

## **Submission of MDS 3.0 Assessments October 2023**

These guidelines identify the requirements for submission of MDS 3.0 assessments to the North Dakota Department of Health & Human Services for purposes of establishing classifications for a nursing facility resident effective January 1, 2020.

These requirements are in addition to filing requirements set forth in the Resident Assessment Instrument (RAI) Manual.

### Clarification on October 1, 2023 changes:

- Section D0200 Resident Mood Interview
  - all 9 questions will need to be answered, this is the same as prior to October 1<sup>st</sup>.
- Because RUG IV classification continues to use Section G, the classification may be different on an OSA than the classification on OBRA assessment with the same ARD.
- Make sure to use the State Accepted Assessment and Resident Classification reports and notices.

### **Submission**

ND Medicaid will use the Optional State Assessment (OSA) Item Set for classification starting January 1, 2020. Assessments must be submitted in sequential order.

- OSAs should be submitted with these fields:
  - A0300A must = 1
  - A0300B must = 5 for an Admission, Reentry or Quarterly OSA submitted within the assessment reference period.
  - A0300B cannot equal 1 or 3 within the first 14 days after admission/reentry. The therapy start dates must be reported on an OSA with A0300B = 5.
  - A0410 must = 3
- The only dates used in establishing a resident's classification are:
  - Entry Date (A1600)

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- Therapy Start Dates (O0400A5, O0400B5, and/or O0400C5)
- Therapy End Dates (O0400A6, O0400B6, and/or O0400C6)
- The Entry Date (A1600) establishes the classification period start date and the assessment reference period.
- To set a RUG-IV classification on an admission or reentry, A2300 of the OSA must be between day 7 and day 14 of A1600.
- Section G still needs to be completed on OSAs even though that section was removed from the OBRA assessments. You may need to talk with your software vendor to ensure the OSA can continue to be completed and submitted based on these guidelines.
- If a discharge is prior to day 7, submit the Discharge Item Set (ND) with A0300 = 0, with the discharge date in A2300 and A2000 after submitting the OSA. This will generate a classification notice.
- If a death is prior to day 7, submit the Tracking Item Set (NT) with A0300A = 0, and the death date in A2000 after submitting the OSA. This will generate a classification notice.
- OSAs for therapy should be submitted with these fields:
  - A0300B must = 5 if the therapy starts within the first 14 days after admission/reentry. An OSA that meets the Rehabilitation criteria for therapy days and minutes, will generate a therapy classification notice.
  - A0300B must = 1 or 3 for an OSA submitted to identify the SOT.
  - A0300B must = 2 or 3 for an OSA submitted to identify the EOT.

Classifications within a classification period may change only at the start or end of therapies. Start and end of therapy OSAs do not affect the regularly scheduled classification period assessment guidelines.

The classification start date can only change with a discharge from the facility (A0310F=10 or 11).

When the resident returns to the facility the Entry Date (A1600) will establish the new classification start date.

### **Classifications**

A resident's classification is based on an OSA occurring within 7-14 days of admission or

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reentry, and OSAs occurring every 3 months thereafter.

If an OSA is to be used for a classification, the ARD (A2300) must occur within a fixed assessment reference period.

The acceptable assessment reference period for an initial classification period starts on day 7 of the Entry Date (A1600) and continues through day 14.

If multiple OSAs are accepted with an ARD between day 7-14, then the OSA with an ARD on or closest to the 14<sup>th</sup> day is used for classification.

After the initial classification period, the assessment reference period is the start date of the next classification period and the 7 days immediately preceding it. Any date within the assessment reference period can be used for an ARD for classification purposes.

If multiple OSAs are accepted with an ARD within the 8-day assessment reference period, the OSA with an ARD on or closest to the classification start date will be used for classification.

Classifications are established every 3 months on the same day of the month as the entry date. The classification start date does not change based on the ARD; or with a change in payer status (i.e. Medicare to private pay).

The classification start date will only change when the calculated start date is a nonsensical date. All future classification periods will be reset to the 1<sup>st</sup> of the month.

Examples are:

<u>Calculated Start Date</u>	<u>New Classification Start Date</u>
February 30	March 1
April 31	May 1
June 31	July 1
September 31	October 1
November 31	December 1

### **Classification Notices**

Multiple classification notices may be generated in the initial classification period or during

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an assessment reference period depending on the number of OSAs that have been submitted. It is the facility's responsibility to provide the resident with the notice that contains the classification that will be used for payment purposes.

If the resident is discharged or expires prior to day 7, the classification notice will be generated after the OSA and the ND/NT are accepted.

### **Entry Tracking Records**

The entry tracking record must correctly report the Type of Entry (A1700).

An Admission (A1700=1) must be used for the resident's first admission to the facility or following a DRNA (A0310F=10).

A Reentry (A1700=2) must follow a DRA (A0310F=11).

### **Discharge Assessments**

There are two types of discharge assessments:

- DRA – discharge return anticipated (A0310F=11)
- DRNA – discharge return not anticipated (A0310F=10)

### **DRA to DRNA**

Reporting the notification of the change in discharge status from DRA to DRNA is required. If a resident is DRA and the facility learns that the resident will not be returning, a second discharge assessment must be submitted to change the resident's status from DRA (A0310F=11) to DRNA (A0310F=10).

The discharge date (A2000) and ARD (A2300) of the second discharge assessment is the date that the facility learns the resident will not be returning.

The DRA and DRNA cannot have the same discharge date (A2000) or ARD (A2300).

If a resident is DRA and subsequently expires in the hospital, a second discharge assessment with the status of DRNA must be submitted with the date of death as the

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discharge date and discharge status of deceased (A2100=08).

On the 2<sup>nd</sup> discharge (DRNA) all fields in section A must be completed, other fields may be dashed.

**Do not send the second discharge assessment to CMS QIES ASAP.**

### Death in Facility

If the resident expires in the facility, a NT with A0300A=0, A1800=08 and A2000=death date.

A death in facility cannot follow a DRA.

### Discharge Prior to Day 7

If a resident is discharged (DRA) prior to day 7, submit a discharge assessment (A0300A=0) and use the date of discharge for both ARD and discharge date.

If a resident is DRA and the facility learns that the resident will not be returning, submit a second discharge assessment (DRNA with A0300A=1) and use date of discharge from the facility for both the ARD and discharge date.

If a resident expires prior to day 7 in the facility, submit the Tracking Item Set (NT) (A0300A=0) and the death date for discharge date. This cannot follow a DRA.

### **Interrupted Stay Policy**

If a resident meets the Interrupted Stay policy criteria under PDPM, submit a discharge assessment (A0300A=0) with a DRA and the resident's discharge date. These are not Medicaid covered days.

When the resident returns to the facility, submit an entry tracking with (A1700=2) Reentry.

### **Start of Therapy (SOT)**

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The date entered in the start of therapy fields (O0400A5, O0400B5, and/or O0400C5) should be the first day each therapy discipline was provided during the look back period. Treatment must be provided – not only an evaluation.

The therapy classification will be effective based on the date(s) entered in the start of therapy fields in Section O (O400A5, O0400B5, and/or O0400C5) and when the resident meets the Rehabilitation Criteria.

Distinct Calendar Days of Therapy (O0420) will be used for therapy classification purposes.

Reporting the start of therapy is required even if the therapy classification may not be assigned due to case mix index maximizing.

#### Within the First 14 Days

If therapy begins within the first 14 days after admission/reentry, the therapy start dates must be reported on an OSA with assessment type (A0300B = 5),

Assessment type (A0300B) cannot equal 1 or 3 within the first 14 days after admission/reentry.

For an OSA completed on admission/reentry with A0300B=5 with therapy start dates reported, the therapy classification will start when the resident meets the Rehabilitation Criteria and will not automatically go back to the admission/reentry date.

#### Within the Quarter

Reporting the start of therapy for a resident is required if the resident meets the Rehabilitation Criteria after the start of any classification period.

Assessment type (A0300B) must = 1 or 3 for an OSA submitted to identify the SOT.

On a start of therapy OSA, the following must be completed:

Section A	all fields
Section G	all fields
Section H	all fields

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Section O	O0400A, B, C for each discipline provided,
Section O	O0420, Distinct Calendar Days of Therapy
Section O	O0500, Restorative Nursing Programs
Section Z	Z0200C, Z0500B

A resident should be evaluated at least every 7 days to see if they meet the Rehabilitation Criteria in the previous 7 days (look back period).

The ARD must be within 7 calendar days of the start of therapy date(s) (O0400A5, O0400B5, and/or O0400C5). The ARD of the SOT will set the schedule for a 7-day lookback period to determine if a resident continues to meet Rehabilitation Criteria.

If the ARD of a SOT OSA is after the first day of a classification period but the start of therapy date is before the first day of the classification period, a second SOT OSA must be submitted with the start of therapy date equal to the first day of the classification period.

The ARD of the second OSA should be within 7 calendar days of the first day of the classification period but should be after the ARD of the first SOT OSA.

### **Rehabilitation Criteria**

Rehabilitation Criteria (section O0400 [a. ST b. OT c. PT]) In the last 7 days:

- Received 150 or more minutes **AND**
- Distinct Calendar Days (O0420=5) or greater

A calendar day of therapy requires 15 minutes or more of therapy per discipline.

When both 150 minutes and 5 distinct calendar days have been met the therapy classification will begin.

If multiple therapy disciplines with different start dates occurs, the discipline with the earliest start date must meet the Rehabilitation Criteria alone in order for the therapy classification to be effective that date. Otherwise the therapy classification will take effect on the date the combination of disciplines meet the Rehabilitation Criteria.

**OR**

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Alternative Rehabilitation Criteria (section O0400 [a.ST b. OT c. PT] and H0200C, H0500 and/or O0500) In the last 7 days:

- Received 45 or more minutes **AND**
- Distinct Calendar Days (O0420=3) or greater **AND**
- 2 or more nursing rehabilitation services\* received for at least 15 minutes each with each administered for 6 or more days

### Nursing Rehabilitation Services

\*H0200C Urinary toileting / bladder training program or  
or H0500 Bowel training program

\*O0500A Passive or  
or O0500B Active ROM

O0500C Splint or brace assistance

\*O0500D Bed mobility or

or O0500F Walking

O0500E Transfer training

O0500G Dressing or grooming training

O0500I Amputation / prosthesis care

O0500J Communication training

\*Count as one service even if both provided.

### **End of Therapy (EOT)**

A resident should be evaluated at least every 7 days to see if they meet the Rehabilitation Criteria in the previous 7 days (look back period).

The ARD of the SOT will set the schedule for a 7-day lookback period to determine if a resident continues to meet Rehabilitation Criteria.

If the resident has not received the required 150 minutes or 5 distinct calendar days during the 7-day lookback period, then an EOT OSA must be submitted.

If the resident qualified for rehab under the Alternative Rehabilitation Criteria and has not received the required 45 minutes and 3 distinct calendar days and 2 or more nursing

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rehabilitation services administered 6 or more days, during the 7-day lookback period, then an EOT OSA must be submitted.

Assessment type (A0300B) must = 2 or 3 for an OSA submitted to identify the EOT.

On an end of therapy OSA, the following must be completed:

Section A	all fields
Section O	O0400 for each discipline provided,
Section O	O0420, Distinct Calendar Days of Therapy
Section Z	Z0200C, Z0500B

The therapy classification will be discontinued based on the dates entered in end of therapy fields in Section O (O0400A6, O0400B6, and/or O0400C6).

When multiple end dates occur within the 7-day look back period, the date entered in the end of therapy fields should be the last date that each discipline was provided during the look back period.

The ARD of an EOT OSA should be the last day that Rehabilitation Criteria was met.

When the therapy does not meet the requirement for either the 150 minutes or 5 distinct calendar days through the last date of actual therapy; the end of therapy will occur at the earliest date that the Rehabilitation Criteria was not met.

If there are no minutes or days in the look back period do not enter previous dates of therapy.

The resident's classification will revert to the non-therapy classification from the original OSA used to set the classification for the period.

Do not submit an EOT OSA if the resident was not in a therapy classification prior to the end of therapies.

### **Requalifying for Rehabilitation Criteria**

If an EOT OSA is submitted due to the resident not meeting the Rehabilitation Criteria and all therapies have not discharged, therapies must be monitored to determine if the resident

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meets the Rehabilitation Criteria again.

A SOT OSA must be submitted if the resident qualifies again. The start dates cannot overlap the end dates reported on the EOT OSA.

A new 7-day lookback period will be established, depending on the start date of therapy.

### **Legend**

A0300A – Is this assessment for state payment purposes only?

0 = No

1 = Yes

A0300B – Assessment Type

1 = Start of Therapy

2 = End of Therapy

3 = Both Start and End of Therapy

5 = Other Payment assessment

A0310F – Entry/discharge reporting

10 = Discharge return not anticipated

11 = Discharge return anticipated

A0410 – Unit Certification or Licensure Designation

A1600 – Entry Date

A1700 – Type of Entry

1 = Admission

2 = Reentry

A2000 – Discharge Date

A2100 – Discharge Status

08 = Deceased

A2300 – Assessment Reference Date (ARD)

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00420 – Distinct Calendar Days of Therapy

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