



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Assessment Management: Assessment Submitter Manual

**Version 2.1
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1. Introduction

This document shows how to upload assessments, create and manage assessments, complete change requests, review Final Validation Reports (FVR), and use the Validation Utility Tool (VUT) in iQIES.

Notes:

- A HARP User ID is required to access iQIES. For more information on a HARP ID, go to <https://harp.cms.gov/login/help>.
- An **Assessment Submitter** role is required to upload assessments.
- An **Assessment Submitter**, **Assessment Viewer**, **Provider Admin**, or **Provider Security Official** role is required to submit change request forms.
- Refer to the [iQIES User Roles Matrix](#) for more information on user roles.
- Security Officials can also submit assessments on behalf of the provider.
- There may be more than one user for a provider.
- The **Upload an Assessment** video can be found on the [iQIES Training YouTube Channel](#).

1.1 Getting Started in iQIES – 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, or the [iQIES Help page](#), if necessary.
- Screenshots in this manual contain only test data and views are dependent on user role. Actual screens in iQIES may be different from what is shown in screenshots below.
- 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*.

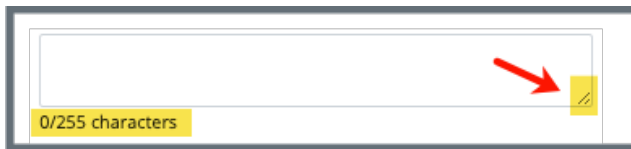


Figure 1: Expandable Field

- iQIES times out after 30 minutes of nonuse and reverts to the login page.
 - iQIES remains up and active as long as it is in use.
 - iQIES gives a five-minute warning before timing out.
 - The session resumes at the last accessed page after reauthentication.
 - Be sure to save data regularly. Pages that require saving are noted in this document, and have a **Save** button on the page.
- 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 notification banners. Some banners may have links to review further information; others may be a reminder of a task that must be completed. See *Figure 2, Notification Banner* and *Table 1, Notification Banner Color Descriptions*. These banners can be closed (X'd out) at any time.

Notification Banner

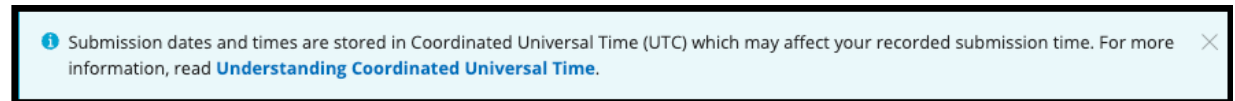


Figure 2: Notification Banner

Table 1: Notification Banner Color Descriptions

Notification Banner Color	Reason
Green	Action was successful
Blue	Informational only
Yellow	Warning. Review for information.
Red	Stop and review. The banner explains the actions must be taken.

- For best results, please use the latest version of these browsers:
 - [Chrome](#)
 - [Edge](#)
 - Be sure to keep your browser updated.
 - Do not use Internet Explorer. It is not supported.

1.2 iQIES Service Center

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

Assistance Accessing iQIES: Contact the iQIES Security Official (SO) for your organization.

Technical Support: Contact the iQIES Service Center:

Phone: 800-339-9313

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** and select **iQIES Idea Portal**.

More information on iQIES: Refer to the [QIES Technical Support Office](#) (QTSO). Logging in to HARP may be required before accessing some documentation in QTSO.

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 State Agency Assessment Submitter role with the capability to view or edit this information.

Permissions are ultimately governed by HARP access privileges. Contact the Provider Security Official (PSO) 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 [the iQIES Help Page](#) or click the help icon in the top right corner of the screen, see *Figure 3, Help Icon*, for further information.



Figure 3: Help Icon

2. iQIES Landing Page Overview

Purpose: The iQIES Landing Page tracks and displays 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.

Log in to iQIES. The landing page displays the tabs available. See *Figure 4, iQIES Landing Page* and *Table 2, iQIES Landing Page Detailed Callout*.

The screenshot shows the iQIES Landing Page interface. Callout letters are placed on the page as follows:

- a**: Points to the top navigation bar containing tabs for MDS, OASIS, IRF-PAI, LCDS, and HOPE.
- b**: Points to the 'What do you want to do?' section, which includes three buttons: 'Upload assessments', 'Manage assessments', and 'Create/manage change requests'.
- c**: Points to the 'Summary of Uploaded Assessments' section, which shows a summary of assessments by status (Accepted, Rejected, Duplicated) for the last 30 days.
- d**: Points to the 'Uploaded Submissions' table, which lists submission details including Submission ID, File Name, Submitted at, Status, and Rejected assessments.
- e**: Points to a dropdown arrow in the 'Rejected' column of the 'Uploaded Submissions' table.
- f**: Points to a 'View all submissions' link at the bottom of the 'Uploaded Submissions' section.

Summary of Uploaded Assessments (Last 30 Days)

Status	Count	Percentage
Accepted	0	0%
Rejected	0	0%
Duplicated	0	0%

Uploaded Submissions

Submission ID	File Name	Submitted at	Status	Rejected
10010428	HOPE_gender-sex-update_edit_3009.zip	06/20/2025 10:45 AM EDT	Completed	2 of 2 assessments
10010426	Demo_edit_3049a.zip	06/20/2025 9:21 AM EDT	Completed	2 of 2 assessments
10005562	Archive_pos.zip	04/23/2025 10:24 AM EDT	Completed	0 of 3 assessments

[View all submissions >>](#)

Figure 4: iQIES Landing Page

Table 2: iQIES Landing Page Detailed Callout

No.	Name	Description
a	Provider tabs	Click each tab (IRF-PAI, HOPE, LCDS, MDS, OASIS) to review the respective tasks. Note: Not all tabs are available. Tabs are available based on the authorized providers for the user.
b	What do you want to do?	Select Upload assessments , Manage assessment , or Create/manage change requests . Note: Not all selections are available for all user roles.
c	Summary of Uploaded Assessments	Shows the summary of assessments uploaded, including total, accepted, rejected, and duplicated. Review Upload an Assessment for more details. Note: The default is 30 days. Click the caret to change to 60 days.
d	Uploaded Submissions	Shows the uploaded submissions with time submitted and status of Pending or Completed . Notes: <ul style="list-style-type: none"> Each submission has a unique ID. Submissions with rejected assessments show in red.
e	View detailed assessment information	Click to view all submissions for each assessment instrument (IRF-PAI, HOPE, LCDS, MDS, OASIS). Only the assessment instruments for the specific user role are available. The Upload Assessments page opens.
f	View all submissions	Click caret to view detailed submission information, including assessment ID, assessment status (rejected, accepted, duplicated), patient/resident name, any warning or fatal error numbers, and a link to view reports. See Detailed Submission Information .

Detailed Submission Information

Click the caret next to the **Submission ID** under **Uploaded Submissions** to view detailed submission information about the assessment. See *Figure 5, Detailed Submission Information*.

Note: Refer to the Error Message User Guides on QTSO for further information about errors.

Uploaded Submissions

Submission dates and times are displayed in Eastern Time for all submissions.

Submission ID	File Name	Submitted at	Status	Rejected
1617339364	GA_115482_.zip	04/13/2023 6:21 PM EDT	Completed	0 of 78 assessments

Summary

78 total records

78 accepted

ASSESSMENT ID	STATUS	PATIENT/RESIDENT NAME	Provider/Agency ID	CCN	ERROR NUMBER
1617863260	Accepted	FAKE4T51FGW9X1451K, FAKE7HUDM87F	LTC10441435	115482	-1018, -3935b, -3935a, -3810c
1617863261	Accepted	FAKEW4972G9M68P1N4, FAKE4PE56GV6	LTC10441435	115482	-1018, -3935b, -3935a, -3810c
1617863262	Accepted	FAKE1KRFJ4N773554M, FAKEK4K67U97	LTC10441435	115482	-1018, -3935b, -3935a, -3810c
1617863263	Accepted	FAKE812HA267KX2XDW, FAKE4F2Y87W4	LTC10441435	115482	-1018, -3935b, -3935a, -3810c
1617863264	Accepted	FAKE7E4ATRVG5965H3, FAKE6F75A632	LTC10441435	115482	-1040, -1038, -1018, -3935b, -3935a, -3810c
1617863265	Accepted	FAKE2319D51KR1KK74, FAKE427WY8V4	LTC10441435	115482	-1040, -1038, -1018, -3935b, -3935a, -3810c

Figure 5: Detailed Submission Information

3. Upload an Assessment

Note: Review [Appendix B: Validation Utility Tool](#) to test assessments prior to uploading them.

- 3.1 Click **Upload Assessments** on the [iQIES Landing Page](#) to upload an assessment. See *Figure 6, Upload an Assessment*. The **Upload assessments** pop-up window opens. See *Figure 7, Upload Assessments Pop-up Window*.

Note: For detailed information on how to compress and upload files from the computer, refer to [Appendix A, How to Upload Assessments from a PC](#).

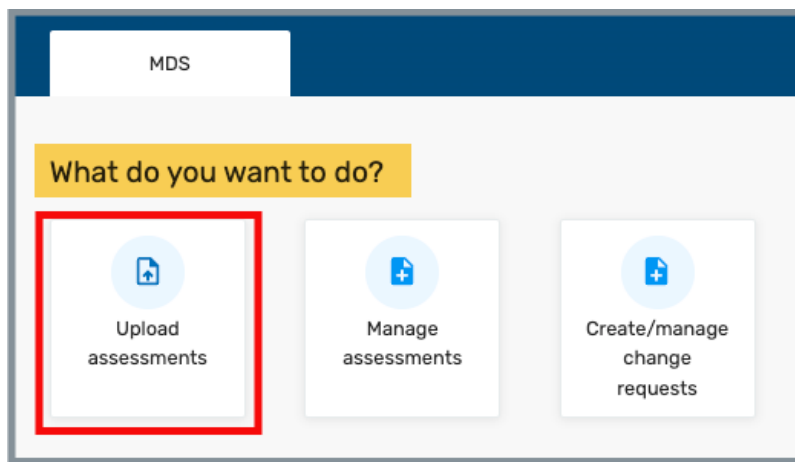


Figure 6: Upload an Assessment

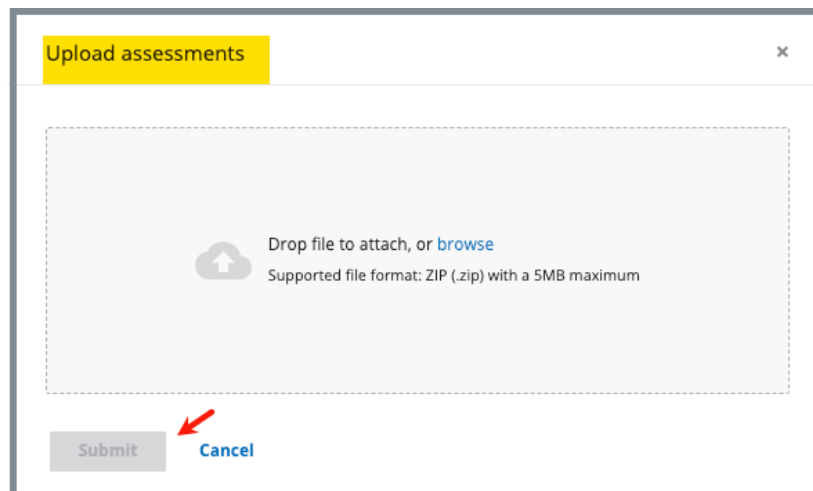


Figure 7: Upload Assessments Pop-up Window

Notes:

- Assessment files must adhere to system and data specifications for the target date of each assessment. Data specifications can be found on the [CMS website](#).
- The assessment files must be compressed in a .zip file format.
- The zip file size must be under 5MB.
- Only one zip file can be added at a time.

3.2 Drag the file to the window or browse on the computer for the file.

Note: The supported file format is XML.

3.3 Click **Submit**. The **Upload Successful Submission** Green Notification Banner appears. See *Figure 8, Upload Successful Green Notification Banner*. The iQIES Home page opens with a summary and list of uploaded submissions.

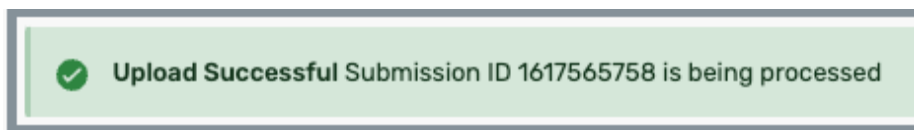


Figure 8: Upload Successful Green Notification Banner

Notes:

- The **Upload Successful Submission** Green Notification Banner only shows that the upload was successful. It does not show the status of the assessment files.
- **Submit** is enabled once a file is added.
- Submission dates and times are Eastern time zone for all submissions.
- The uploaded file submission status is **Pending** until the upload is complete, then it is in **Completed** status.
- **Completed** status means the files were correctly uploaded. It does not mean the assessment files were accepted. Verify under **Rejected** whether the assessment files were accepted. Details are below.
- It may take up to 24 hours to find out the status of the assessments, but it is usually much faster. The status of each assessment is **Accepted**, **Rejected**, or **Duplicated**. Review **Summary of Uploaded Assessment** for details on whether the assessments were accepted, rejected, or duplicated.

- 3.4 Review [Detailed Submission Information](#) section to see whether each submission was **Accepted**, **Rejected**, or it was a **Duplicate**.
- 3.5 Go to [View the FVR](#) for instructions on viewing the FVR.
- 3.6 Click **View Reports** under **Actions** to view the final validation reports. See *Figure 9, View Reports*. The **My Reports** page then opens with a list of reports. See *Figure 10, My Reports*.

MDS Submission History					
2 Assessments					
File Name	Submission ID	Date/Time Submitted	File Upload Status	Rejected Assessments	Actions
Archive_andrea2_.zip	1617302334	02/08/2023 5:46 PM ET	Completed	0 of 30	View Reports
Archive_andrea1_.zip	1617302333	02/08/2023 5:46 PM ET	Completed	30 of 30	View Reports

Figure 9: View Reports

My Reports		
Access and manage your available reports.		
Search My Reports <input type="text"/> <input type="button" value="Search"/>		
My Reports > MDS 3.0 Final Validation Reports		
1 - 10 of 22211 Reports		New Folder
Name	Created Date	Actions
MDS 3.0 NH Final Validation Report - Submission ID 1617339138 CCN 101009 - 20230411 192902	04/11/2023 3:29 PM	More
MDS 3.0 NH Final Validation Report - Submission ID 1617339137 CCN 101009 - 20230411 191912	04/11/2023 3:19 PM	More
MDS 3.0 NH Final Validation Report - Submission ID 1617339136 CCN 101009 - 20230411 191540	04/11/2023 3:15 PM	More
MDS 3.0 NH Final Validation Report - Submission ID 1617339135 CCN 115482 - 20230411 190637	04/11/2023 3:06 PM	More
MDS 3.0 NH Final Validation Report - Submission ID 1617339134 CCN 115482 - 20230411 185754	04/11/2023 2:57 PM	More

Figure 10: My Reports

4. Manage Assessments

- 4.1 Click **Manage assessments** on the [iQIES Landing Page](#). See *Figure 11, Manage Assessments*. The **Assessments** page opens. See *Figure 12, Assessments*.

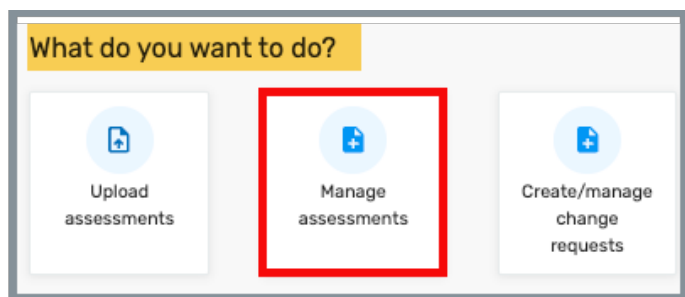


Figure 11: Manage Assessments

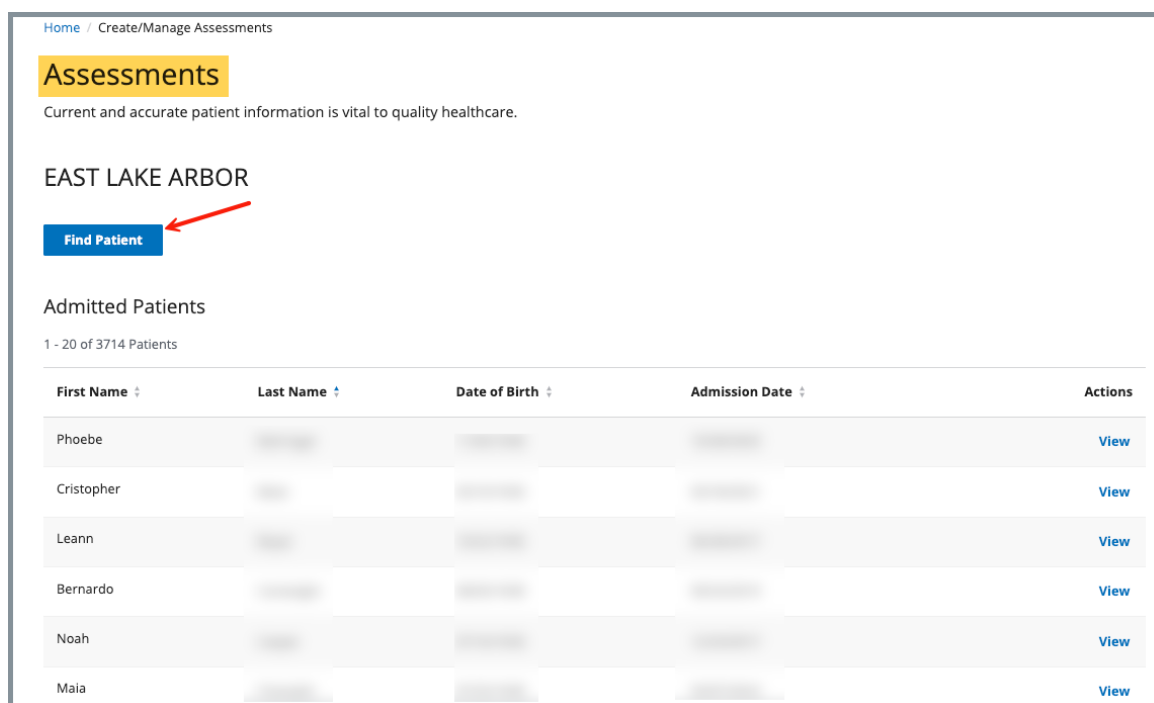


Figure 12: Assessments

- 4.2 Click **Find Patient**. The **Find a Patient** window opens.

- 4.3 Click the caret next to **Show Advanced** to open up additional fields. See *Figure 13, Find a Patient*.

Note: Click **Hide Advanced** to close advanced details.

Find a Patient

First Name

Last Name

▼ Hide Advanced

Date of Birth

Month Day Year

MM/DD/YYYY or any combination

Social Security Number

Admission Date

MM/DD/YYYY

Find Patient

Figure 13: Find a Patient

- 4.4 Type as many details as available.
- 4.5 Click **Find Patient**. The **Patient Results** page opens. See *Figure 14, Patient Results*.

Patient Results

1 Patient

First Name	Last Name	Social Security	Date of Birth	Admission Date	Actions
	Jones				View

Figure 14: Patient Results

- 4.6 Select **View** next to the patient. The **Patient Information** page opens. See *Figure 15, Patient Information*.

Patient Information

Social Security Number Date of Birth Medicare ID

Medicaid ID Sex

Assessments

Select an Assessment Instrument

LCDS

3 Assessments

Type	Created By	Admission Date	State	Status	Actions
Admission	Pat test2.PRSpurrier2	11/09/2020	Original	Accepted 11/09/2020 8:01 PM UTC	View Print
Admission	Pat ADO_AUTO_USER_P_A	10/05/2020	Original	In Progress 02/24/2021 11:05 PM UTC	
Admission	Pat ADO_AUTO_USER_P_A	10/05/2020	Original	Accepted 02/24/2021 11:11 PM UTC	View Print

Figure 15: Patient Information

- 4.7 Click **View** next to any line to view additional information about that assessment. The assessment information page opens. See *Figure 16, Assessment Information* and *Table 3, Assessment Information Detailed Callout*.

Note: Click **Print** to print the information. **Print** is only available for accepted assessments.

✓ This assessment was accepted on 12/12/2019 UTC

Section A Identification Information

Section B
Hearing, Speech, and Vision

Section C
Cognitive Patterns

Section D
Mood

Section E
Behavior

Section G
Functional Status

Section GG
Functional Abilities and Goals

Section H
Bladder and Bowel

Section I
Active Diagnoses

Section J
Health Conditions

Section K
Swallowing/Nutritional Status

Section L
Oral/Dental Status

Section M
Skin Conditions

Section A: Identification Information

Facility Provider Numbers

National Provider Identifier (NPI) (A0100A)

CMS Certification Number (CCN) (A0100B)

State Provider Number (A0100C)

Type of provider (A0200)
1 - Nursing home (SNF/NF)

Is this assessment for state payment purposes only? (A0300A)
0 - No

Federal OBRA Reason for Assessment (A0310A)
02 - Quarterly review assessment

PPS Assessment (A0310B)
99 - None of the above

Is this assessment the first assessment (OBRA, Scheduled PPS, or Discharge) since the most recent admission/entry or reentry? (A0310E)
0 - No

Figure 16: Assessment Information

Table 3: Assessment Information Detailed Callout

No.	Name	Description
a	Assessment acceptance date	The date the assessment was accepted.
b	Sections	Shows information about each assessment. Click any section on the left menu to view assessment information about that area.
c	Section detail	Detailed assessment information about any section.

5. Create/Manage Change Requests

Purpose: To submit a change request.

Note: HOPE change requests are only available for delete requests.

- 5.1 Click **Create/manage change requests** on the [iQIES Landing Page](#). See *Figure 17, Create/Manage Change Requests*. The **Change Request Forms** page opens. See *Figure 18, Change Request Forms* and *Table 4, Change Request Forms Detailed Callout*.

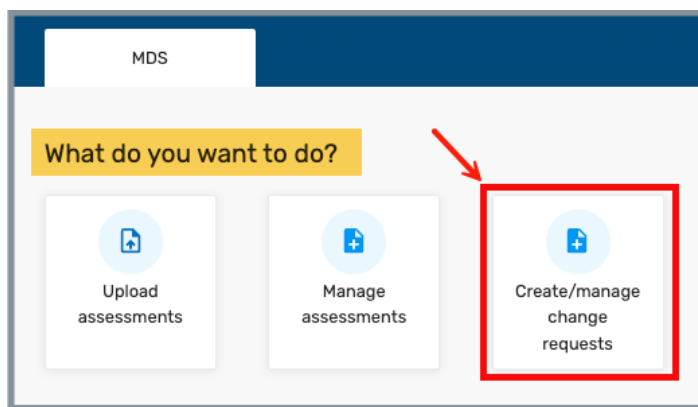


Figure 17: Create/Manage Change Requests

The screenshot shows the 'Change Request Forms' page. At the top is a dark blue header with 'Home' and 'Change Request Forms' links. Below the header is a large white area with the title 'Change Request Forms'. To the right of the title are two buttons: 'Filters' (labeled 'a') and '+ Start Form' (labeled 'b'). Below this is a table with six columns: 'Agency' (labeled 'c'), 'Request Type' (labeled 'd'), 'Status' (labeled 'e'), 'Updated By' (labeled 'f'), 'Status Date' (labeled 'g'), and 'Actions' (labeled 'h'). The table contains three rows of data, all with a 'Completed' status.

Agency	Request Type	Status	Updated By	Status Date	Actions
WARM SPRING SPECIALITY HOSPITAL AT LULING	LTCH Care Manual Assessment Deletion Request	Completed	test2.hdpc.lizkowl, Pat	01/06/2025 2:37 PM ET	View
WARM SPRING SPECIALITY HOSPITAL AT LULING	LTCH Care Manual Assessment Deletion Request	Completed	test2.hdpc.lizkowl, Pat	01/03/2025 4:29 PM ET	View
WARM SPRING SPECIALITY HOSPITAL AT LULING	LTCH Care Manual Assessment Deletion Request	Completed	test2.hdpc.lizkowl, Pat	12/18/2024 9:30 AM ET	View

Figure 18: Change Request Forms

Table 4: Change Request Forms Detailed Callout.

No.	Name	Description
a	Filters	Click to select Status and Date Range , if desired. Click Apply to select the filters. For detailed information on Filters see Filters .
b	Start Form	Click to start a new form. See Start Form for details.
c	Agency	Provider name of an existing change form.
d	Request Type	Type of an existing change form
e	Status	Status of an existing change form. Status can be Draft , Pending , Returned , Rejected , Approved or Completed .
f	Updated By	User name of the person who last updated the form.
g	Status Date	Date of last status update.
h	Actions	Click View to review an existing change form.

5.2 Filters

Different filters can be selected in order to narrow down information. When there is a default filter, that filter automatically shows under **Status**. See *Figure 19, Filters*.

Note: The default filter is **Pending**. Click **X** next to **Pending** to remove it from the filter. All statuses are then shown on the list.

Figure 19: Filters

- Click the caret in the **Select...** field to open the drop down menu.
- Click any status (**Draft, Pending, Returned, Rejected, Approved, Completed**) from the drop-down menu.
- Repeat step b to add any additional filters.
Note: More than one status can be selected.
- Click the **X** next to a filter to remove it from the list.
- Select a **Date Range**, if desired.
Note: One or both dates can be selected.
- Click **Apply** to select the filters.

- 5.3 Click **Start Form**. The **Change Request Forms** pop-up window opens. See *Figure 20, Change Request Forms Pop-Up Window*.

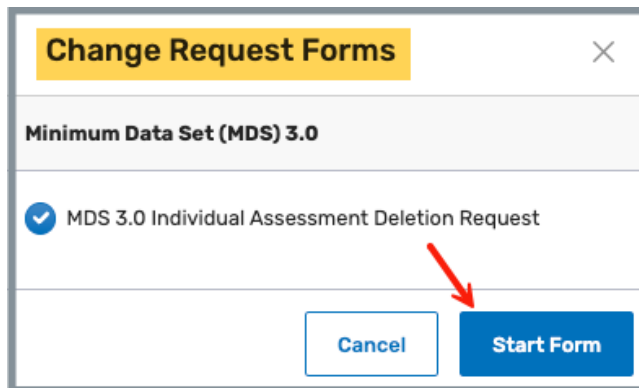


Figure 20: Change Request Forms Pop-Up Window

Notes:

- The screenshot above shows an MDS user role. Other available forms may be IRF-PAI, HOPE, LCDS, or OASIS, depending on the user role.
 - **HIS Assessment Deletion Change Request** form is available until February, 2026.
- 5.4 Click **Start Form**. The **[Provider Type] Manual Individual Deletion Request** window opens. See *Figure 21, Manual Individual Deletion Request Window*.

MDS 3.0 Individual Assessment Deletion Request

Draft

NOTE: Assessment item errors, other than those listed below, must be corrected and resubmitted using **Correction Policy** procedures.

All requests require State Agency authorization.

All required fields are marked with an asterisk (*)

Reason For Deletion

Select a Reason For Deletion *

Select one

Facility Information

Facility / Provider *

Select a provider by name or CCN

ID (FAC_ID)

CCN

State Code

Requestor (Administrator/Owner) Information

Full name *

Title *

E-mail Address *

Phone Number *

(111) 111-1111

Resident Information

First Name *

Last Name *

SSN *

Gender *

Birth Date *

MM/DD/YYYY

MM/DD/YYYY

Resident ID *

Resident ID is found on the Final Validation Report

Record Information

Assessment ID *

Assessment ID is found on the Final Validation Report

Target Date *

MM/DD/YYYY

Target Date is:

- Item **A2300** (Assessment Reference Date) for an assessment record
- Item **A3000** (Discharge Date) for a discharge record
- Item **A1000** (Entry Date) for a reentry record

Submission Information

Submission ID *

Submission ID is found on the Final Validation Report

Submission Date *

MM/DD/YYYY

Submission Date is found on the Final Validation Report

Signature

Full Name *

Date *

MM/DD/YYYY

MM/DD/YYYY

☐ I confirm this form is complete, signed and ready to be submitted.

Save As Draft

Submit

Figure 21: Manual Individual Deletion Request Window

5.5 Fill out information.

Note: All fields are required. **Submit** is disabled until all fields are completed.

5.6 Click **Submit**.5.7 Verify the form successfully submitted green notification banner and the new form. See *Figure 22, Form Successfully Submitted Green Notification Banner*.**Notes:**

- The new form status is **Pending**.
- The latest form is defaults to the top of the list.

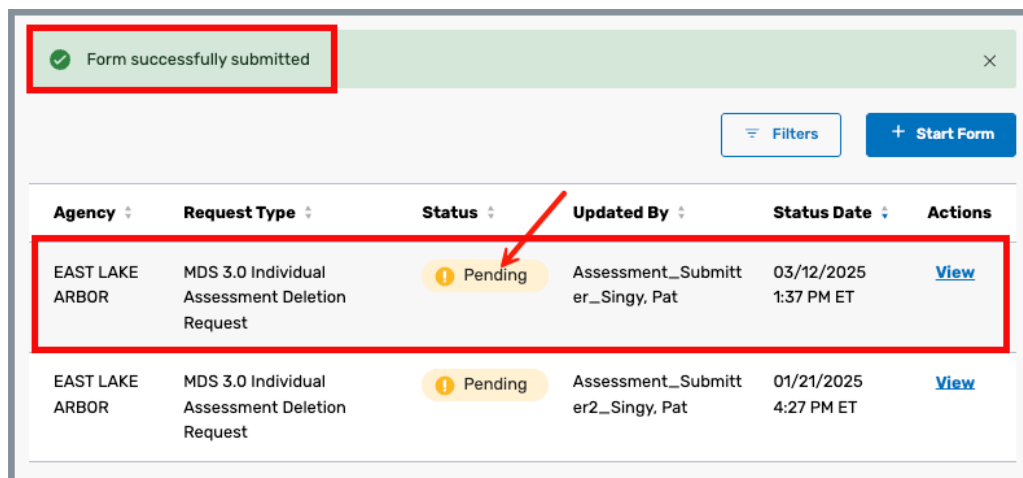


Figure 22: Form Successfully Submitted Green Notification Banner

Notes:

- The form is automatically sent to the State Agency Assessment Coordinator (MDS, OASIS) or the CMS General User (LTCH/ HOPE/IRF) for review.
- The form can be approved, returned, or rejected.
- When a form is returned, it can be resubmitted after any identified issues are corrected. Review the reasons behind the return to resubmit the form.
- A rejection means the process stops here and does not move forward.

6. View the FVR

- 6.1 Click **View Reports** under **Actions** on any screen to view the final validation reports. See *Figure 23, View Reports* for an example of the drop-down menu under Actions. The **My Reports** page opens with a list of final validation reports.

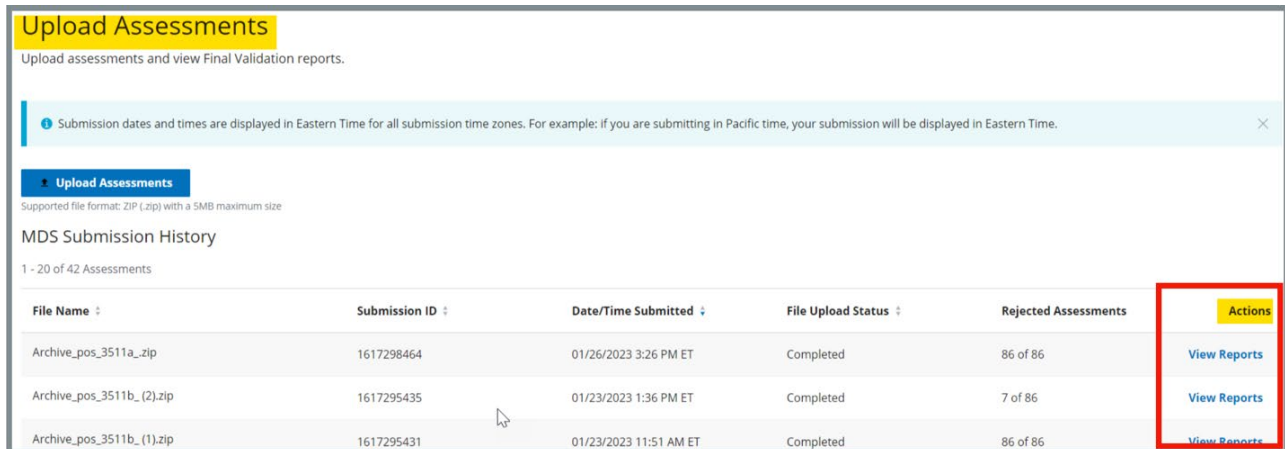


Figure 23: View Reports

Note: There are numerous places to select **View Reports**. It is on every home/landing page and next to each accepted file. It is also possible to view reports from the top menu.

Click **My Reports** under **Reports** on the top menu to go directly to the **My Reports** page. See *Figure 24, My Reports Drop-Down Menu*.

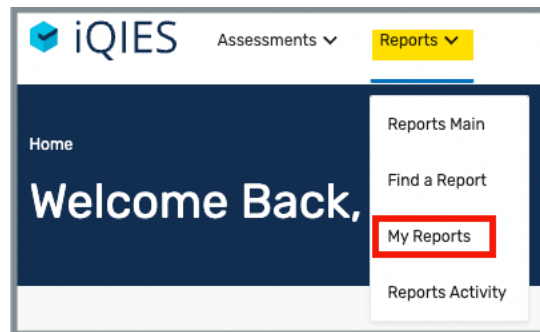


Figure 24: My Reports Drop-Down Menu

6.2 Click **More** to the right of any FVR to view additional actions. See *Figure 25, My Reports*. A drop-down list has the choices below.

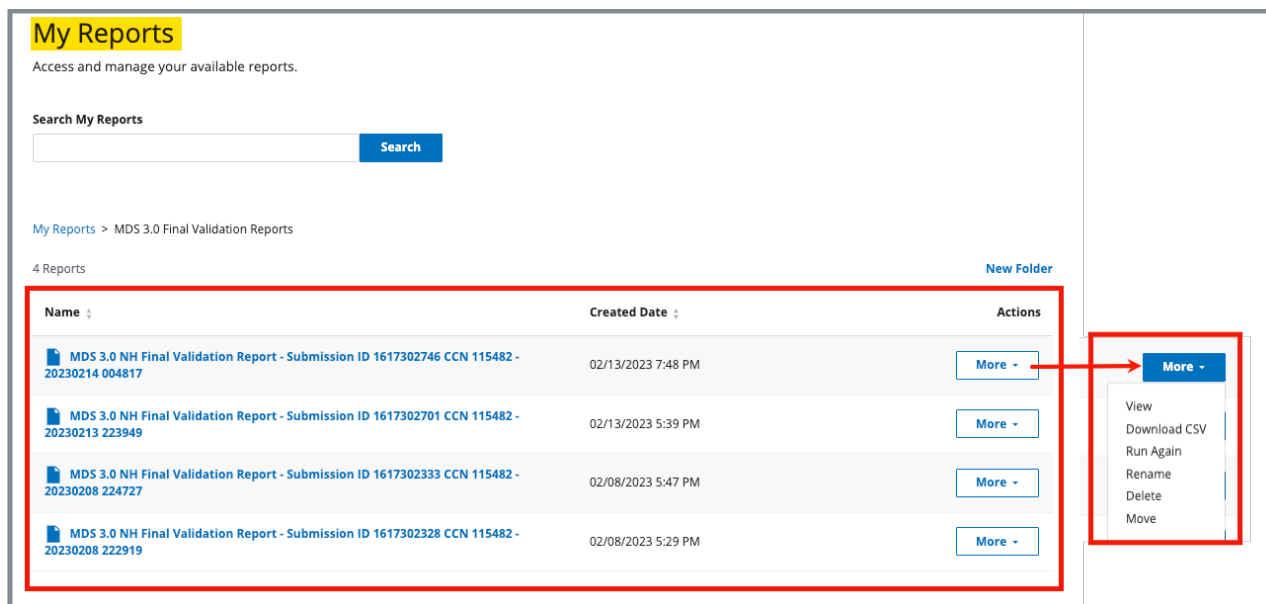


Figure 25: My Reports

Note: For more information on how to work in or set up the **My Reports** page, refer to the [iQIES Reports User Manual](#).

View	The FVR opens and can be viewed.
Download CSV	Download the FVR.
Run Again	Run the FVR again. The Run Report Criteria page opens. Fill out the criteria and click Run Report .
Rename	Rename the FVR. The FVR will be renamed in the My Reports folder.
Delete	Delete the FVR. A pop-up window asks for confirmation.
Move	Move the FVR to a different folder.

Appendix A: How to Upload Assessments From a PC

1. Open File Explorer.

Open any File Explorer window. It is found on the taskbar on the computer. See *Figure 26, File Explorer Icon*.

Note: Click the File Explorer window or press the **Windows** button + **E** and the File Explorer window opens.

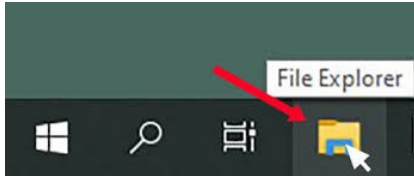


Figure 26: File Explorer Icon

2. Navigate to the folder where the assessments reside.

3. Select the files to zip (compress). See *Figure 27, Zip Files*.

To select files:

- Click once on the top file on the list.
- Press the **Shift** key on the keyboard.
- Click the last file to include. All the files in the list are highlighted.

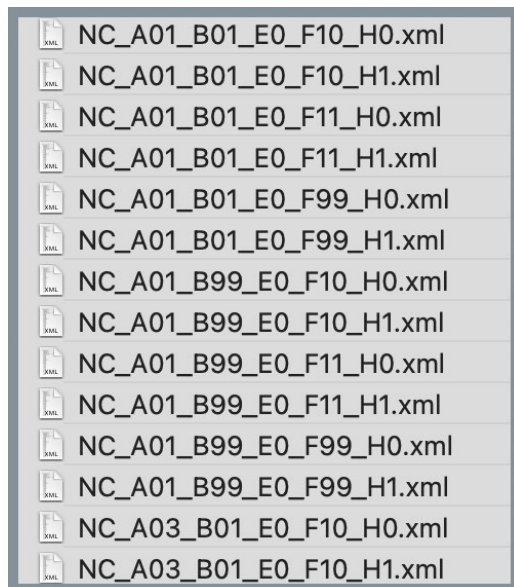


Figure 27: Zip Files

4. Right click with the mouse.

5. **Select Compress to...** See *Figure 28, Compress Screenshot*. An additional menu opens.

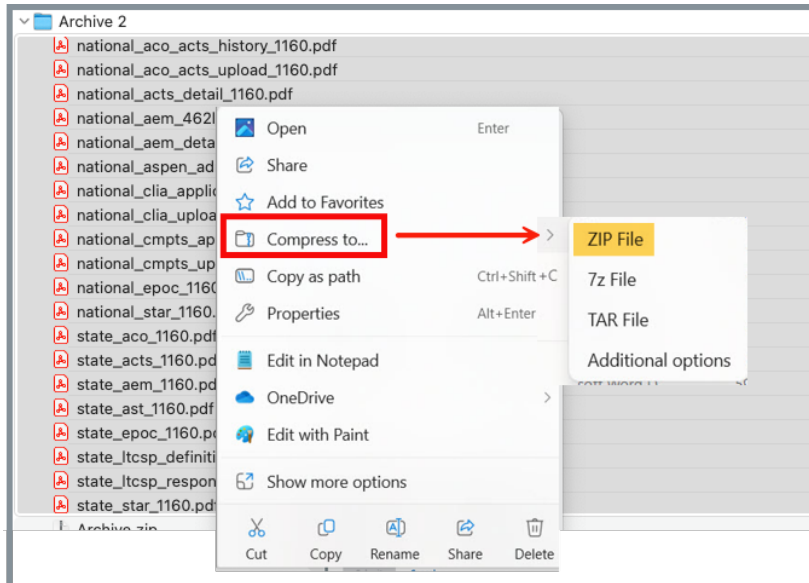


Figure 28: Compress Screenshot

6. **Select ZIP File.** The file is zipped and named **Archive [Number]**.

Notes:

- The zip file size must be under 5MB.
- Only one zip file can be added at a time.

7. **Rename the file.**

To rename the file:

- a. Right click on file name.
- b. Select **Rename** from the drop-down list
- c. Type in new name.

8. **Click once on newly-named zip file.**

9. **Hold on to the mouse and drag the file to the Upload assessments folder.**
Let go of the mouse. See *Figure 29, Uploaded Assessments*.

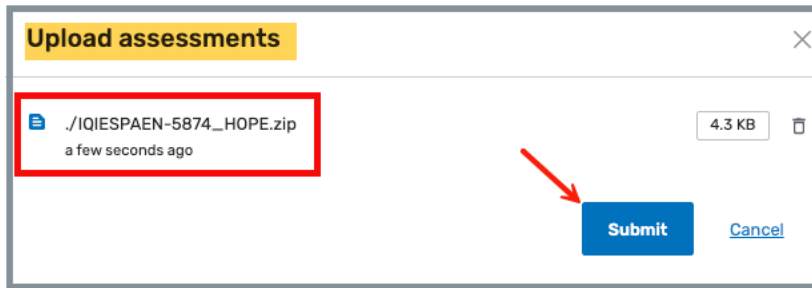


Figure 29: Uploaded Assessments

10. **Click Submit to upload the assessments.**

Appendix B: Validation Utility Tool (VUT)

Purpose: To upload an assessment file to validate whether the assessment has any errors.

1. Go to <https://iqies.cms.gov/vut>. A warning banner appears. See *Figure 30, VUT Warning Banner*.

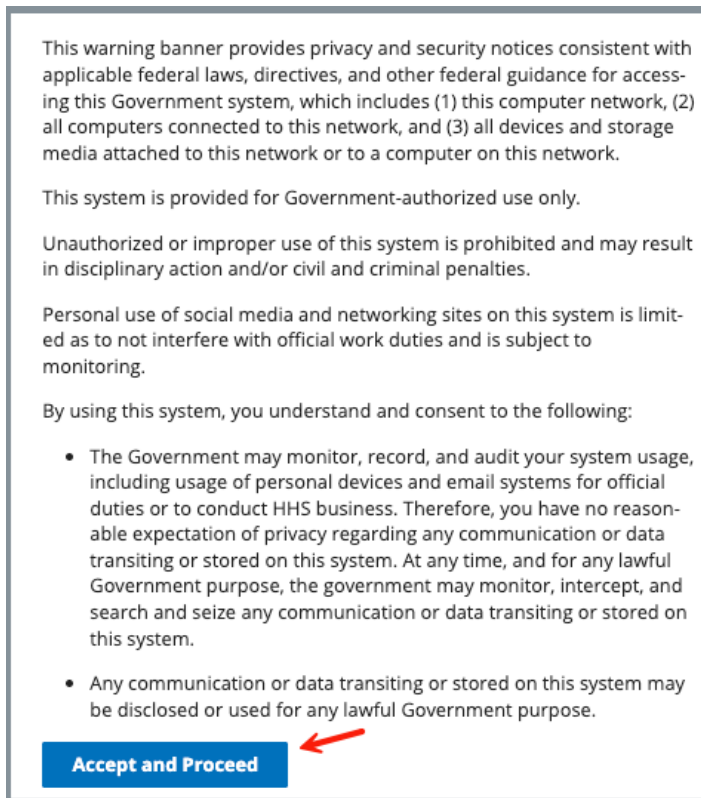
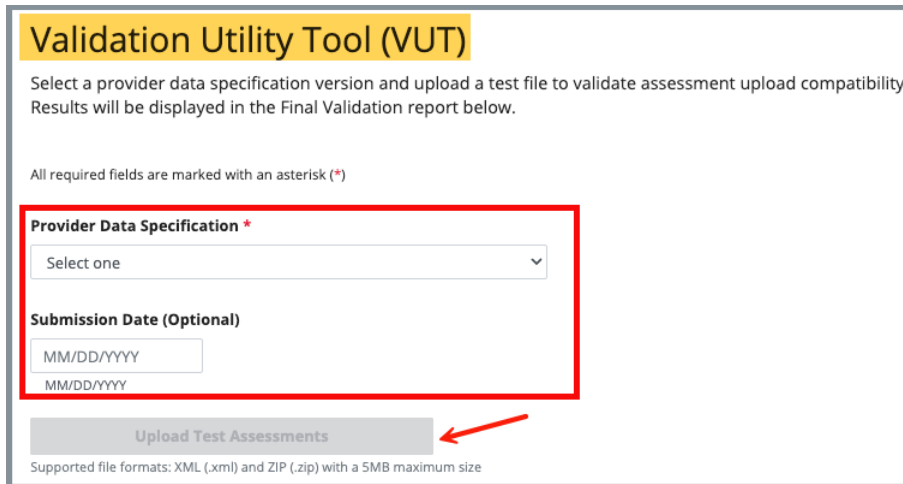


Figure 30: VUT Warning Banner

2. Click **Accept and Proceed**. The VUT page opens. See *Figure 31, VUT Page*.



Validation Utility Tool (VUT)

Select a provider data specification version and upload a test file to validate assessment upload compatibility. Results will be displayed in the Final Validation report below.

All required fields are marked with an asterisk (*)

Provider Data Specification *

Select one

Submission Date (Optional)

MM/DD/YYYY

MM/DD/YYYY

Upload Test Assessments

Supported file formats: XML (.xml) and ZIP (.zip) with a 5MB maximum size

Figure 31: VUT Page

3. Select provider from the drop-down menu under **Provider Data Specification**.
4. Type **Submission Date**, if desired.
5. Click **Upload Test Assessments**. The user's computer file folder pops up.
Note: **Upload Test Assessments** is disabled until required fields are filled out.
6. Select the assessment file from the computer file folder
7. Click **Open**. The assessments upload.
Note: Bigger assessment files may take several minutes to review.
8. Review the findings. Below are two assessment sets: See *Figure 32, Accepted Submission* and *Figure 33, Rejected Submission* for details.
9. Make necessary changes on rejected files and test again.

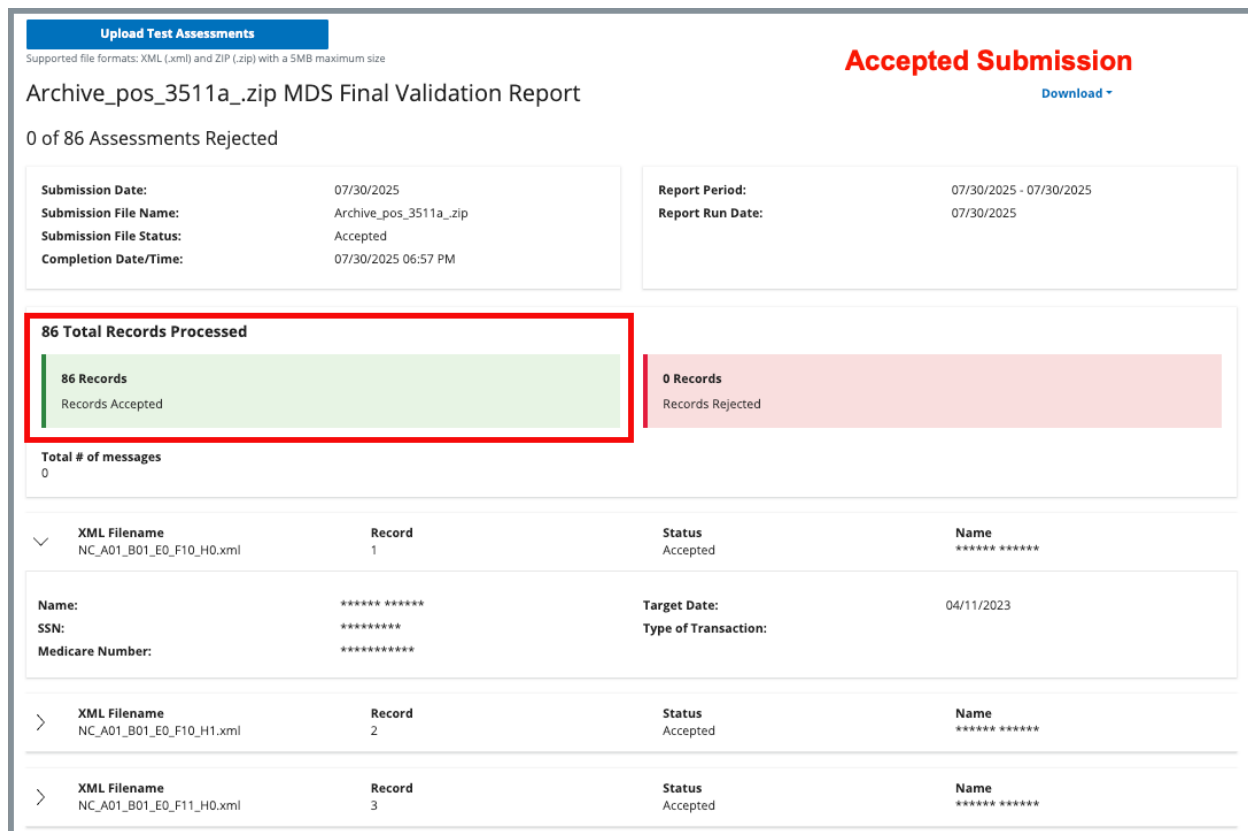


Figure 32: Accepted Submission

Upload Test Assessments
Supported file formats: XML (.xml) and ZIP (.zip) with a 5MB maximum size

Rejected Submission
[Download](#)

edit_3008_HA.xml Final Validation Report

1 of 1 Assessments Rejected

Submission Date: 07/30/2025
Submission File Name: edit_3008_HA.xml
Submission File Status: Rejected
Completion Date/Time: 07/30/2025 06:46 PM

Report Period: 07/30/2025 - 07/30/2025
Report Run Date: 07/30/2025

1 Total Records Processed

0 Records
Records Accepted

1 Records
Records Rejected

Total # of messages
14

XML Filename	Record	Status	Name
edit_3008_HA.xml	1	Rejected	*****
<div><div>Name: ***** SSN: ***** Medicare Number: ***** Item(s): A0900 Data Submitted: 18851224 Message Number/Severity: -3008/Fatal Message: Invalid Date: A0900 (Birth Date) cannot be more than 140 years earlier than the submission date. Item(s): J0905 Data Submitted: 0 Message Number/Severity: -3067/Fatal Message: Invalid Skip Pattern: If J0905 is equal to 0, then all active items from J0910A through J0915 must be skipped (^).</div><div>Target Date: 12/19/2025 Type of Transaction:</div></div>			

Figure 33: Rejected Submission