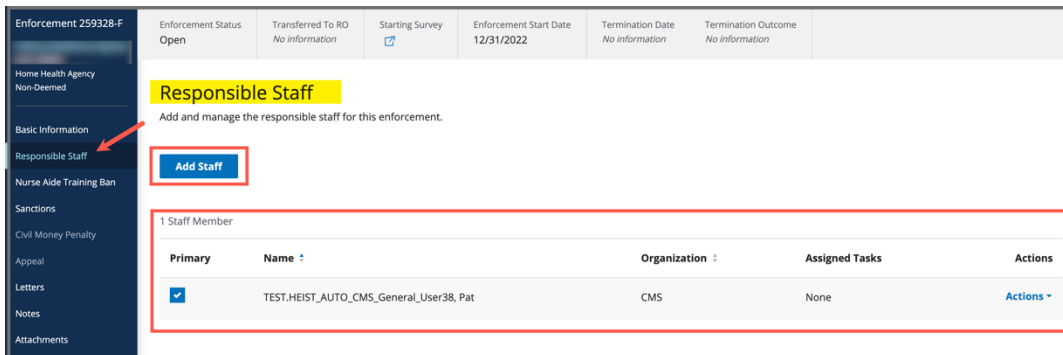


Figure 15: Enforcements Responsible Staff

5.2 Click **Add Staff** to add responsible staff. The Add Responsible Staff page opens.

5.3 Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.

5.4 Click **Search**. The search results appear below.

5.5 Check the box under **Select** next to the correct name. Click **Save**. A green notification box appears at the top of the screen, verifying the member was successfully added. See *Figure 16, Survey Team Member Successfully Added*.

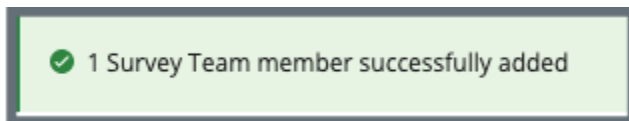


Figure 16: Survey Team Member Successfully Added

Notes:

- The case creator is a default staff member.
- It is only possible to add staff that are in the list of staff members.
- It is not possible to select options that are greyed out.
- Only one staff can be primary.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

5.6 Verify the staff member was added.

5.7 Click **Delete** under **Actions** to delete a staff member. A confirmation pop-up window opens.

5.8 Click **Delete**. See *Figure 17, Delete a Responsible Staff*.

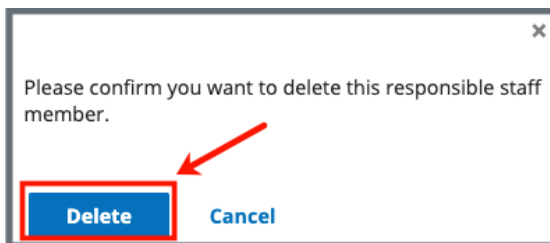


Figure 17: Delete a Responsible Staff

5.9 Verify that the Responsible Staff is no longer on the list.

6. Nurse Aide Training Ban

Purpose: To document a two-year ban on a Home Health Agency (HHA) that provides nurse aide training and/or competency testing.

Note: A permanent record of the ban remains in the system and is shown on the Nurse Aide Training Ban page.

6.1 Add Nurse Aide Training Ban

6.1.1 Click **Nurse Aide Training Ban** on the left menu. The **Nurse Aide Training Ban** screen opens. See *Figure 18, Nurse Aide Training Ban*.

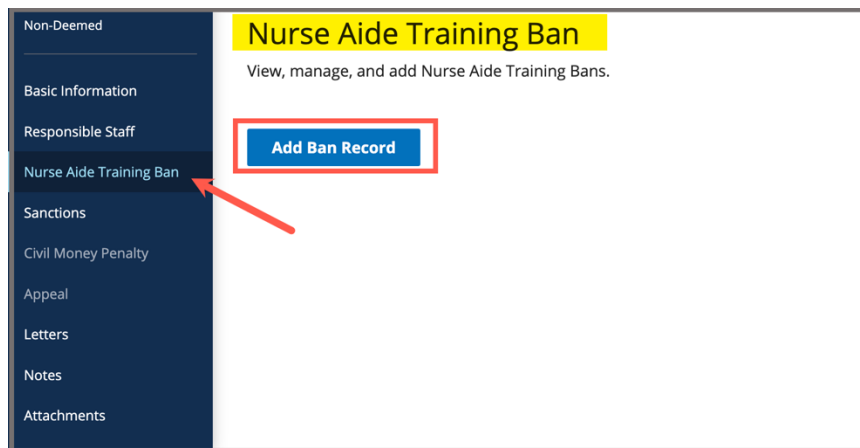
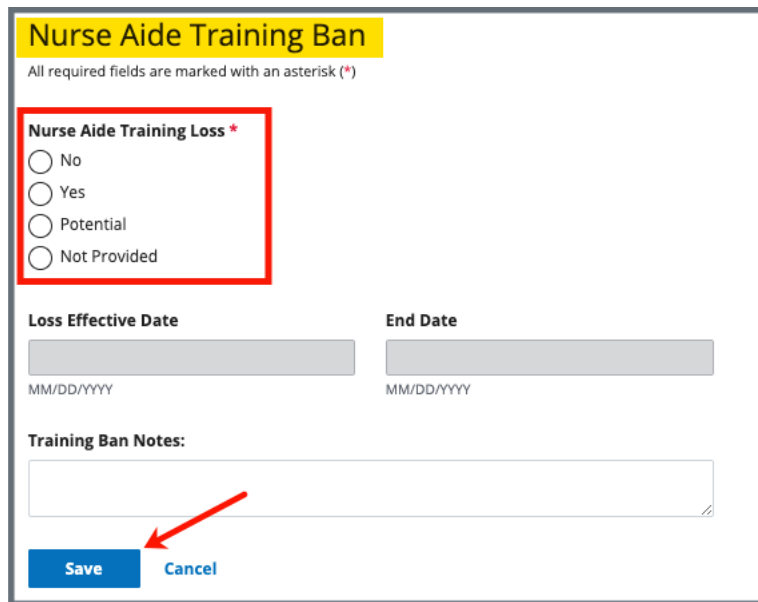


Figure 18: Nurse Aide Training Ban

- 6.1.2 Click **Add Ban Record**. The Nurse Aide Training Ban form opens. See *Figure 19, Nurse Aide Training Ban Form*.



Nurse Aide Training Ban

All required fields are marked with an asterisk (*)

Nurse Aide Training Loss *

No

Yes

Potential

Not Provided

Loss Effective Date

MM/DD/YYYY

End Date

MM/DD/YYYY

Training Ban Notes:

Save **Cancel**

Figure 19: Nurse Aide Training Ban Form

- 6.1.3 Fill out information.

Note: **Loss Effective Date** and **End Date** can only be filled out when **Yes** or **Potential** is selected.

- 6.1.4 Click **Save**. The form closes and the Nurse Aid Training Ban information is shown on the screen.

6.2 View Nurse Aide Ban Notes

Click the caret next to the **Status**, to view **Ban Notes**. See *Figure 20, Nurse Aide Training Ban Notes*.

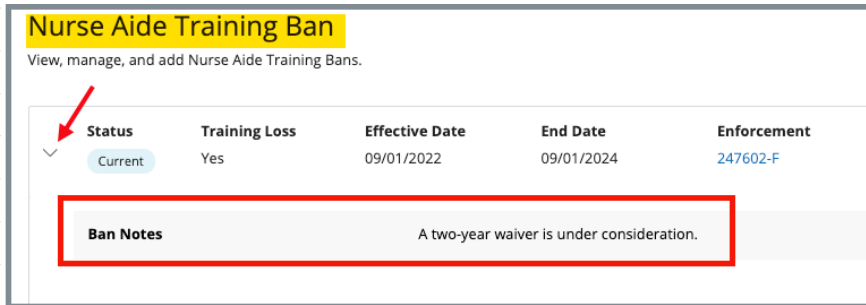


Figure 20: Nurse Aide Training Ban Notes

6.3 Edit a Training Ban

6.3.1 Click **Edit** next to the travel ban that needs to be updated. The **Nurse Aid Training Ban** page opens and can be edited. See *Figure 21, Edit Nurse Aide Training Ban*.

Note: **Status** must be **Current** for a training ban to be in edited.

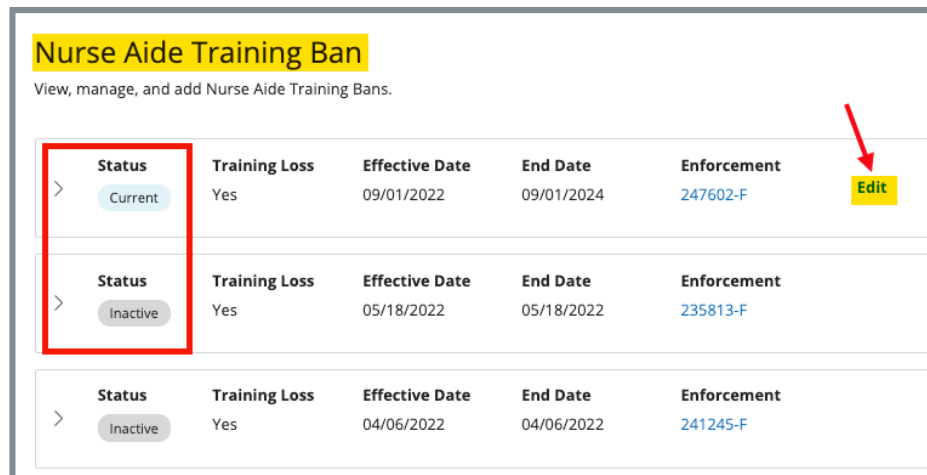


Figure 21: Edit Nurse Aide Training Ban

6.3.2 Click **Save** to save edits.

7. Sanctions

Purpose: To view, add, or manage sanctions and enforcement actions, including Civil Money Penalties (CMP), training, transfer, suspension, terminations, and other remedies.

Note: The history of a sanction termination can be viewed.

7.1 Add or View a Sanction

7.1.1 Click **Sanctions** on the left menu. The **Sanctions** screen opens. See *Figure 22, Sanctions*.

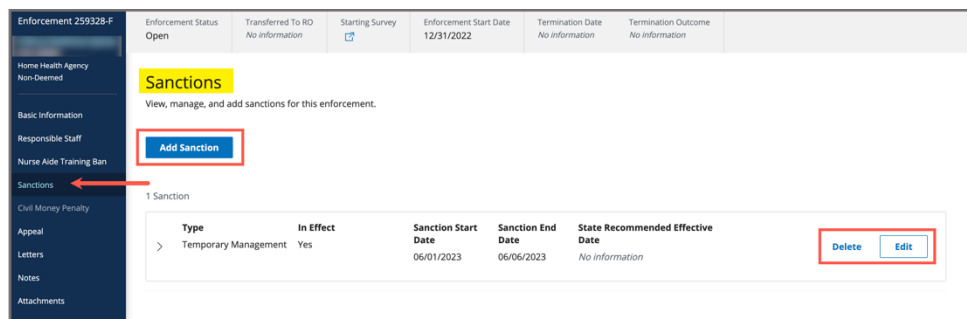


Figure 22: Sanctions

7.1.2 Click **Add Sanction** to add sanctions. The **Add Sanctions** page opens.

Note: Click any sanction to view.

7.1.3 Select **Type** from drop-down menu. See *Figure 23, Add Sanction*.

Notes:

- Fields may differ with each sanction.
- Duplicate sanction types cannot be added.

Figure 23: Add Sanction

- 7.1.4 Fill out the information.
- 7.1.5 Click **Save**. The **Sanctions** window updates with the new sanction.
- 7.1.6 Verify the Sanction was added.

Note: The **In Effect** selection is always set to **Recommended** for a State Agency General User. Only a CMS General User can change the **In Effect** status.

7.2 Edit a Sanction

7.2.1 Click **Edit** on the **Sanctions** page. The **Edit Sanction** page opens. See *Figure 24, Edit Sanction*.

Edit Sanction
All required fields are marked with an asterisk (*)

Type *
Termination at 23 days

State Recommended Effective Date *
MM/DD/YYYY

In Effect *
 Yes
 No
 Recommended
 Awaiting appeal outcome
 Pending
 Warning

Sanction Start Date
12/11/2018
MM/DD/YYYY

Sanction End Date
MM/DD/YYYY

Outcome
 Removed 23 day track complete
 Remains

Comments
Type here...

Save **Cancel**

Figure 24: Edit Sanction

7.2.2 Edit form.

Notes:

- Only a CMS General User can change the **In Effect** status
- Select **Warning** if the imposition notice states that a sanction may be imposed
- Outcome selections vary depending on **Sanction Type**

7.2.3 Click **Save**. The updated sanction shows on the **Sanction** page.

7.3 Delete a Sanction

- 7.3.1 Click **Delete** next to the specific sanction on the **Sanctions** page. The **Delete** pop-up window opens. See *Figure 25, Delete a Sanction Pop-up Window*.

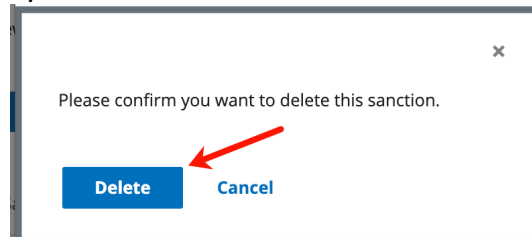


Figure 25: Delete a Sanction Pop-up Window

- 7.3.2 Click **Delete** to confirm the deletion.

Note: If a sanction is part of an open sanction, it cannot be deleted and the **Delete** choice is greyed out.

8. Civil Money Penalty

Purpose: To add and manage CMP amounts and payment details for a CMP sanction.

Note: CMPTS cases are tracked at the enforcement level, not for each individual CMP. For more information on CMP and CMPTS cases, please refer to the [Manage a CMP/CMPTS](#) manual.

8.1 Add a CMP

8.1.1 Click **Civil Money Penalty** on the left menu. The **Civil Money Penalty** screen opens. See *Figure 26, Civil Money Penalty*.

Enforcement Status	Transferred To RO	Starting Survey	Enforcement Start Date	Termination Date	Termination Outcome
Open - CMP Collection	No information	Z6D711 (04/09/2015)	04/09/2015	No information	No information

Civil Money Penalty
View, manage and add Civil Money Penalty (CMP) and Civil Money Penalty Tracking System (CMPTS) cases for this enforcement.

CMPTS Case

CMPTS Number	Date Generated
2021-02-HHA-001	07/30/2021

CMP List
3 CMPs

Add CMP

Figure 26: Civil Money Penalty

8.1.2 Click **Add CMP** to add a CMP. The **Add Civil Money Penalty** page opens.

8.1.3 Select a survey from the **Survey** drop-down menu. See *Figure 27, Add Civil Money Penalty*.

Note: The linked survey must have citations.

Add Civil Money Penalty

All required fields are marked with an asterisk (*)

Survey *

Select one

The survey visit during which the instance was cited

CMP Type *

Per Instance

Per Day

In Effect

Recommended

Imposition Notice Date *

MM/DD/YYYY

Save Cancel

Figure 27: Add Civil Money Penalty

8.1.4 Fill out the rest of the form.

Note: Additional fields populate depending on **CMP Type** selection.

8.1.5 Click **Save**. The **Civil Money Penalty** window updates with the new CMP.

8.1.6 Verify the CMP was added.

8.1.7 Click the CMP to view or edit the CMP. See *Figure 28, CMP Details*.

< Return to Civil Money Penalty

Per Day (\$250.00) - G0350 Edit

CMP Type Per Day

Added By State Agency

Survey 98377-H1 (12/31/2020)

Related Citations G0350 - 484.40 - Release of patient identifiable OASIS info.

Start Date 12/31/2020

End Date No information

Per Day Amount \$250.00

CMP Total No information

Total Amount Due ? No information

In Effect Recommended **Click arrow for details about each section**

Imposition Notice Date 10/05/2021

> **Waiver** Edit

> **Payments** Edit

> **Offsets & Treasury**

> **Settlement & Write-off**

> **Bankruptcy**

Figure 28: CMP Detail

8.2 Edit a Waiver

8.2.1 Click **Edit** on **Waiver**, to edit a waiver. See *Figure 29, Edit a Waiver*.



Edit Waiver

All required fields are marked with an asterisk (*)

Appeal/Appeal Waiver Due *

12/04/2021

Appeal Waiver Received

Save Cancel

Figure 29: Edit a Waiver

8.2.2 Fill out the information.

8.2.3 Click **Save**. The CMP list updates.

8.2.4 Click **Edit** on **Payments**, to edit a Payment. See *Figure 30, Edit a Payment*.

Edit Payment

All required fields are marked with an asterisk (*)

Payment Status

None Yet ▼

State Collection ID

Collection Notice Date *

MM/DD/YYYY

Payment Due Date *

MM/DD/YYYY

Medicare Interest Due

\$

Medicaid Interest Due

\$

Total Amount Due \$0.00

Payment Received \$0.00

Balance Due \$0.00

CMP Fully Paid Date

MM/DD/YYYY

Medicaid Portion Received by State

MM/DD/YYYY

Medicaid Portion Amount Received

\$

Save

Cancel

Figure 30: Edit a Payment

- 8.2.5 Fill out the information.
- 8.2.6 Click **Save**. The CMP list updates.

9. Appeal

Purpose: To add or manage survey and enforcement remedy appeal and court hearing information.

Note: Only one appeal can be added.

9.1 Add an Appeal

9.1.1 Click **Appeal** on the left menu. The **Add Appeal** screen opens. See *Figure 31, Add Appeal*.

Add Appeal
Add an appeal and hearing case to this enforcement.
All required fields are marked with an asterisk (*)

Appeal Type *

Medicare
 Medicaid
 Licensure

Acknowledged to Facility Date
[Date Input Field]
MM/DD/YYYY

Initial Hearing Request Received by
[Select one]

Initial Request Received Date
[Date Input Field]
MM/DD/YYYY

Forwarded to Departmental Appeals Board Date
[Date Input Field]
MM/DD/YYYY

Appealed Surveys *

Select	Survey ID	Survey Category	Start Date	Exit Date
<input checked="" type="checkbox"/>	98377-H1 🔗	Recertification, Complaint	12/24/2020	12/31/2020

Appealed Sanctions *
[Select...]

Save ←

Figure 31: Add Appeal

9.1.2 Fill out as much information as possible.

9.1.3 Click **Save**. The **Appeal** window updates with the new appeal. See *Figure 32, Appeal*.

Appeal Edit

Appeal Type	Medicare
Acknowledged to Facility	09/16/2021
Initial Hearing Request Received by	Departmental Appeals Board
Initial Request Received Date	09/17/2021
Appealed Sanctions	<ul style="list-style-type: none">Directed Inservice Training

Appealed Surveys

Add Survey

> 98377-H1 (12/31/2020) Edit Remove

Legal Actions

Add Legal Action

There are no legal actions for this appeal.

Injunction Edit

Sought Federal Injunction	No
---------------------------	----

Figure 32: Appeal

9.2 Edit an Appeal

9.2.1 Click **Edit**, to edit the appeal.

9.2.2 Click **Add Survey** under **Appealed Surveys** to add additional surveys. The **Add Survey to Appeal** page opens.

Note: Only available surveys are shown.

9.3 Add Legal Action

9.3.1 Click **Add Legal Action** to add legal action. See *Figure 33, Add Legal Action*.

Add Legal Action
All required fields are marked with an asterisk (*)

Appeal Details

Appealed To * **Appealed By *** **Appeal Date ***

Hearing Details

Government Attorney

Use Existing

Add New

Attorney Name *

Attorney ID *

Docket/Case Number

Begin Date

Outcome

Settle/Withdraw Date

Final Decision Date

Figure 33: Add Legal Action

9.3.2 Fill out as much information as possible.

Note: Select **Use Existing** under **Government Attorney** to select from a list of attorneys that were previously entered.

9.3.3 Click **Save**. The Appeal page updates with **Legal Action** information.

9.3.4 Click **Edit** to edit the injunction. The **Edit Injunction** page opens.

9.3.5 Click **Sought Federal Injunction** box. See *Figure 34, Edit Injunction*. The **Injunction Granted Date** and **Last Date of Injunction** then open and can be edited.

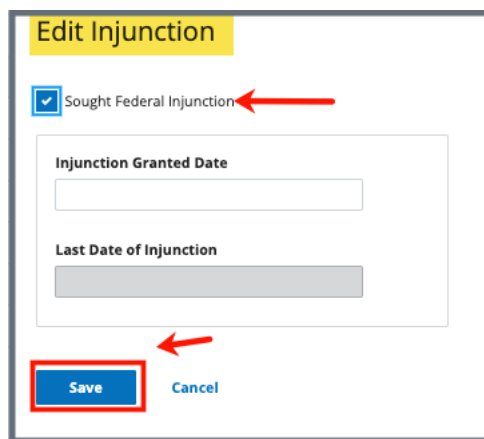


Figure 34: Edit Injunction

9.3.6 Click **Save**. The Appeal page updates with **Injunction** information.

10. Letters

Purpose: To add, upload, generate a letter from an existing template, edit a Letter Overview, delete a letter, or add recipients to a letter. Nonstandardized templates can be edited in the Letters section of the applicable S&C area (providers, surveys, intakes, enforcements).

Note: Letter templates are created in the Letter Template Management section. Review [S&C User Manual: Letter Template Management](#) for more information.

10.1 Add/Upload a letter

10.1.1 Click **Letters** on the left menu to go to **Letters**. See *Figure 35, Enforcements Letters*.

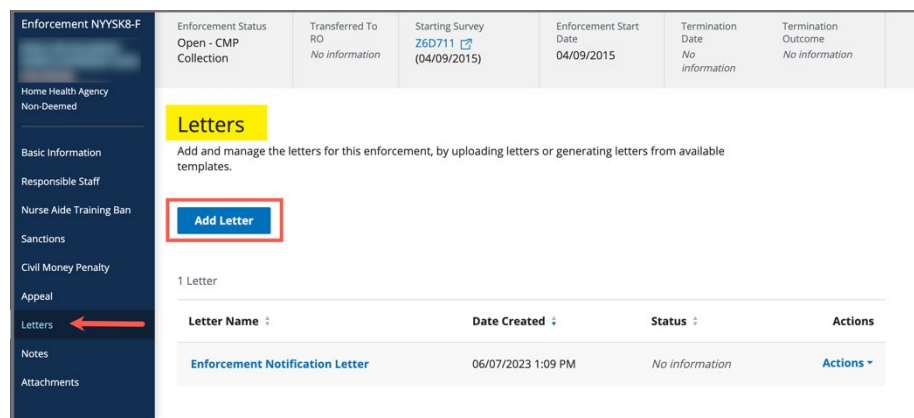


Figure 35: Enforcements Letters

10.1.2 Click **Add Letter**. The **Letter Overview** window opens. See *Figure 36, Enforcements Letter Overview*.

Letter Overview

All required fields are marked with an asterisk (*)

Letter Name *

0/255 characters

Letter Description

0/255 characters

Status

Select one

Federal / State Licensure

Federal

State Licensure

Letter Category

Select...

Save **Cancel**

Figure 36: Enforcements Letter Overview

10.1.3 Fill out the information.

10.1.4 Click **Save**. The information updates in a new screen. See *Figure 37, Letter Attachment and Recipient*.

< Return to Letters

Letter: Test Letter 2 ← Letter Name **Edit**

Overview

Description	test letter
Status	Draft
Federal/State Licensure	Federal
Date Created	10/04/2021 5:33 PM
Letter Category	Request POC

Attachments

Upload Letter **Generate from template**

There are no attachments for this letter.

Recipients

Add Recipient

There are no recipients for this letter.

Delete Letter

Figure 37: Letter Attachment and Recipient

- 10.1.5 Scroll down to **Attachments**. Click **Upload Letter** to upload a letter from the computer.
- 10.1.6 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.
- 10.1.7 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.
- 10.1.8 Type a file description in the **File Description** field, if desired.
- 10.1.9 Click **Save**. The letter is attached to the survey.

10.2 Generate a letter from an existing template

10.2.1 Click **Add Letter**. The **Letter Overview** page opens.

Note: If there is already an existing letter that can be reused, click **Generate from template** under the **Actions** drop-down menu and go to step 10.2.5.

10.2.2 Type the letter name under **Letter Name**. Add additional information, if desired.

10.2.3 Click **Save**. The **Letter: [Template Name]** page opens.

10.2.4 Click **Generate from template** under **Attachments**. See *Figure 38, Generate from Template*. The **Select a template** page opens.

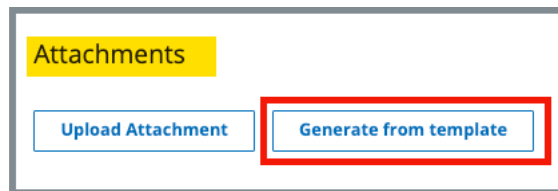


Figure 38: Generate from Template

10.2.5 Click the circle next to the desired template. See *Figure 39, Add Letter Template*.

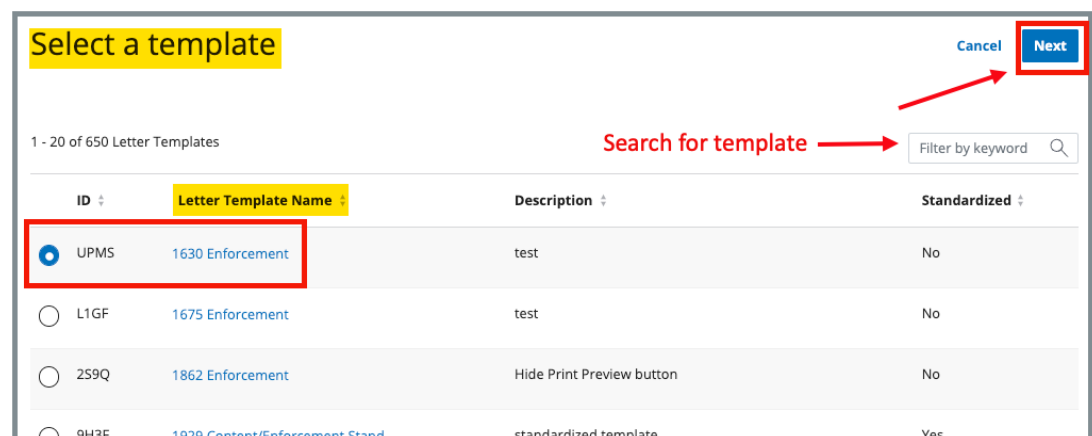


Figure 39: Add Letter Template

10.2.6 Click **Next**. The **Generate attachment from template** page opens.

10.2.7 Update the template as desired. See *Figure 40, Letter Template*.

Notes:

- The template can be modified. Textholders can be removed, words can be edited and updated. See [Appendix B, Enforcement Textholder Text](#) for a list of textholders. Be aware that the text changes apply only to the current letter and not to the template. Refer to [Letter Template Management](#), to edit the original template.
- Standardized templates cannot be modified in the **Letters** section of any S&C area (providers, surveys, intakes, enforcements). To modify a standardized template, the template owner must edit the template in **Letter Template Management**.

Generate attachment from template Cancel

Edit and preview letter.

Generate attachment (6)

1630 Enforcement

Print Preview (1)

File Name * (2): 1630 Enforcement

Description (3)

Editor (4): Rich text editor toolbar with icons for undo, redo, bold, italic, underline, link, unlink, text color, background color, bulleted list, numbered list, indent, and outdent. Font settings: sans-serif, 14px.

Letter Preview (5):

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Vestibulum at elementum neque, sit amet pellentesque ante. Maecenas aliquet euismod rutrum. Curabitur sed arcu eget velit scelerisque mollis. (this is using default)

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Vestibulum at elementum neque, sit amet pellentesque ante. Maecenas aliquet euismod rutrum. Curabitur sed arcu eget velit scelerisque mollis. (this is using single)

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Vestibulum at elementum neque, sit amet pellentesque ante. Maecenas aliquet euismod rutrum. Curabitur sed arcu eget velit scelerisque mollis. (this is using 1.15)

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Vestibulum at elementum neque, sit amet pellentesque ante. Maecenas aliquet euismod rutrum. Curabitur sed arcu eget velit scelerisque mollis. (this is using 1.5)

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Vestibulum at elementum neque, sit amet pellentesque ante. Maecenas aliquet euismod rutrum. Curabitur sed arcu eget velit scelerisque mollis. (this is using double)

Figure 40: Letter Template

1. **Print Preview:** Click **Print Preview** to preview the .pdf version of the letter. The letter can be downloaded from **Print Preview**, if desired.
2. **File Name:** Edit the name, if desired.
3. **Description:** Enter keywords, if desired. Keywords are descriptive words that help the user find the content. For example, the template title might be “Unsubstantiated Claim,” and the key words could be federal, minor. Separate the keywords with a comma.
4. **Editor:** The editor allows content to be edited, including formatting, bulleting, etc. See [Appendix A, Tips and Tricks for Working in a Template](#), for details on each icon in the editor.
5. **Letter:** Shows how the letter looks. Verify inputs. Make any changes for nonstandardized templates, if desired.
6. **Generate attachment:** Click **Generate attachment** to create a .pdf that attaches to provider/survey/intake/enforcement record.

10.2.8 Click **Generate Attachment** to attach the letter to the record.

10.2.9 Verify the letter is attached under **File Name**. See *Figure 41, Letter Attachment*.

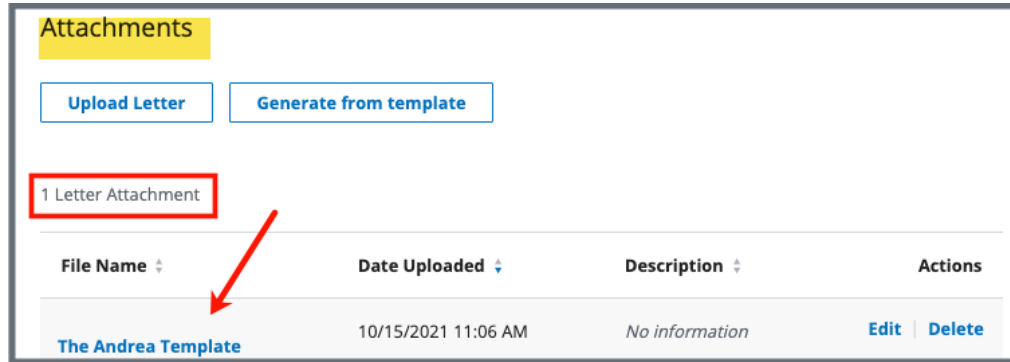
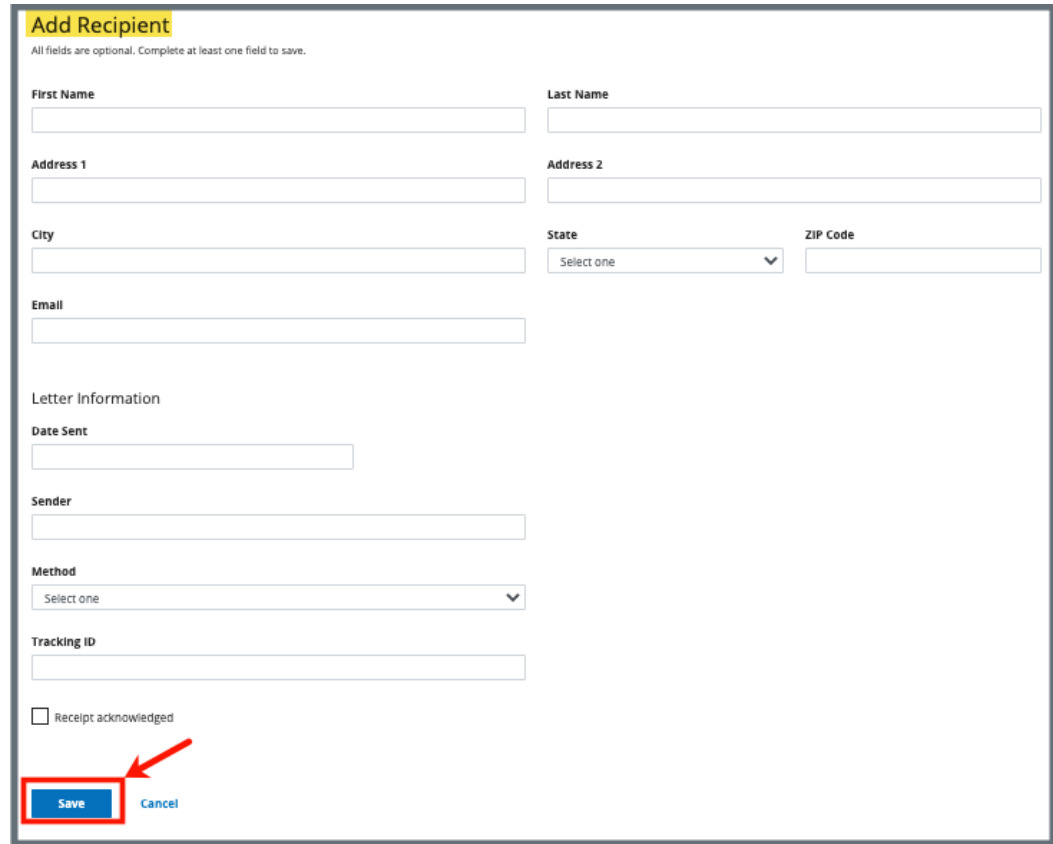


Figure 41: Letter Attachment

10.3 Add recipients to a letter

10.3.1 Click **Add Recipient** to add a recipient. The **Add Recipient** page opens. See *Figure 42, Add Recipient*.



Add Recipient
All fields are optional. Complete at least one field to save.

First Name Last Name

Address 1 Address 2

City State ZIP Code

Email

Letter Information

Date Sent

Sender

Method

Tracking ID

Receipt acknowledged

Figure 42: Add Recipient

10.3.2 Fill out the information.

10.3.3 Click **Save**. The **Recipient Information** updates.

10.4 Edit a Letter Overview

- 10.4.1 Click **Edit Overview** from the **Actions** drop-down menu to edit a Letter Overview. See *Figure 43, Edit a Letter Overview*. The **Edit Letter Overview** opens. See *Figure 44, Edit Letter Overview*.

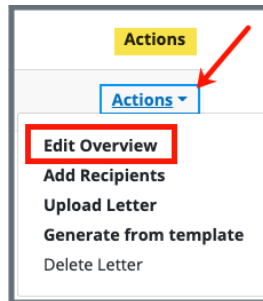


Figure 43: Edit a Letter Overview

 A screenshot of a form titled 'Edit Letter Overview' in a yellow header box. Below the title, it says 'All required fields are marked with an asterisk (*)'. The form contains several fields:

- Letter Name ***: A text input field containing 'Test Letter' and a character count of '11/255 characters'.
- Letter Description**: A text area with a character count of '0/255 characters'.
- Status**: A dropdown menu showing 'Select one'.
- Federal / State Licensure**: Two radio buttons, with 'Federal' selected.
- Letter Category**: A dropdown menu showing 'All x Select...'.

 At the bottom of the form are two buttons: 'Save' (in a blue box) and 'Cancel'. A red arrow points from the top right towards the 'Save' button.

Figure 44: Edit Letter Overview

- 10.4.2 Update fields.
- 10.4.3 Click **Save**.

10.5 Delete a Letter

- 10.5.1 Click **Delete Letter** from the **Actions** drop-down menu to delete a letter. A pop-up note opens. See *Figure 45, Delete Letter Pop-Up Window*.



Figure 45: Delete Letter Pop-Up Window

- 10.5.2 Click **Delete**. The letter is removed from the list.

11. Notes

Purpose: To view or add notes for an enforcement.

11.1 Click **Notes** on the left menu to view existing notes or add a note. See *Figure 46, Enforcements Add Note*.

Note: When there are no existing notes, the **Add Note** page opens when **Notes** is selected on the left menu.

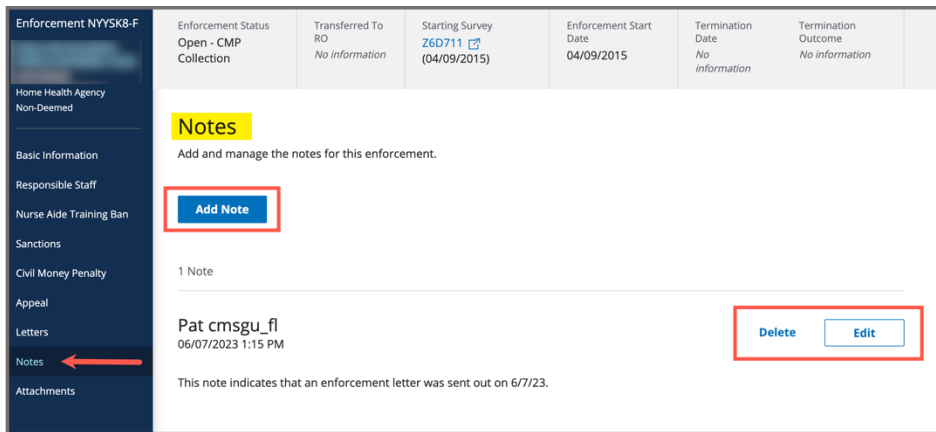


Figure 46: Enforcements Add Note

11.2 Add a note.

11.3 Click **Save**. The **Notes** window opens with note information.

Note: Click **Edit** to edit information, if desired. It is not possible to edit or delete a note created by another user.

11.4 Click **Delete** to delete a note. A pop-up note opens. See *Figure 47, Delete Note Pop-Up Window*.

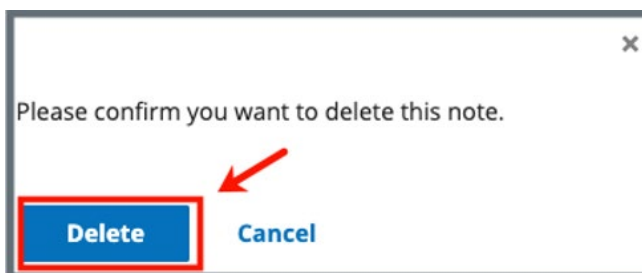


Figure 47: Delete Note Pop-Up Window

11.5 Click **Delete**. The updated **Notes** page opens.

12. Attachments

Purpose: To view or add an attachment to an enforcement.

Notes:

- Only one attachment can be added at a time.
- Attachments can only be deleted by the user who uploaded the attachment. Contact the [iQIES Service Center](#) to delete any other attachments.

12.1 Click **Attachments** on the left menu. The **Attachments** window opens. See *Figure 48, Enforcements Attachments*.

Enforcement Status	Transferred To RO	Starting Survey	Enforcement Start Date	Termination Date	Termination Outcome
Open - CMP Collection	No information	Z6D711 (04/09/2015)	04/09/2015	No information	No information

Attachments

Add attachments for this enforcement and add a file description below.

Select File

Supported file formats PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx, .csv), Text files (.txt, .rtf), Image files (.jpeg, .png, .tif, .tiff), Video files (.mp4, .mov, .wmv, .3gp), Audio files (.mp3, .aac, .wav, .wma), and Message files (.msg, .eml).

Special Characters Allowed, all unsupported characters will be replaced with a "*" \$ <> . % & " ' () , + - _ ? ! @ # ^ = []

Attachment name

ASC Enforcement Sanction.png Remove Optional: Type file description

File Description

0/255 characters

Save

Figure 48: Enforcements Attachments

12.2 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

12.3 Select the file to be attached. Click **Open**.

12.4 Type a file description in the **File Description** field, if desired.

12.5 Click **Save**. The file is attached to the enforcement.

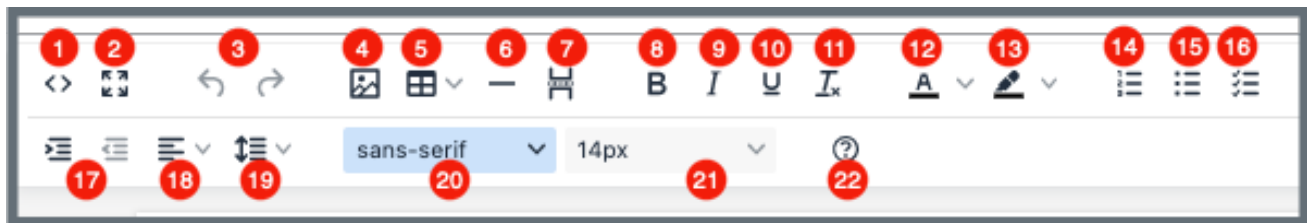
Note: Click **Edit** to edit information, if desired.

Note: Click **Download** to download the document, if desired.

Appendix A: Tips and Tricks for Working in a Template

The letters template is very similar to working in Google Docs or Microsoft Word. Here are a few tips and tricks to help:

Template Menu



Hover over the template menu to see screen tips on what each of these icons are:

1. Show HTML code
2. Put document in full screen (make it bigger)
3. Undo/Redo
4. Insert an image. A small **Drop image** box opens. Drag and drop a file or click the box and search for the file.
5. Insert a table
6. Insert a horizontal line
7. Insert a page break
8. Highlight text and click to make **bold**
9. Highlight text and click to *italicize*
10. Highlight text and click to underline
11. Clear formatting
12. Highlight text and click to change text color
13. Highlight text and click to **highlight text**
14. Create a numbered list
15. Create a bulleted list
16. Insert a checklist
17. Indent/Remove indent
18. Alignment: Left, Center, Right, Justified
19. Adjust the line height
20. Select a font
21. Select a font size
22. Help: shows handy shortcuts, keyboard navigation, plugins and version

Appendix B: Enforcement Textholder Text

Each provider, survey, intake, enforcement area has area-appropriate textholders. Enforcement Textholders are listed below.

Enforcement Textholders		
Accrediting Organization (AO)	Admin 1 st Name	Admin Full Name
Admin Last Name	Admin Salutation	Admin Short with Salutation
Admin Title	Administrator Email	All CMPs
Building ID List	Buildings List	Buildings List Open
CMP Collection Number	CMP First CMS Notice Date	Changes from IDR
Changes from IDR (No Status)	Custom Text Prompt	Cycle Start + 3 Months
Cycle Start + 6 Months	Date Facility out of Compliance	Federal CMP Amount Due
Federal CMP(s)	Latest Denial of Payment Remedy	Letter Sent Date
Medicaid ID Number	NATCEP/Nurse Aide Training Ban Last Loss Date	NATCEP/Nurse Aide Training Ban Loss Date
Next Licensure Letter Remedies	Per Day CMP(s)	Per Instance CMP(s)
Provider Address 1 (Street)	Provider Address 2	Provider CCN
Provider City	Provider Doing Business As Name	Provider Fax Number
Provider Full Address	Provider Legal Name	Provider Mailing Address

Enforcement Textholders		
Provider State	Provider State ID (FACID)	Provider State License Number
Provider Telephone	Provider Type Abbrev	Provider Type Full Description
Provider Zip	Recommended Federal CMP(s)	Remedies with State Recommended Effective Date
Remedy List	Remedy List – All Federal	Remedy List – In Effect
Remedy List – Not in Effect	Remedy List – Pending	Remedy List – Recommended
Survey High Citations	Title (Mapped from Provider Certification & Licensure tab)	Today’s Date
Today’s Date Full		