



CDSS

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October 1, 2009

ALL- COUNTY LETTER NO: 09-56

TO: ALL COUNTY WELFARE DIRECTORS
ALL COUNTY IN-HOME SUPPORTIVE
SERVICES PROGRAM MANAGERS

SUBJECT: IMPLEMENTATION OF ABX 4 4 (CHAPTER 4, STATUTES OF 2009) AS IT
RELATES TO SERVICE REDUCTIONS IN THE IN-HOME SUPPORTIVE
SERVICE (IHSS) PROGRAM

REASON FOR THIS TRANSMITTAL

- State Law Change
- Federal Law or Regulation Change
- Court Order
- Clarification Requested by One or More Counties
- Initiated by CDSS

The purpose of this All-County Letter (ACL) is to communicate the establishment of a threshold of need required for authorization of services in the In-Home Supportive Services (IHSS) program in accordance with the mandates of Assembly Bill (ABX) 4 4 (Chapter 4, Statutes of 2009). The provisions of ABX 4 4 authorize the California Department of Social Services (CDSS) to direct implementation of these mandates via ACL pending the promulgation of regulations.

ABX 4 4 mandates that applicants/recipients must have a calculated Functional Index (FI) Score of at least 2.00 before services may be authorized. In addition, ABX 4 4 mandates that Domestic and Related Services will be authorized only to those individuals with a substantial need for that specific service based on a FI Rank of at least 4 in that functional area. These modifications will be effective 11/01/09.

This ACL will provide counties with information on how these modifications will be implemented, policy direction and Legacy CMIPS data entry instruction.

Background

The primary goal of the IHSS program is to provide essential supportive services to aged, blind and disabled individuals who are most at risk and allow them to remain safely in their homes and avoid institutionalization. The IHSS program has provided in-home services to the aged, blind and disabled population since 1973. Welfare and Institutions Code (W&IC) section 12309 (c) (1) mandates the utilization of a uniform needs assessment tool designed to evaluate each individual's functioning in Activities of Daily Living (ADLs) and Instrumental Activities of Daily Living (IADLs).

The Uniformity Assessment System (Uniformity) implemented in 1988 guides the evaluation of an individual's ability to accomplish tasks without human assistance in each of eleven areas correlating to the ADLs and IADLs. The individual's functional limitations are assessed based on a defined scale of 5 ranks called the FI Ranks:

- 1 – The individual can perform the tasks in that area independently;
- 2 – The individual can perform the tasks in that area but requires verbal reminding or guidance from another;

- 3 – The individual requires minimal human assistance with the tasks;
- 4 – The individual requires substantial human assistance with the tasks, but can provide assistance with completion of the tasks, and
- 5 – The individual cannot perform any part of the task, with or without human assistance.

Based on the assessment, a determination is made whether the individual has a need for service, and if so, the amount of each type of service that is needed. Additionally, a weighted average calculation is applied to each of the eleven rankings to determine an FI Score that provides an overall measurement of relative dependence on human assistance for IHSS tasks. This is a system-driven calculation that is computed by the Case Management, Information and Payrolling System (CMIPS) based on the FI Ranks entered by the county for each functional area.

FI Score Calculation

The first step in determining the relative need for human assistance for IHSS tasks to be displayed for each recipient was to determine a weight for each of the eleven functional areas. These weights were determined by creating statewide average task hours from county task average hours for each service and finding their proportion to total hours. The weights are as follows:

Function	Weight
Housework	.038
Laundry	.037
Shopping and Errands	.040
Meal Preparation and Clean-up	.222
Mobility Inside	.079
Bathing and Grooming	.095
Dressing	.057
Bowel, Bladder and Menstrual	.129
Transfer	.094
Eating	.127
Respiration	.082

The FI Score is calculated using these weights as follows: Every score of 6 is converted to a 1. (By definition, paramedical services are excluded from the uniformity system. They are not uniform and not subject to assessment/authorization decisions by the social worker.) Then 1 is subtracted from the rankings for each function. Each resulting ranking is then multiplied by the appropriate weight for each function. These products are totaled and 1 is added to the resulting sum. The results for each function are calculated to three decimal points. The result is rounded off to two decimal points. The result is the FI Score.

Here's an example of this calculation:

Function	Rank	Rank - 1	x Weight	Result
Housework	5	4	x .038	.152
Laundry	5	4	x .037	.148
Shopping and Errands	5	4	x .040	.160
Meal Preparation and Clean-up	4	3	x .222	.666
Mobility Inside	4	3	x .079	.237
Bathing and Grooming	3	2	x .095	.190
Dressing	1	0	x .057	0.000
Bowel, Bladder & Menstrual	1	0	x .129	0.000
Transfer	1	0	x .094	0.000
Eating	1	0	x .127	0.000
Respiration	6 = 1	0	x .082	0.000
Total				1.553
Total + 1 = FI Score				2.55

The FI score in this example is 2.55.

IHSS Service Authorization Threshold

The enactment of ABX 4 4 has established a new threshold of need that must be met before services can be authorized. Applicants/Recipients must have a FI Rank assessment that results in a system calculated FI Score of 2.00 or higher before IHSS services may be authorized.

Exemptions:

ABX 4 4 identified 3 categories of individuals that would be exempted from any service reductions due to the new threshold level for service eligibility: (1) individuals authorized to receive protective supervision, (2) individuals authorized to receive paramedical services, and (3) individuals authorized to receive at least 120 hours of services per month. However, any or all of the exemptions may be waived by the Director of the Department of Social Services if necessary, to maintain federal financial participation (FFP). The third exemption category, for persons authorized to receive at least 120 authorized hours, has been waived. The Protective Supervision and Paramedical Services exemptions have been retained, but further guidance will be requested from CMS regarding whether these two exemptions jeopardize FFP. When this guidance is received from CMS, further action may be taken.

Therefore, individuals with an assessed need for either Paramedical Services or Protective Supervision may be eligible to receive IHSS services regardless of their FI score.

CMIPS Functionality and Data Entry

Existing Recipients with an FI Score of 1.99 or Lower:

For existing recipients with an FI Score of 1.99 or lower who do not have an assessed need for either Paramedical Services or Protective Supervision, the following actions will be taken to terminate services and provide timely notification to recipients.

- Based on the identified criteria, CMIPS will identify and auto-terminate both the recipient and any Eligible (“E” Status) or Leave (“L” Status) providers associated with the case effective November 1, 2009.
- CMIPS will generate the required Notice of Action (NOA) displaying message number 393 that will be mailed by the CMIPS contractor Electronic Data Systems (EDS) allowing no less than the required 10-day notice for termination of service. The NOA message will include and be pre-populated with the recipient’s FI Score. (Sample NOA messages are attached to this ACL.) EDS will mail copies of the NOAs to the appropriate counties. Turn-around SOC 293 documents will be spooled to the counties for printing upon county request.
- CMIPS will generate a report of terminated recipients that will be provided to counties using the established sort criteria of County, District Office, and Social Worker. A Statewide report will also be generated. Information on the report will include recipient name, recipient number, FI Score, previously authorized hours, and associated provider name(s). (Reports will be mailed to county main offices; they will not be available thru CMIPS on-line reports.)

New Applications:

For new applicants, IHSS staff will continue to conduct the needs assessments in the current manner. Counties will need to take the following steps when entering the results of the needs assessment into CMIPS:

- Information sufficient for issuance of a NOA must be entered on the RELA screen. At a minimum this is all required fields for an eligible status case.
- After making these entries, the user should press enter to proceed to the RELB screen. CMIPS will calculate the FI Score. If the FI Score is below 2 an edit will display telling the user the FI Score is below 2.
- If the FI Score is 1.99 or lower and the applicant does not have an assessed need for Protective Supervision or Paramedical Services, the user should proceed to RELA and set the case status to “D” (Denied) then press enter to proceed to RELB. On the RELB screen, the user must enter the application date and Social Worker information then press enter to proceed to RELC where they will enter NOA message 446 to generate a Notice of Action (NOA) The message will include and pre-populate the recipient’s system calculated FI Score.
- If the FI Score is 1.99 or lower and no assessed need has been entered for Paramedical Services or Protective Supervision services, CMIPS will display an edit telling the user this is an invalid status for case authorization and disallowing the action.
- If the FI Score is 1.99 or lower and the applicant has an assessed need for Protective Supervision and/or Paramedical Services, the user should complete the entry of recipient demographic and assessment data and authorize services as appropriate.
- If the FI Score is 2.00 or above, the user should complete the entry of recipient demographic and assessment data and authorize services as appropriate.

- Recipients Eligible for Aid Paid Pending
 - Provisions have been made in CMIPS to allow the authorization of a case with an FI Score of 1.99 or lower with no assessed need for Paramedical Services or Protective Supervision when the recipient is eligible for Aid Paid Pending through a State Hearing request.
 - The user should enter an override code of 448 in the NOA Reason Code field. This will override the system edits and allow the user to proceed with all required system actions to reinstate authorization of the case.

Domestic and Related Eligibility Threshold

Enactment of ABX 4 4 also established a threshold of need that must be met before Domestic and Related Services may be assessed or authorized. In addition to having an FI Score of 2.00 or above to be authorized IHSS, an individual must have a Substantial Need for human assistance in the associated functional area to receive Domestic or any Related Services. Substantial Need is defined as an FI Rank of 4 or above. Therefore, an individual must have an FI Rank of 4 or above in the functional area in order to be eligible for the associated Domestic or Related Service.

The functional areas and associated services for Domestic and Related Services are:

Functional Area	Service Type
Housework	Domestic
Laundry	Laundry
Shopping and Errands	Shopping for Food Other Shopping and Errands
Meal Prep and Meal Clean-up	Preparation of Meals Meal Clean-up

Although the existing FI Ranks will remain in place, existing assessment data in CMIPS on the RELC screen and shown on the SOC 293 service assessment grid will be removed effective November 1, 2009, for existing recipients who have an FI Rank of 2 or 3 in any of the Domestic or Related Services functional areas.

Exemptions:

ABX 4 4 identified 3 categories of individuals that would be exempted from meeting the new threshold level to receive Domestic and/or Related Services: (1) individuals authorized to receive protective supervision, (2) individuals authorized to receive paramedical services, and (3) individuals authorized to receive at least 120 hours of services per month. However, any or all of the exemptions may be waived by the Director of the Department of Social Services if necessary, to maintain federal financial participation. The third exemption category, for persons authorized to receive at least 120 authorized hours, has been waived. The Protective Supervision and Paramedical Services exemptions have been retained, but further guidance will be requested from CMS regarding whether these two exemptions jeopardize federal financial participation (FFP). When this guidance is received from CMS, further action may be taken.

Therefore, the requirement for Domestic and Related Services thresholds of FI Rank 4 will not be applied to recipients with an assessed need for Protective Supervision or Paramedical Services.

CMIPS Functionality and Data Entry

Existing Recipients:

For cases with an existing FI Rank of 2 or 3 for any Domestic or Related Services who do not have an assessed need for either Paramedical Services or Protective Supervision, the following actions will be taken automatically by CMIPS to terminate those specific Domestic or Related Services and provide timely notification to recipients.

- CMIPS will leave the FI Ranks in place but blank out the Total Assessed Need, Adjustments, Individual Assessed Need, Alternative Resources and Authorized to Purchase Amounts for the related service on the CMIPS RELC screen and SOC 293 grid.
- If a reduction in hours changes the recipient from severely impaired to (SI) to non-severely impaired (NSI), CMIPS will make any necessary adjustments to reflect the appropriate statutory maximums.
- CMIPS will re-determine qualification for Advance Pay and terminate any recipients from Advance Pay and Direct Deposit (if applicable) that no longer meet qualifying criteria.
- CMIPS will determine qualification for Restaurant Meal Allowance (RMA) and terminate any recipients from Restaurant Meal Allowance that no longer meet qualifying criteria.
- If a case has an identified Unmet Need, CMIPS will distribute the eliminated Domestic and Related Services hours to other authorized services in accordance with the established algorithm used to reduce the Unmet Need.
- Timely NOAs will be printed and mailed by EDS and turn-around SOC 293s will be spooled to the counties for printing upon county request. EDS will mail copies of the NOAs to the appropriate counties. (Sample NOA messages are attached to this ACL.)
- CMIPS will generate a report identifying all affected recipients that will be provided to counties using the established sort criteria of County, District Office, and Social Worker. A Statewide report will also be generated. The report will include the following data: Recipient name; case number; provider name(s) and number(s) associated with the recipient; previous authorized hours; current authorized hours; previous NSI/SI status; current NSI/SI status; previous Advance Pay status; current Advance Pay status; previous RMA status; current RMA status; and social worker number.
- Provisions have been made in CMIPS to allow entry of Total Assessed Need, Adjustments, Individual Assessed Need, Alternative Resources and Authorized to Purchase Amounts for Domestic and/or Related services for a case with a functional rank of 2 or 3 in the associated functional area and no assessed need for Paramedical or Protective Supervision services when Aide Paid Pending has been awarded through a State Hearing request. The user should enter NOA message code 466 in the NOA reason code field. This will override the system edits and allow entry of identified fields.

- Provisions have been made in CMIPS to allow entry of Total Assessed Need, Adjustments, Individual Assessed Need, Alternative Resources and Authorized to Purchase Amounts for Domestic and/or Related services for a case with a functional rank of 2 or 3 in the associated functional area and no assessed need for Paramedical Services or Protective Supervision services when the recipient is eligible for Aide Paid Pending through a State Hearing request. The user should enter an override code of 466 in the NOA reason code field. This will override the system edits and allow the user to proceed with all required system actions to reinstate the reduced services.

New Applications:

For new applicants, IHSS staff should continue conducting the needs assessments in the current manner.

- When a Functional Index rank for any Domestic and or Related Services Functional Index area is 2 or 3, CMIPS will not allow entry of an assessed need in the associated service unless there is an assessed need entered for either Protective Supervision and/or Paramedical Services.
- For cases where a need for Protective Supervision or Paramedical Services has been identified, users must enter an assessed need for those services prior to entering an assessed need for any Domestic or Related Service.

Requests for Reassessment or Reapplication for IHSS after Denial or Termination for the Service Reductions Related to ABX 4 4 Notices of Action

A county that receives a request for Reassessment or Reapplication during the 90 days following issuance of a NOA related to service reduction should evaluate if the request is disputing the termination or reduction, or if there has been a change to the recipient's circumstances that impacts their functional abilities. As part of this evaluation process, counties may, when necessary, request additional information from recipients to document the change in circumstances necessitating a reassessment or re-application.

If the request is a response to the termination or reduction, the county should refer the recipient to the state hearing process. If the request is the result of a change in circumstances, the county should accept the request for reassessment or new application for services and proceed accordingly with a determination of eligibility for service.

State Hearing Requests

Recipients who receive a NOA implementing the new thresholds of IHSS benefits based on functional rankings may request a state hearing if they dispute their listed FI Rank or FI Score. A state hearing is available to review county actions regarding IHSS benefits. An Administrative Law Judge (ALJ) in a state hearing for the IHSS program only has jurisdiction to review a county action such as an assessment, failure to assess or reassess, or denial of services.

There is no right to a state hearing to contest a change in the law (W&IC section 10950); however, recipients have not previously been informed of their FI Ranks or FI Scores. Since the NOA implementing this change in the law will be the first-time recipients have been informed of their FI Ranks or FI Scores, they may request a state hearing to contest whether one or more assigned FI Ranks are correct. Recipients who file hearing requests prior to the effective date of the NOA will have the option to receive aid paid pending their state hearing.

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The state hearing requests filed in response to the NOAs that implement the thresholds described above will only permit review of the county's assessment of a recipient's FI Rank and its impact on the calculation of the FI Score. For a hearing request disputing the IHSS Service Authorization Threshold, there can be no change in authorized hours. The recipient will either be eligible for IHSS services having met the threshold or ineligible not having met the threshold. Likewise, for the IHSS Domestic and Related Service Threshold, the state hearing has no jurisdiction to make adjustments to a recipient's authorized hours of service, but only to determine whether the recipient meets the threshold for receiving services for each of the categories.

Please contact Marti Tosta, Manager of the CMIPS II Policy Support Unit at (916) 229-3318, if you have any questions regarding the contents of this letter.

Sincerely,

Original Document Signed By:

EVA L. LOPEZ
Deputy Director
Adult Programs Division

Attachment

NOA Messages – FI Score Less than 2

For Current Recipients:

393 As of November 1, 2009, the In-Home Supportive Services (IHSS) you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get IHSS that is determined by functional index score. The need for IHSS is determined utilizing a uniform needs assessment tool designed to evaluate functioning in ADLs (activities of daily living) and IADLs (instrumental activities of daily living) MPP 12309 (c) (1). The uniform assessment tool evaluates functional ability on a defined scale made up of 5 ranks: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Ranking is done in 11 areas of physical functioning. Then a functional index (FI) score is determined utilizing a weighted average calculation applied to the rankings in these 11 areas. The functional index score provides a measurement of relative dependence on human assistance for IHSS tasks. Your functional index score is X. Individuals with a functional index score below 2.0 are not eligible to receive IHSS (W&IC 12309 (f)(2)).

Your Functional Index Score:	x.xx
Your Functional Ranks:	
Housework	x
Laundry	x
Shopping and Errands	x
Meal Prep and Clean-up	x
Mobility Inside	x
Bathing and Grooming	x
Dressing	x
Bowel, Bladder and Menstrual	x
Repositioning	x
Eating	x
Respiration	x

If you receive SSI, you may now be eligible for the non-medical out of home care rate. Contact the Social Security Administration office for information.

For New Applications or On-going Discontinuances:

Denial Header: Your Application for In-Home Supportive Services dated **MM/DD/YYYY** has been denied.

OR

Discontinuation Header: Your eligibility for In-Home Supportive Services will be discontinued effective **MM/DD/YYYY**.

446 Your functional index score is x.xx. Individuals with an FI score below 2.0 are not eligible to receive IHSS (W&IC 12309 (f)(2)). Therefore, your need for service does not meet the required need level to be eligible to get IHSS. The need for IHSS is determined using a uniform needs assessment tool to evaluate functioning in activities of daily living and instrumental activities of daily living MPP 12309 (c) (1). The uniform assessment tool evaluates functional ability on a defined scale made up of 5 ranks: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human

assistance. Ranking is done in 11 areas of physical functioning. Then a functional index (FI) score is determined using a weighted average calculation applied to the 11 rankings. The FI score provides a measurement of relative dependence on human assistance for IHSS tasks. For further information about your assessment contact your IHSS Office.

NOA Messages – Domestic and Related Service Reductions

For Current Recipients:

394 As of November 1, 2009, the hours of service for domestic you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get Domestic or Related services that is determined by functional ability in that area. Functional ability is measured on a 5 rank scale: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Individuals with a functional rank below 4.0 are not eligible to get the associated Domestic or Related service (W&IC 12309 (e)(1)). Your functional rank for domestic is **X**. Therefore, your need does not meet the required level to get help with domestic services.

395 As of November 1, 2009, the hours for Food Shopping you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get Domestic or Related services that is determined by functional ability in that area. Functional ability is measured on a 5 rank scale: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Individuals with a functional rank below 4.0 are not eligible to get the associated Domestic or Related service (W&IC 12309 (e)(1)). Your functional rank for Food Shopping is **X**. Therefore, your need does not meet the required level to get help with Food Shopping.

396 As of November 1, 2009, the hours for Other Shopping and Errands you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get Domestic or Related services that is determined by functional ability in that area. Functional ability is measured on a 5 rank scale: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Individuals with a functional rank below 4.0 are not eligible to get the associated Domestic or Related service (W&IC 12309 (e)(1)). Your functional rank for Shopping and Errands is **X**. Therefore, your need does not meet the required level to get help with domestic services.

397 As of November 1, 2009, the hours to Prepare Meals you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get Domestic or Related services that is determined by functional ability in that area. Functional ability is measured on a 5 rank scale: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Individuals with a functional rank below 4.0 are not eligible to get the associated Domestic or Related service (W&IC 12309 (e)(1)).

Your functional rank for Meal Preparation is X. Therefore, your need does not meet the required level to get help with Meal Preparation.

398 As of November 1, 2009, the hours for Meal Clean-up you have been getting will stop. Here's why:

A change in the law set a specific need level necessary to get Domestic or Related services that is determined by functional ability in that area. Functional ability is measured on a 5 rank scale: 1- Independent; 2- Requires verbal assistance; 3- Requires some human assistance; 4- Requires substantial human assistance and 5- Cannot perform with or without human assistance. Individuals with a functional rank below 4.0 are not to eligible get the associated Domestic or Related service (W&IC 12309 (e)(1)). Your functional rank for Meal Clean-up is X. Therefore, your need does not meet the required level to get help with Meal Clean-up.

NOA STUFFER

FI Score Calculation

The FI Score is a weighted average calculation. Each of your ranks is multiplied by the associated weight then the products are totaled and 1 is added to the sum. The elements that are considered in determining your ranks are a home visit, medical evidence and your statement of need (MPP section 30-761.26). The weights for each functional area are as follows:

Functional Area	Weight
Housework	.038
Laundry	.037
Shopping and Errands	.040
Meal Preparation and Clean-up	.222
Mobility Inside	.079
Bathing and Grooming	.095
Dressing	.057
Bowel, Bladder & Menstrual	.129
Transfer	.094
Eating	.127
Respiration	.082

To calculate your FI Score: Using your functional ranks indicated on your Notice of Action

- 1) Subtract 1 from each of the rankings
- 2) Multiply each resulting ranking by the weight for the functional area
- 3) Total all of the products
- 4) Add 1 to the resulting sum

Example: If Functional Ranks for someone were – 5 in Housework, Laundry, Shopping and Errands; 4 in Meal Preparation and Clean-up and Mobility Inside; 3 in Bathing and Grooming and 1 in the rest of the functional areas the FI Score would be calculated

Housework	[5 – 1 = 4 x .038 = .152] +
Laundry	[5 – 1 = 4 x .037 = .148] +
Shopping and Errands	[5 – 5 = 0 x .040 = .000] +
Meal Preparation and Clean-up	[4 – 1 = 3 x .222 = .666] +
Mobility Inside	[4 – 1 = 3 x .079 = .237] +
Bathing and Grooming	[3 – 1 = 2 x .095 = .190] +
Dressing	[1 – 1 = 0 x .057 = 0.000] +
Bowel, Bladder & Menstrual	[1 – 1 = 0 x .129 = 0.000] +
Transfer	[1 – 1 = 0 x .094 = 0.000] +
Eating	[1 – 1 = 0 x .127 = 0.000] +
Respiration	[1 – 1 = 0 x .082 = 0.000] +
Sum of above	= 1.553
Plus 1	= 2.553
The FI Score in this example is 2.55	

ANNOTATED ASSESSMENT CRITERIA

Annotated Assessment Criteria is designed to assist you in the application of rankings specified in Manual of Policies and Procedures (MPP) Section 30-756 which are applied to evaluate a

recipient's capacity to perform certain In-Home Supportive Services (IHSS) tasks safely. The Annotated Assessment Criteria describes each functional rank in more detail as it applies to an individual's capacity to perform certain types of tasks specified in MPP Section 30-757, and it provides sample observations you might make for each ranking, characteristics of a recipient who might be ranked at each level, and questions which might elicit the information needed to determine the appropriate rank. These samples are lists of possible indicators, not definitive standards.

General

Following are general questions that may be asked of applicants to help determine whether need exists:

- * How frequently have you been seen by a doctor?
- * Has the doctor limited your activities?
- * When does your family come to see you and how do they feel about your condition?
- * What can family/friends/neighbors do to help you?
- * Who has been helping you up to this point?
- * Why are you asking for help now?
- * How have circumstances changed?
- * How long have you been having difficulty?
- * What is limiting your activities?
- * How do you feel about the status of your health?
- * How long do you think you will need this service?
- * How would you manage if your provider called in sick one day?

Information to be given and reinforced periodically:

- * A clear explanation of the recipient's responsibilities in the county's delivery system.
- * IHSS is a program which provides only those services necessary for the recipient's safety which the recipient is unable to perform.

Observations

A number of observations are applicable to all functions. These involve observing the recipient getting up from a chair, ambulating, standing, reaching, grasping, bending, and carrying; and observing the recipient's endurance and mental activity. In the following text, the first eight observable behaviors above are referred to as "movement." All of these functions can usually be observed by noting how the recipient admitted you into the housing unit and shaking his/her hand when arriving; asking the recipient to show you the housing unit; asking the recipient to show you all his/her medications; asking him/her to get his/her Medi-Cal card for you; and asking him/her to sign the application. If the above-listed functions have not been adequately demonstrated in the course of the interview, it is sometimes helpful to ask the recipient for a glass of water. Since the ranking of functioning is hierarchical, observations and questions in a lower rank are likely to apply to a higher one. Observations lead to a general assumption as to the appropriate level of functioning, and follow-up questions elicit information as to what assistance is necessary for the level of functioning observed. This listing is not all-inclusive, nor does the presence of one behavior on the list necessarily create the basis for the ranking. All your senses are involved in gaining cues to determine the recipient's functioning as a whole.

Quite often, it is important to get a medical report to verify that there is a basis for observed behaviors.

General

The following are general regulatory standards that apply to all functions. The standards for each function are defined in more detail in individual scales that follow.

Rank 1: Independent: Able to perform function without human assistance although the recipient may have difficulty in performing the function, but the completion of the function, with or without a device or mobility aid, poses no substantial risk to his/her safety. A recipient who ranks a "1" in any function shall not be authorized the correlated service activity.

Rank 2: Able to perform a function but needs verbal assistance such as reminding, guidance, or encouragement.

Rank 3: Can perform the function with some human assistance, including, but not limited to, direct physical assistance from a provider.

Rank 4: Can perform a function but only with substantial human assistance.

Rank 5: Cannot perform the function with or without human assistance.

Rank 6: Paramedical Services needed.

Variable Functioning

If the recipient's functioning varies throughout the month, the functional rank should reflect the functioning on reoccurring bad days. It is not solely based on a "worst" day scenario (e.g., a recipient who suffers from arthritis will have days when pain is significant and days when pain is mild; therefore, in this case you would rank a recipient based on the reoccurring days where the frequency of pain is significant).

DEFINITION OF SERVICES LISTED ON THE SOC 293 "H" LINE

Domestic Services

Sweeping, vacuuming, and washing/waxing floors; washing kitchen counters and sinks; cleaning the bathroom; storing food and supplies; taking out garbage; dusting and picking up; cleaning oven and stove; cleaning and defrosting refrigerator; bringing in fuel for heating or cooking purposes from a fuel bin in the yard; changing bed linen; changing light bulbs; and wheelchair cleaning and changing/recharging wheelchair batteries.

The following is the application of functional rank specific to Domestic services with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to perform all domestic chores without a risk to health or safety.

Recipient is able to do all chores though s/he might have to do a few things every day so that s/he doesn't overexert her/himself.

- * **Observations:** Observe if the home is neat and tidy. Observe if the recipient's movement is unimpaired.

- * **Example:** Recipient with no signs of impairment moves easily about a neat room, bending to pick up items and reaching to take items from shelves.
- * **Question:** Are you able to do all the household chores yourself, including taking out the garbage?

Rank 2: Able to perform tasks but needs direction or encouragement from another person.

Recipient is able to perform chores if someone makes him/her a list or reminds him/her.

- * **Observations:** Observe if the recipient seems confused or forgetful and has no observable physical impairment severe enough to seem to limit his/her ability to do housework; if there is incongruity in what you observe, such as dirty dishes in cupboard.
- * **Example:** Young man apparently physically healthy, but obviously confused and forgetful, is being reminded that it is time for him to sweep and vacuum.
- * **Questions:** How do you manage to keep your apartment clean? Has anyone been helping you up to this time?

Rank 3: Requires physical assistance from another person for some chores (e.g., has a limited endurance or limitations in bending, stooping, reaching, etc.).

- * **Observations:** Observe if the recipient has some movement problems as described above; has limited endurance; is easily fatigued; or has severely limited eyesight. Observe if the home is generally tidy, but needs a good cleaning; if it is apparent that the recipient has made attempts to clean it, but was unable to.
- * **Example:** Small frail woman answers apartment door. Apartment has some debris scattered on carpet and quite-full trashcan is sitting in kitchen area. The remainder of apartment is neat.
- * **Questions:** Have you been doing the housework yourself? What have you been doing about getting your housework done up until now?

Rank 4: Although able to perform a few chores (e.g., dust furniture or wipe counters) help from another person is needed for most chores.

- * **Observations:** Observe if the recipient has limited strength and impaired range of motion. Observe if the house needs heavy cleaning.
- * **Example:** Recipient walking with a cane is breathing heavily in cluttered living room. The bathtub and toilet are in need of cleansing. The recipient's activities are limited because of shortness of breath and dizziness.
- * **Questions:** What household tasks are you able to perform? Has your doctor limited your activities?

Rank 5: Totally dependent upon others for all domestic chores.

- * **Observations:** Observe if dust/debris is apparent; if there is garbage can odor; if the bathroom needs scouring; if household chores have obviously been unattended for some time. Observe if the recipient has obvious limited mobility or mental capacity.

- * **Examples:** Bed-bound recipient is able to respond to questions and has no movement in arms or legs. Frail elderly man is recovering from heart surgery and forbidden by doctor to perform any household chores.
- * **Questions:** Are there any household tasks you are able to perform? What is limiting your activities? Who has been helping you to this point?

Laundry

Gaining access to machines, sorting laundry, manipulating soap containers, reaching into machines, handling wet laundry, operating machine controls, hanging laundry to dry, folding and sorting laundry, mending and ironing. (Note: Ranks 2 and 3 are not applicable to determining functionality for this task.)

The following is the application of functional rank specific to Laundry services with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to perform all chores.

- * **Observations:** Observe if the recipient's movement seems unimpaired; if s/he seems able to ambulate, grasp, bend, lift, and stand adequately; if s/he is wearing clean clothes.
- * **Example:** Recipient is apparently physically fit. The recipient's movements during interview indicate that s/he has no difficulty with reaching, bending, or lifting.
- * **Questions:** Are you able to wash and dry your own clothes? Are you also able to fold and put them away?

Rank 4: Requires assistance with most tasks. May be able to do some laundry tasks (e.g., hand wash underwear, fold and/or store clothing by self or under supervision).

- * **Observations:** Observe if the recipient has some impairment in movement, is nodding, displays forgetfulness, or has severely limited eyesight; if the recipient's clothing is stained or spotted.
- * **Example:** Frail woman is unable to transfer wet wash to the dryer, particularly, sheets and towels. Housemate encourages her to help with sorting and folding, etc.
- * **Questions:** Are you able to lift and transfer wet articles in the laundry? How have you handled this laundry up to now? Who has been doing your laundry for you up to this time? Has the doctor suggested that you do some simple tasks with your arms and hands?

Rank 5: Cannot perform any task, is totally dependent on assistance from another person.

- * **Observations:** Observe if there are severe restrictions of movement.
- * **Example:** Quadriplegic recipient is seated in wheelchair, obviously unable to perform laundry activities.
- * **Questions:** Who does your laundry now? What has changed in your circumstances that resulted in your asking for help now?

Shopping and Errands

Compiling list; bending, reaching, lifting, and managing cart or basket; identifying items needed; transferring items to home and putting items away; telephoning in and picking up prescriptions; and buying clothing. (Note: Ranks 2 and 4 are not applicable to determining functionality for this task.)

The following is the application of functional rank specific to Shopping and Errands with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Can perform all tasks without assistance.

- * **Observations:** Observe if movement seems unimpaired and the recipient seems oriented.
- * **Example:** Social worker questions elderly man whose responses indicate that he is able to do his own shopping and can put groceries and other items away. Although his movements are a little slow, it is evident that he is capable of performing this task.
- * **Question:** How do you take care of your shopping and errands?

Rank 3: Requires the assistance of another person for some tasks (e.g., recipient needs help with major shopping needed but can go to nearby store for small items, or the recipient needs direction or guidance).

- * **Observations:** Observe if the recipient's movement is somewhat impaired; if the recipient has poor endurance or is unable to lift heavy items; if s/he seems easily confused or has severely limited eyesight; if there is limited food on hand in refrigerator and cupboard.
- * **Example:** Recipient goes to corner market daily to get a few small items. Someone else makes a shopping list.
- * **Questions:** Do you have difficulty shopping? What are the heaviest items you are able to lift? Do you usually buy the items you planned to purchase? Do you have any difficulty remembering what you wanted to purchase or making decisions on what to buy? (Ask recipient's significant other whether the recipient has difficulty making decision on what to buy or if recipient's mental functioning seems impaired.)

Rank 5: Unable to perform any tasks for self.

- * **Observations:** Observe if movement or mental functioning is severely limited.
- * **Example:** Neighbors help when they can. Teenage boy comes to recipient's door and receives money and list from recipient to purchase a few groceries.
- * **Questions:** Has someone been shopping for you? How do you get your medications?

Meal Preparation/Meal Cleanup

Meal Preparation includes such tasks as planning menus; removing food from refrigerator or pantry; washing/drying hands before and after meal preparation; washing, peeling, and slicing vegetables; opening packages, cans, and bags; measuring and mixing ingredients; lifting pots

and pans; trimming meat; reheating food; cooking and safely operating stove; setting the table; serving the meals; pureeing food; and cutting the food into bite-size pieces.

Meal Cleanup includes loading and unloading dishwasher; washing, rinsing, and drying dishes, pots, pans, utensils, and culinary appliances and putting them away; storing/putting away leftover foods/liquids; wiping up tables, counters, stoves/ovens, and sinks; and washing/drying hands.

Note: Meal Cleanup does not include general cleaning of the refrigerator, stove/oven, or counters and sinks. These services are assessed under Domestic services.

The following is the application of functional rank specific to Meal Preparation/Meal Cleanup with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Can plan, prepare, serve, and cleanup meals.

- * **Observations:** Observe if the recipient's movement seems unimpaired.
- * **Example:** Recipient cooks and freezes leftovers for reheating.
- * **Questions:** Are you able to cook your own meals and cleanup afterwards? Are you on a special diet? If yes, describe.

Rank 2: Needs only reminding or guidance in menu planning, meal preparation, and/or cleanup.

- * **Observations:** Recipient seems forgetful. There is rotten food, no food in refrigerator, or a stockpile of Twinkies®, only. Recipient's clothes are too large, indicating probable weight loss. There are no signs of cooking.
- * **Example:** Elderly recipient is unable to plan balanced meals, has trouble knowing what to eat so eats a lot of desserts and snacks, sends granddaughter to purchase fast foods. Recipient leaves dishes near the sofa where s/he eats; s/he reuses dirty dishes if not reminded to wash and dry them.
- * **Question:** Are you able to prepare and cleanup your own meals?

Rank 3: Requires another person to prepare and cleanup main meal(s) on less than a daily basis (e.g., recipient can reheat food prepared by someone else, can prepare simple meals, and/or needs some help with cleanup but requires another person to prepare and cleanup with more complex meals which involve, peeling, cutting, etc., on less than a daily basis).

- * **Observations:** Observe if the recipient's movement is impaired; if s/he has poor strength and endurance or severely limited eyesight; if s/he appears adequately nourished and hydrated.
- * **Example:** Recipient can reheat meals, make a sandwich, and get snacks from the package. Recipient has arthritis that impairs her/his grasp; s/he is unable to wash dishes because s/he cannot hold on to dishes.
- * **Questions:** What type of meals are you able to prepare for yourself? Can you lift casserole dishes and pans? Can you reheat meals that were prepared for you ahead of time? Are you able to wash dishes? Can you wipe the counter and stove?

Rank 4: Requires another person to prepare and cleanup main meal(s) on a daily basis.

- * **Observations:** Recipient has movement and endurance problems and has very limited strength of grip.
- * **Example:** Recipient is unable to stand for long periods of time. Recipient can get snacks from the refrigerator like fruit and cold drinks, can get cereal, or make toast for breakfast, etc.
- * **Questions:** Can you stand long enough to operate your stove, wash, dry, and put away dishes and/or load/unload the dishwasher?

Rank 5: Totally dependent on another person to prepare and cleanup all meals.

- * **Observations:** Observe if the recipient has severe movement problems or is totally disoriented and unsafe around the stove.
- * **Example:** Recipient has schizophrenia. Recipient believes that when s/he gets wet the water has the power to enable people to read her/his mind. Provider cuts up food in bite-sized portions and carries tray to bed-bound recipient.
- * **Questions:** Are you able to prepare anything to eat for yourself? Does your food and drink need to be handled in any special way? Can you wash dishes?

*If all of the recipient's ingestion of nutrients occurs with tube feeding, the recipient shall be ranked "1" in both Meal Preparation and Eating because tube feeding is a Paramedical service. (MPP 30-756.41)

Ambulation

Assisting the recipient with walking or moving from place to place inside the home, including to and from the bathroom; climbing or descending stairs; moving and retrieving assistive devices, such as a cane, walker, or wheelchair, etc.; and washing/drying hands before and after performing these tasks. Ambulation also includes assistance to/from the front door to the car (**including getting in and out of the car**) for medical accompaniment and/or alternative resource travel.

The following is the application of functional rank specific to Ambulation with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Requires no physical assistance though recipient may experience some difficulty or discomfort. Completion of the task poses no risk to his/her safety.

- * **Observations:** Observe if the recipient is steady on feet, able to maneuver around furniture, etc. Observe if the recipient needs to grab furniture or walls for support. Have the recipient show you the home and observe ambulation.
- * **Questions:** Do you ever have any difficulty moving around? Have you ever had to use a cane or walker? Do you feel safe walking alone in your home?

Rank 2: Can move independently with only reminding or encouragement (e.g., needs reminding to lock a brace, unlock a wheelchair or to use a cane or walker).

- * **Observations:** Observe if the recipient can use his/her walker or cane of his/her own volition; if recipient can rely appropriately on an appliance; if there is an assistive device

visible in a corner rather than right beside the recipient when s/he is sitting; how well the recipient is able to move about with an assistive device; if there is any modifications observable in the home such as grab bars, etc.

- * **Questions:** Do you ever have trouble handling your device? Are there times when you forget and get somewhere and need help getting back or do not wish to use your device? What happens then? Have you experienced any falls lately? Describe.

Rank 3: Requires physical assistance from another person for specific maneuvers (e.g., pushing wheelchair around sharp corner, negotiating stairs or moving on certain surfaces).

- * **Observations:** Observe if the recipient needs to ask you for assistance; if the recipient appears to be struggling with a maneuver that could put her/him at risk if unattended; if recipient appears strong enough to handle the device; if there are architectural barriers in the home.

- * **Questions:** Are there times when you need to rely on someone else to help you get around the house? What kind of help do you need and when? What happens when there is no one to help you? Are there certain times of day or night when movement is more difficult for you? Are all areas of your home accessible to you?

Rank 4: Requires assistance from another person most of the time. Is at risk if unassisted.

- * **Observations:** Observe if the recipient is able to answer the door; get back safely to his/her seat; if there is clutter on the floor, scattered rugs, or stairs; if there is obvious fatigue or labored breathing; if there are bruises, scabs, bumps, or burns (signs of falls) on the recipient.

- * **Questions:** Is there someone in the home helping you now? If so, what is the level of assistance?

Rank 5: Totally dependent upon others for movement. Must be carried, lifted, or assisted into a wheelchair or gurney at all times.

- * **Observations:** Observe if the recipient appears to be immobile; if s/he appears to be uncomfortable or in pain; if s/he has any fears related to being moved; if s/he makes needs known.

- * **Questions:** Who is available to help you when you need to be moved? Do you feel s/he is able to do so without causing you undue pain or discomfort? Is there anything that needs to be changed to make you more comfortable?

Bathing, Oral Hygiene, and Grooming/Routine Bed Bath

Bathing (Bath/Shower) includes cleaning the body in a tub or shower; obtaining water/supplies and putting them away; turning on/off faucets and adjusting water temperature; assistance with getting in/out of tub or shower; assistance with reaching all parts of the body for washing, rinsing, drying, and applying lotion, powder, deodorant; and washing/drying hands.

Oral Hygiene includes applying toothpaste, brushing teeth, rinsing mouth, caring for dentures, flossing, and washing/drying hands.

Grooming includes combing/brushing hair; hair trimming when the recipient cannot get to the barber/salon; shampooing, applying conditioner, and drying hair; shaving; fingernail/toenail care (excluding toenail clipping) when these services are not assessed as Paramedical services for the recipient; and washing/drying hands.

Note: Bathing, Oral Hygiene, and Grooming does not include getting to/from the bathroom. These tasks are assessed as mobility under Ambulation services.

Routine Bed Bath includes cleaning basin or other materials used for bed sponge baths and putting them away; obtaining water and supplies; washing, rinsing, and drying body; applying lotion, powder, and deodorant; and washing/drying hands before and after bathing.

The following is the application of functional rank specific to Bathing, Oral Hygiene, and Grooming/Routine Bed Baths with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to bathe, brush teeth, and groom self safely without help from another person.

- * **Observations:** Observe if the recipient's mobility is unimpaired; if the recipient is clean and well groomed; if there is assistive equipment in the bathroom.
- * **Questions:** Do you ever require any assistance with Bathing, Oral Hygiene, or Grooming? Are you able to get in and out of the tub or shower safely? Have you ever fallen?

Rank 2: Able to bathe, brush teeth, and groom self with direction or intermittent monitoring. May need reminding to maintain personal hygiene.

- * **Observations:** Observe if the recipient has body odors, unwashed hair, dirt or grime on body, un-manicured fingernails; if the recipient is unshaven, displays a lack of oral hygiene or general poor grooming habits; if the recipient is unaware of his/her appearance.
- * **Questions:** Are there times when you forget to bathe, brush your teeth, and groom yourself, or it seems just too much bother? Does anyone help you organize your bath or shower?

Rank 3: Generally able to bathe and groom self but needs assistance with some areas of body care (e.g., getting in and out of shower or tub, shampooing hair, or brushing teeth).

- * **Observations:** Observe if the recipient has weakness or pain in limbs or joints; difficulty raising arms over head, frailty, general weakness, unsteady gait indicating a safety risk; if the bathroom is not set up to meet the recipient's safety needs (e.g., grab bars, tub bench); if recipient's grooming indicates an unaddressed need.
- * **Example:** Recipient has fear associated with lack of movement.
- * **Questions:** Are there areas of bathing, oral hygiene, or grooming that you feel you need help with? What? When? How do you get into the shower or tub? Do you ever feel unsafe in the bathroom? Have you ever had an accident when bathing? What would you do if you did fall?

Rank 4: Requires direct assistance with most aspects of bathing, oral hygiene, and grooming. Would be at risk if left alone.

- * **Observations:** Observe if the recipient requires assistance with transfer; has poor range of motion, weakness, poor balance, fatigue; skin problems (e.g., indications of a safety risk). Determine how accessible and modified the bathroom is to meet the recipient's needs.
- * **Questions:** How much help do you need in taking a bath and washing your hair? If there were no one to help you, what would be left undone? Do you experience any loss of sensation to your body? Do you have any fears related to bathing? Have you fallen when getting into or out of the tub or shower? What would you do if you did fall?

Rank 5: Totally dependent on others for bathing, oral hygiene, and grooming.

- * **Observations:** Observe if there is any voluntary movement and where; if the recipient exhibits good skin color, healthy, clean skin and hair; if bathing schedules/activities are appropriate for the recipient's specific disability/limitations.
- * **Questions:** Are you satisfied with your bathing, oral hygiene, and grooming routines? Does anything frighten or scare you when you are bathed?

Dressing/Prosthetic Devices:

Dressing/Prosthetic Devices: Putting on/taking off, fastening/unfastening, buttoning/unbuttoning, zipping/unzipping, and tying/untying of garments, undergarments, corsets, elastic stockings, braces, and prosthetic devices; changing soiled clothing; and bringing tools to the recipient to assist with independent dressing.

The following is the application of functional rank specific to Dressing/Prosthetic Devices with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to put on, fasten, and remove all clothing. Clothes self appropriately for health and safety.

- * **Observations:** Observe if the recipient is appropriately dressed; if clothing is buttoned, zipped, laced; if the recipient has no difficulty with small hand movements as demonstrated by his/her ability to sign the application.
- * **Questions:** Do you ever have any difficulty getting dressed (e.g., buttoning or zipping clothing, etc.).

Rank 2: Able to dress self; but requires reminding or direction.

- * **Observations:** Observe the appropriateness of the recipient's dress for room temperature or if the recipient's clothing is bizarre (e.g., wearing underwear outside of clothing); if the clothing is buttoned, zipped, laced; if the clothing is relatively clean, is mended if necessary, is the correct size for recipient; if the recipient is blind; if the recipient is alert and aware of his/her appearance.
- * **Questions:** Are there times when it seems just too much of a bother to get dressed for the day? Does anyone ever comment to you on how you are dressed? Are you warm

enough or too warm? Could you use some help in getting your clothes organized for the day?

Rank 3: Unable to dress self completely without the help of another person (e.g., tying shoes, buttoning, zipping, putting on hose, brace, etc.).

- * **Observations:** Observe if the recipient's clothes are correctly fastened; if the recipient apologizes or seems embarrassed about the state of his/her dress; if the recipient asks you for any assistance; if the recipient is disabled in his/her dominant hand; if the recipient has impaired range of motion, grasping, small hand movement; if the recipient needs special clothing.
- * **Questions:** Are there any articles of clothing you have difficulty putting on or fastening? Do you need help with clothing items before you feel properly dressed? Do you need to use a special device in order to get dressed? Do you use Velcro® fastening?

Rank 4: Unable to put on most clothing items by self. Without assistance the recipient would be inappropriately or inadequately clothed.

- * **Observations:** Observe if the recipient's range of motion and other movements are impaired. Observe if the recipient is dressed in bed clothes, robe, and slippers rather than street clothes; if the recipient appears too cold or too warm for the room temperature; if the recipient seems willing to try to adapt to alternate methods of dressing.
- * **Questions:** Do you feel unable to get out or have people visit because you are unable to get adequately dressed? Do you ever feel too hot or too cold because you cannot put on or take off the necessary clothing to make you feel more comfortable? Has your health ever been affected because you have not been able to dress appropriately for the weather or temperature?

Rank 5: Unable to dress self at all, requires complete assistance from another.

- * **Observations:** Observe if the recipient is capable of voluntary movement? If the recipient's clothing appears comfortable and clean; if the recipient appears satisfied with the degree of dress. Determine if the recipient would prefer a dress and shoes rather than a robe and slippers all of the time.
- * **Questions:** How do you change your clothing? Do you ever feel too warmly or too coolly dressed? Is your clothing comfortable and clean enough? Do you get changed as often as you feel necessary?

Bowel, Bladder, and Menstrual Care

Bowel, Bladder, and Menstrual Care: Assisting with using, emptying, and cleaning bedpans/bedside commodes, urinals, ostomy, enema, and/or catheter receptacles; application of diapers; positioning for diaper changes; managing clothing; changing disposable barrier pads; putting on/taking off disposable gloves; wiping and cleaning recipient; assisting with getting on/off commode or toilet; and washing/drying hands. Menstrual care is limited to the external application of sanitary napkins and external cleaning and positioning for sanitary napkin changes, using and/or disposing of barrier pads, managing clothing, wiping, cleaning, and washing/drying hands.

Note: This task does not include insertion of enemas, catheters, suppositories, digital stimulation as part of a bowel program, or colostomy irrigation. These tasks are assessed as Paramedical services. In assessing Menstrual care, it may be necessary to assess additional time in other service categories such as Laundry, Dressing, Domestic, Bathing, Oral Hygiene, and Grooming. Also, if a recipient wears diapers, time for menstrual care should not be necessary

The following is the application of functional rank specific to Bowel, Bladder, and Menstrual care with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to manage Bowel, Bladder, and Menstrual care with no assistance from another person.

- * **Observations:** Observe if recipient's movement is unimpaired and odor of urine present; if the recipient has had colon cancer, observe if the recipient wears a colostomy or ostomy bag or if there are ostomy or colostomy bags present.
- * **Questions:** Do you need any help when you have to use the toilet? Do you also use a bedside commode, urinal, or bedpan? Do you have any problems getting to the bathroom on time?

Rank 2: Requires reminding or direction only.

- * **Observations:** Observe if the recipient seems disoriented or confused; if urine smells are detectable; if furniture is covered with barrier pads or plastic; if adult diapers are in the recipient's bedroom or bathroom; if the recipient takes diuretics such as Lasix®; if the recipient's clothing is stained, indicating that there is an incontinence problem.
- * **Questions:** In the past month, have you had difficulty getting to the toilet/commode on time? If yes, how often? Does someone remind you?

Rank 3: Requires minimal assistance with some activities but the constant presence of the provider is not necessary.

- * **Observations:** Observe if there are moderate movement impairments; if there is severe limitation of use of the recipient's hands; if the recipient needs a boost to transfer.
- * **Questions:** Do you have any problems using the bathroom or managing your clothes? Does anyone help you? If yes, what kind of assistance do you need and how often? Are you able to empty your urinal/commode (if used)? Do you have accidents? How often do the accidents occur? Are you able to clean up after them?

Rank 4: Unable to carry out most activities without assistance.

- * **Observations:** Observe the severity of the recipient's movement problems; if the recipient is unable to transfer unassisted; the recipient's or provider's statement as to the quantity or frequency of daily laundry and any indication that hand laundry is done daily. Observe if there is a large amount of unwashed laundry with the odor of urine or fecal matter. Observe if there are meds such as stool softeners visible.
- * **Questions:** Who helps you? How? Is s/he available every time you need help? Do you need more help at certain times of the day/night?

Rank 5: Requires physical assistance in all areas of care.

- * **Observations:** Observe if the recipient has any voluntary movement; if the recipient is

bedfast or chair bound; if the recipient is able to make her/his needs known.

- * **Questions:** Who helps you? What is your daily routine? Do you also need assistance with activities we classify as Paramedical Services?

Transfer

Transfer: Assisting from standing, sitting, or prone position to another position and/or from one piece of equipment or furniture to another. This includes transfer from a bed, chair, couch, wheelchair, walker, or other assistive device generally occurring within the same room.

Note: Transfer does not include assistance on/off toilet. This task is assessed as part of Bowel, Bladder, and Menstrual Care. Care of pressure sores (skin and wound care). This task is assessed as part of Paramedical services.

The following is the application of functional rank specific to Transfer with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to do all transfers safely without assistance from another person though recipient may experience some difficulty or discomfort. Completion of task poses no risk to his/her safety.

- * **Observations:** Observe if the recipient's movement is unimpaired; if s/he is able to get out of a chair unassisted when s/he shows you the house; if s/he shifts weight while sitting.
- * **Questions:** Do you ever need a boost to get out of bed or out of the chair? When? How often? Do you ever have difficulty moving around?

Rank 2: Able to transfer, but needs encouragement or direction.

- * **Observations:** Observe if the recipient seems confused and has trouble getting out of a chair (probably more problematic in getting out of bed). Determine if the recipient is bed bound on bad days.
- * **Questions:** Does anyone help you get out of bed in the morning? How does s/he help you?

Rank 3: Requires some help from another person (e.g., routinely requires a boost).

- * **Observations:** Observe the length of time it takes the recipient to answer door; the sounds heard as the recipient comes to door; if the recipient asks you for a boost when s/he gets up to get medications, or is shaky when using assistive device; if the recipient is obese and has a great deal of difficulty getting up.
- * **Questions:** Do you always have difficulty getting out of a chair? Who helps you? How? How often? Do you also have trouble getting out of bed? What kind of help do you need? (Expressing interest in how the recipient has solved one problem usually encourages her/him to tell you ways s/he have solved other problems.)

Rank 4: Unable to complete most transfers without physical assistance. Would be at risk if unassisted.

- * **Observations:** Observe if the recipient uses an assistive device for mobility; if the

recipient's joints are deformed from arthritis or some other disease; if the recipient is wearing a cast or brace; if someone in house assists the recipient to get up if s/he uses a walker or is in a wheelchair; if there are bruises, scabs, or bumps or burns on the recipient.

- * **Questions:** Who helps you? How? How often? Both in getting into and out of bed, in and out of chair/wheelchair? Do you need more help at certain times of the day/night?

Rank 5: Totally dependent upon another person for all transfers. Must be lifted or mechanically transferred.

- * **Observations:** Observe if the recipient appears to be immobile; if s/he appears to be uncomfortable or in pain; if s/he has any fears related to being moved; if the recipient makes needs known.

- * **Questions:** Who is available to help you when you need to be moved? Do you feel they are able to do so without causing you undue pain or discomfort? Is there anything that needs to be changed to make you more comfortable?

Eating

Assisting with consumption of food and assurance of adequate fluid intake consisting of eating or related assistance to recipients who cannot feed themselves or who require other assistance with special devices in order to feed themselves or to drink adequate liquids. Eating task includes assistance with reaching for, picking up, and grasping utensils and cup; cleaning face and hands; and washing/drying provider's hands.

Note: This does not include cutting food into bite-sized pieces or puréeing food, as these tasks are assessed in Meal Preparation services.

The following is the application of functional rank specific to Eating with suggestions that may help inform the determination as to rank:

Rank 1: Independent: Able to feed self.

- * **Observations:** Observe if there is no impairment in grasp indicated when the recipient signs the application or handles medicine bottles; if there is a cup or glass next to the recipient's chair; observe how the recipient takes a drink.
- * **Questions:** Do you need any help eating? (Since deterioration usually occurs in a hierarchical manner and feeding oneself is the last function to lose, questions may not be necessary if the recipient is able to dress self and scores 1 in Bowel and Bladder Care except in cases where the recipient seems mentally impaired.)

Rank 2: Able to feed self, but needs verbal assistance such as reminding or encouragement to eat.

- * **Observations:** Observe if the recipient appears depressed, despondent, or disoriented; if the recipient's clothes seem large for the recipient, indicating possible recent weight loss; if there is rotten food, no food in refrigerator, or a stockpile of Twinkies®, only; if there are not any signs of cooking.
- * **Questions:** What have you eaten today? How many meals do you eat each day? Do

you have trouble with a poor appetite? What is the difficulty? Are there times you forget to eat? Does it sometimes seem like it takes too much effort to eat? Do you have trouble deciding what to eat?

Rank 3: Assistance needed during the meal (e.g., to apply assistive device, fetch beverage or push more food within reach, etc.), but constant presence of another person is not required.

* **Observations:** Observe if manual dexterity is impaired, particularly of dominant hand; if there are straws or cups with spill-proof lids; if the recipient has difficulty shaking hands; if s/he has severely limited eyesight.

* **Questions:** Do you need help in feeding yourself? Do you need to use special utensils to feed yourself? Do you feel that you get enough to eat? Do you have difficulty reaching food on your plate or reaching your glass?

Rank 4: Able to feed self some foods, but cannot hold utensils, cups, glasses, etc., and requires constant presence of another person.

* **Observations:** Food stains on clothing; shakiness of hands; deformity of hands with limitation in ability to grasp or hold trays, towels, bibs.

* **Questions:** Does someone help you eat? How? How often? Do you eat with the rest of the family? Can you feed yourself finger foods? Are you able to use a fork or spoon? Do you have difficulty chewing or swallowing? If so, how do you deal with the problem?

Rank 5: Unable to feed self at all and is totally dependent upon assistance from another person.

* **Observations:** Observe if the recipient has no use of upper extremities; if there are trays, towels, bibs, etc., near the recipient.

* **Questions:** What is your daily routine for eating meals?

*If all of the recipient's ingestion of nutrients occurs with tube feeding, the recipient shall be ranked "1" in both Meal Preparation and Eating because tube feeding is a Paramedical service. (MPP 30-756.41)

Respiration

Respiration is limited to non-medical services such as assistance with self-administration of oxygen and cleaning oxygen equipment and IPPB machines.

The following is the application of functional rank specific to Respiration with suggestions that may help inform the determination as to rank:

Rank 1: Does not use respirator or other oxygen equipment or is able to use and clean independently.

* **Observations:** Observe the oxygen equipment present; if the recipient coughs or wheezes excessively or if breathing is labored.

* **Question:** Are you able to clean and take care of the equipment yourself?

Rank 5: Needs help with self-administration and/or cleaning.

- * **Observations:** Observe the same things above and if when the recipient ambulates if s/he has difficulty with breathing or breathing is laborious. Observe the recipient's meds; if the recipient has weakness or immobility in conjunction with breathing problems; if there is a referral from an oxygen supplier indicating the recipient is not taking care of the equipment properly.
- * **Questions:** Are you able to clean and take care of the equipment yourself? If not, how does it get done? How often do you use the equipment? Have you had difficulty administering your own oxygen or using your breathing machine? (If yes, refer for Paramedical service.) Who cleans equipment after you use it?

*If all the recipient's needs for human assistance in Respiration are met with Paramedical services of tracheostomy care and suctioning, the recipient should be ranked a "1" because this care is Paramedical service rather than Respiration. (MPP 30-756.42).

MENTAL FUNCTIONING

Memory

Recalling learned behaviors and information from distant and recent past.

The following is the application of functional rank specific to Memory with suggestions that may help inform the determination as to rank:

Rank 1: No problem: Memory is clear. Recipient is able to give you accurate information about his/her medical history; is able to talk appropriately about comments made earlier in the conversation; has good recall of past events. The recipient is able to give you detailed information in response to your questions.

- * **Observations:** Observe if recipient's responses to your questions indicate that s/he has good recall; knows his/her doctors' names; knows his/her own telephone number or the number of a close friend; is clear about sources of income and assets; knows who close relatives are and where they live. Observe if the recipient is mentally capable of following through on activities of daily living; if s/he has good social skills; if recipient's thought process seems clear and s/he is able to keep track during a conversation.
- * **Example:** An elderly women living alone in her home responds quickly and confidently to your questions to establish her eligibility for IHSS and determine her need for services. The recipient is reasonably organized. His/her medications are in place. There are stamped bills in the mailbox. The trash appears to be picked up regularly. There is a grocery list ready for the IHSS provider.
- * **Questions:** Who is your doctor? What medicine do you take regularly? What is your address and telephone number? When were you born? Where were you born? What is the date today? How long have you lived in this house? Where did you live before you lived here? What serious illnesses or surgeries have you had? How long ago was each illness or surgery?

Rank 2: Memory loss is moderate or intermittent: Recipient shows evidence of some memory impairment, but not to the extent where s/he is at risk. Recipient needs occasional reminding to do routine tasks or help recalling past events.

- * **Observations:** Observe if the recipient appears forgetful and has some difficulty remembering names, dates, addresses, and telephone numbers; if the recipient's attention span and concentration are faulty; if the recipient fidgets, frowns, etc., possibly indicating a struggle to recall; if the recipient repeats statements and asks repetitive questions; if recipient occasionally forgets to take medication or cannot recall when s/he last took medication and if the problem is corrected with the use of a Medi-Set (pill distribution box) set up by someone else. Observe if the recipient may become bewildered or appears overwhelmed when asked about details; if the recipient's recall process aggravates mental confusion or causes intermittent memory loss; if the recipient becomes moderately confused when daily routine is altered.
- * **Example:** Elderly man has to be prompted occasionally by his wife when he tries to respond to your questions. He apologizes for or tries to conceal memory lapses.
- * **Questions:** What year were you born? How old are you now? How old were you when your first child was born? What medicines do you take? Tell me what you usually do during the day. Who telephones or comes to see you often? What do you have to eat for dinner tonight?

Rank 5: Severe memory deficit: Recipient forgets to start or finish activities of daily living that are important to his/her health and/or safety. Recipient cannot maintain much continuity of thought in conversation with you.

- * **Observations:** Observe if the recipient has a blank or benign look on her/his face most of the time; if s/he is continually placing and replacing objects in the room to avoid answering your questions; if s/he gives inappropriate responses to questions; if the recipient's voice and/or train of thought trails off in middle of conversations; if s/he starts an activity and forgets to finish it; if the recipient consistently forgets to take medications or takes them inappropriately, even with a Medi-Set. Determine if the recipient has a history of leaving stove burners on or the water running in the sink and/or tub causing overflows. Observe if the recipient cannot remember when s/he ate last or what s/he ate; if s/he is unable to remember names of close relatives; has loss of verbal ability; is impaired intellectually; displays abnormal and potentially dangerous behavior.
- * **Example:** Middle-aged man suffering from Alzheimer's disease is totally unable to respond to your questions. He becomes very agitated for no good reason; arises from chair as if to leave room and stares in bewilderment; needs to be led back to his chair. He seems unconcerned with events in daily life and cannot articulate his need for services. His daily routine follows a set, rigid pattern. He relates to the situation on a superficial basis.
- * **Questions:** What are the names and relationships of your closest relatives? Did you eat breakfast today? What did you eat? Can you tell me what I'm holding in my hand? How old are you? What is your birth date? Ask housemate: What happens when the recipient is left alone? Does s/he remember any events from the previous day, hour, or minute? Does s/he remember who you are? Does s/he remember how to operate the stove, shave self, or perform other tasks safely?

Orientation

Awareness of time, place, self, and other individuals in one's environment.

The following is the application of functional rank specific to Orientation with suggestions that may help inform the determination as to rank:

Rank 1: No problem: Orientation is clear. Recipient is aware of where s/he is and can give you reliable information when questioned about activities of daily living, family, etc.; is aware of passage of time during the day.

- * **Observations:** Observe if the recipient appears comfortable and familiar with his/her surroundings. Recipient makes and keeps good eye contact with you. His/her facial expression is alert and is appropriate to the situation. The recipient is spontaneous and direct. The recipient shows interest in maintaining a good personal appearance. The recipient is obviously in touch with reality; is aware of time and place; readily responds to questions about his/her living arrangement, family, etc.; is fully aware of the reason for your visit. Determine if the recipient is physically able to leave home unassisted and if the recipient can find his/her way back without getting lost and can get around using public transportation.
- * **Example:** Recipient is ready and waiting for your visit. S/he initiates social amenities such as offering coffee, a chair to sit on, etc. The recipient introduces family members and/or is able to identify family pictures when asked and has the documents ready that you asked him/her to locate.
- * **Questions:** Do you have relatives living close by? Why are you asking for help at this time? How have you managed to care for yourself until now? Do you have someone who helps around the home?

Rank 2: Occasional disorientation and confusion is apparent but recipient does not put self at risk: Recipient has general awareness of time of day; is able to provide limited information about family, friends, age, daily routine, etc.

- * **Observations:** Observe if the recipient appears disheveled and the surroundings are chaotic. Observe if objects are misplaced or located in inappropriate places; if there is moldy food in and out of kitchen; if the recipient does not notice that the home is over heated or under heated until you mention it; if the recipient appears to be less confused in familiar surroundings and with a few close friends; if the recipient is able to maintain only marginal or intermittent levels of social interaction; if the recipient is able to provide some information but is occasionally confused and vague; if the recipient is not always aware of time, surroundings and people; if the recipient is able to respond when redirected or reminded.
- * **Example:** Twice in the past year the recipient has called her daughter at 2:00 a.m. and was not aware that it was the middle of the night. When told what time it was, the recipient apologized and went back to bed. When you enter the recipient's apartment, the elderly woman asks, "Why are you here today? You said you'd be here Tuesday." You respond, "This is Tuesday." The recipient seems unprepared for your visit and has difficulty settling down for the interview. She participates with some difficulty. She is not comfortable outside of her immediate environment and rarely ventures out. Her mail is left unopened occasionally, and her clothing and some perishable food items are not properly stored.

- * **Questions:** What day is today? How many rooms do you have in your home? Where is the closest grocery store? Do you know who I am and why I am here? Do you go out alone? Do you ever get lost when you go out of the house alone? Do you know the name of the bus you take when you go to the store and where the bus stop is to go home? What month, year, season, holiday, etc.?

Rank 5: Severe disorientation which puts recipient at risk: Recipient wanders off; lacks awareness or concern for safety or well being; is unable to identify significant others or relate safely to environment or situation; has no sense of time of day.

- * **Observations:** Observe if the recipient shuffles aimlessly throughout house; if s/he exhibits inappropriate behaviors such as giggling or making comments that are irrelevant to the conversation; if s/he handles objects carelessly; appears unkempt, displays poor personal hygiene; has a manner of dress that is inappropriate or bizarre; if when the social worker attempted to shake the recipient's hand, s/he tried to bite social worker's hand. Observe if the recipient is very confused, unaware of time, place, and/or individuals; goes to the mailbox and cannot find her/his way back to the apartment; does not recognize the apartment manager when the manager tries to help the recipient find her/his way back to the apartment and the recipient becomes highly agitated. Observe if the recipient appears to be disoriented and experiences hallucinations and displays a dazed and confused state of mind; is unable to answer simple questions appropriately; if the recipient's sleep-wake cycle may be abnormal; if the recipient confuses immediate living relatives (son/daughter) with dead relatives (husband, etc); if emotional instability is present.
- * **Example:** Family member or friend must answer door, as recipient is unable to maneuver in home without wandering. The recipient must be directed to chair. The recipient exhibits no awareness of the purpose of the social worker's visit. The recipient is unable to concentrate; s/he either does not respond to questions or speaks unintelligibly.
- * **Questions:** What is your name? Where do you live? What is the date today? What year is it? Where are you? Where are you going? If the recipient is unable to respond or responds inappropriately, ask housemate: What is the nature of ___'s mental problem? What can the recipient do for self? What does the recipient do if left alone?

Judgment

Making decisions so as not to put self or property in danger. Recipient demonstrates safety around stove. Recipient has capacity to respond to changes in the environment (e.g., fire, cold house). Recipient understands alternatives and risks involved, and accepts consequences of decisions.

The following is the application of functional rank specific to Judgment with suggestions that may help inform the determination as to rank:

Rank 1: Judgment unimpaired: Able to evaluate environmental cues and respond appropriately.

- * **Observations:** Observe if home is properly maintained, and in safe repair; if recipient's responses show decision-making ability is intact; if recipient dresses appropriately for

the weather; if recipient is able to form correct conclusions from knowledge acquired through experience; if recipient is capable of making independent decisions and is able to interact with others.

* **Example:** Recipient takes pride in managing his/her own affairs and does so appropriately. The recipient has a list of numbers to call in case of emergency; takes measures to guard safety such as locking doors at night, not allowing strangers into home, etc.

* **Questions:** Do you have a list of numbers to call in case of an emergency? Do you have friends or family who could help out in a crisis situation? What would you do if your provider were unable to come to work one day?

Rank 2: Judgment mildly impaired: Shows lack of ability to plan for self; has difficulty deciding between alternatives, but is amenable to advice; social judgment is poor.

* **Observations:** Observe if the home is in disrepair (leaking faucets, broken appliances, inadequate lighting, etc.); if debris has been allowed to accumulate in walk-way areas; if food in the home is of poor nutritional value; if the recipient is unable to recognize that there are alternatives or unable to select between them and is unable to plan or foresee consequences of decisions. Observe if the recipient is not capable of making decisions without advice from another, is able to understand options when explained, makes correct choices; knows enough to turn stove and heat on and off.

* **Example:** Recipient wastes money on useless items while allowing needed repairs to go unattended. The recipient “makes do” with the condition of home even if it is inconvenient for the recipient. The recipient appears to be a “collector,” has difficulty throwing anything out even though access through home is limited. The recipient can't decide which provider s/he wants. The grocery list to provider contains mostly junk food. The recipient stopped homebound meals when s/he decided they weren't tasty rather than add salt. S/he refuses to use walker or cane.

* **Questions:** Who would you call in case of emergency? If someone you did not know came to your door at night, what would you do? What are you able to do for yourself? Do you need anyone to help you? Who would you depend on to assist you if you needed a household repair done such as if your heater did not work?

Rank 5: Judgment severely impaired: Recipient fails to make decisions or makes decisions without regard to safety or well-being.

* **Observations:** Observe if safety hazards are evident: clothing has burn holes; faulty wiring, leaking gas, burned cookware, etc. Observe if utilities may be shut off; food supply is inadequate or inedible. If the recipient is a pet owner, observe if there are animal feces in home. Observe if the recipient is obviously unaware of dangerous situations, not self-directing, mentally unable to engage in activities of daily living; goes outside with no clothing on; if neighbors saw smoke from apartment several times; if they entered and extinguished fires on stove; if someone from the community calls to report that the recipient is defecating or urinating on the front yard. Observe if the recipient cannot decide to eat, dress, or take medications; if the recipient seems preoccupied, confused, or frightened; if the recipient is unaware or too frail or feeble to make decisions to maintain self safely at home; if s/he takes a shower with clothes on; drinks spoiled milk, etc.

- * **Example:** Recipient has open access to home to anyone who approaches. The recipient seems unaffected by stench or odors due to garbage, feces, urine, etc; exhibits no concern over obvious safety hazards (e.g., debris piled on stove, papers scattered near heater, etc.); lets injuries such as burns go unattended. In the past year, the recipient has recurrently started dinner and fell asleep and awoke to a smoke-filled kitchen.
- * **Questions:** What would you do if you saw something on fire in your house? If you needed to get to the doctor what would you do? Ask Housemate: What happens when ___ is left alone? Can s/he recognize situations that would lead to danger? Is s/he capable of making rational decisions?