

# NORTHCARE NETWORK

## Functional Assessment for Persons with Intellectual/Developmental Disabilities

Consumer Name: \_\_\_\_\_ Case# \_\_\_\_\_ Date: \_\_\_\_\_ DOB: \_\_\_\_\_

Person completing this form: \_\_\_\_\_

Supports Coordinator/Case Manager: \_\_\_\_\_

**General Instructions:** This form should be completed upon entry to services and, if the SIS is refused, at least every 3 years for adults. Complete annually for children. See the corresponding guideline instructions for completing this form and the NorthCare Standard Operating Procedure-Functional Assessments for Individuals with I/DD.

**Instructions:** Circle the one statement that most closely describes the consumer's abilities, as appropriate for age, on Sections A through J. Then, total the corresponding numbers on the scale at the end of this assessment. **NOTE: All ratings must correspond to the Health and Other Conditions Form as well as the DD proxy measures in the medical record.**

### A. Self Care: This includes personal hygiene, dressing, grooming, etc.

0. I am able to identify the need, initiate and complete all activities of self care with no prompts or assistance.

*(The individual is totally independent in bathing, grooming, dressing, taking medication, etc.)*

*(The 8 year old is able to perform all basic self care tasks without assistance, may require a reminder to begin bedtime routine, but will not need assistance to complete.)*

*(The 3 year old is toilet trained; only needing assistance for thoroughness. Is able to undress, and dress self, although shirt/pants may be backwards if not given direction.)*

1. I may not recognize the need or initiate the task, but I am able to do most of the tasks when prompted or with minimal assistance. I may need the structure of an established daily routine, schedule, etc.

*(The individual may be able to brush his teeth when handed the toothbrush and toothpaste, may require minimal assistance preparing the toothbrush, wash his hair when handed the shampoo, etc.)*

*(The 8 year old requires tasks with multiple steps to be broken down into smaller steps. May require supervision for completion of task, with greater prompting.)*

*(The 3 year old is not yet toilet trained, but is showing some interest/readiness. Will lift arms to assist with dressing, but requires greater assistance for completion.)*

2. I am able to complete some part of the task with verbal and/or gestural prompts. I may require some physical assistance.

*(The individual may be able to make the motions of brushing his teeth when handed a prepared toothbrush, or washing his hair when in the shower, but may need assistance to ensure thoroughness.)*

*(The eight year old requires supervision for task completion. Toothbrush may need to be prepared prior to use, assistance required to assure thoroughness.)*

*(The 3 year old may indicate to caregivers that their diaper is soiled. Is unable to dress or undress without aid and/or some physical assistance.)*

3. I will make some effort to complete the task, but I require hand over hand guidance and physical assistance to effectively complete the task.

*(The individual may hold the toothbrush but the caregiver must move the brush around the mouth.)*

*(The 8 year old requires hand over hand assist to complete most tasks.)*

*(The 3 year old does not show any awareness of having soiled their diaper. They require hand over hand assistance to complete all tasks.)*

4. I may be willing to assist with a task, but am unable to do so. I am totally dependent on others to complete the task for me.

*(The individual is unable to actively participate in bathing routine, but may hold up arms or lift legs to help caregiver.)*

*(The child is completely dependent on caregivers to complete tasks. The child is not an infant, and is of an age that some independence would be expected.)*

**B. Receptive and Expressive Language: This includes my ability to make my needs known through verbal and/or expressive language, independent communication and the ability to attend to non-verbal and social cues.**

0. I use all forms of communication independently.

*(The individual is able to read, write and speak intelligibly)*

*(The 8 year old is able to effectively communicate all needs, is able to ask questions about things that they do not understand. Reading skill is such that the child may read for pleasure, they are able to express ideas well through writing.)*

*(The 3 year old uses 600-1000 words and 3-4 word sentences. Understands 1500 words, pronouns, adjectives and colors.)*

1. I am to communicate needs, but due to impairment and environment I may not be able to process all forms of communication, or I may have difficulty getting others to understand me clearly.

*(The individual has some difficulty in being able to express or understand audio and/or written communication. Any challenges are easily overcome with assistance.)*

*(The 8 year old shows some difficulty in being able to express or understand audio and/or written communication. Any challenges are easily overcome with assistance.)*

*(The 3 year old uses 300-400 words and can respond to 2 step commands. Fluency may be poor.)*

2. I may use a combination of spoken language and gestures or alternative forms of communication to assist in best making my needs known.

*(The individual has difficulty expressing myself with speech and/or writing. I may use some non-verbal communication to aide in expression. I may use some other type of communication system to supplement verbal communication.)*

*(The 8 year old has difficulty expressing self with speech and/or writing. May use some non-verbal communication to aide in expression. May use some other types of communication system to supplement verbal communication.)*

*(The 3 year old uses 40-50 words. Uses mostly nouns and pronouns, and unintelligible speech. Cannot follow commands with more than 1 step, may be hard to engage in communication.)*

3. I may respond to verbal instructions and/or have limited use of a few gestures/noises to make my basic needs known. May be able to effectively communicate my needs through the use of adaptive equipment, Sign Language, Picture Exchange Communication System, etc...

*(The individual knows/uses 3 signs, points to the mouth to indicate hunger, etc. They may be able to communicate needs by using an alternative system for communication, i.e.: PECS, ALS. Etc...)*

*(The 8 year old has no functional speech, and requires the use of adaptive equipment/alternative communication system in order to communicate needs to others and/or to understand others.)*

*(The 3 year old has minimal use of functional language, communicates primarily through use of jargon (unintelligible speech). Is often unresponsive to verbal direction.)*

4. I am unable to communicate basic wants/needs and/or may appear not to understand others.

*(The individual may smile when family or favorite person is around, gesture or vocalize non-specifically when something is needed, etc., but not able to effectively communicate his needs.)*

*(Past 12 months of age unable to demonstrate purposeful communication.)*

**C. Learning: This includes my *abilities* to learn new skills and to process information in a logical manner. Academic performance is at expected grade levels.**

0. I am able to learn new skills and can generalize as age appropriate and apply learned information to my daily routine.

*(The individual is able to learn new skills at an expected rate, and can generalize those skills into other areas.)*

*(The 8 year old can concentrate on tasks and problem-solve. They can solve problems containing 3 digits or less and begin to understand basic multiplication.)*

*(The 3 year old can listen attentively to age appropriate stories and make relevant comments regarding the story. Can answer questions like "what are you doing?", "What is this?" and "where?")*

1. I am not always able to master new skills but I recognize the skill and may initiate and complete some part of the activity without personal assistance. I may have some learning deficits and difficulties in generalizing skills or am referred to as "learning disabled".

*(The individual may complete two to three step requests, complete tasks/implement a new skill with one verbal prompt, following an established schedule, cart, list, routine, memory, etc.)*

*(The 8 year old needs some assistance to "keep-up" with classmates. May have minor accommodations identified in their school plan.)*

*(The 3 year old requires more assistance in order to focus on tasks, such as instructing "look at me" to capture attention. May require extra attempts to assist with retention of information.)*

2. I have some cognitive/functioning impairments, I am able to learn new skills with assistance and repetition. I may not generalize and apply my newly learned information to my daily routine.

*(The individual can learn basic tasks, but may not be able to solve problems that arise that interfere with the completion of the task, and will need assistance in order to be able to do so.)*

*(The 8 year old may receive special education assistance, in some areas and not be completing grade level work. In other areas, they may require little help to complete age appropriate work.)*

*(The 3 year old can only focus for short periods of time. Learning new skills requires greater repetition.)*

3. I have substantial cognitive/functioning impairments, it is difficult for me to learn new skills, and I cannot generalize and apply new information to my daily routine.

*(The individual may learn how to change channels on the TV after repeated demonstration but would not use these skills to operate a different TV.)*

*(The 8 year old requires special education services. Even with accommodations, the child is unable to perform near grade level.)*

*(The 3 year old is not able to sit for "story time", and/or does not appear to connect elements of the story to their points of reference. The child does not appear to be receptive to learning new skills.)*

4. I have severe cognitive/functioning impairments, it is very challenging for me to develop new skills.

*(The individual does not appear to learn from experience or repeated exposure, may retain the most basic of prompts (e.g., open your mouth, or give me your arm, etc.)*

*(The 8 year old requires special education services. Acquiring new skills is extremely challenging.)*

*(The 3 year old is not tuned into activities in the classroom, and does not display readiness to learn skills.)*

**D. Mobility: This includes my ability to get from place to place, to negotiate within my home and community.**

0. I am able totally independent or as independent as expected for my age.

*(The individual is totally independent with fire evacuation, crossing the street, maneuvering my environment, etc.)*

*(The 8-10 month old child is crawling; the 12-16 month old child has begun to walk independently. The 24-26 month old runs easily.)*

1. I am independent in getting around. I may use some type of a device to improve my stability or general independence.

*(i.e.: use of a shoe inserts to aide in stability, and/or posture, use of a cane or other "optional" device.)*

*(The 2 year old child is crawling, will pull self up to stand, but is not walking independently.)*

2. I am somewhat dependent on others or devices to support my independence. I can ambulate without independently, but require some assistance to improve safety.

*(The individual uses a gait belt to assist me when walking in order to increase safety and aid in balance.)*

*(The 2 year old is crawling, but does not stand unassisted.)*

3. I am mostly dependent on others or assistive equipment. I may make some effort to assist or be able to complete some part of my daily routine independently but caregiver/assistive device(s) is needed. (i.e.: wheelchair, walker, lifts, alarms, etc.)

*(The individual requires the use of specialized equipment for mobility. I may be able to independently transfer myself to my bed, and toilet, requiring minimal assistance.)*

*(The 2 year old is not crawling, standing or walking without assistance. May be able to scoot around, but unable to navigate steps in a manner that is safe. Movement may be limited to rolling, or less.)*

4. I am totally dependent on others for my mobility needs.

*(The individual is unable to perform any transfers without total assistance.)*

*(The 2 year old is functionally unable to move around the environment.)*

**E. Self Direction: This includes the ability to manage personal affairs, schedule and keep appointments, organize my time, engage in preferred leisure activities, express age-appropriate play, manage frustration when it occurs and can effectively regulate changes in mood. If an adult consumer has a guardian, the rating should be at least a 3.**

0. I am able to initiate age appropriate activities to use my time to my satisfaction or in productive pursuits. I identify my needs and independently make arrangements with no need for supervision beyond what occurs naturally.

*(The individual is involved in a variety of activities (productive, volunteer, recreational, and leisure activities) per individual choice, uses time wisely and demonstrates self control.)*

*(The 8 year old is able to play games with others, and engage in complex imaginative play. They are able to express emotions and handle some levels of frustration without problems.)*

*(The 3 year old can entertain self with toys for short periods of time. They are able to play with others and demonstrate appropriate imaginative play.)*

1. I am able to initiate preferred activities and use my time productively but may require minimal assistance with organizing or attending activities.

*(The individual may engage in a variety of leisure, recreational or productive/volunteer activities by following an established schedule, chart, list, etc. or with prompts from others.)*

*(The 8 year old shows some rigidity in play activities/social interactions, but with prompts is able to adjust to requests.)*

*(The 3 year old has difficulty with social interactions, and needs some redirection toward more appropriate behavior. Child is responsive to the redirection.)*

2. I sometimes initiate activities and/or require verbal prompts to use my time to my satisfaction but require some type of assistance.

*(The individual may complete some part of a variety of leisure, recreational, productive/volunteer, activities; shows interest but cannot attend for the duration, etc.)*

*(The 8 year old has greater rigidity in play and social interactions which have had a negative impact on peer relationships. Seems unaware of the problems this causes, but will still respond to redirection from adults.)*

*(The 3 year old has rigid patterns of play and social interaction and has difficulty modifying this with assistance from adults.)*

3. I rarely initiate activities on my own but may passively participate in ongoing activities. I require hand over hand guidance or direct assistance to carry out and/or participate in activities.

*(The individual may participate when verbally or physically prompted to do so, usually passively or just watching others, etc., engages in passive or solitary hobbies (i.e. watching TV, listening to music, etc.))*

*(The 8 year old has significant problems in managing their emotional state, interpersonal relationships, and requires specific support to address this. The child may show no awareness of the cause of their difficulties.)*

*(The 3 year old does not show understanding of appropriate interaction with toys, or with peers. Rigidity in play does not allow for others to engage with the child.)*

4. I do not initiate activities to use my time. I may be passive but a non-participatory observer. I require total assistance to participate in any activities.

*(The individual will look at the game and let the caregiver hold their hands in place and move the items etc.)*

*(The 8 year old is unable to manage negative emotional states, or interpersonal relationships. Does not initiate interactions with others.)*

*(The 3 year old does not engage in play activities, and does not initiate interpersonal contact.)*

**F. Capacity for Independent Living: This includes my ability to function safely and independently on my own living arrangement and manage all tasks of daily living, including self-administration of medications. For children, consider age appropriate level of independent skills.**

0. I am totally independent in all personal, home living and household management.

*(The individual is totally independent with cooking, cleaning, managing money, etc.)*

*(The 12 year old can be trusted to be home alone for several hours at a time.)*

*(The 8 year old is able to take care of most basic needs, and can independently complete a variety of chores.)*

*(The 3 year old is able to play in an adjoining room without need of constant supervision.)*

1. I may need some assistance or prompts in organizing or remembering to do tasks but then can complete home living and management tasks independently. I may not always be able to recognize the need to complete ADL's, but I am able to initiate and complete the activities without personal assistance.

*(The individual may complete the tasks by following an established schedule, chart, list, routine, memory, etc.)*

*(The 8 year old may require frequent prompts to begin household activities, or the use of a schedule to structure tasks, but can complete without further assistance.)*

*(The 3 year old may require more frequent redirection to protect against their engaging in behavior which may be harmful, or inappropriate. E.g.: Climbing on bookcase, going into cupboards, etc...)*

2. I need assistance with prompting or organizing responsibilities of daily living, and may also need some physical assistance.

*(The individual is able to complete tasks that are part of my routine with the assistance of schedules, picture schedules, and/or prompting. They may need assistance to assure thoroughness in the completion of tasks.)*

*(The 8 year old needs a very specific direction and tasks broken down into individual steps in order to complete basic tasks.)*

*(The 3 year old needs to be closely monitored to insure safety, and/or engaging behavior which may be harmful or inappropriate.)*

3. I am able to complete some part of the task with verbal and/or gestural prompts. I require assistance to initiate and adequately complete most tasks.

*(The individual may be able to rinse, load and unload the dishwasher but not be able to operate the dials/settings and/or add the soap, etc.)*

*(The 8 year old needs a very specific direction and tasks broken down into individual steps in order to complete basic tasks, and requires some physical assistance to complete.)*

*(The 3 year old requires almost constant supervision to insure safety. Requires a significant amount of assistance/direction to complete age appropriate tasks.)*

4. I have no independent living skills and require assistance from others in all areas of personal care and daily living.

*(The individual will look at the broom and let the caregiver hold their hands in place and move the broom. etc.)*

*(The 8 year old is totally dependent on others to direct them in completion of tasks. Most tasks may have to be completed for the child.)*

*(The 3 year old demonstrates no ability towards safe independence, requires a great deal of care and supervision to maintain health and safety.)*

**G. Economic Self Sufficiency: This includes the ability to sustain paid employment and manage finances appropriately. For children, consider the ability to successfully participate in academic environments, and have an age appropriate understanding of money and how it is used. For adult consumers who have a payee, the rating should be at least a 3.**

0. I am able to maintain a job in the community and work at a competitive rate of pay or am successful in managing income and/or benefits within available resources.

*(The individual may hold a job or volunteer position independently, is responsible and reliable in the work setting, receives a pay check.)*

*(The 8 year old has a basic understanding of the function and value of money, and can add or subtract to make change. Is able to function in a classroom setting without the need for any special assistance.)*

*(The preschool child is able to sit in a small group and participate in story time. By age 4 can count to 20 or above.)*

1. I am able to function adequately in work or school environments, and complete vocational or scholastic activities with minimal prompts or assistance.

*(The individual will sweep the work area because they recognize the need, or complete class assignments without excessive prompting. The individual may qualify for "follow along" job coaching.)*

*(The eight year old requires some additional direction to assist in their being on track with the rest of the classroom. May understand the function of money but need some assistance in making change.)*

*(The preschool child requires prompts to establish their attention so that they can participate in group activities.)*

2. I have some impairment that interferes with vocational or academic achievement. Some assistance is necessary for me to be successful.

*(The individual usually completes two step requests, may be able to get out tools, but not initiate, take my place at work, but not begin the assigned work task until the job coach tells me to begin, etc.)*

*(The 8 year old requires some support in the classroom in order to stay on task and follow the schedule, and is able to do so with additional direction. Has only a general understanding of the use of money, and needs assistance for concepts related to value and making change.)*

*(The preschool child may require an adult to sit next to them for story time, to be able to quickly redirect them. The child may have difficulty remaining seated for the entire time.)*

3. I am willing to participate in educational or vocational programs but need substantial assistance. I would be able to attempt an educational or vocational experience with extensive support. I require direct assistance to carry out and/or participate in activities.

*(The individual requires one to one staffing due to behavioral or physical limitations, extensive adaptive equipment, etc. They require consistent support to be able to attend to tasks.)*

*(The 8 year old requires substantial support in the classroom to be able to function. May require a one-to-one aide for support. Has little understanding of the value related to money and its specific relationship to procuring goods.)*

*(The preschool child is unable to function in a group setting without specific, trained staff support.)*

4. I am unable to actively participate in educational or vocational activities or would need extensive support to passively participate.

*(The individual will attend and may have limited ability to complete tasks even with extensive support.)*

*(The 8 year old does not understand the concept of money or how to use it. Even with extensive support, significant accommodations must be made in the classroom environment for the child to be able to attend. Even with accommodations, the child is unable to perform many age appropriate tasks.)*

*(The preschool child is only able to minimally participate in group activities even with extensive support in place.)*

#### H. Compute Challenging Behavior Index (CBI):

The behaviors to be considered will be defined as: 1) aggressive behaviors of such magnitude that the consumer presents a danger to self or others; and/or 2) destructive behaviors or property damage (e.g., throwing things that could cause harm to others, breaking windows, kicking holes in walls, ripping doors off hinges, etc.); and/or 3) engaging in acts of destruction or self-abuse that have the potential to result in significant harm to the consumer (i.e., Pica behaviors, head banging, biting, etc.)

Frequency \_\_\_\_\_x    Duration \_\_\_\_\_x    Intensity \_\_\_\_\_ = CBI \_\_\_\_\_

Frequency is defined as:

- 1) bi annual    2) quarterly    3) monthly    4) weekly    5) daily    6) hourly

Duration is defined as the longest episode in last 6 months:

- 1) less than 3 minutes    2) 3 min. to 15 min.    3) 15 min. to 1 hr.    4) over 1 hour

Intensity is defined as the intervention necessary to contain the episode:

- 1) One redirection    2) multiple redirections    3) non-serious injury  
4) use of Emergency Interventions    5) serious injury/911 called

Divide the CBI in half and enter on the line for the "H" Score or put "0" if there are no challenging behaviors.

H = \_\_\_\_\_

I. **Non Aggressive Behaviors** that are addressed through program plans/procedures and have a negative impact upon my ability to move to a lesser restrictive environment and require some type of ongoing monitoring (i.e.: spitting, ripping, smearing, ritualistic behaviors, obsessive verbalizations and/or actions, etc.).

- 0. The individual does not demonstrate any concerning, non-aggressive behaviors.
- 1. The individual occasionally engages in some non-aggressive behaviors. This may occur a few to several times per year.
- 2. The individual demonstrates several non-aggressive behaviors on a monthly basis or every few weeks.
- 3. The individual has regular non-aggressive behavior problems that occur at on a weekly basis.
- 4. The individual has non-aggressive behaviors that occur at least daily or several times per day.

List non-aggressive behavior concerns: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

J. **Significant Requests for Health and Professional Services and Supports:** I may have a need for monitoring of one or more of the following licensed professionals, Medical Doctor, Psychiatrist, RN, Behavior Psychologist, OT, PT, SLP, etc on the schedule defined below: Monitoring may be necessary for disease process, lab values, medication effectiveness, compliance, teaching, safety, increased symptoms, sensory needs, inappropriate behaviors, decreased limitations, etc. This list is not meant to be all-inclusive, but to suggest possibilities. And/or the need for professional services through the CMH is as follows. (i.e.: direct and indirect time required by professionals for work, home, day programs, supported independent living, supported employment issues, etc. This does not include all of the hours spent in a day program, school, or sheltered workshop.)

- 0. The individual needs 0-5 hours/month of professional monitoring
- 1. The individual needs 6-12 hours/month of professional monitoring
- 2. The individual needs 13-20 hours/month of professional monitoring
- 3. The individual needs 21-30 hours/month of professional monitoring
- 4. The individual needs 31+ hours/month of professional monitoring

*Enter the corresponding scores for A-J:*

**Total of A through J** \_\_\_\_\_