

**Track Changes
from Chapter 5 v1.19.1
to Chapter 5 v1.20.1**

Chapter	Section	Page(s) in version 1.20.1	Change
5	—	—	Hyperlinks in this section have been revised to reflect up-to-date locations.
5	5.1	5-2	When the transmission file is received by iQIES, the system performs a series of validation edits to evaluate whether or not the data submitted meet the required standards. MDS records are edited to verify that clinical responses are within valid ranges and are consistent, dates are reasonable, and records are in the proper order with regard to records that were previously accepted by iQIES for the same resident. The provider is notified of the results of this evaluation by error and warning messages on a Final Validation Report. All error and warning messages are detailed and explained in the iQIES MDS Error Messages Reference gGuide available at: https://qtso.cms.gov/providers/nursing-home-mdsswing-bed-providers/reference-manuals .
5	5.2	5-2	— For Entry and Death in Facility tracking records, the MDS Completion Date (Z0500B Z0400) must be no later than 7 days from the Event Date (A1600 for an entry record; A2000 for a Death in Facility tracking record).
5	5.3	5-5	Detailed information on the validation edits and the error and warning messages is available in the MDS 3.0 Data Submission Specifications on the CMS MDS 3.0 website and in the iQIES MDS Error Messages Reference gGuide .

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5	5.7	5-9	<p>Errors identified in iQIES records must be corrected within 14 days after identifying the errors. Inaccuracies can occur for a variety of reasons, such as transcription errors, data entry errors, software product errors, item coding errors or other errors. The following two processes have been established to correct MDS records (assessments, Entry tracking records or Death in Facility tracking records) that have been accepted into iQIES:</p> <ul style="list-style-type: none"> • Modification Request • Inactivation Request • MDS 3.0 Individual Correction/Deletion or Move Request <p>A Modification Request moves the inaccurate record into history in iQIES and replaces it with the corrected record as the active record. An Inactivation Request also moves the inaccurate record into history in iQIES, but does not replace it with a new record. Both the Modification and Inactivation processes require the MDS Correction Request items to be completed in Section X of the MDS 3.0. The MDS 3.0 Individual Correction/Deletion or Move Requests are distinct processes to address a few types of errors in a record in iQIES that cannot be corrected with a Modification or Inactivation Request.</p>

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5	5.7	5-11	<p>There are a few items for which the modification process shall not be used. The modification process is not permitted for certain items. These items require the following correction measures if an error is identified:</p> <ul style="list-style-type: none"> • An Inactivation of the existing record followed by submission of a new corrected record is required to correct an error of the Type of Provider (Item A0200) • An MDS 3.0 Manual Assessment Individual Correction/Deletion or Move Request is required to correct address the following situations: <ul style="list-style-type: none"> — Unit Certification or Licensure Designation (Item A0410) — State-assigned facility submission ID (FAC_ID) or State Code STATE_CD — Record submitted was not for OBRA or Medicare Part A purposes — Test record submitted as a production record <p>See Section 5.8 for details on the MDS 3.0 Manual Assessment Correction/Deletion Request.</p> <p>When an error is discovered (except for those items listed in the preceding paragraph and instances listed in Section 5.8 subsection MDS 3.0 Correction, Deletion, and Move Requests) in an MDS 3.0 Entry tracking record, Death in Facility tracking record, Discharge assessment, or PPS assessment that is not an OBRA assessment (where Item A0310A = 99), the provider must take the following actions to correct the record:</p>

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5	5.7	5-13	<p>5.8 Special Manual Record Correction Request MDS 3.0 Correction, Deletion, and Move Requests</p> <p>A few types of errors in a record in iQIES cannot be corrected with an an automated Modification or Inactivation request. These errors are:</p> <ol style="list-style-type: none"> 1. The record has the wrong unit certification or licensure designation in Item A0410. 2. The record has the wrong state code or facility ID in the control Items STATE_CD or FAC_ID. 3. The record submitted was not for OBRA or Medicare Part A purposes. 4. The record is a test record inadvertently submitted as production.

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5	5.7	5-13	<p>In all of these cases If a record was submitted either with an error in Item A0410, not for OBRA or Medicare Part A purposes, or as a test record, the facility must contact the State Agency to have the problems fixed complete the proper request within iQIES. The State Agency will send the facility the appropriate MDS 3.0 Manual Individual Assessment Correction/Deletion Request form. The facility is responsible for completing the form. The facility must submit the completed form to the State Agency. Completed forms with Protected Health Information (PHI) must be sent via certified mail through the United States Postal Service (USPS). The State Agency will review the request for completion and accuracy. The State Agency will either approve the request, reject the request or—in some cases—return the request and ask for additional information before approving or rejecting. If the State Agency approves the request, the assessment is deleted from or corrected in the iQIES database. Deleted records cannot be recovered. After approving the provider's request, the State Agency must sign the form and send it to the iQIES Help Desk. Completed forms with PHI must be sent via certified mail through the USPS. If the State Agency rejects the request, the provider should address any concerns noted and, if appropriate, submit a new request. Please refer to the iQIES Assessment Management: Assessment Submitter Manual for details.</p>

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5	5.7	5-13	<p>In situations in which the state-assigned facility submission ID (FAC_ID) or state code (STATE_CD) is incorrect, an MDS 3.0 Manual Assessment Move Facility Request is required. The facility is responsible for completing the form. The facility must submit the completed form to the State Agency. Completed forms with Protected Health Information (PHI) must be sent via certified mail through the United States Postal Service. The State Agency will review the request for completion and accuracy and contact the facility if required. After approving the provider's request, the State Agency must sign the form and send it to the iQIES Help Desk. (This process will transition to an iQIES-based process in the future, and the most up-to-date guidance regarding it will be available in the iQIES Assessment Management: Assessment Submitter Manual.)</p>

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5	5.7	5-14	<p>An iQIES record with an incorrect unit certification or licensure designation in Item A0410 is a very serious problem. Submission of MDS assessment records to iQIES constitutes a release of private information and must conform to privacy laws. Item A0410 is intended to allow appropriate privacy safeguards, controlling who can access the record and whether the record can even be accepted into iQIES. A normal Modification or Inactivation request cannot be used to correct the A0410 value, since a copy of the record in error will remain in the iQIES history file with the wrong access control. Consider a record in iQIES with an A0410 value of 3 (Unit is Medicare and/or Medicaid certified) when actually the unit is neither Medicare nor Medicaid certified and MDS data is not required by the State (A0410 should have been 1). The record should not be in iQIES at all and manual deletion an MDS 3.0 Individual Deletion Request is necessary to completely remove the record from iQIES. Consider a record with an A0410 value of 3 indicating that the Unit is Medicare and/or Medicaid certified but actually the unit is neither Medicare nor Medicaid certified but MDS data is required by the Sstate (A0410 should have been 2). In this case, there is both federal and state access to the record, but access should be limited to the state. Manual correction An MDS 3.0 Individual Correction Request is necessary to correct A0410 and reset access control, without leaving a copy of the record with the wrong access in the iQIES history file.</p>

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5	5.7	5-14	<p>If an iQIES record has the wrong state code or facility ID (control item STATE_CD, FAC_ID), then the record must be removed without leaving any trace in iQIES. The record also should be resubmitted with the correct STATE_CD and FAC_ID value.</p> <p>When a facility erroneously submits a record that was not for OBRA or Medicare Part A purposes, CMS does not have the authority to collect the data contained in the record. An inactivation request will not fix the problem, since it will leave the erroneously submitted record in the history file, that is, the CMS database. An manual deletion MDS 3.0 Individual Deletion Request is necessary to completely remove the erroneously submitted record and associated information from the CMS database.</p> <p>In instances in which an erroneous PPS assessment is combined with an OBRA-required assessment, if the item set code does not change, then a modification can be completed. If the item set code does change as a result of a modification, the provider must complete an MDS 3.0 Manual Assessment Individual Correction/Deletion Request. This action will completely remove the assessment from the database. As If indicated, the provider would complete and submit a new, stand-alone OBRA assessment.</p> <p>When a test record is in iQIES, the problem must be evaluated and iQIES appropriately corrected. An normal Inactivation request will not totally fix the problem, since it will leave the test record in a history file and may also leave information about a fictitious resident. Manual deletion An MDS 3.0 Individual Deletion Request is necessary to completely remove the test record and associated information.</p>

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5	5.7	5-15	<p>Replaced decision tree.</p> <p>OLD:</p> <p>Data Correction (Assessments and Tracking Forms)</p> <p>Error found in MDS assessment or tracking form</p> <p>1. Determine type of correction required.¹</p> <ul style="list-style-type: none"> Manual: Send manual deletion form to State. Create & submit new record if necessary. 1 Auto inact: Submit inactivation request to iQIES. Create & submit new record if necessary. 2 Auto modif: Submit modification request to iQIES. 3 <p>2. Rec. already accepted by iQIES?</p> <ul style="list-style-type: none"> Yes: 3 No²: Did event occur?³ <ul style="list-style-type: none"> No: Don't submit record. Create & submit new record if necessary. 4 Yes: Fix record in facility and submit to iQIES. 5 <p>For comp. and Quarterly asmts. only⁴ →</p> <p>Clinical Correction (OBRA Assessments Only)</p> <p>Uncorrected significant error?⁵</p> <ul style="list-style-type: none"> Yes: Sig change?⁶ <ul style="list-style-type: none"> Yes: Create & submit sig change asmt and update care plan. 9 No: Create & submit sig correction asmt and update care plan. 8 No: No further action required. 7 <p>Rec. fixed w/in 7 days of final completion?⁶</p> <ul style="list-style-type: none"> Yes: Revise care plan if necessary. 6 No: 7 <p>For comp. and Quarterly asmts. only⁴ ←</p> <p>NEW:</p> <p>Data Correction (Assessments and Tracking Forms)</p> <p>Error found in MDS assessment or tracking form</p> <p>1. Determine type of correction required.¹</p> <ul style="list-style-type: none"> Special Requests: Complete Correction, Deletion, or Move Request. Create & submit new record if necessary. 1 Inactivate: Submit inactivation request to iQIES. Create & submit new record if necessary. 2 Modify: Submit modification request to iQIES. 3 <p>2. Rec. already accepted by iQIES?</p> <ul style="list-style-type: none"> Yes: 3 No²: Did event occur?³ <ul style="list-style-type: none"> No: Do not submit record. Create & submit new record if necessary. 4 Yes: Fix record in facility and submit to iQIES. 5 <p>For comp. and Quarterly assessments only⁴ →</p> <p>Clinical Correction (OBRA Assessments Only)</p> <p>Uncorrected significant error?⁵</p> <ul style="list-style-type: none"> Yes: Sig change?⁶ <ul style="list-style-type: none"> Yes: Create & submit sig change assessment and update care plan. 9 No: Create & submit sig correction assessment and update care plan. 8 No: No further action required. 7 <p>Rec. fixed w/in 7 days of final completion?⁶</p> <ul style="list-style-type: none"> Yes: Revise care plan if necessary. 6 No: 7 <p>For comp. and Quarterly assessments only⁴ ←</p>

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5	5.7	5-15	<p>¹ Manual deletion An MDS 3.0 Correction, Deletion, or Move Request is required if test record submitted as production record, if record contains incorrect STATE_CD or FAC_ID, or if record was submitted with an incorrect Unit Certification or Licensure Designation (A0410), for example sent in as Unit is Medicare and/or Medicaid certified (A0410 = 3) but should have been Unit is neither Medicare nor Medicaid certified but MDS data is required by the State (A0410 = 2); or record is not for OBRA or Medicare Part A purposes (e.g., a PPS assessment submitted for resident whose stay is covered by a Medicare Advantage Plan) purposes.</p> <p>² Record has not been data entered, has not been submitted, or has been submitted and rejected by iQIES.</p> <p>³ The event occurred if the record reflects an actual entry or discharge or if an assessment was actually performed for the resident. If a record was created in error (e.g., a Discharge assessment was created for a resident who was not actually discharged), then the event did not occur.</p> <p>⁴ OBRA comprehensive assessments with A0310A = 01, 03, 04, 05 and Quarterly assessments with A0310A = 02, 06.</p> <p>⁵ The assessment contains a significant error which has not been corrected by a subsequent assessment.</p> <p>⁶ Final completion date is item V0200C2 for a-comprehensive assessments, Z0400 for Entry and Death in Facility tracking records, and Z0500B for all other assessments.</p>