



"People
helping people
help
themselves"

Michael R. Pence, Governor
State of Indiana

Division of Aging
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To: All Indiana Licensed Nursing Facilities
From: Faith Laird, Director, Division of Aging *Faith Laird/RS7*
Date: October 14, 2013
Re: Electronic 450B Revisions

Effective Date: November 1, 2013

The electronic 450B (e-450B) process was fully implemented February 1, 2013 and has undergone numerous modifications since its implementation. The Division of Aging (DA) is pleased to announce the following changes that will take effect November 1, 2013, and we believe nursing facilities will see this as a positive move. See changes below:

1. The DA has noticed that many nursing facilities struggle to select the appropriate assessment type, i.e., selecting "Request for Continued Stay," when long-term approval has already been granted.
 - a. In an effort to assist nursing facilities in making appropriate selections, the e-450B submission assessment type options will require nursing facilities to include additional information for the following assessment types:
 - i. *Request for Continued Stay*: Nursing facilities must provide the stop date for the short-term approval date.
 - ii. *Medicaid Effective Date*: Nursing facilities must provide the proposed Medicaid effective date.
 - iii. *Nursing facility transfer (PAS)*: Nursing facilities must identify the previous nursing facility name and address.
 - iv. *Nursing facility transfer (PASRR)*: Nursing facilities must identify the previous nursing facility name and address.

Reminder: Nursing facilities may select more than one assessment type. Please select all that apply for that specific e-450B submission.

2. Comparable to the previous short SA/DE form, we are introducing a "short" e-450B form for those residents that have already had LOC established. In these instances, when your nursing facility requests Medicaid reimbursement, you must:
 - a. initiate the e-450B;
 - b. select one of the following assessment types:



- i. Medicaid effective date;
 - ii. nursing facility transfer (PAS or PASRR); and/or
 - iii. Medicaid waiver to nursing facility; and
- c. the electronic system will generate the “short” e-450B form.
 - d. Nursing facilities must complete the required fields, save and print the document (making note of the unique report id number), and upload the document along with the required 4B, state-authorized SA/DE, e-450B, or waiver letter. The DA will review the submission, update AIM, and issue a state-authorized “short” e-450B form as appropriate.

Please note the following:

- a. If any of the data are incorrect or the submission is missing documentation, the “short” e-450B form will be rejected and the nursing facility will be required to initiate a new e-450B process.
 - b. Nursing facilities will *not* be required to complete the “full” or “long” e-450B form, nor will the “short” e-450B form require physician (MD), physician assistant (PA), or nurse practitioner (NP) signatures.
 - c. Additionally, the “short” e-450B form does not require the submission of a resident summary or medication list when any of the following assessment types are selected: Medicaid effective date, nursing facility transfer (PAS or PASRR), and/or Medicaid waiver to nursing facility.
 - d. e-450B submissions received prior to November 1, 2013 will be processed in accordance with requirements issued prior to November 1, 2013.
 - e. Please do not submit duplicate e-450B uploads to the DA for the same resident/time frame.
3. If your e-450B assessment selection includes “Request for Continued Stay” or “PAS/PASRR not completed” in addition to any of the assessment types requiring a “short” form, you must:
- a. complete the entire full or “long” e-450B form;
 - b. obtain either the MD, PA, or NP signature/date;
 - c. complete a detailed resident summary, medication list; and
 - d. include the applicable 4B, state-authorized SA/DE, or e-450B or waiver letter to submit to DA.
 - e. The DA will then review the submission for nursing facility level of care and issue the determination.

4. The reference materials available on the e-450B webpage contain multiple training resources. However, many nursing facilities continue to request a template for use when completing the resident summary. The DA has now added a simple, yet informative, outline— the *Resident Summary Template*—to the list of available resources. This template should be used as a guide to assist nursing facilities in completing the detailed resident summary. A copy of the template is attached for your reference. Please note, the resident summary is required when either the *Request for Continued Stay* or *PAS/PASRR not Completed* assessment selections are chosen.
5. Please remember the resident summary must be authored by either the nursing facility social worker or a licensed nurse (RN or LPN), signed, **and dated**. The resident summary must also describe any special medical issues where applicable. Please refer to the e-450B webpage for further details regarding special medical issues.

Additional Reminders:

- The DA continues to receive phone calls and e-mails requesting updates on the status of various e-450B submissions. As noted on the e-450B webpage, nursing facilities can check the status of uploaded e-450Bs by selecting the “check the status of a form e-450B submission online.”
 - a. Once this link is selected, enter the complete report id number along with the nursing facility provider id, and the system will indicate the e-450B submission date, and the assessment type along with the date DA is currently reviewing for that selected assessment type. This feature was added to the system several months ago, and we encourage nursing facilities to utilize this helpful tool.
- It is very important that all nursing facilities closely monitor and track their e-450B submissions, including the report id numbers, as well as the e-mail inboxes, as **all** e-450B communication is through the e-mail system. The DA also continues to receive requests for additional downloads of authorized e-450Bs because nursing facilities have failed to complete the download process within thirty (30) days of determination.
- Training for new staff continues to be an identified issue recognized by the DA. It is our recommendation that as new staff members start employment, or others transition into a position of working with e-450Bs, nursing facilities provide the appropriate level of training.
- All e-450B submissions must be uploaded in the correct format style as well as utilizing the Adobe Acrobat software. Failure to do so will result in unsuccessful/rejected submissions to DA.

Webinar/Training Information

The DA will host several e-450B webinar/training sessions. The purpose of the sessions is to review the new changes that will become effective November 1, 2013, general reminders, and an opportunity for questions and answers. It is our hope each nursing facility will participate in the webinar sessions. **You may register for any of the following webinars at the link provided:**

Tuesday, October 22nd from 10 a.m. - 12 noon:

<https://ddrsprovider.fssa.in.gov/Events/Public/Register.aspx?ReturnTo=Calendar&CalendarMonth=10&CalendarYear=2013&CourseID=595>

Thursday, October 24th from 1 p.m. – 3 p.m.:

<https://ddrsprovider.fssa.in.gov/Events/Public/Register.aspx?ReturnTo=Calendar&CalendarMonth=10&CalendarYear=2013&CourseID=596>

Tuesday, October 29th from 10 a.m. – 12 noon:

<https://ddrsprovider.fssa.in.gov/Events/Public/Register.aspx?ReturnTo=Calendar&CalendarMonth=10&CalendarYear=2013&CourseID=597>

Webinar connections are limited and registration is required. Also, to avoid any issues, please test your connection prior to the webinar:

http://www.webinar.in.gov/common/help/en/support/meeting_test.htm

In addition, a face-to-face/in-person training opportunity has been scheduled for **Monday, October 28th from 1 p.m. - 3 p.m.**, in the Indiana Government Center South (IGCS) Auditorium, located at 402 W. Washington Street. Please enter through the public entrance off Washington Street. Registration is **NOT** required for this training.

Please print this memo in its entirety along with the accompanying PowerPoint presentation (PP) notes pages in order to have them with you at your training. Note that the PP will be available on DA's e-450B webpage and the webinar site by the close of business Friday, October 18, 2013.

The DA is excited about the changes to be implemented November 1, 2013. We want to thank you for your continued hard work and look forward to the training webinars. Please contact Becky Koors, Assistant Director of Long Term Operations, with any questions. You can reach Becky at 317-232-4355 or by e-mail at Rebecca.Koors@fssa.in.gov.

Cc: Becky Koors, DA HP
Karen Filler, DA OMPP
NF trade associations AAA PAS Agencies

Detailed Resident Summary Template:

The detailed resident summary must be completed for the following assessment types:

- Request for continued stay
- PAS/PASRR not completed

To submit a detailed resident summary successfully, the following information must be included/addressed:

- ___ Request for continued stay: approved from _____ to _____
 - ___ PAS/PASRR not completed: admit date _____ d/c date _____
1. Why was the resident admitted to the nursing facility?
 2. What were the initial treatment plans/goals?
 3. How did the resident respond to the treatment plans/goals?
 4. What specialized treatments/medications are being delivered and why?
 5. What are you currently doing for the resident and why (for example, what can and can't the resident do for him/herself, and why)?
 6. What is the expected outcome; what are you requesting?

Resident detailed summary must be typed and:

- Authored by the nursing facility:
 - Social Worker or
 - LPN or
 - RN
- Signed, including author's credentials
- Dated

Case Examples:

1. New Medicaid:

Lawrence was admitted and approved for long-term nursing facility placement at ABC nursing facility on 1/5/10. He became Medicaid eligible on 10/1/13. The nursing facility must:

- a. initiate the e-450B and select the **Medicaid effective date assessment type (this will be required to identify the proposed Medicaid effective date)**;
- b. complete the "short" e-450B form on the web, save and print the document;
- c. upload the "short" e-450B form at the "upload a signed form 450B" link; and
- d. upload the 4B, state-authorized SA/DE, e-450B, or waiver letter at the "upload additional documentation for a resident summary" link.
- e. Once the upload has been successfully transmitted to DA, DA will review and either approve or reject the submission.
 - i. If approved, DA will update AIM and the authorized "short" e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must then follow the link to open the document in order to print /retain the document.
 - ii. If the submission is rejected, the nursing facility will receive notification of the rejection and will be advised as to the required next steps.

2. Nursing facility transfer:

Josephine, a Medicaid eligible resident, was admitted and approved for long-term nursing facility placement at DEF nursing facility on 3/8/11. She decided to transfer to JKL health care, a new nursing facility across town in order to be closer to her family. The *new* nursing facility must:

- a. initiate the e-450B and select the **Nursing facility transfer assessment type (and will be required to identify the previous nursing facility name and address)**;
- b. complete the "short" e-450B form on the web, save and print the document;
- c. upload the "short" e-450B form at the "upload a signed form 450B" link; and
- d. upload the 4B, state authorized SA/DE, or e-450B or waiver letter at the "upload additional documentation for a resident summary" link.
- e. Once the upload has been successfully transmitted to DA, DA will review and either approve or reject the submission.

- i. If approved, DA will update AIM and the authorized "short" e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must then follow the link to open the document in order to print /retain the document.
- ii. If the submission is rejected, the nursing facility will receive notification and advised as to the required next steps.

3. Medicaid waiver to nursing facility:

John, a Medicaid waiver client, decides to enter the nursing facility rather than continue receiving in-home services. John selects OPQ nursing facility and enters the facility on 5/9/13. The nursing facility must:

- a. work with the local AAA PAS agency and case manager to obtain the applicable required documents (waiver letter and freedom of choice document). If the waiver letter does not contain language indicating the computer-generated SA/DE document through the DA, the nursing facility must initiate the e-450B process.
- b. initiate the e-450B, if necessary, and select the **Medicaid waiver to nursing facility assessment type**;
- c. complete the "short" e-450B form on the web, save and print the document;
- d. upload the "short" e-450B form at the "upload a signed form 450B" link; and
- e. upload the 4B, state-authorized SA/DE, e-450B, or waiver letter at the "upload additional documentation for a resident summary" link.
- f. Once the upload has been successfully transmitted to DA, DA will review and either approve or reject the submission.
 - i. If approved, DA will update AIM and the authorized "short" e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must then follow the link to open the document in order to print /retain the document.
 - ii. If the submission is rejected, the nursing facility will receive notification and advised as to the required next steps.

4. Request for continued stay and Medicaid effective date:

Catherine was approved by the local AAA PAS agency for a short-term nursing facility stay from September 1, 2013 to November 15, 2013. The 4B determination language indicates that if a request for continued stay is needed, the nursing facility must initiate the e-450B process through DA. Unfortunately, Catherine does not rehab as quickly as once thought and as a result, the nursing facility feels she requires nursing facility approval beyond the

November 15, 2013 date. Additionally, the nursing facility is notified that Catherine has become Medicaid eligible, effective November 1, 2013. The nursing facility must:

- a. initiate the e-450B process, and select the **Request for Continued Stay and Medicaid effective date assessment types (and required to indicate the approval stop date for the request for continued stay and the proposed Medicaid effective date)**. Because the nursing facility is requesting a continued stay and Medicaid effective date, the e-450B web application will display the entire “long” e-450B document that must be completed in full by the nursing facility.
- b. complete the e-450B form on the web, save and print the document;
- c. obtain the MD, PA, or NP signature for the e-450B as well as complete the resident summary.
- d. upload the e-450B form at the “upload a signed form 450B” link (only after the above documents are obtained/completed).
- e. upload the resident summary along with the 4B, state-authorized SA/DE, e-450B, or waiver letter at the “upload additional documentation for a resident summary” link.
- f. Once the upload has been successfully transmitted to DA, DA will review and either approve, deny, request additional information, or reject the submission.
 - i. If approved or denied, DA will update AIM as appropriate, and the authorized e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must then follow the link to open the document in order to print /retain the document.
 - ii. If the submission is not complete or unclear, the DA may request additional information. In this case, an e-mail notification will be sent to the nursing facility that will include the request for additional information. The nursing facility has two (2) weeks to transmit the requested information to DA. Failure to submit requested information within this timeframe will result in a rejection, requiring the nursing facility to initiate the e-450B process again.
 - iii. If the submission is rejected, the nursing facility will receive notification and advised as to next required steps.

5. Medicaid effective date—with a Medicaid stop date:

George was approved for long-term nursing facility placement in 2011 and became Medicaid eligible in September 1, 2012. In August of 2013, STO nursing facility realized they did not have a state-authorized 450B for George. The nursing facility must:

- a. initiate the e-450B and select the **Medicaid effective date assessment type (and required to identify the proposed Medicaid effective date)**;

- b. complete the “short” e-450B form on the web, save and print the document.
- c. Upload the “short” e-450B form at the “upload a signed form 450B” link.
- d. upload the 4B at the “upload additional documentation for a resident summary” link.
- e. Once the upload has been successfully transmitted to DA, DA will review and either approve or reject the submission.
 - i. If approved, DA will update AIM and the authorized “short” e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must follow the link to open the document in order to print /retain the document.
 - ii. In this case, George’s Medicaid started on September 1, 2012, but he failed to provide the redetermination paperwork and Medicaid stopped on August 31, 2013. As a result, the nursing facility will have Medicaid eligibility for nursing facility reimbursement from September 1, 2012 to August 31, 2013. DA recommends the nursing facility work with the resident/family and the Division of Family Resources (DFR) regarding the Medicaid eligibility issue. If/when Medicaid is re-opened, the nursing facility must initiate the e-450B process, selecting the new Medicaid assessment type and providing their proposed Medicaid effective date.
 - iii. If the submission is rejected, the nursing facility will receive notification and advised as to the next required steps.

6. PAS/PASRR not completed:

Mary Lou was admitted to the XYZ nursing facility on 7/29/13, and discharged home on 8/10/13. The PAS agency received the required documentation in a timely manner; however, was not able to complete the PAS process prior to Mary Lou’s discharge. Since Mary Lou is a current Medicaid client, the nursing facility is seeking Medicaid reimbursement for the nursing facility stay. The nursing facility must:

- a. initiate the e-450B and select the **PAS/PASRR not completed assessment type**. Because the nursing facility selected the PAS/PASRR not completed assessment type, the e-450B web application will display the entire “long” e-450B document that must be completed in full by the nursing facility. The nursing facility must:
 - i. complete the e-450B form on the web, save and print the document;
 - ii. obtain the MD, PA, or NP signature for the e-450B as well as complete the resident summary. Once the documents are obtained/completed, the nursing facility must:
 - upload the e-450B form at the “upload a signed form 450B” link;

- upload the resident summary along with the 4B at the “upload additional documentation for a resident summary” link.
- b. Once the upload has been successfully transmitted to DA, DA will review and either approve, deny, request additional information, or reject the submission.
 - c. If approved or denied, DA will update AIM accordingly and the authorized e-450B form will be transmitted back to the nursing facility via e-mail. The nursing facility must then follow the link to open the document in order to print /retain the document.
 - d. If the submission is not complete or unclear, the DA may request additional information. If so, an e-mail notification is sent to the nursing facility that includes the request for additional information. The nursing facility has two (2) weeks to transmit the requested information to DA. Failure to submit the requested information within the timeframe will result in a rejection that requires the nursing facility to initiate the e-450B process again.
 - e. If the submission is rejected, the nursing facility will receive notification and advised as to the next required steps.

e-450B: Reference Guide - Effective 11/1/13

Assessment Type	e-450B: short or long form	Additional Documentation Required	DA Authorization: short or long form
PAS request for continued stay	Long form *must indicate the stop date	<ol style="list-style-type: none"> 1. Detailed resident summary; and 2. Specific/unstable medical issues/medication list; and 3. Copy of either: <ol style="list-style-type: none"> a. 4b; or b. State authorized SA/DE or 450B; or c. Waiver letter 	Long form
PAS/PASRR not completed	Long form	<ol style="list-style-type: none"> 1. Detailed resident summary; and 2. Specific/unstable medical issues/medication list; and 3. Copy of either: <ol style="list-style-type: none"> a. 4b; or b. State authorized SA/DE or 450B; or c. Waiver letter 	Long form
Medicaid effective date	Short form *must indicate the Medicaid proposed effective date	Copy of either: <ol style="list-style-type: none"> 1. 4b; or 2. State authorized SA/DE or 450B; or 3. Waiver letter 	Short form
Nursing facility transfer (PAS)	Short form *must indicate the previous nursing facility name and address	Copy of either: <ol style="list-style-type: none"> 1. 4b; or 2. State authorized SA/DE or 450B; or 3. Waiver letter 	Short form
Nursing facility transfer (PASRR)	Short form *must indicate the previous nursing facility name and address	Copy of either: <ol style="list-style-type: none"> 1. 4b; or 2. State authorized SA/DE or 450B; or 3. Waiver letter 	Short form
Medicaid waiver to nursing facility	Short form	Copy of the Waiver letter	Short form