

# TABLE OF CONTENTS

## Chapter 1: Resident Assessment Instrument (RAI) (V1.07)

1.1	Overview .....	1-4
1.2	Content of the RAI for Nursing Homes .....	1-4
1.3	Completion of the RAI .....	1-5
1.4	Problem Identification Using the RAI.....	1-7
1.5	MDS 3.0 .....	1-10
1.6	Components of the MDS .....	1-11
1.7	Layout of the RAI Manual.....	1-11
1.8	Protecting the Privacy of the MDS Data.....	1-13

## Chapter 2: Assessments for the Resident Assessment Instrument (RAI) (V1.07)

2.1	Introduction to the Requirements for the RAI .....	2-1
2.2	State Designation of the RAI for Nursing Homes .....	2-1
2.3	Responsibilities of Nursing Homes for Completing Assessments .....	2-2
2.4	Responsibilities of Nursing Homes for Reproducing and Maintaining Assessments .....	2-5
2.5	Assessment Types and Definitions .....	2-7
2.6	Required OBRA Assessments for the MDS .....	2-14
2.7	The Care Area Assessment (CAA) Process and Care Plan Completion .....	2-38
2.8	The Skilled Nursing Facility Medicare Prospective Payment System Assessment Schedule.....	2-39
2.9	MDS Medicare Assessments for SNFs .....	2-44
2.10	Combining Medicare Scheduled and Unscheduled Assessments .....	2-51
2.11	Combining Medicare Assessments and OBRA Assessments .....	2-55
2.12	Medicare and OBRA Assessment Combinations .....	2-57
2.13	Factors Impacting the SNF Medicare Assessment Schedule .....	2-68
2.14	Expected Order of MDS Records .....	2-71
2.15	Determining the Item Set for an MDS Record.....	2-74

## Chapter 3: Overview to the Item-by-Item Guide to the MDS 3.0

Section A	Identification Information (V1.05) .....	A-1
Section B	Hearing, Speech, and Vision (V1.05).....	B-1
Section C	Cognitive Patterns (V1.07) .....	C-1
Section D	Mood (V1.05) .....	D-1
Section E	Behavior (V1.04) .....	E-1
Section F	Preferences for Customary Routine and Activities (V1.05).....	F-1
Section G	Functional Status (V1.05) .....	G-1
Section H	Bladder and Bowel (V1.04) .....	H-1
Section I	Active Diagnoses (V1.07) .....	I-1
Section J	Health Conditions (V1.05).....	J-1
Section K	Swallowing/Nutritional Status (V1.07).....	K-1
Section L	Oral/Dental Status (V1.04) .....	L-1
Section M	Skin Conditions (V1.07) .....	M-1
Section N	Medications (V1.07) .....	N-1
Section O	Special Treatments, Procedures, and Programs (V1.07) .....	O-1
Section P	Restraints (V1.04) .....	P-1
Section Q	Participation in Assessment and Goal Setting (V1.05) .....	Q-1
Section S	(Reserved) .....	S-1
Section V	Care Area Assessment (CAA) Summary (V1.04) .....	V-1
Section X	Correction Request (V1.04) .....	X-1
Section Z	Assessment Administration (V1.04).....	Z-1

## **Chapter 4: Care Area Assessment (CAA) Process and Care Planning (V1.07)**

4.1	Background and Rationale .....	4-1
4.2	Overview of the Resident Assessment Instrument (RAI) and Care Area Assessments (CAAs) .....	4-1
4.3	What Are the Care Area Assessments (CAAs)? .....	4-2
4.4	What Does the CAA Process Involve? .....	4-4
4.5	Other Considerations Regarding Use of the CAAs .....	4-6
4.6	When Is the RAI Not Enough? .....	4-7
4.7	The RAI and Care Planning .....	4-8
4.8	CAA Tips and Clarifications.....	4-11
4.9	Using the Care Area Assessment (CAA) Resources .....	4-12
4.10	The Twenty Care Areas .....	4-16
4.11	(Reserved).....	4-40

## **Chapter 5: Submission and Correction of the MDS Assessments (V1.05)**

5.1	Transmitting MDS Data .....	5-1
5.2	Timeliness Criteria.....	5-2
5.3	Validation Edits.....	5-4
5.4	Additional Medicare Submission Requirements that Impact Billing Under the SNF PPS .....	5-5
5.5	Correcting the MDS.....	5-7
5.6	Correcting Errors in MDS Records That Have Not Yet Been Accepted Into the QIES ASAP System .....	5-8
5.7	Correcting Errors in MDS Records That Have Been Accepted Into the QIES ASAP System.....	5-9
5.8	Special Manual Record Correction Request .....	5-12

## **Chapter 6: Medicare Skilled Nursing Facility Prospective Payment System (SNF PPS) (V1.07)**

6.1	Background .....	6-1
6.2	Using the MDS in the Medicare Prospective Payment System.....	6-1
6.3	Resource Utilization Groups Version IV (RUG-IV) .....	6-2
6.4	Relationship between the Assessment and the Claim .....	6-5
6.5	SNF PPS Eligibility Criteria .....	6-21
6.6	RUG-IV 66-Group Model Calculation Worksheet for SNFs.....	6-22
6.7	SNF PPS Policies.....	6-51
6.8	Non-compliance with the SNF PPS Assessment Schedule .....	6-52

## **Appendices**

Appendix A:	Glossary and Common Acronyms (V1.07) .....	A-1
Appendix B:	State Agency and CMS Regional Office RAI/MDS Contacts (V1.07) .....	B-1
Appendix C:	Care Area Assessment (CAA) Resources (V1.07) .....	C-1
Appendix D:	Interviewing to Increase Resident Voice in MDS Assessments (V1.02) .....	D-1
Appendix E:	PHQ-9 Scoring Rules and Instruction for BIMS (When Administered In Writing) (V1.07) .....	E-1
Appendix F:	Item Matrix (V1.03) .....	F-1
Appendix G:	References (V1.02) .....	G-1
Appendix H:	MDS 3.0 Forms .....	H-1