Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Assessment Management: Assessment Submitter Manual

Version 2.0

June 3, 2025

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1. Introduction

This document shows how to upload assessments, create and manage assessments, complete change requests, and review Final Validation Reports (FVR) 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 for MDS Users** 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*.

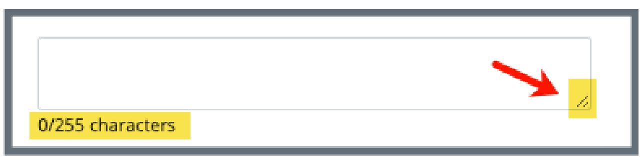


Figure 1: Expandable Field

- iQIES will automatically log out after 15 minutes of inactivity, returning users to the login page. iQIES remains open as long as you are actively interacting with it, such as clicking buttons, entering data, or navigating between pages.
- 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

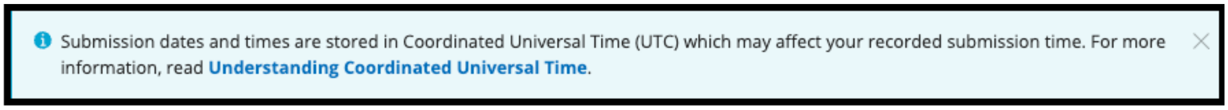


Figure 2: Notification Banner

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*.

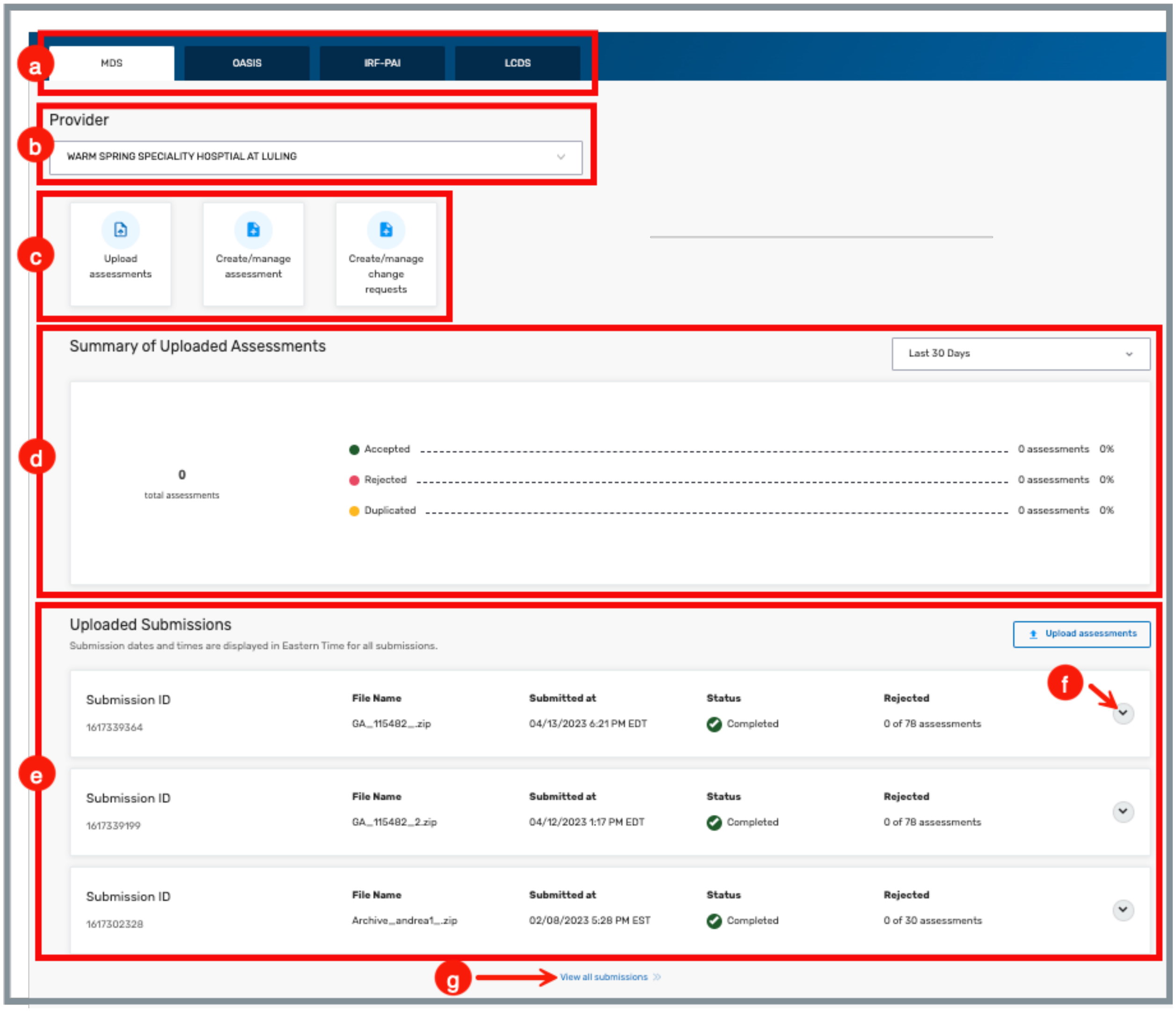


Figure 4: iQIES Landing Page

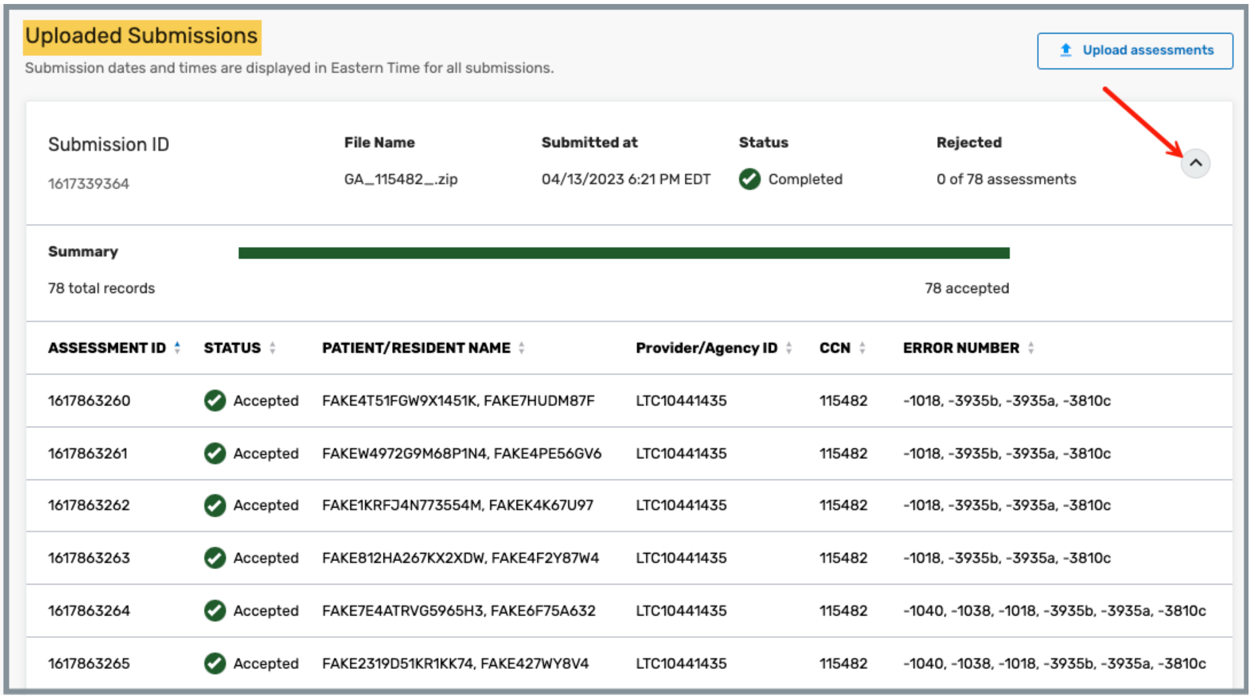
Table 2: iQIES Landing Page Detailed Callout

No.	Name	Description
a	Provider tabs	Click each tab (**IRF-PAI, 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	**Provider**	Defaults to first provider on the drop-down list. Click the caret next to the provider to select a different provider. **Note**: Providers are available based on the authorized providers for the user.
c	**What do you want to do?**	Select **Upload assessments**, **Create/manage assessment**, or **Create/manage change requests**. **Note**: Not all selections are available for all user roles.
d	**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.
e	**Uploaded Submissions**	Shows the uploaded submissions with time submitted and status of **Pending** or **Completed**. **Notes**: • Each submission has a unique ID. • Submissions with rejected assessments show in red.
f	View detailed assessment information	Click to view all submissions for each assessment instrument (**IRF-PAI, LCDS, MDS, OASIS**). Only the assessment instruments for the specific user role are available. The **Upload Assessments** page opens.
g	**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.

Upload assessments

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

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.

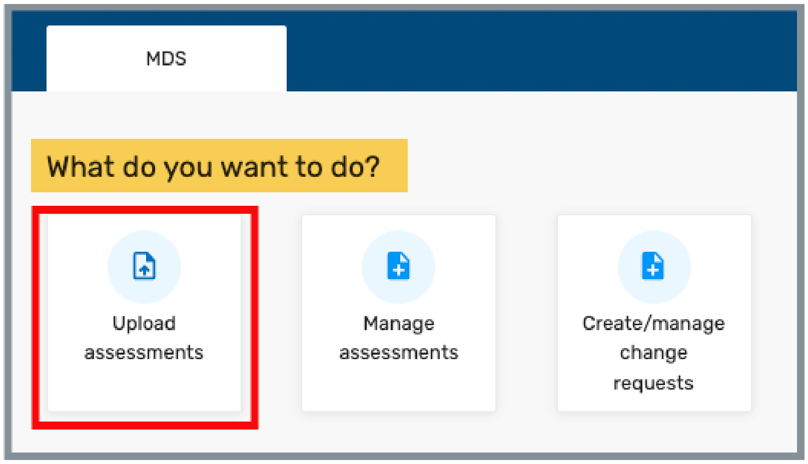


Figure 6: Upload an Assessment

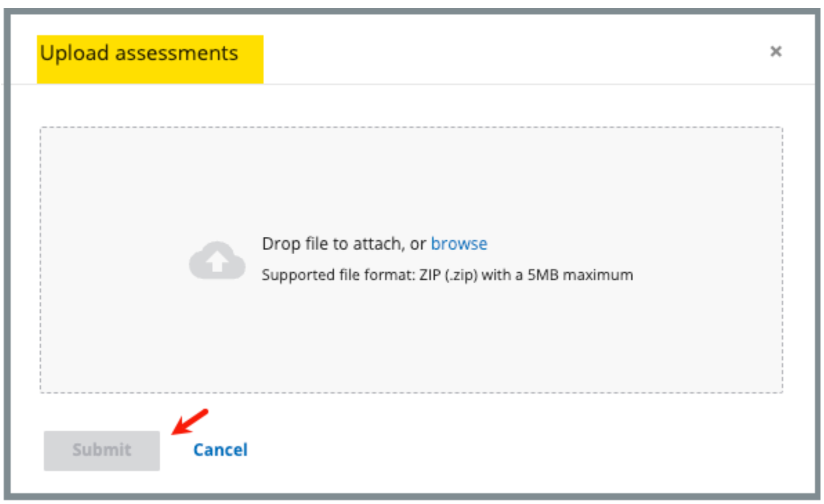


Figure 7: Upload Assessments Pop-up Window

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.

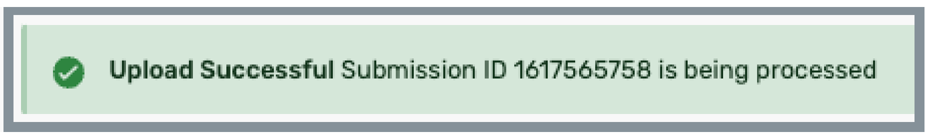


Figure 8: Upload Successful Green Notification Banner

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*.

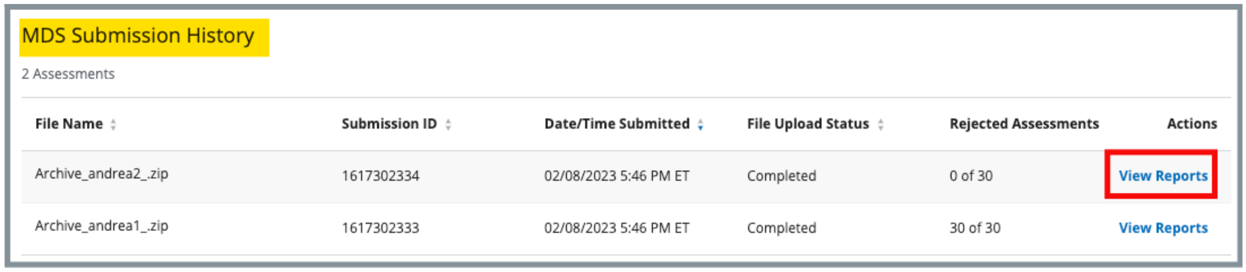


Figure 9: View Reports

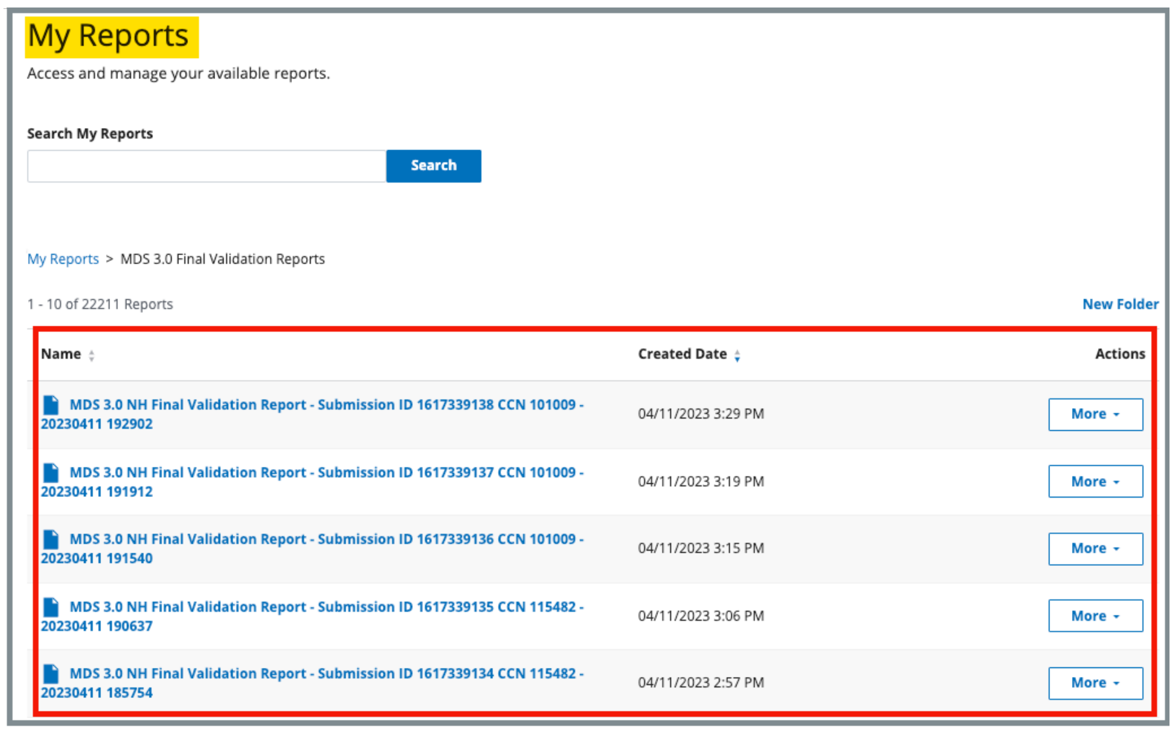


Figure 10: My Reports

4. Create/Manage Assessment

4.1 Click **Create/manage assessment** on the iQIES Landing Page. See *Figure 11, Create/Manage Assessments*. The **Assessments** page opens. See *Figure 12, Assessments*.

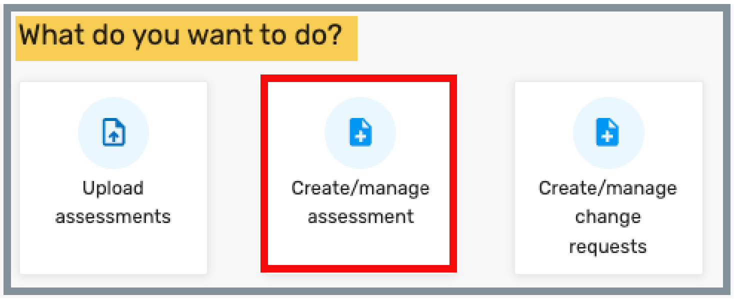


Figure 11: Create/Manage Assessments

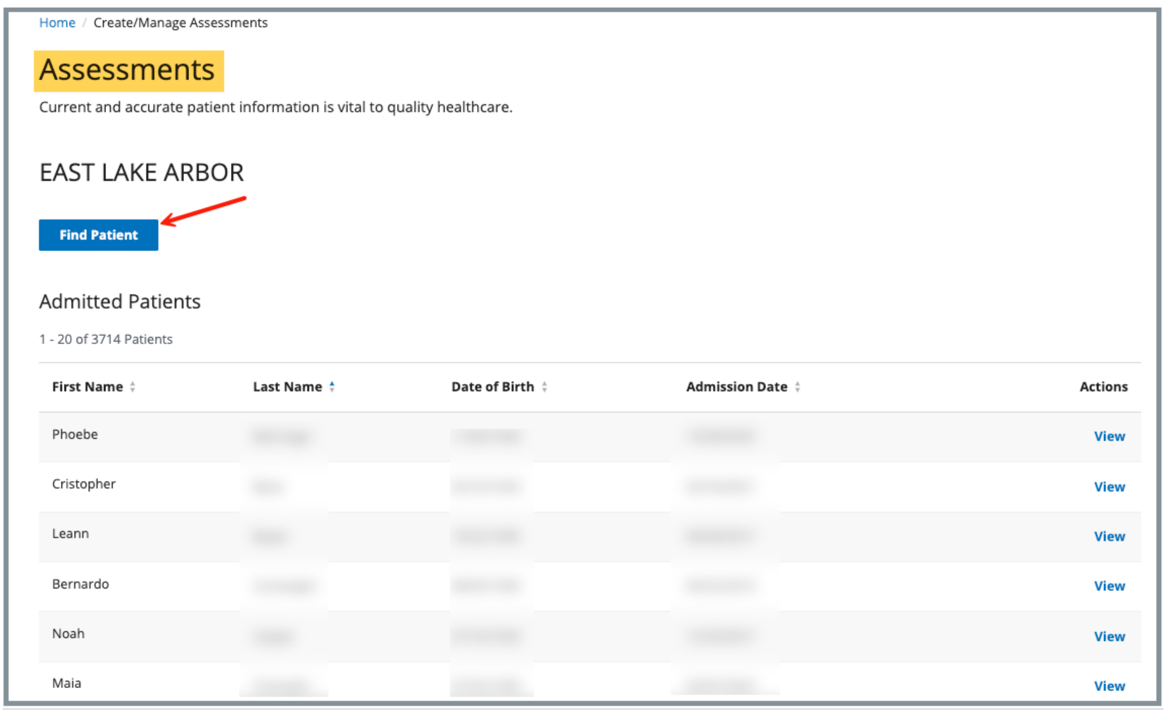


Figure 12: Assessments

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.

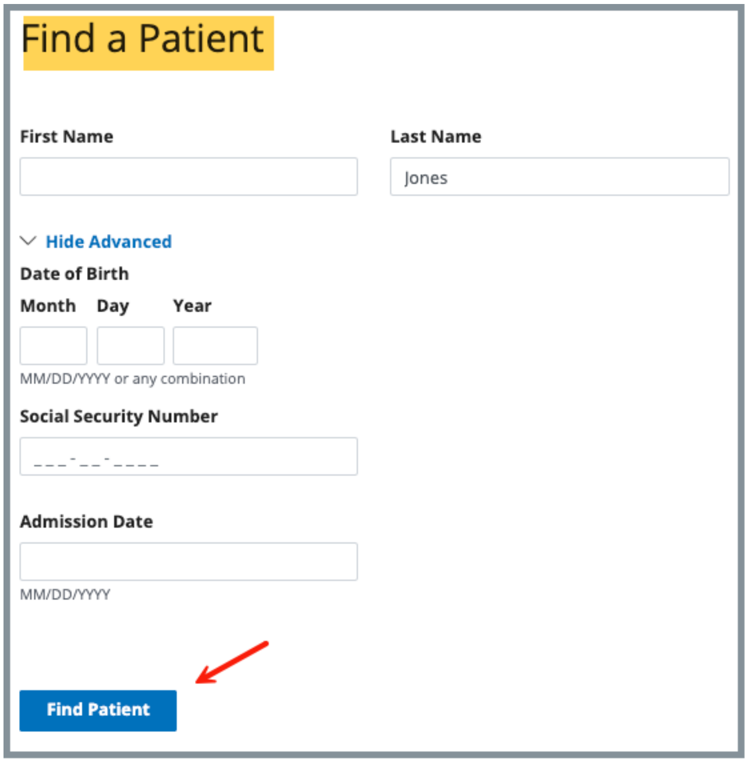


Figure 13: Find a Patient

4.4 Type as many details as available.

4.5 Click **Find Patient**. The **Patient Results** page opens. See *Figure 14, Patient Results*.

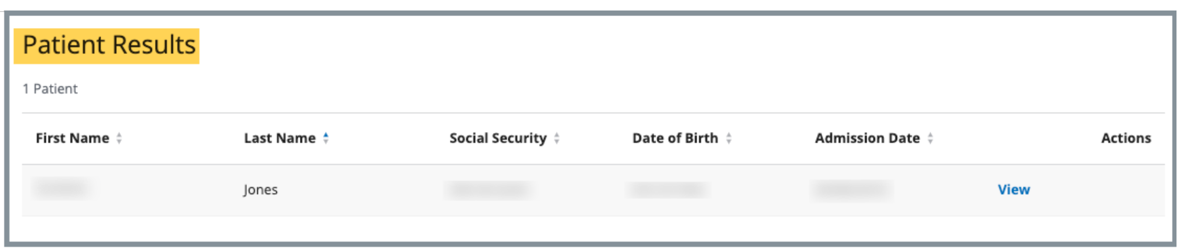


Figure 14: Patient Results

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

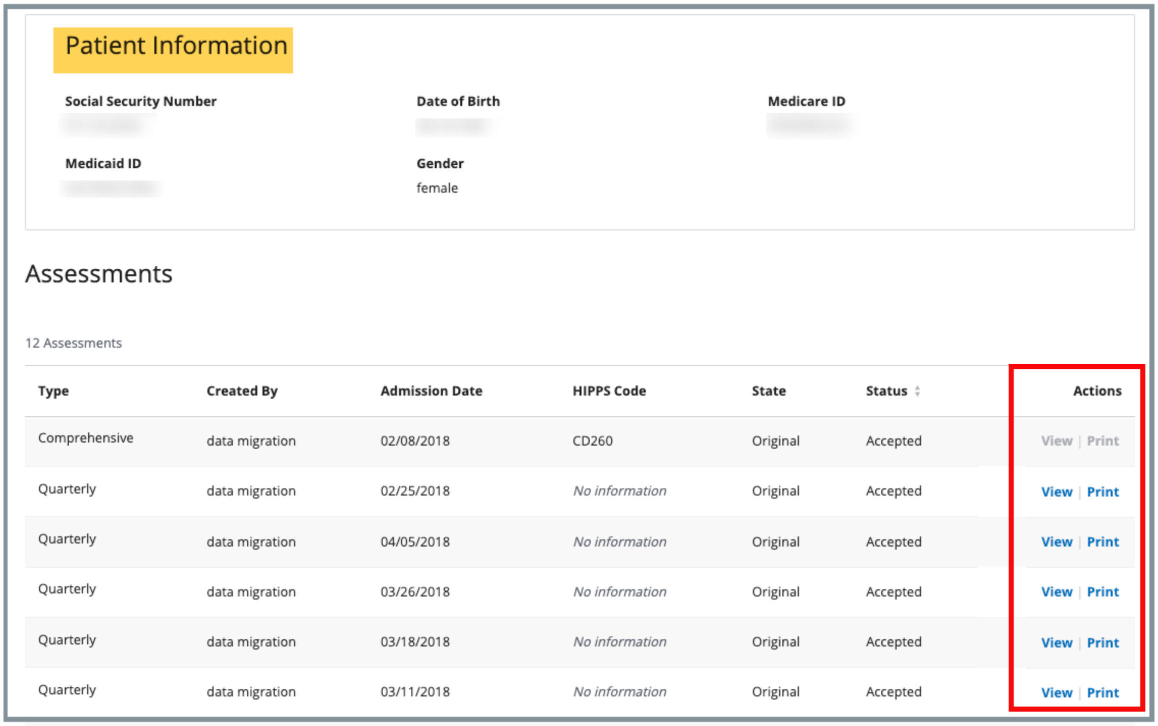


Figure 15: Patient Information

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.

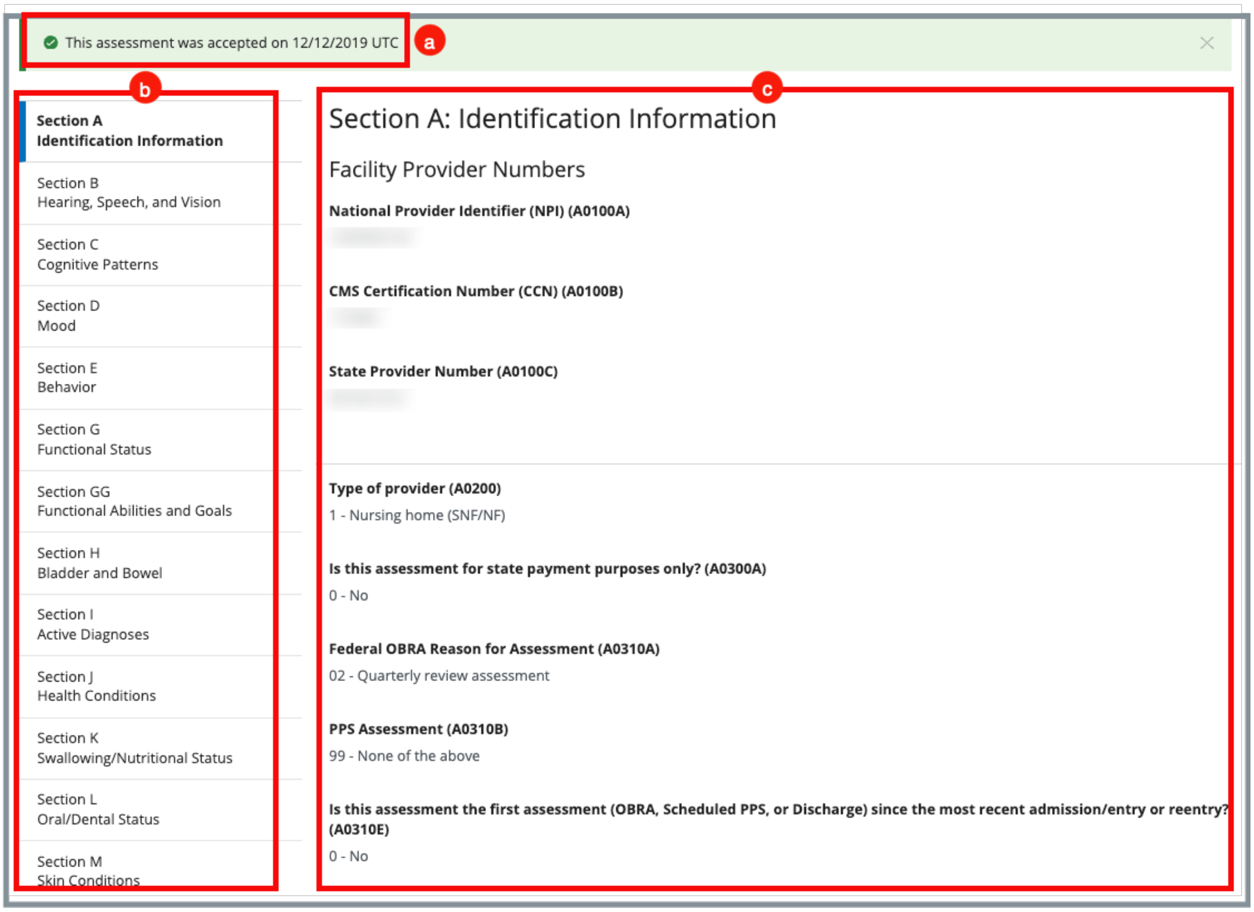


Figure 16: Assessment Information

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 deletion request.

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.*

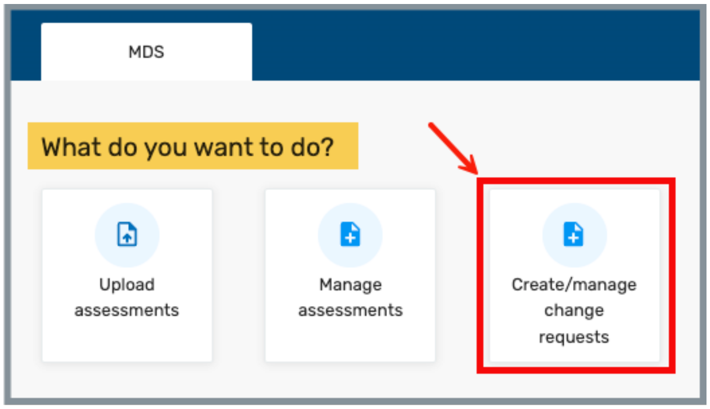


Figure 17: Create/Manage Change Requests

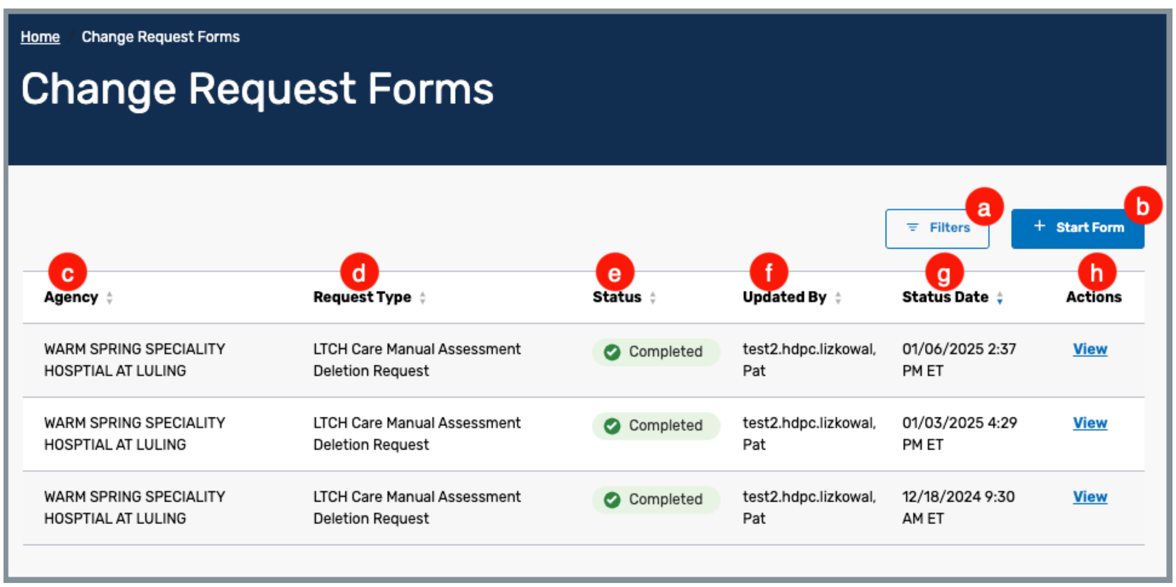


Figure 18: Change Request Forms

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.

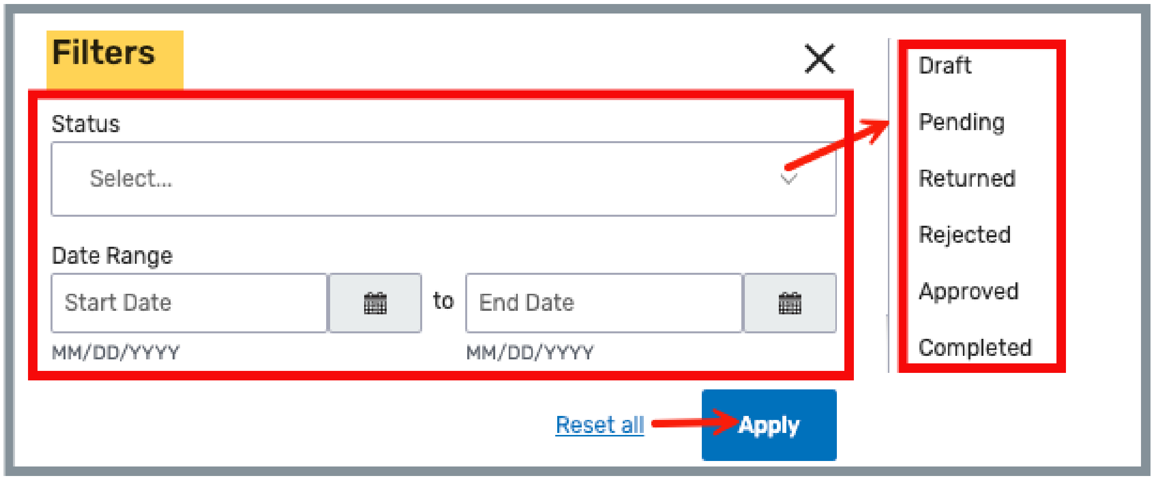


Figure 19: Filters

a. Click the caret in the **Select…** field to open the drop down menu.

b. Click any status (**Draft**, **Pending**, **Returned**, **Rejected**, **Approved**, **Completed**) from the drop-down menu.

c. Repeat step b to add any additional filters.

   Note: More than one status can be selected.

d. Click the **X** next to a filter to remove it from the list.

e. Select a **Date Range**, if desired.

   Note: One or both dates can be selected.

f. 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.*

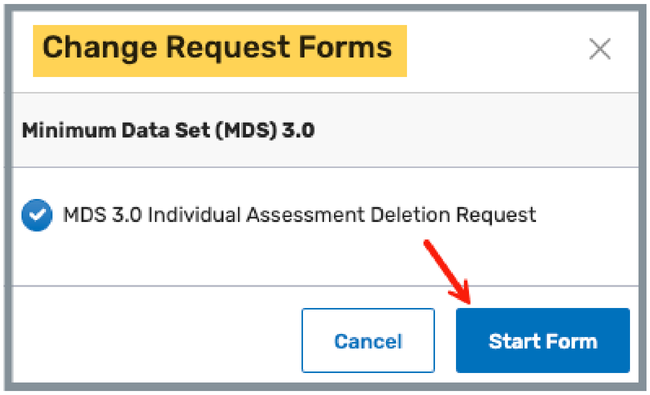
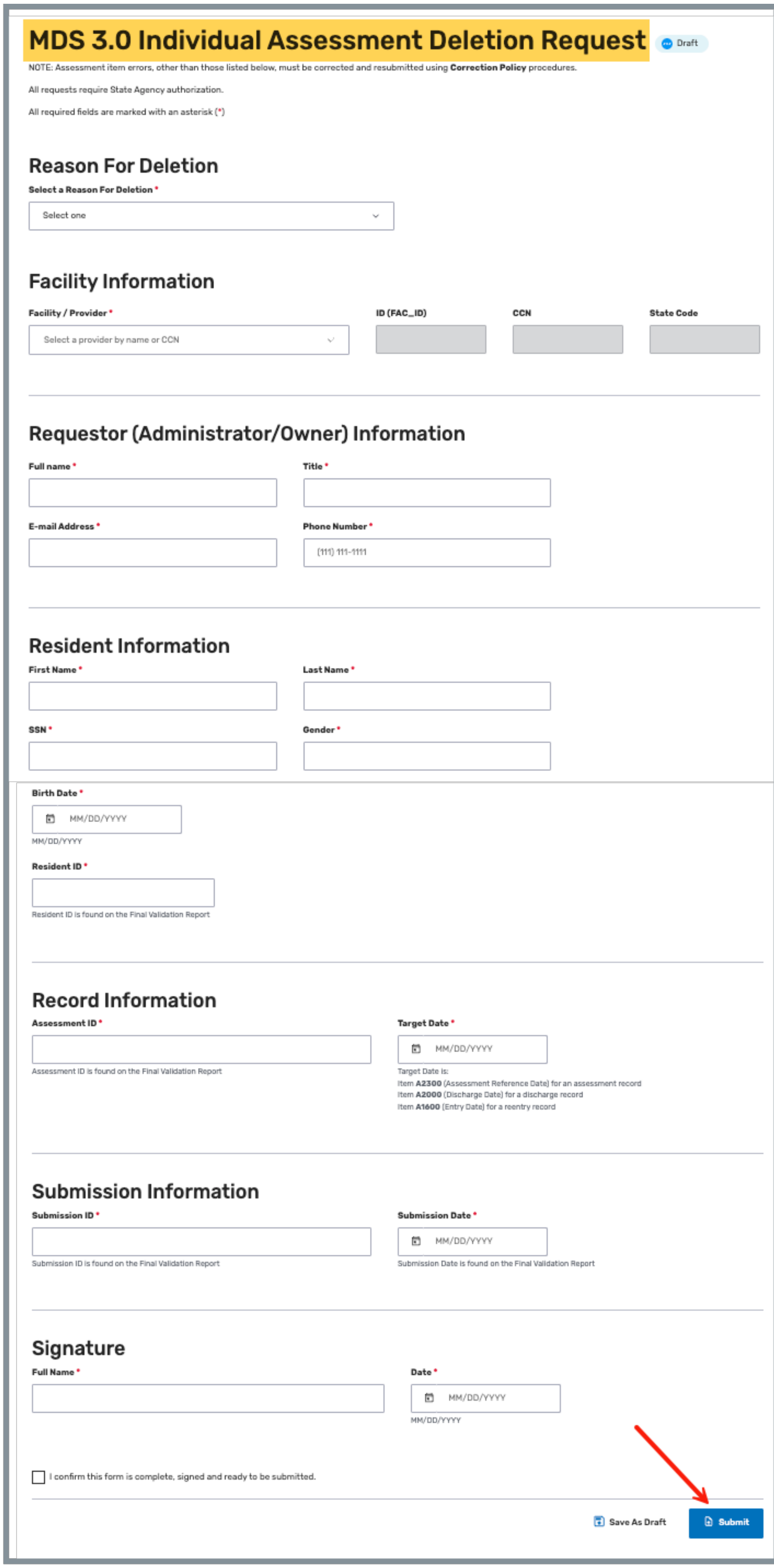


Figure 20: Change Request Forms Pop-Up Window

Note: The screenshot above shows an MDS user role. Other available forms may be IRF-PAI, LTCH, or OASIS, depending on the user role.

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 * | ID (FAC_ID) | CCN | State Code

Select a provider by name or CCN

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 * | Target Date *

MM/DD/YYYY

Assessment ID is found on the Final Validation Report

Target Date is:
Item **A2300** (Assessment Reference Date) for an assessment record
Item **A2000** (Discharge Date) for a discharge record
Item **A1600** (Entry Date) for a reentry record

Submission Information

Submission ID * | Submission Date *

MM/DD/YYYY

Submission ID is found on the Final Validation Report

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.

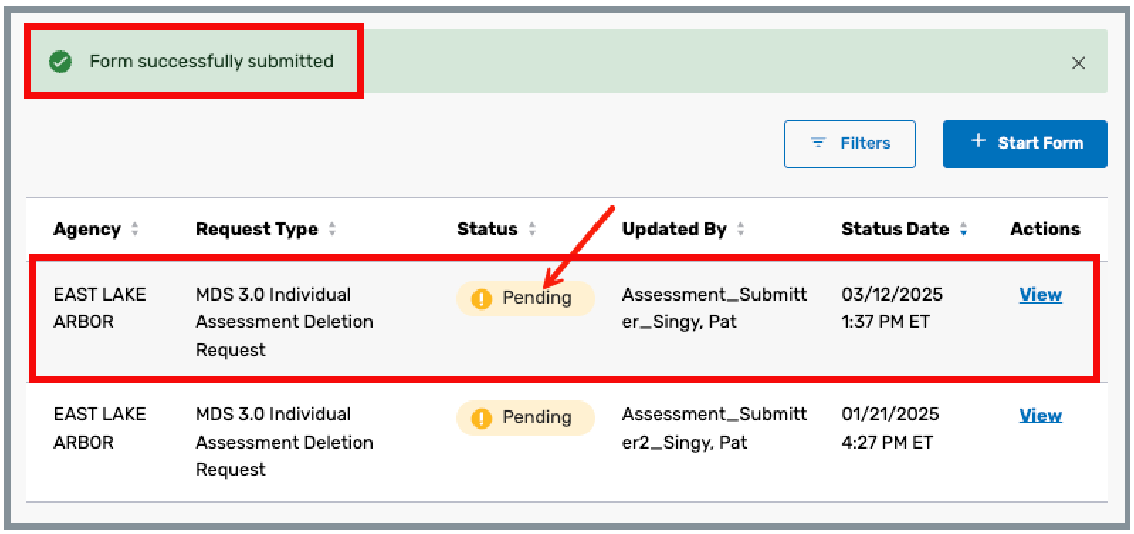


Figure 22: Form Successfully Submitted Green Notification Banner

Notes:

- The form is automatically sent to the State Agency Assessment Coordinator (MDS, OASIS) or the CMS General User (LTCH/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.

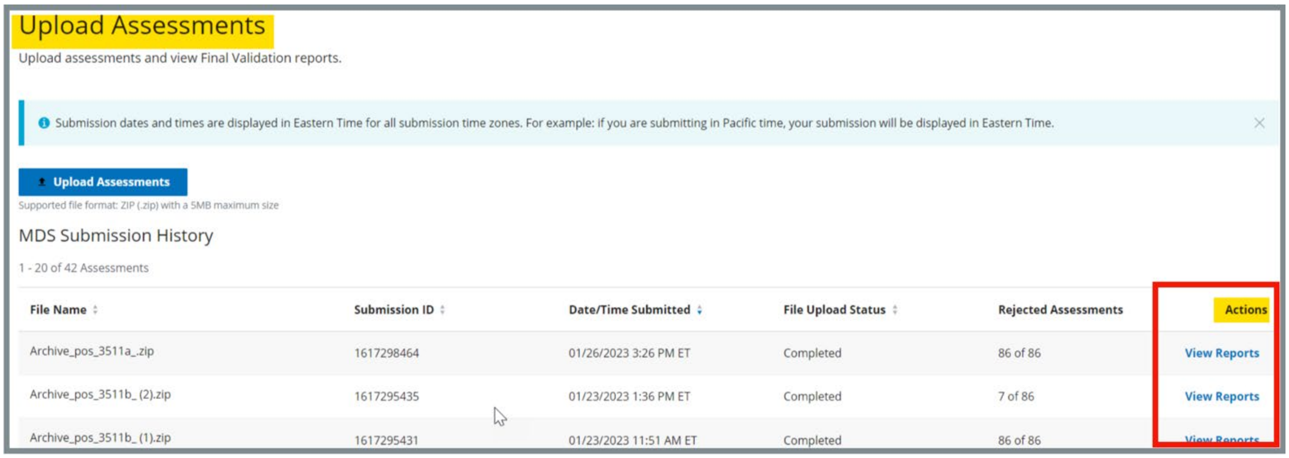


Figure 23: View Reports

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.*

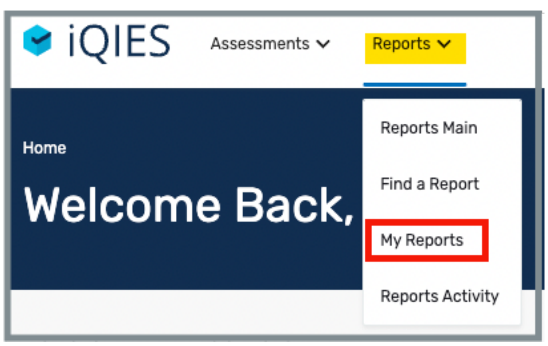


Figure 24: My Reports Drop-Down Menu

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.

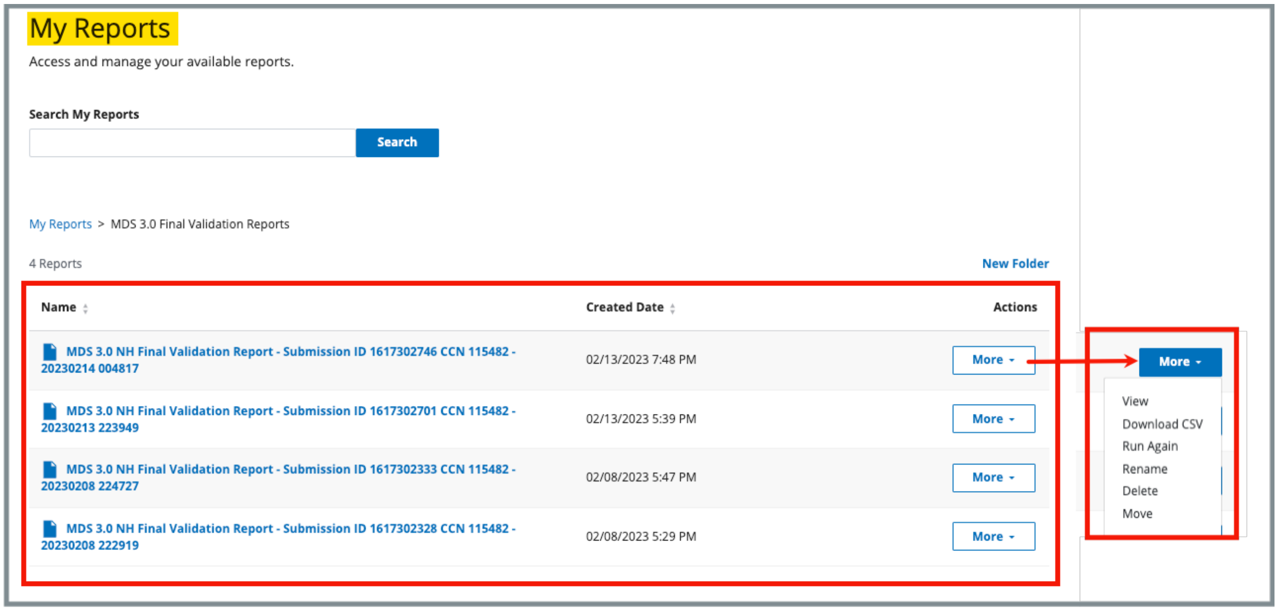


Figure 25: My Reports

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.

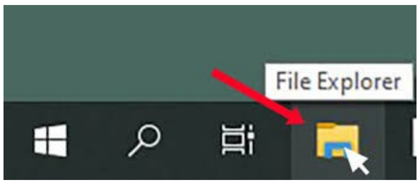


Figure 26: File Explorer Icon

2. **Navigate to the folder where the assessments reside.**
3. **Select the files to zip (compress).** *See Figure 27, Zip Files.*

   To select files:

   a. Click once on the top file on the list.

   b. Press the **Shift** key on the keyboard.

   c. Click the last file to include. All the files in the list are highlighted.

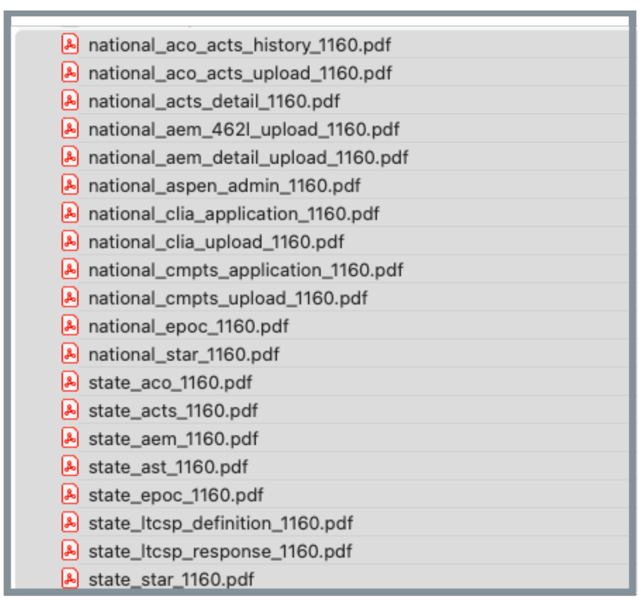


Figure 27: Zip Files

4. **Right click with the mouse.**

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

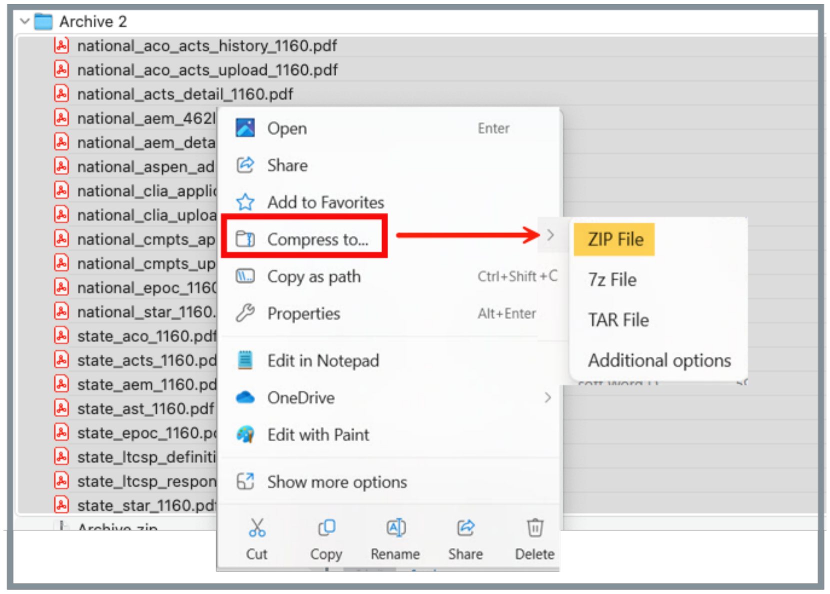


Figure 28: Compress Screenshot

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.*

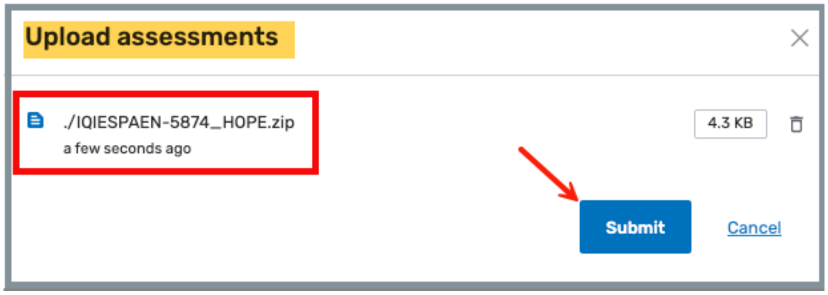


Figure 29: Uploaded Assessments

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