Functional Assessment Tool Manual

Admission Requirements (from § 5230.31of the PRS regulation)

(a) To be eligible for PRS, an individual shall meet the following:

  (1) Have a written recommendation for PRS by a licensed practitioner of the healing arts (LPHA) acting within the scope of professional practice.
  (2) Have the presence or history of a serious mental illness, based upon medical records, which includes one of the following diagnoses by an LPHA:
      i.   Schizophrenia.
      ii. Major mood disorder.
      iii. Psychotic disorder (not otherwise specified).
      iv. Schizoaffective disorder.
      v.   Borderline personality disorder.
  (3) As a result of the mental illness, have a moderate to severe functional impairment that interferes with or limits performance in at least one of the following domains:
      i.   Living.
      ii. Learning.
      iii. Working.
      iv. Socializing.
  (4) Choose to receive PRS.

(b) A PRS agency shall identify and document the functional impairment of the individual in an assessment.

(c) <u>EXCEPTION.</u> Individuals who do not meet the serious mental illness diagnosis requirement under section (a) above may receive services when the following conditions are met:
      (1) The written recommendation by the LPHA includes a diagnosis of mental illness that is listed on Axis I in the DSM-IV-TR or ICD-9 or subsequent revisions.
      (2) The written recommendation by the LPHA includes a description of the functional impairment resulting from the mental illness, as required under subsection (a)(3) above.

Instructions

The Functional Assessment Tool is used to assist in determining the presence of a moderate to severe functional impairment as a result of the mental illness (see section (b) above). The Tool consists of five scales which evaluate functional level in the following domains: 1) Living; 2) Learning; 3) Working; 4) Socializing; and 5) Self-Maintenance. Self-Maintenance is considered a subdomain of the Living domain.

The concept of functional impairment encompasses both the effects as a result of the mental illness and impacts on the individual's ability to perform valued roles in the community such as worker, student, or independent community resident. This concept refers not only to the loss or abnormality of psychological, physiological or anatomical structure or function related to mental illness but also to the associated restriction or lack of ability to perform activities and, as a consequence, roles in the community in the manner that would be considered usual

for adults in American society. Psychiatric rehabilitation services (PRS) have been compared to physical rehabilitation, as, for example, when an individual has a spinal cord injury (Anthony, Cohen & Farkas, 1990). Treatment to eliminate or suppress the injury does not, in itself, lead to more functional behavior in terms of the individual being able to gain or regain valued roles in the community. Rehabilitation is directed toward this outcome by providing the individual services to select, attain and keep roles of importance to the individual in the community. As part of considering if functional impairments are moderate to severe, an assessment is made of impairments in relation to the individual's functioning in the essential domains of role performance in the community. A major focus of the assessment, therefore, is upon the limitations in role performance the individual is experiencing including the inability to engage in roles such as worker which are considered usual for adults in American society.

Individuals must be assessed in a one-to-one, face-to-face interview with the evaluator. The assessment is based on a strengths-based interview taking into account the individual's interests in making changes in the various domains as well as the effects of the mental illness upon the individual's role performance in these domains. Special attention is given to the domain(s) in which the individual is interested in making changes and may wish to use PRS. PRS are designed to assist in enhancing competencies and improving functioning so that the individual may experience more success and satisfaction in the environment(s) of choice and function as independently as possible. Cultural competency will be recognized throughout the assessment process in discussion with the individual about role performance and issues in each of the domains. A PRS director or psychiatric rehabilitation specialist completes the evaluation.

All five domains are rated on the following scale:

0	1	2	3	4	5
No impairment <u>or</u> no interest	Mild impairment		Moderate impairment		Severe impairment

To meet PRS admission criteria of a moderate to severe functional impairment that interferes with or limits role performance in at least one of the evaluated domains, the individual must be evaluated with a rating of 3 or higher in one or more domains. As part of the evaluation, the evaluator should consider the individual's current level of functioning both as seen by the individual and by others, as well as the individual's strengths, needs, level of satisfaction or dissatisfaction with current status regarding the domain, personal preferences, and interest in making changes in the domain.

Each area is defined at the "0," "1," "3" and "5" levels. Looking at the individual's behavior, inclusive of the lowest level of functioning during the last 90 days, rate the individual's level of functioning in each domain. When the individual is rated at the 3 or higher level, there must be specific justification of the functional impairment. Within the tool, evidence supporting ratings of 3 or higher can be noted after the words "as demonstrated by _____."

Ratings should be made in whole numbers. In situations where there are extraordinary factors which make the assignment of whole numbers extremely difficult, if not impossible,

0.5 points may be added to or subtracted from the base score. This permits differentiation of level of functioning without compromising the integrity of the scale. The outcome of the assessment includes both domain scores and a rationale for PRS.

In evaluating the existence of moderate to severe functional impairment as a result of the mental illness, the evaluator considers the Functional Assessment Tool results, your professional judgment, and other information such as referral information, psychiatric evaluations, psychosocial summaries, records of past treatment, and cultural factors which may impact on the individual's level of functioning and need for PRS. Scores on the Functional Assessment Tool indicate the individual's level of functioning at the time of the evaluation. Scores may change as an individual's needs and/or desires for PRS change.

One of the admission criteria is that the individual must choose to participate in PRS. Although an individual may receive a rating of 3 or higher in a particular domain, it is essential in planning PRS that the individual chooses to participate in these services to make changes in specific domain(s) selected for PRS interventions.

Reference

Anthony, W., Cohen, M., & Farkas, M. (1990). <u>Psychiatric rehabilitation</u>. Boston: Center for Psychiatric Rehabilitation.

Living Domain

The scale has a range from 0 to 5 with the following values:

0	1	2	3	4	5
No impairment <u>or</u> no interest	Mild impairment		Moderate impairment		Severe impairment

0 = Individual does not need/desire PRS in this area.

Example: Individual is satisfied with the current residential setting and has a skill-level for self-maintenance such that the individual and involved others report no difficulties in maintaining the current living arrangements.

1 = Individual needs/wants minimal services to gain and maintain the desired residential setting, and significant others report only minimal difficulties which can be addressed and resolved within the individual's current support system.

Example: Individual is living in a supported housing setting and has minimal skill deficits in self-maintenance. Deficits can be addressed and resolved within the individual's current support system. Individual has minimal areas of dissatisfaction with the residential environment which can be addressed through the individual's current skill level and support system.

3 = Individual is experiencing moderate to serious problems in the living environment as a result of functional impairment(s) and skill deficit(s) due to the mental illness that are not likely to be addressed and resolved with the individual's current support system as demonstrated by _____. Individual is interested in moving to a more independent level of housing and as a result of functional impairments arising from the mental illness is expected to experience difficulties in choosing, getting and keeping the more independent living setting.

Examples: As a result of mental illness, the individual lacks adequate skill(s) to resolve issues with assistance from the current support system. Without PRS, it is likely the individual will be unable to get and/or keep the desired living environment. Individual has major areas of dissatisfaction with the current living environment which are likely to affect continuing residence in that setting. Individual is interested in living in a more independent living environment and as a result of functional impairments due to the mental illness may have difficulty selecting, attaining and maintaining a more independent living setting.

5 = Individual has severe impairment(s) due to mental illness and is experiencing a level of difficulty such that it is probable that the individual will be unable to maintain the living environment even with assistance from the current support system as demonstrated by _____.

Example: Due to the severity of functional impairments arising from the mental illness, the individual will probably be unable to sustain residence in the current living environment.

Case Examples

1: The individual has some difficulties in handling activities of daily living independently such as washing and maintaining personal clothing. The individual lives in a supported housing setting and receives assistance from supported housing staff in handling these activities and learning to do them more independently.

3: The individual is living in a supported housing environment due to functional impairments arising from the mental illness. The individual would like to get his own apartment. He has had limited experience in finding his own housing environments due to the mental illness and has lived primarily in housing selected by others. He is interested in assistance in choosing his own residence as well as identifying what he will have to do to be successful and satisfied in the residence he chooses.

5: The individual has recently moved from supported housing to her own apartment in subsidized housing. She has had several arguments with her neighbors, and the landlord has spoken to her about this situation. She says the neighbors are causing her problems, and the only way she knows to deal with this is to tell them off.

Learning Domain

The scale has a range from 0 to 5 with the following values:

0	1	2	3	4	5
No impairment <u>or</u> no interest	Mild impairment		Moderate impairment		Severe impairment

0 = Individual does not need/desire PRS in this domain.

Examples: Individual is attending an educational program and is experiencing no difficulties in the program. Individual is not interested in additional education at present.

1 = Individual needs/wants minimal services to gain and maintain desired educational program or environment. It is expected services can be provided by the current support system.

Example: Individual plans to attend or is attending an educational program and has or is expected to have minimal difficulties due to effects of the illness in the program. It is expected any difficulties can be addressed and resolved within the individual's or the educational program's support system.

3 = Individual is enrolled in an educational setting and is experiencing moderate to serious impairments due to the mental illness in that environment which may affect completion of the educational program as demonstrated by _____. Individual is interested in enrolling in an educational program and needs PRS to choose, attain and complete a desired educational program.

Examples: Due to the effects of the mental illness, the individual is experiencing or likely to experience substantial difficulties in the educational environment which may affect continuing or completing the educational program. Due to the mental illness, the individual has not attained the educational level needed for desired employment.

5 = Individual has severe impairments due to mental illness which have prevented the individual from enrolling in or completing an educational program. Individual is currently enrolled in an educational program and due to impairments related to the mental illness is likely to be unable to maintain enrollment in that environment as demonstrated by _____.

Examples: Individual was unable to complete high school, college or vocational training due to functional impairments related to the mental illness. Individual is enrolled in an educational program and is experiencing a level of difficulty as a result of functional impairments related to the mental illness such that it is probable that the individual will not be able to maintain or complete the program.

Case Examples

1: Individual is studying for a certificate in psychiatric rehabilitation at a community college. As a result of the mental illness, the individual has difficulties concentrating at times and needs extra time to complete assignments and examinations. The college office providing services for students with disabilities has assisted the individual in making these arrangements with professors.

3: The individual is taking an introductory statistics course at a community college. The individual has failed an examination in the course and is worried about failing the course. In reviewing the situation, it is noted that as a result of the mental illness, the individual has difficulty organizing word problems and setting up other homework problems on a page to be able to solve them. Once the problems are organized, the student has the mathematical skills to solve them.

The individual would like to continue her education. As a result of the mental illness, her education was interrupted. The individual has completed a GED program and is thinking about taking additional education to qualify for a job that would enable her to get off SSI. As a result of the mental illness, the individual has little knowledge or experience with educational programs beyond high school or with jobs that might be available in the community, and she has very limited experience with making choices or setting goals for the future. The individual has no idea what to do to get started with deciding on plans.

5: The individual has a history of mental illness and substance abuse. As a result of the mental illness, he has been hospitalized on many occasions and has not been working or in school for many years. He has enrolled in a GED Program at a community center. While he says he can do the work, he reports having difficulty getting information from the teacher. The individual feels it is the teacher's fault if he is not learning and has informed her of this. The teacher has suggested he might think about not returning to the program.

Working Domain

The scale has a range from 0 to 5 with the following values:

0	1	2	3	4	5
No impairment <u>or</u> no interest	Mild impairment		Moderate impairment		Severe impairment

<u>0</u> = Individual does not need/desire PRS in this domain.

Examples: Person is working and experiencing no difficulties at work. Individual is not working and is not interested in employment at present.

<u>1</u> = Individual needs/wants minimal services to gain and maintain employment.

Example: Individual is working and has minimal difficulties at work. It is expected any difficulties can be addressed and resolved within the individual's current support system.

<u>3</u> = Individual is working and experiencing moderate to serious problems at work which may affect ability to keep employment as demonstrated by _____.
Individual is underemployed with regard to desires and abilities.

Examples: Individual is experiencing substantial problems on the job related to mental illness which are deemed likely to affect continuing employment.
Individual is employed part-time but wants to work full time.
Individual has employment which is not commensurate with educational and experience level.

<u>5</u> = Individual has severe impairments due to mental illness which have prevented the individual from working or have affected job performance to the extent that loss of employment is likely as demonstrated by _____.

Examples: Individual is not working and would like to be working.
Individual is experiencing severe difficulties on the job which make it likely that the individual will be unable to maintain that employment.

Case Examples

<u>1:</u> The individual takes medication to decrease symptoms due to mental illness. The medication causes the individual to have a dry mouth at her part-time job. The employer has agreed to let the individual keep a glass of water at her work station and to take more frequent breaks. With these accommodations, the individual is able to perform the essential functions of the job.

<u>3:</u> The individual has been experiencing difficulties on the job and has been warned by the employer that there must be improvement if the individual is going to keep the job. Due to

the effects of mental illness, the individual has difficulty organizing work tasks and establishing priorities about what to do first. The individual also reports difficulties in approaching the supervisor to ask about how to do various job tasks and to get feedback about how the job is going.

5: Due to the effects of the mental illness and hospitalizations arising from it, the individual has been unable to work for some time. The individual is interested in obtaining employment but does not know much about the current labor market or what kinds of jobs he might be interested in and able to do.

Socializing Domain

The scale has a range from 0 to 5 with the following values:

0	1	2	3	4	5
No impairment <u>or</u> no interest	Mild impairment		Moderate impairment		Severe impairment

<u>0</u> = Individual does not need/desire PRS in this domain.

Examples: Individual reports satisfaction with valued roles in the community such as friend, parent or significant other and with the current social network/support system and is experiencing no difficulties in this area. Individual is not interested in making changes in valued roles in the social domain at present.

<u>1</u> = Individual needs/wants minimal services to gain and maintain desired social roles or social support system or social environment in the community, and any needed services can be provided by the current support system.

Examples: Individual expresses satisfaction with current social roles and social support system and has or is expected to have minimal difficulties in accessing this network due to effects of the mental illness. It is expected any difficulties can be addressed and resolved within the individual's current support system.

<u>3</u> = Individual experiences moderate impairments due to the mental illness in developing and utilizing a social support system in the community or in choosing, attaining and sustaining valued social roles in the community as demonstrated by _____.
Individual is dissatisfied with current roles or social support system and is interested in making changes which are not likely to be addressed and be resolved within the existing support system.

Examples: Due to the effects of the mental illness, the individual is experiencing isolation in the community or substantial difficulty in valued social roles and relationships in the community. Individual is dissatisfied with current social support system and has significant difficultly resolving these issues due to moderate impairments as a result of the mental illness.

<u>5</u> = Individual has severe functional impairments due to mental illness which interfere with developing and sustaining valued social roles in the community and restrict the individual's social support system in the community as demonstrated by _____.
As a result of these severe impairments, the individual is unable to choose, establish or keep social roles such as friend, parent or significant other and/or has little or no existing social support system in the community.

Examples: Due to severe functional impairments related to the mental illness, the individual reports limited or no relationships in valued social roles in the community and/or an inability to

choose, establish and make use of social supports within the community. As a result of these severe impairments related to the mental illness, it is probable that the individual will not be able to establish or sustain valued social roles in the community.

Case Examples

1: The individual enjoys attending activities at the drop-in center. As a result of mental illness, he loses concentration while taking the bus and has missed his stop upon occasion in the past. At present, family members or his case manager take him to the center. He is satisfied with these arrangements and says they are working out well.

3: The individual has a 10 year-old child. As a result of mental illness, the individual was unable to care for the child, who lives with a relative. The individual is satisfied with this arrangement which also appears to be working out well for the child. The child visits the individual on the weekends. The individual is unsure about carrying out her role as a parent in terms of planning activities the child would enjoy as well as how to set limits while the child is visiting.

5: The individual has a long history of mental illness and substance abuse. As a result of this, the individual reports all his previous friends were individuals who used drugs. He also says he has difficulty talking about topics which do not involve drugs. He describes a sense of isolation in the community. He would like to make friends who do not use drugs and especially would like to meet a woman who does not use drugs.

Self-Maintenance Domain

Self-Maintenance is a subdomain of the Living domain.

The scale has a range from 0 to 5 with the following values:

0	1	2	3	4	5
No impairment or no interest	Mild impairment		Moderate impairment		Severe impairment

0 = Individual does not need/desire PRS in this domain.

Examples: Individual actively manages illness as demonstrated by behaviors such as describing illness and its symptoms including prodromal symptoms; identifying prescribed medications including dosage and possible side effects; describing and using as needed active strategies to manage symptoms; and making and keeping appointments for medical services. Individual is able to manage physical illnesses which may affect or be affected by the mental illness and both knows and uses strategies to promote wellness.

1 = Individual needs/wants minimal services to increase knowledge of mental illness and learn new strategies for active management of the illness. Significant others report only minimal difficulties which can be addressed and resolved within the individual's current support system.

Example: Individual is knowledgeable about and has minimal difficulty implementing strategies for identifying, tracking and coping with effects of the illness. Individual is able to manage physical illness which may affect the mental illness. Individual knows and generally follows strategies to promote wellness.

3 = Individual is experiencing moderate to serious problems in managing the mental illness and/or coexisting health conditions which may affect the mental illness as a result of functional impairment(s) and skill deficit(s) related to the mental illness that are not likely to be addressed and resolved within the individual's current support system as demonstrated by _____. Individual is interested in learning more about the illness and strategies to manage the illness. Individual is interested in achieving a rehabilitation goal in another domain and as part of achieving that goal needs improved skills and knowledge regarding managing the mental illness and/or coexisting health conditions.

Examples: As a result of functional impairments due to the mental illness, the individual lacks adequate knowledge of the illness and skill(s) to participate actively in coping with the illness. Individual would benefit from and is interested in learning about physical illnesses that the individual has which may affect the mental illness including strategies to monitor and actively manage the illness

5 = As a result of the mental illness, the individual has severe impairment(s) in managing mental illness and is experiencing a level of difficulty such that it is probable that the

individual will be unable to attain or maintain desired environment(s) in the community even with assistance from the current support system and is interested in improving knowledge and skills to manage mental illness as well as physical illnesses which may affect the mental illness as demonstrated by _____.

Example: Individual is unable to attain or maintain a valued role in a desired environment as a result of severe impairments in knowledge of mental illness and skills to assist in active management of symptoms.

Case Examples

1: The individual is able to describe several methods for active management of symptoms arising from mental illness in addition to taking medication. She is able to name medications she is taking including common side effects and knows which side effects require her to call her psychiatrist right away. Although she uses these methods fairly regularly, she sometimes has to be prompted at her work program to use them.

3: The individual has had several episodes of mental illness which have required hospitalization. While he takes medication, he cannot describe any other strategies for active management of symptoms. He also is unaware of prodromal symptoms. He would like to think about working or getting more education in the future, but is worried that his symptoms will get "out of hand" if he attempts to do these things.

5: As a result of mental illness, the individual reports feeling restless and having problems dealing with stress. He says he handles this by smoking cigarettes to relax. At present, he is smoking two packs of cigarettes per day. The individual is currently spending about $150 a month on cigarettes and has been falling behind in making rent payments on his apartment. He says he does not know any other ways to control stress other than smoking.

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