

RAI MANUAL — OCTOBER 2019

Appendix D: Interviewing to increase resident voice in MDS assessments

Appendix E: PHQ-9 scoring rules and instruction for BIMS (when administered in writing)

APPENDIX D: INTERVIEWING TO INCREASE RESIDENT VOICE IN MDS ASSESSMENTS

All residents capable of any communication should be asked to provide information regarding what they consider to be the most important facets of their lives. There are several MDS 3.0 sections that require direct interview of the resident as the primary source of information (e.g., mood, preferences, pain). Self-report is the single most reliable indicator of these topics. Staff should actively seek information from the resident regarding these specific topic areas; however, resident interview/inquiry should become part of a supportive care environment that helps residents fulfill their choices over aspects of their lives.

In addition, a simple performance-based assessment of cognitive function can quickly clarify a resident's cognitive status. The majority of residents, even those with moderate to severe cognitive impairment, are able to answer some simple questions about these topics.

Even simple scripted interviews like those in MDS 3.0 involve a dynamic, collaborative process. There are some basic approaches that can make interviews simpler and more effective.

- **Introduce yourself to the resident.**
- **Be sure the resident can hear what you are saying.**
 - Do not mumble or rush. Articulate words clearly.
 - Ask the resident if he or she uses or owns a hearing aid or other communication device.
 - Help him or her get the aid or device in place before starting the interview.
 - The assessor may need to offer an assistive device (headphones).
 - If the resident is using a hearing aid or other communication device make sure that it is operational.
- **Ask whether the resident would like an interpreter (language or signing) if the resident does not appear to be fluent in English or continues to have difficulty understanding.** Interpreters are people who translate oral or written language from one language to another. If an interpreter is used during resident interviews, he or she should not attempt to determine the intent behind what is being translated, the outcome of the interview, or the meaning or significance of the interviewee's responses. The resident should determine meaning based solely on his or her interpretation of what is being translated.
- **Find a quiet, private area where you are not likely to be interrupted or overheard.** This is important for several reasons:
 - Background noise should be minimized.
 - Some items are personal, and the resident will be more comfortable answering in private. The interviewer is in a better position to respond to issues that arise.
 - Decrease available distractions.

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- Sit where the resident can see you clearly and you can see his or her expressions.
 - Have your face well lit.
 - Minimize glare.
 - Ask the resident where you should sit so that he or she can see you best. Some residents have decreased central vision or limited ability to turn their heads.
- Establish rapport and respect.
 - The steps you have already taken to ensure comfort go a long way toward establishing rapport and demonstrating respect.
 - You can also engage the resident in general conversation to help establish rapport.
 - If the resident asks a particular question or makes a request, try to address the request or question before proceeding with the interview.
- Explain the purpose of the questions to the resident.
 - Start by introducing the topic and explain that you are going to ask a series of questions.
 - You can tell the resident that these questions are designed to be asked of everyone to make sure that nothing is missed.
 - Highlight what you will ask.
 - End by explaining that his or her answers will help the care team develop a care plan that is appropriate for the resident.
 - Suggested explanations and introductions are included in specific item instructions.
- Say and show the item responses.
 - It is helpful to many older adults to both hear and read the response options.
 - As you verbally review the response options, show the resident the items written in large, clear print on a piece of paper or card.
 - Residents may respond to questions verbally, by pointing to their answers on the visual aid or by writing out their answers.
- **Ask the questions** as they appear in the questionnaire.
 - Use a nonjudgmental approach to questioning.
 - Don't be afraid of what the resident might say; you are there to hear it.
 - Actively listen; these questions can provide insights beyond the direct answer.
- **Break the question apart if necessary.** If the resident has difficulty understanding, requests clarification, or seems hesitant, you can employ unfolding or disentangling techniques. (Do not, however, use these techniques for the memory test).
 1. **Unfolding** refers to the use of a general question about the symptom followed by a sequence of more specific questions if the symptom is reported as present. This approach walks the resident through the steps needed to think through the question.

Example: Read the item (or part of the item) to the resident, then ask, "Do you have this at all?" If yes, then ask, "Do you have it every day?" If no, then ask, "Did you have it at least half the days in the past 2 weeks?"

2. **Disentangling** refers to separating items with several parts into manageable pieces. The type of items that lend themselves to this approach are those that include a list and phrases such as "and" or "or." The resident is given a chance to respond to each piece separately. If a resident responds positively to more than one component of a complex item, obtain a frequency rating for each positive response and score that item using the frequency of the component that occurred most often.

Example: An item asks about "Poor appetite or overeating." Disentangle this item by asking, "Poor appetite?"; pause for a response and then ask, "Or overeating?" If neither part is rated positive ly by the resident, mark no. If either or both are rated positively, then mark yes.

- **Clarify using echoing.** If the resident appears to understand but is having difficulty selecting an answer, try clarifying his or her response by first echoing what he or she told you and then repeating the related response options.
 - **Echoing** means simply restating part of the resident's response. This is often extremely helpful during clinical interviews. If the resident provides a related response but does not use the provided response scale or fails to directly answer the question, then help clarify the best response by repeating the resident's own comment and then asking the related response options again. This interview approach frequently helps the resident clarify which response option he or she prefers.
- **Repeat the response options** as needed. Some residents might need to have response choices repeated for each item on a given list.
- **Move on to another question** if the resident is unable to answer.
 - Even if the interview item cannot be completed the time spent is not wasted. The observation of resident behaviors and attention during the interview attempt provide important insights into delirium, cognition, mood, etc.
- **Break up the interview if the resident becomes tired or needs to leave for rehabilitation, etc.**
 - Try to complete the current item set and then offer to come back at another time to complete the remaining interview sections.
 - It is particularly important to complete the performance-based cognitive items in one sitting.
- **Do not try to talk a resident out of an answer.** If the resident expresses strong emotions, be nonjudgmental, and listen.
- **Record the resident's response**, not what you believe he or she should have said.
- **If the resident becomes deeply sorrowful or agitated**, sympathetically respond to his or her feelings.
 - Allowing emotional expression - even when it is uncomfortable for you as the interviewer - recognizes its validity and provides cathartic support to residents.

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- If the resident remains agitated or overly emotional and does not want to continue, respond to his or her needs. This is more important than finishing the interview at that moment. You can complete this and other sections at a later point in time.
- **Resident preferences may be influenced by many factors in a resident's physical, psychological and environmental state, and can be challenging to truly discern.**
 - Residents should be encouraged to articulate their desires and not be strictly limited by their physical limitations and perceived environmental restrictions.
 - When a resident is unable to communicate information about his or her preferences, a family member, close friend, or other representative must be used to complete preference questions. In this case, it is important to emphasize that this person should try to answer based on what the resident would prefer. The resident's preferences while in the nursing home and the resident's current responses when the particular item is offered or provided should form the basis for these responses.

APPENDIX E: PHQ-9 SCORING RULES AND INSTRUCTION FOR BIMS (WHEN ADMINISTERED IN WRITING)

Scoring Rules: Resident Mood Interview Total Severity Score D0300

- Item D0300 is used to store the total severity score for the Resident Mood Interview. The score in item D0300 is based upon the sum of the values that are contained in the following nine items: D0200A2, D0200B2, D0200C2, D0200D2, D0200E2, D0200F2, D0200G2, D0200H2, D0200I2. These are referred to as the "items in Column 2", below.
- The following rules explain how to compute the score that is placed in item D0300. These rules consider the "number of missing items in Column 2" which is the number of items in Column 2 that are either skipped or are equal to dash. An item in Column 2 could be skipped if the corresponding item in Column 1 was equal to 9 (no response). An item in Column 2 could be equal to dash if the item could not be assessed for some other reason (e.g., if the resident was unexpectedly discharged before the assessment could be completed).
- If all of the items in Column 2 have a value of 0, 1, 2, or 3 (i.e., they all contain non-missing values), then item D0300 is equal to the simple sum of those values.
- If any of the items in Column 2 are skipped or equal to dash, then omit their values when computing the sum.
- If the number of missing items in Column 2 is equal to **one**, then compute the simple sum of the eight items in Column 2 that have non-missing values, multiply the sum by 9/8 (1.125), and place the result rounded to the nearest integer in item D0300.
- If the number of missing items in Column 2 is equal to **two**, then compute the simple sum of the seven items in Column 2 that have non-missing values, multiply the sum by 9/7 (1.286), and place the result rounded to the nearest integer in item D0300.
- If the number of missing items in Column 2 is equal to **three or more but at least one of the items in Column 2 is not equal to dash**, then item D0300 must equal [99].

If all of the items in Column 2 are equal to dash, then enter dash in item D0300.

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**Scoring Rules: Resident Mood Interview Total Severity
Score: D0300 {cont.}**

Example 1: All Items in Column 2 Have Non-missing Values

The following example shows how to score the resident interview when all of the items in Column 2 have non-missing values:

Item	Value
D0200A2	0
D0200B2	1
D0200C2	2
D0200D2	2
D0200E2	3
D0200F2	0
D0200G2	1
D0200H2	3
D0200I2	2
D0300	14

In this example, all of the items in Column 2 have non-missing values (i.e., none of the values are skipped or equal to dash). Therefore, the value of D0300 is equal to the simple sum of the values in Column 2, which is 14.

Example 2: One Missing Value in Column 2

The following example shows how to score the resident interview when one of the items in Column 2 has a missing value:

Item	Value
D0200A2	0
D0200B2	1
D0200C2	2
D0200D2	2
D0200E2	
D0200F2	0
D0200G2	1
D0200H2	3
D0200I2	2
0300	12

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**Scoring Rules: Resident Mood Interview Total Severity
Score: D0300 (cont.)**

In this example, one of the items in Column 2 (D0200E2) has a missing value (it is blank or skipped) and the other 8 items have non-missing values. D0300 is computed as follows:

1. Compute the sum of the 8 items with non-missing values. This sum is **11**.
2. Multiply this sum by 1.125. In the example, $11 \times 1.125 = 12.375$.
3. Round the result to the nearest integer. In the example, 12.375 rounds to 12.
4. Place the rounded result in D0300.

Example 3: Two Missing Values in Column 2

The following example shows how to score the resident interview when two of the items in Column 2 have missing values:

Item	Value
D0200A2	0
D0200B2	1
D0200C2	2
D0200D2	2
D0200E2	
D0200F2	0
D0200G2	1
D0200H2	
D0200I2	2
D0300	10

In this example, two of the items in Column 2 have missing values: D0200E2 is blank or skipped, and D0200H2 is equal to dash. The other 7 items have non-missing values. D0300 is computed as follows:

1. Compute the sum of the 7 items with non-missing values. This sum is **8**.
2. Multiply this sum by 1.286. In the example, $8 \times 1.286 = 10.288$.
3. Round the result to the nearest integer. In the example, 10.288 rounds to 10.
4. Place the rounded result in D0300.

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**Scoring Rules: Resident Mood Interview Total Severity
Score: D0300 (cont.)**

Example 4: Three or More Missing Values in Column 2

The following example shows how to score the resident interview when three or more of the items in Column 2 have missing values and at least one of the values is not equal to dash:

Item	Value
D0200A2	0
D0200B2	1
D0200C2	2
D0200D2	2
D0200E2	
D0200F2	
D0200G2	1
D0200H2	
D0200I2	2
D0300	99

In this example, three of the items in Column 2 have missing values: D0200E2 and D0200F2 are blank or skipped, and D0200H2 is equal to dash. The other 6 items have non-missing values and at least one of these items is not equal to dash. Because three or more items have missing values, D0300 is equal to 99.

Example 5: All Items in Column 2 Have Dashes

The following example shows how to score the resident interview when all of the items in Column 2 have dashes:

Item	Value
D0200A2	
D0200B2	
D0200C2	
D0200D2	
D0200E2	
D0200F2	
D0200G2	
D0200H2	
D0200I2	
D0300	

Scoring Rules: Resident Mood Interview Total Severity Score: D0300 (cont.)

In this example, all of the items in Column 2 contain dashes. In this special case, enter a dash in D0300 (enter a single dash in the leftmost space of D0300 and leave the second space blank).

Scoring Rules: Staff Assessment of Resident Mood Total Severity Score: D0600

- Item D0600 is used to store the total severity score for the Staff Assessment of Resident Mood. The score in item D0600 is based upon the sum of the values that are contained in the following ten items: D0500A2, D0500B2, D0500C2, D0500D2, D0500E2, D0500F2, D0500G2, D0500H2, D0500I2, D0500J2. These are referred to as the "items in Column 2", below.
- The following rules explain how to compute the score that is placed in item D0600. These rules consider the "number of missing items in Column 2" which is the number of items in Column 2 that are equal to dash (an item could be equal to dash if the it could not be assessed- for example, if the resident was unexpectedly discharged before the assessment could be completed).
- If all of the items in Column 2 have a value of 0, 1, 2, or 3 (i.e., they all contain non-missing values), then item D0600 is equal to the simple sum of those values.
- If any of the items in Column 2 are equal to dash, then omit their values when computing the sum.
- If the number of missing items in Column 2 is equal to one, then compute the simple sum of the nine items in Column 2 that have non-missing values, multiply the sum by 10/9 (1.111), and place the result rounded to the nearest integer in item D0600.
- If the number of missing items in Column 2 is equal to two, then compute the simple sum of the eight items in Column 2 that have non-missing values, multiply the sum by 10/8 (1.250), and place the result rounded to the nearest integer in item D0600.
- If the number of missing items in Column 2 is equal to three or more, then enter a dash in item D0600.

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Scoring Rules: Staff Assessment of Resident Mood Total Severity Score: D0600 (cont.)

Example 1: All Items in Column 2 Have Non-missing Values

The following example shows how to score the resident interview when all of the items in Column 2 have non-missing values:

Item	Value
D0500A2	0
D0500B2	1
D0500C2	2
D0500D2	2
D0500E2	3
D0500F2	0
D0500G2	1
D0500H2	3
D0500I2	2
D0500J2	1
D0600	15

In this example, all of the items in Column 2 have non-missing values (i.e., none of the values are skipped or equal to dash). Therefore, the value of D0600 is equal to the simple sum of the values in Column 2, which is 15.

Example 2: One Missing Value in Column 2

The following example shows how to score the resident interview when one of the items in Column 2 has a missing value:

Item	Value
D0500A2	0
D0500B2	1
D0500C2	2
D0500D2	2
D0500E2	
D0500F2	0
D0500G2	1
D0500H2	3
D0500I2	2
D0500J2	1
D0600	13

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Scoring Rules: Staff Assessment of Resident Mood Total Severity Score: D0600 (cont.)

In this example, one of the items in Column 2 (D0500E2) has a missing value (it is equal to dash) and the other 9 items have non-missing values. D0600 is computed as follows:

1. Compute the sum of the 9 items with non-missing values. This sum is 12.
2. Multiply this sum by 1.111 (See bullet 5 on page E-5 for calculation of multiplier). In the example, the sum of non-missing values is 12. Therefore, the calculation is: $12 \times 1.111 = 13.332$.
3. Round the result to the nearest integer. In the example, 13.332 rounds to 13.
4. Place the rounded result in D0600.

Example 3: Two Missing Values in Column 2

The following example shows how to score the resident interview when two of the items in Column 2 have missing values:

Item	Value
D0500A2	0
D0500B2	1
D0500C2	2
D0500D2	2
D0500E2	
D0500F2	0
D0500O2	1
D0500H2	
D0500I2	2
D0500J2	1
D0600	11

In this example, two of the items in Column 2 have missing values: D0500E2 and D0500H2 are equal to dash. The other 8 items have non-missing values. D0600 is computed as follows:

1. Compute the sum of the 8 items with non-missing values. This sum is 9.
2. Multiply this sum by 1.250 (See bullet 6 on page E-5 for calculation of multiplier). In the example, the sum of non-missing values is 9. Therefore, the calculation is: $9 \times 1.250 = 11.250$.
3. Round the result to the nearest integer. In the example, 11.250 rounds to 11.
4. Place the rounded result in D0600.

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**Scoring Rules: Staff Assessment of Resident Mood Total
Severity Score: D0600 (cont.)**

Example 4: Three or More Missing Values in Column 2

The following example shows how to score the resident interview when three or more of the items in Column 2 have missing values:

Item	Value
D0500A2	0
D0500B2	I
D0500C2	2
D0500D2	2
D0500E2	
D0500F2	
D0500G2	I
D0500H2	
D0500I2	2
D0500J2	I
D0600	

In this example, three of the items in Column 2 have missing values: D0500E2, D0500F2, and D0500H2 are equal to dash. Because three or more items have missing values, enter a dash in D0600 (enter a single dash in the leftmost space of D0600 and leave the second space blank).

Instructions for BIMS When Administered in Writing

When staff identify that the resident's primary method of communication is in written format, the BIMS and Category Cues can be administered in writing. **The administration of the BIMS in writing should be limited only to this circumstance.**

1. Interview any resident not screened out by **Should Brief Interview for Mental Status Be Conducted?** item (C0100).
2. Conduct the interview in a private setting.
3. Residents with visual impairment should be tested using their usual visual aids.
4. Minimize glare by directing light sources away from the resident's face and from written materials.
5. Provide a written introduction before starting the interview.
Suggested language: "I would like to ask you some questions, which I will show you in a moment. We ask everyone these same questions. This will help us provide you with better care. Some of the questions may seem very easy, while others may be more difficult. We ask these questions of everyone so we can make sure that our care will meet your needs."

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6. Directly provide the written questions for each item in C0200 through C0400 at one sitting and in the order provided.
 - For each BIMS question, show the resident a sheet of paper or card with the instruction for that question from the form clearly written in a large enough font to be easily seen.
 - The resident may respond to any of the BIMS questions in writing.
 - Show separate sheets or cards for each question or statement.
 - For C0200 items, instructions should be written as:
 - I have written 3 words for you to remember. Please read them. Then I will remove the card and ask you repeat or write down the words as you remember them.
 - Category cues should be provided to the resident in writing after the resident's first attempt to answer. Written category cues should state: "sock, something to wear; blue, a color; bed, a piece of furniture."
 - For C0300 items, instructions should be written as:
 - C0300A: "Please tell me what year it is right now."
 - C0300B: "What month are we in right now?"
 - C0300C: "What day of the week is today?"
 - For C0400 items, instructions should be written as:
 - "Let's go back to an earlier question. What were those three words that I asked you to repeat?"
 - If the resident is unable to remember a word, provide Category cues again, but without using the actual word. Therefore, Category cues for:
 - o C0400A should be written as "something to wear,"
 - o C0400B should be written as "a color," and
 - o C0500C should be written as "a piece of furniture."
7. If the resident chooses not to answer a particular item, accept his or her refusal and move on to the next questions. For C0200 through C0400, code refusals as incorrect.
8. Rules for stopping the interview are the same as if for administering the BIMS verbally.

The following resources may be used, or the facility may develop their own. If the facility develops their own, they must use the exact language as in these resources.

Written Introduction Card - SIMS - Items C0200 - C0400

I would like to ask you some questions, which I will show you in a moment.

We ask everyone these same questions.

This will help us provide you with better care.

Some of the questions may seem very easy, while others may be more difficult.

We ask these questions so that we can make sure that our care will meet your needs.

Written Instruction Cards - Item C0200 - Repetition of Three Words

I have written 3 words for you to remember.

Please read them.

Then, I will remove the card and ask you repeat or write down the words as you remember them.

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Word Card - Item C0200

SOCK

BLUE

BED

Category Cue Card - Item C0200

SOCK, something to wear

BLUE, a color

BED, a piece of furniture

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Written Instruction Cards - Item C0300 - Temporal Orientation

Statement Card - C0300A - Year

Please tell me what year it is right now.

Question Card - C0300B - Month

What month are we in right now?

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Question Card - Item C0300C - Day

What day of the
week is today?

Written Instruction Card - Item C0400 - Recall

Let's go back to an
earlier question.

What were those three words
that I asked you to repeat?

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Category Cue Card - Item C0400A - Sock

Something to wear

Category Cue Card - Item C0400B - Blue

A color

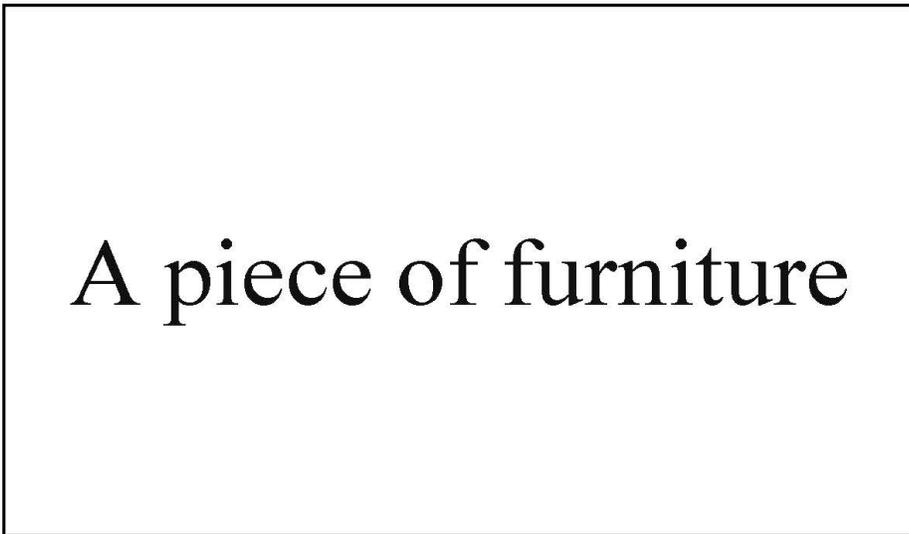
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Category Cue Card - Item C040