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ARIZONA HEALTH CARE COST CONTAINMENT SYSTEM

# Medical Assistance Eligibility Policy Manual

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Last Updated: 05/22/2026

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# Medical Assistance Policy Manual (Archive) Part 3 of 4

## Examples and PAS Appendices

*Effective until 2026-05-22*

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

**Introduction**
**Getting Started** ..... **6**
**Cash Assistance and Nutrition Assistance Policy** ..... **11**
**Examples**
**Examples** ..... **12**
**Introduction** ..... **13**
**E410 Pregnancy and Postpartum Examples** ..... **14**
**E508 Community Spouse Example** ..... **15**
**E524 Qualified Noncitizen for at Least Five Years Examples** ..... **16**
**E602 Budget Group Examples** ..... **17**
E602 Budget Group Examples ..... 17
**E603 Examples for What is not Income** ..... **26**
E603 Examples for What is not Income ..... 26
**E604 Receipt of Income Examples** ..... **29**
E604 Receipt of Income Examples ..... 29
**E605 Verifying Income Examples** ..... **47**
E605 Verifying Income Examples ..... 47
**E606 Types of Income** ..... **49**
E606 Types of Income ..... 49
**E607 Expenses Exceed Income Examples** ..... **62**
**E608 Income Deeming Examples** ..... **64**
E608 Income Deeming Examples ..... 64
**E609 Modified Adjusted Gross Income (MAGI) Deductions Examples** ..... **66**
**E610 Examples for Calculating Income Eligibility for ALTCS** ..... **69**
E610 Examples for Calculating Income Eligibility for ALTCS ..... 69
**E611 Calculating Income Eligibility for SSI-MAO Examples** ..... **82**
E611 Calculating Income Eligibility for SSI-MAO Examples ..... 82
**E612 MSP Income Eligibility Calculation Examples** ..... **96**
E612 MSP Income Eligibility Calculation Examples ..... 96
**E613 How to Calculate FTW Income Eligibility** ..... **105**
**E614 Income of Children and Tax Dependents for MAGI** ..... **107**
**E703 Resource Treatment Examples** ..... **109**
E703 Resource Treatment Examples ..... 109
**E704 Ownership of Resources** ..... **114**
E704 Ownership of Resources ..... 114
**E705 Resource Type Examples** ..... **119**
E705 Resource Type Examples ..... 119
**E707 Community Spouse Resource Budgeting Examples** ..... **132**
E707 Community Spouse Resource Budgeting Examples ..... 132
**E802 Non-Special Treatment Trusts Examples** ..... **140**

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

E802 Non-Special Treatment Trusts Examples ..... 140
**E803 Special Treatment Trust Examples ..... 143**
E803 Special Treatment Trust Examples ..... 143
**E901 Transfer Overview Examples ..... 171**
E901 Transfer Overview Examples ..... 171
**E902 Transfers That May Affect Eligibility Examples ..... 174**
E902 Transfers That May Affect Eligibility Examples ..... 174
**E903 Transfers That Do Not Affect Eligibility Examples ..... 183**
**E905 Transfer Penalty Period Examples ..... 185**
E905 Transfer Penalty Period Examples ..... 185
**E1104 Enrollment with a Program Contractor Examples ..... 200**
**E1201 ALTCS Share of Cost (SOC) Examples) ..... 205**
E1201 ALTCS Share of Cost (SOC) Examples ..... 205
**E1203 Freedom to Work (FTW) Premium Begin Date Examples ..... 217**
**E1204 General Information about KidsCare Premiums Example ..... 218**
E1204 General Information about KidsCare Premiums Examples ..... 218
**E1302 Public Fiduciary Referral Examples ..... 220**
**E1309 Eligibility Begin Date Examples ..... 221**
E1309 Eligibility Begin Date Examples ..... 221
**E1314 HPE Period Examples ..... 225**
**E1502 Types of Changes Examples ..... 226**
E1502 Types of Changes Examples ..... 226
**E1706 Changes Before the Hearing is Held Examples ..... 231**
**PAS Appendix - EPD**
**Elderly and Physically Disabled (EPD) PAS-Overview ..... 232**
Elderly and Physically Disabled (EPD) PAS-Overview ..... 232
The Preadmission Screening (PAS) Process and Purpose ..... 233
Medical Records ..... 238
Investigative Interviewing and Documentation ..... 241
**Intake Information ..... 245**
Intake Information ..... 245
Open PAS Battery ..... 246
Developmental Disabilities ..... 249
Assessment Battery ..... 250
DD/EPD Information ..... 253
**Functional Scores ..... 255**
Functional Scores ..... 255
Activities of Daily Living (ADLs) ..... 256
Continence ..... 301
Deterioration in Overall Function ..... 304
Communication (Sensory) ..... 306
Behaviors ..... 316
**Medical Assessment ..... 355**
Medical Assessment ..... 355
Medical Conditions ..... 356

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

Medications ..... 397
Services Treatments ..... 400
**Reassessments ..... 426**
PAS Reassessments ..... 426
**PAS Appendix - DD**
**Developmentally Disabled (DD) PAS - Overview ..... 429**
Developmentally Disabled (DD) PAS - Overview ..... 429
The Preadmission Screening (PAS) Process and Purpose ..... 430
Medical Records ..... 435
Investigative Interviewing and Documentation ..... 438
**Intake Information ..... 442**
Intake Information ..... 442
Open PAS Battery ..... 443
Developmental Disabilities ..... 446
Assessment ..... 447
DD/EPD Information ..... 450
**Functional Assessment ..... 452**
DD Functional Assessment ..... 452
Ages 0-5 ..... 453
Ages 6-11 ..... 491
Ages 12 and Older ..... 560
**Medical Assessment ..... 639**
Medical Assessment ..... 639
Medical Conditions ..... 640
Medications ..... 684
Services and Treatments ..... 685
Medical Stability ..... 710
**PAS Summary and Evaluation ..... 715**
PAS Summary and Evaluation ..... 715
FCPI Service Summary ..... 716
PAS Summary ..... 718
Person Contact Detail ..... 723
PAS Scoring ..... 726
PAS Status ..... 729
PAS Completion ..... 730
Physician Review ..... 731
**Reassessments ..... 734**
PAS Reassessments ..... 734

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# Introduction

## Getting Started

Welcome to Arizona's Medical Assistance Eligibility Policy Manual.

View the **Quick Start** page for basic instructions.

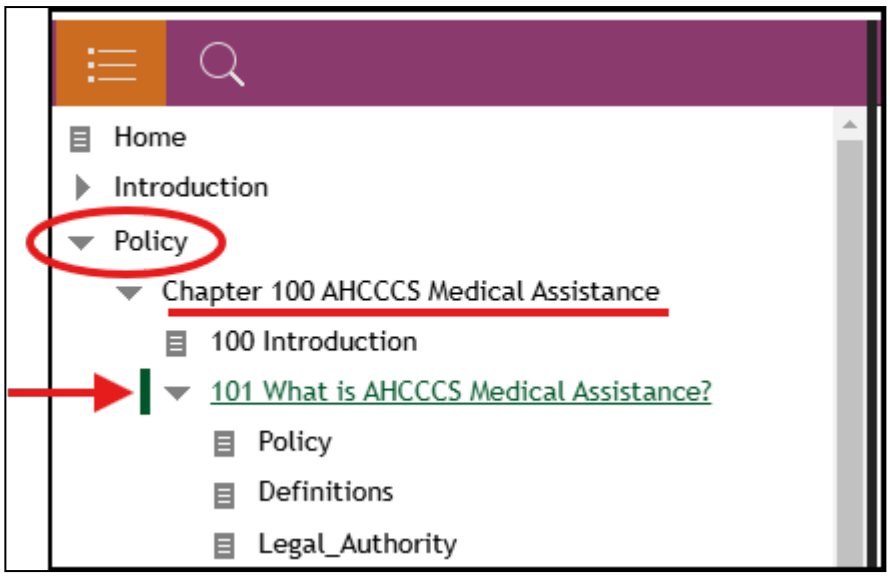
View the **Navigating This Manual** page for additional instructions and tips.

**Quick Start**

To get to a specific policy manual section use the Table of Contents to the left and open the policy section followed by the appropriate chapter.

Example: To get to “Chapter 101 - What is AHCCCS Medical Assistance?” you would need to:

- Click on Policy
- Click on Chapter 100 - AHCCCS Medical Assistance
- Click to open subchapter 101 - What is Medical Assistance




For more instructions on navigating this manual, click on the topic "Navigating This Manual" from the Table of Contents on the left.

**Navigating this manual**

The window of the Arizona's Medical Assistance Eligibility Policy Manual is divided into three panels: top panel, left panel and right panel.

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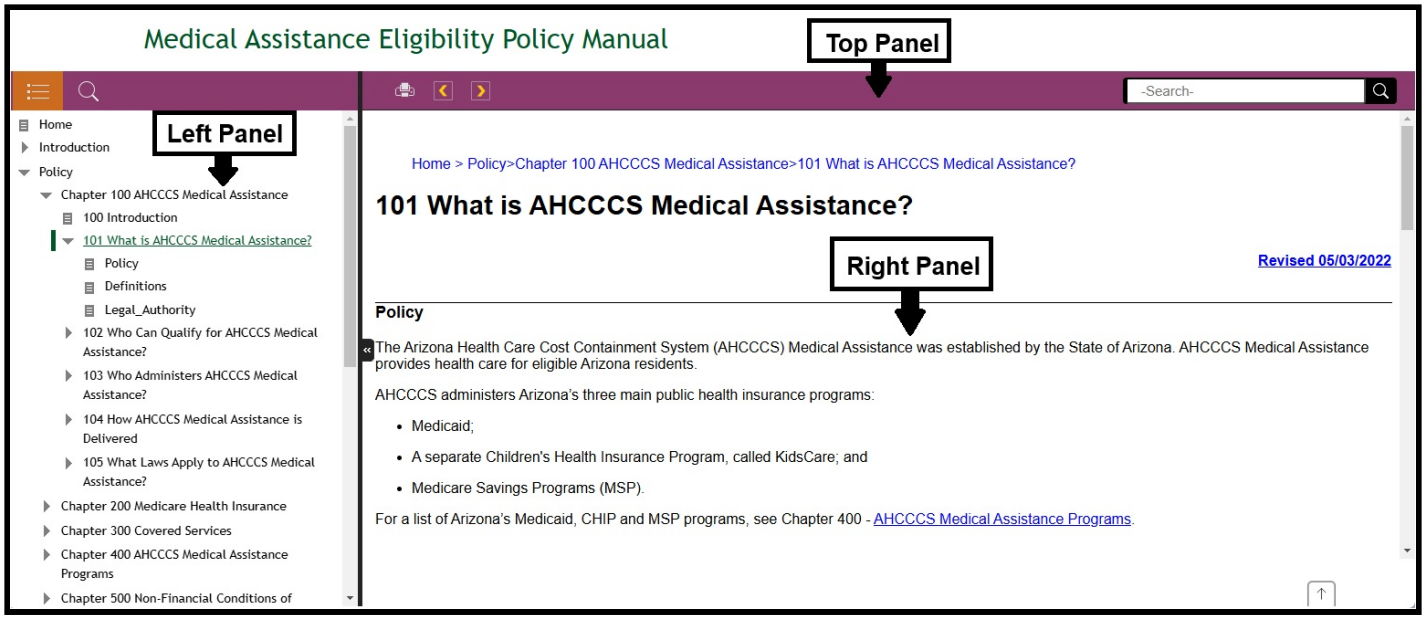


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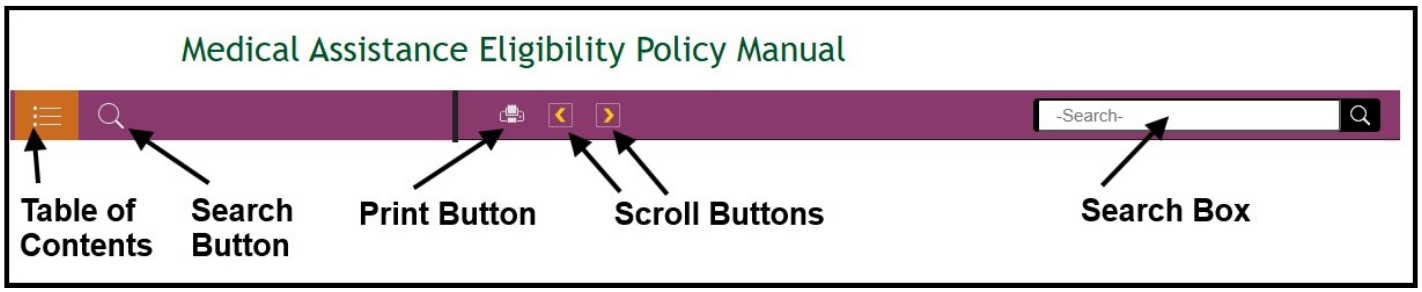
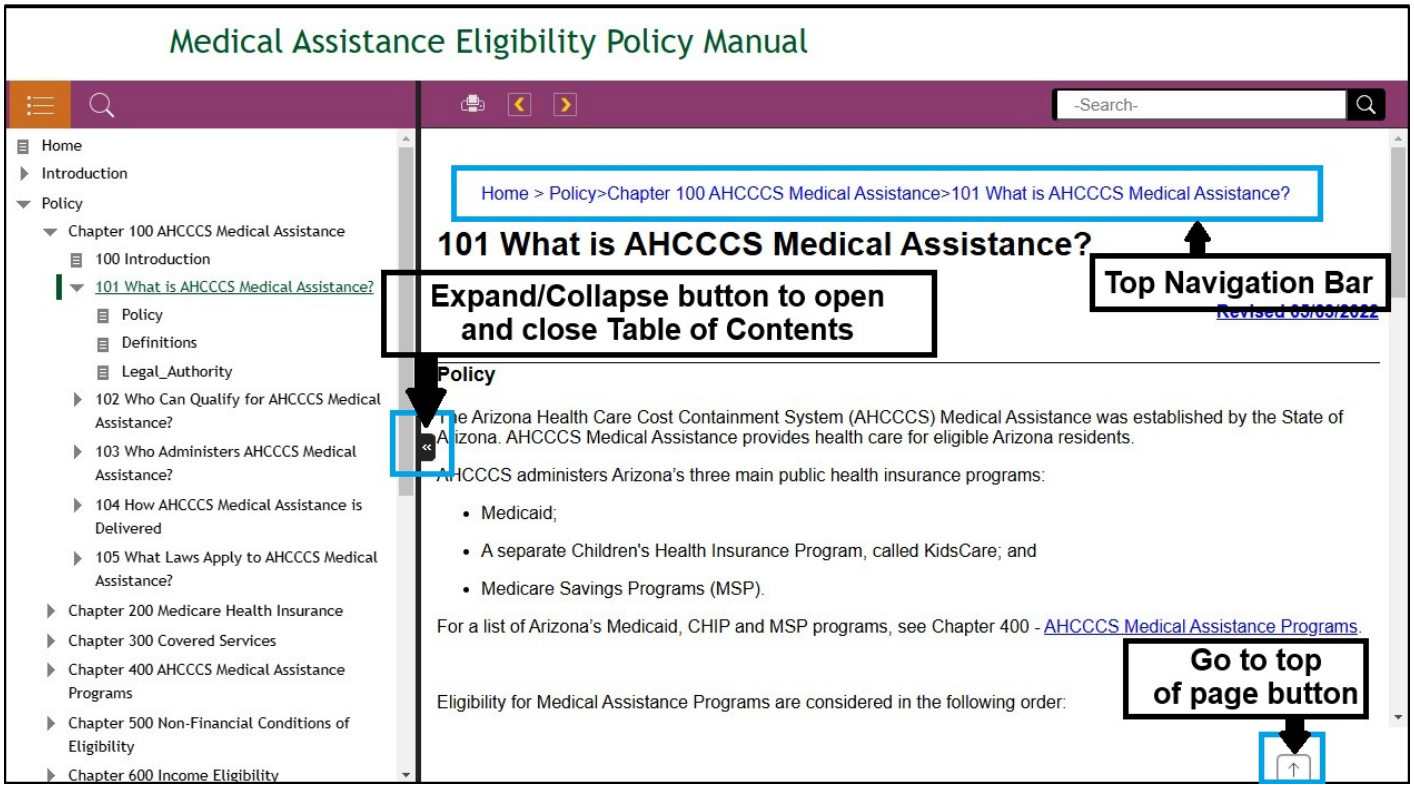



The **left panel** of the manual contains the table of contents and the search button.

The **right panel** is the main display window for the Eligibility Policy Manual.




The expand and collapse button allows the user to hide, open, or resize the table of contents. This page also provides a secondary navigation at the top of the page.

At the bottom of the page there is a cursor arrow to navigate to the top of the page.

**Table of Contents**

The Table of Contents can be accessed by clicking the “Contents” button, if it’s not already displayed. It is organized into three levels. The first two levels are “books” and the third level contains “pages”. Books organize content by chapters (1st level) and subchapters/topics (2nd level), while pages contain the actual policy. Clicking on a book will load the pages related to that section of the chapter.

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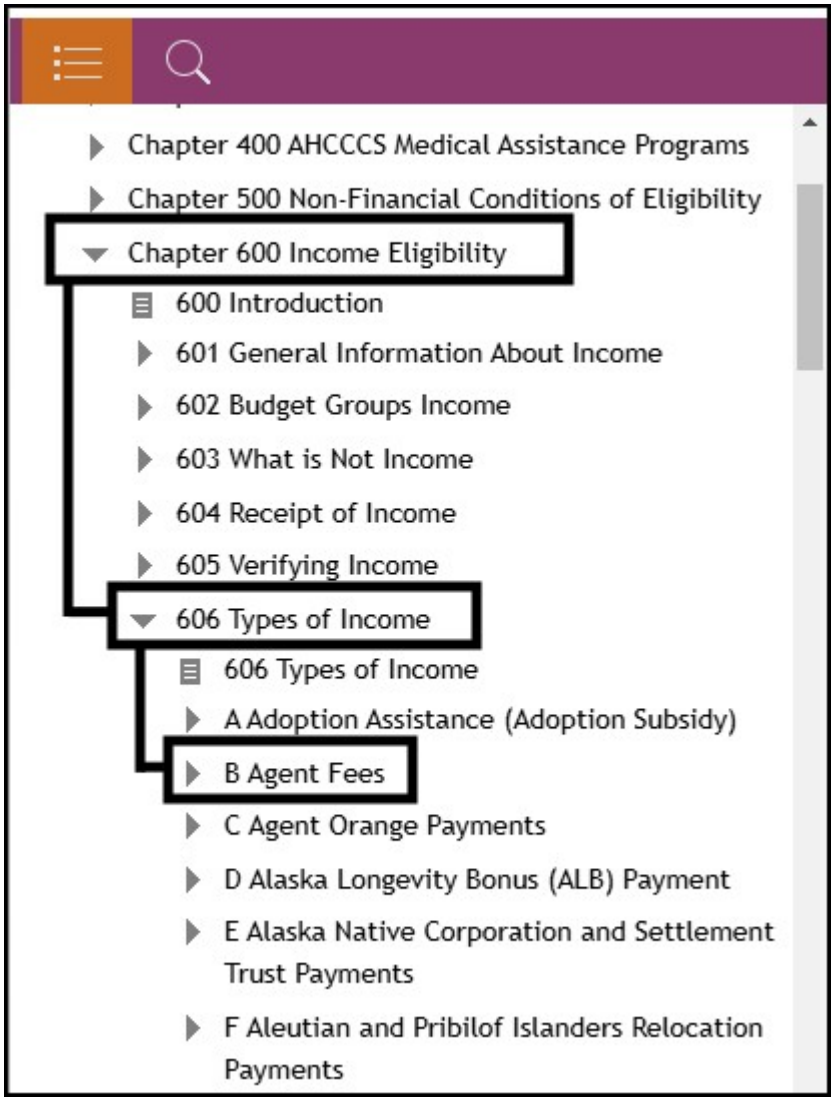


**Search**

The search option allows you to find all policy sections that contain a word or phrase. You can use the search button on the left of the screen of the search box. Type the word or phrase you are looking for in the Search field and click enter. (When you start typing a word or topic, a set of suggestions will start appearing and you may not have to enter the full search string).

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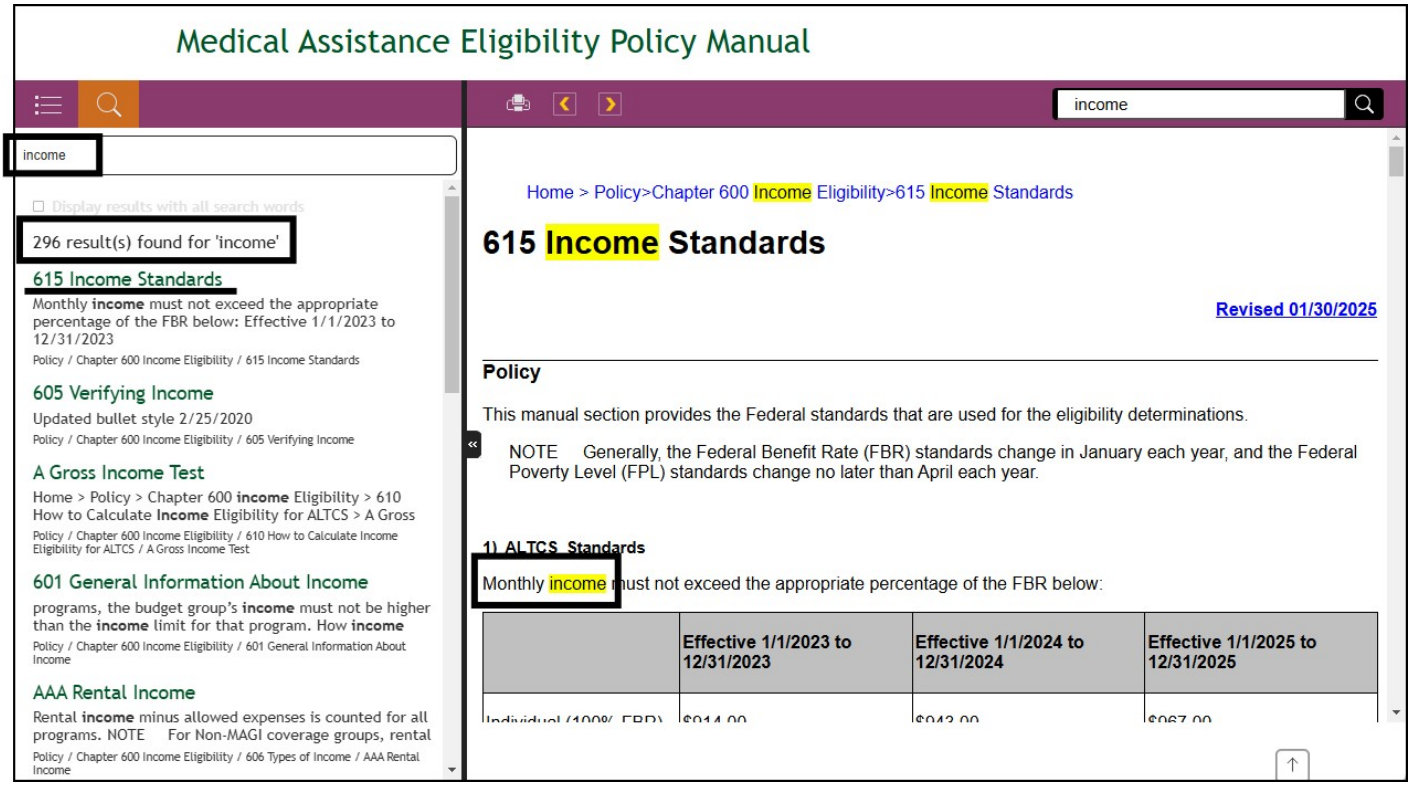


The results of the search is displayed below the search box. A ranking system displays the most relevant sections first. Click on the title of results you want to look at and the manual section will open in the right panel. The search term will be highlighted wherever it appears on the page.

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# Cash Assistance and Nutrition Assistance Policy

Please see the Cash and Nutrition Assistance Policy Manual located at https://DBMEFAAPolicy.azdes.gov for policy and procedures.

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# Examples

## Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Examples.

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# Introduction

This section provides examples of how policy is applied in various situations. Sections are numbered relating to the MA section the example is for.

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# E410 Pregnancy and Postpartum Examples

| Program | Manual Section |
|---|---|
| All programs | MA410, MA527, MA1502W |

**Examples**

**1) Woman's statement is questionable for pregnancy**

The customer states she is pregnant, but on a previous application said she was on leave from work following tubal ligation surgery to prevent pregnancy.

**2) Postpartum example where the customer does not qualify for 12-month postpartum coverage**

Customer applies for AHCCCS on 8/16/2022. She had the baby on 4/9/2022. The customer is asked about recent pregnancy to see if she could qualify for prior quarter coverage for May, June and July 2022.

The customer would qualify for the PQ coverage for May and June, but she would not qualify for the 12-month extended postpartum program. The customer was not pregnant during the potential coverage months (May, June, July and ongoing).

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# E508 Community Spouse Example

| Program | Manual Section |
|---|---|
| ALTCS | MA508 |

The customer is a community spouse living at home.

On July 8th, the customer enters a nursing facility. She is discharged on August 28th and returns home. Community spouse rules apply for both July and August since she was living in the community for at least one day in each of those months.

The customer is admitted to the nursing facility again on September 11th and does not return home until December 21st. Community spouse rules apply for September since she was living in the community for at least one day in that month. Community spouse rules do not apply for October and November because the customer was not living in the community for at least one day in either month. Community spouse policy applies again in December because she returned home during the month.

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# E524 Qualified Noncitizen for at Least Five Years Examples

| Program | Manual Section |
|---|---|
| ALTCS | MA524B |

**Calculating total time in a Qualified Noncitizen Status - Examples**

**1) Customer Has Different Prior Qualified Statuses**

A customer applied for Medical Assistance on July 5, 2021. The customer's current noncitizen status is Lawful Permanent Resident (LPR). He was granted LPR status on November 12, 2019. The customer provides information that he originally entered the U.S. as a Parolee. Documentation in the file from a prior application shows he was granted Parolee status on April 4, 2015. Since the customer was granted the Parolee status more than five years in the past, he has met the 5-year waiting period and can qualify for full AHCCCS MA.

**2) Customer had a prior status of battered noncitizen under Violence Against Women Act (VAWA)**

A customer applied for Medical Assistance on May 4, 2021. She is currently a Lawful Permanent Resident (LPR) and says she adjusted to that status from Battered Noncitizen. She provides the following documents:

- LPR card showing a grant date of June 3, 2018;
- Approval of self-petition under the Violence Against Women Act (VAWA) with an approval date of September 15, 2017; AND
- A notice of "prima facie" approval of a pending self-petition under the Violence Against Women Act (VAWA) dated January 25, 2016.

The SAVE response confirms the current LPR status and grant date. However, her earliest qualified status began on January 25, 2016, with the prima facie approval under VAWA. This date is used to determine the customer has had a qualified noncitizen status for more than five years and can qualify for full AHCCCS MA.

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# E602 Budget Group Examples

## E602 Budget Group Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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## A MAGI Budget Group Examples

| Programs | Manual Section |
|---|---|
| Caretaker Relative<br>Pregnant Women<br>Child<br>Adult<br>KidsCare | MA602D |

These examples are divided into five groups based on taxpayer or tax dependent status and age:

- Taxpayer Budget Group
- Tax Dependent Under Age 19 Budget Group
- Tax Dependent Age 19 or Older Budget Group
- Not a Taxpayer or Tax Dependent (under age 19) Budget Group
- Not a Taxpayer or Tax Dependent (age 19 or older) Budget Group

Each section includes budget group examples only for the person in the scenario that meets the rules for that section. The location of any examples for other people in the scenario is listed at the end of the scenario.

### Taxpayer Budget Group Examples

#### 1) Married taxpayer filing a joint return

The customers are married but recently separated and are not living together. They have two children. The son is 15 years old and lives with his father. The daughter is 8 years old and lives with her mother. The customers plan to file a joint tax return for the current year and claim both children as tax dependents. (See Example #4 for the son's and daughter's budget groups)

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| The Budget Group for… | Includes… |
|---|---|
| Father | • Self<br>• Mother (joint filer)<br>• Son (his tax dependent)<br>• Daughter (his tax dependent) |
| Mother | • Self<br>• Father (joint filer)<br>• Son (her tax dependent)<br>• Daughter (her tax dependent) |

#### 2) Married taxpayer filing separate return

The customer and the spouse are married and live together with their 5-year old son. They plan to file separate tax returns this year. The spouse will claim the son as a tax dependent. (See Example #9 for the son's budget group)

| The Budget Group for… | Includes… |
|---|---|
| Customer | • Self<br>• Spouse (living in the same home) |
| Spouse | • Self<br>• Spouse (living in the same home)<br>• Son (her tax dependent) |

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#### 3) Unmarried taxpayer claiming dependents

The customer is divorced and lives alone. He plans to file a tax return for the current year and will claim his 12-year old son as a tax dependent as allowed by the divorce decree. The son lives with his mother in Colorado..

| The Budget Group for… | Includes… |
|---|---|
| Customer | • Self<br>• Son (his tax dependent) |

### Tax Dependent Under Age 19 Budget Group Examples

#### 4) Tax dependent - Example 1

The customers are married but recently separated and are not living together. They have two children. The son is 15 years old and lives with his father. The daughter is 8 years old and lives with her mother. The customers plan to file a joint tax return for the current year and claim both children as tax dependents. (See Example #1 for the parents' budget groups)

| The Budget Group for… | Includes… |
|---|---|
| Son | • Self<br>• Father (taxpayer claiming him)<br>• Mother (taxpayer claiming him)<br>• Daughter (other tax dependent claimed by taxpayers) |
| Daughter | • Self<br>• Father (taxpayer claiming her)<br>• Mother (taxpayer claiming her)<br>• Son (other tax dependent claimed by taxpayers) |

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**5) Tax dependent - Example 2**

The customer lives with her 2-year old son and her 8-year old nephew. She plans to file a return for the current year and will claim both her son and her nephew as a tax dependent. The customer is only applying for her son. Her nephew already has coverage through the ALTCS program.

| The Budget Group for… | Includes… |
|---|---|
| Customer's son | • Self<br>• Customer’s mother (taxpayer claiming him)<br>• Mother’s nephew (other tax dependent claimed by taxpayer) |

**Tax Dependent Age 19 or Older Budget Group Example**

**6) Tax dependent over age 19**

The customer, her 20-year old daughter and the daughter’s 1-year old son live together. The customer plans to file a tax return for the current year and will claim her daughter as a tax dependent. The daughter’s son will be claimed by his father who lives in another state. (See Example #8 for the daughter’s son’s budget group)

| The Budget Group for… | Includes… |
|---|---|
| Daughter | • Self<br>• Daughter's mother (taxpayer claiming her) |

**Not a Taxpayer or Tax Dependent (under age 19) Budget Group Examples**

The following provide examples of budget groups for people who are not taxpayers, are not claimed as a tax dependent, or ARE claimed as tax dependents but meet an exception from using tax dependent rules.

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**7) Not a taxpayer or claimed as a tax dependent**

The customer, age 17, lives with his mother, his step-father, his 21-year old brother, and the brother's 2-year old daughter. No one in the home plans to file a tax return for the current year, and no one is claimed as a tax dependent by someone else.

| The Budget Group for… | Includes… |
|---|---|
| Customer | • Self<br>• Customer's mother<br>• Customer's step-father |

**8) Lives with a parent, but claimed as a tax dependent by a non-custodial parent.**

The customer, her 20-year old daughter and the daughter's 1-year old son live together. The customer plans to file a tax return for the current year and will claim her daughter as a tax dependent. The daughter's son will be claimed by his father who lives in another state. (See Example #6 for the daughter's budget group)

| The Budget Group for… | Includes… |
|---|---|
| Son | • Self<br>• Son's mother |

**9) Claimed as a tax dependent by one parent, but living with more than one parent.**

The customers are married and live together with their 5-year old son. They plan to file separate tax returns this year. The mother will claim the son as a tax dependent. (See Example #2 for the parents' budget groups)

| The Budget Group for… | Includes… |
|---|---|
| Son | • Self<br>• Mother |

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| | |
|---|---|
| | • Father |

**10) Claimed as a tax dependent by someone other than a spouse or parent.**

The customer lives with her 5-year old granddaughter. The customer plans to file a tax return for the current year and will claim the granddaughter as a dependent.

| The Budget Group for… | Includes… |
|---|---|
| Granddaughter | • Self |

**Not a Taxpayer or Tax Dependent (age 19 or older) Budget Group Examples**

**11) Not a taxpayer or claimed as a tax dependent**

The customer and his partner are both over 19 years old and are not married. They live together along with the partner's 12-year old son. No one plans to file a tax return for the current year, nor will they be claimed as dependents by someone else.

| The Budget Group for… | Includes… |
|---|---|
| Son | • Self |
| Mother | • Self<br>• Mother's son |

**12) Claimed as a tax dependent by someone other than a spouse or parent.**

The customer is 63 years old and lives with her adult daughter. The adult daughter plans to file a tax return for the current year and will claim the customer as a dependent.

| The Budget Group for… | Includes… |
|---|---|

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| | |
|---|---|
| Customer | • Self |

#### 13) Pregnant Woman Budget Group

The customer is pregnant and lives with her daughter.

| **The Budget Group for…** | **Includes…** |
|---|---|
| Customer | • Self<br>• Daughter<br>• Unborn Child |
| Customer's daughter | • Self<br>• Mother |

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**B Conflicting Tax Information**

| Programs | Manual Section |
|---|---|
| Caretaker Relative<br>Pregnant Women<br>Child<br>Adult<br>KidsCare | MA602D |

Member completes and application online stating she files head of household and claims her 2 children. While working her case, the Benefits and Eligibility Specialist discovers the children's father (not in the home) has also submitted an application and reports claiming the 2 children. This would require further verification to determine who is actually claiming the children for tax purposes.

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# E603 Examples for What is not Income

## E603 Examples for What is not Income

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Return of An Incorrect Payment**

| Program | Manual Section |
|---|---|
| All programs | MA603 |

On January 3rd, the customer receives his regular VA pension check of $290.00. On January 15th, he gets another check for $290.00 with a letter saying that his January check was delayed due to a computer error. The customer realizes that the second check was sent by accident and plans to return it.

The second payment is not returned until early April. The customer explains that he was not able to return it sooner due to illness. The return of the second $290.00 check is verified and the reason for the delay is noted in the file.

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**B Vendor Payment**

| Program | Manual Section |
|---|---|
| All programs | MA603 |

The customer is unable to pay his car payment. His sister pays the monthly loan payment for him directly to the lender. The payment is not income to the customer.

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# E604 Receipt of Income Examples

## E604 Receipt of Income Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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# A Revocably Assigned Income Examples

| Program | Manual Section |
|---|---|
| All programs | MA604B |

## Examples

#### 1) Flat Rate Insurance Policy

The customer has a flat rate long-term care insurance policy. It pays $50.00 a day for each day that he is in a nursing facility. The payments are made monthly.

The customer has signed a form that authorizes the insurance company to make the payments directly to the nursing facility. However, he can have the payments sent to himself instead at any time.

The insurance payments are revocably assigned, so they are considered constructively received. The payments are counted as income to the customer, just as if they were sent to him instead of the nursing facility.

#### 2) Disability Insurance

The customer has a disability insurance policy that pays $2,500 per month. The insurance payment is being paid to the customer's spouse. The customer can have the payments paid to him at any time.

The disability insurance payments are revocably assigned, so they are considered constructively received. The payments are count as income to the customer, not the spouse.

#### 3) Annuity Payments

The customer purchased an irrevocable annuity in 2012 that pays $1,500 per month. Payments are currently being paid to the customer's son. According to the annuity contract, the customer may change who receives payments from the annuity at any time.

The annuity payments are revocably assigned, so they are considered constructively received. The payments are counted as income to the customer. Payments made to the customer's son during the transfer look-back period must be reviewed as potential transfers (MA902A).

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**B Example Irrevocably and Permanently Assigned Income**

| Program | Manual Section |
|---|---|
| ALTCS | MA604.B |

The customer has a flat rate insurance policy. It pays $50.00 a day for each day that he is in a nursing home. The payments are made monthly.

The customer irrevocably assigns these monthly insurance payments to the nursing home beginning in the month of November. He cannot change the assignment or get the ongoing payments back.

Any payments the customer got before November are counted as income in the month he got them. Starting in November, the payments are not counted as income. However, if the customer is applying for or getting ALTCS, the assignment of the insurance payments is as a transfer.

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**C Irrevocably and Periodically Assigned Income Example**

| Program | Manual Section |
|---|---|
| ALTCS only | MA604.B |

The customer is an ALTCS customer. She irrevocably assigns her pension payments for January and February of this year to her adult child.

Since only two months of the pension payments were assigned, the payments are considered constructively received for ALTCS. The payments for January and February are counted as income for the customer just as if she had actually received them.

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**D Income Received on Behalf of Another Person Example**

| Program | Manual Section |
|---|---|
| ALTCS Only | MA604.B |

The customer is an ALTCS recipient with a Long-Term Care (LTC) flat rate insurance policy that would be making payments, but the customer has not submitted the insurance claim. The payments are considered constructively received for ALTCS purposes. The payments are considered income just as if the customer had received them.

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**E Five Weekly Payments Received In a Month Example**

| Program | Manual Section |
|---|---|
| ALTCS<br>SSI-MAO<br>MSP<br>FTW | MA604.E |

The customer applies in November. He is working and paid weekly. The customer gets five weekly checks in November. The total income from the five checks received in November is more than the income limit. In December and for the next few months, the customer will receive four weekly checks. The total income from the four checks he normally gets is less than the income limit.

The customer will be denied in November for excess income, and approved for December and ongoing. The worker uses the customer's pay schedule to figure out the next month he will get five checks and sets an alert for the month before to review his case.

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## F Three Bi-Weekly Payments Received In a Month Example

| Program | Manual Section |
|---|---|
| ALTCS<br>SSI-MAO<br>MSP<br>FTW | MA604.E |

The customer applies in November. He is working and is paid every other week. The customer gets three bi-weekly checks in November. The total income from the three checks received in November is more than the income limit. In December and for the next few months, the customer will get two bi-weekly checks. The total income from the two checks he normally gets is less than the income limit.

The customer will be denied in November for excess income, and approved for December and ongoing. The worker uses the customer's pay schedule to figure out the next month he will get three checks and sets an alert for the month before to review his case.

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**G Contract Periods That Cover More Than One Calendar Year Example**

| Programs | Manual Section |
|---|---|
| Adult<br>Caretaker Relative<br>Child<br>Pregnant Woman<br>KidsCare | MA604F.1 |

The customer applies in October. He is employed under a contract with a local bank to revise their human resources policy. The contract runs from September 1st through March 31st of the following year. He is paid $2000 monthly for a total of $14,000.

He was paid $2000 in September, and has not been paid yet for October.

The monthly equivalent is calculated by taking the income he will get under the contract from the month he applied through September of the following year.

He will get $2000 per month for the months of October through March for a total of $12,000. This amount is divided by 12 to get the monthly equivalent of $1000.

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**H Contract Anticipated To Be Renewed Example**

| Programs | Manual Section |
|---|---|
| Adult<br>Caretaker Relative<br>Child<br>Pregnant Woman<br>KidsCare | MA604F.1 |

The customer applies in March. She is employed under a contract with the school district as a teacher's aide. She has received a contract for the last two years and expects to get a contract for the next school year too.

The contract covers the school year from August 23rd through May 23rd. The customer will be paid bi-weekly, and the total contract amount is $24,600.

The monthly equivalent is calculated by taking the anticipated income from the month she applied through February of the following year.

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**I Seasonal Income Example**

| Programs | Manual Section |
|---|---|
| Adult<br>Caretaker Relative<br>Child<br>Pregnant Woman<br>KidsCare | MA604F.2 |

The customer has worked at the Honey Baked Ham store every holiday season (from October 1 through December 31) for the last 4 years. On her application, she says that she will be working there again this year.

AZ DOR shows income from this employer only in the 4th quarter of each of the last 4 years. She has earned an average of $1,200 each year from this seasonal job and expects to make the same amount this year.

The expected annual income of $1,200 is divided by 12 months to get the monthly equivalent of $100 per month.

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**J Changes In Pay Rate Example**

| Program | Manual Section |
|---|---|
| All programs | MA604B |

The customer reports receiving a raise in pay from $9.00 per hour to $9.50 per hour, however they have not yet received any paystubs with the new pay rate. The customer's normal hours are 30 hours per week, paid bi-weekly, both of which are not expected to change. To forecast the new pay amounts:

- (Normal bi-weekly hours of 30 hours per week) x (2) = 60 hours per pay period
- (60 hours) x (new pay rate of $9.50 per hour) = new anticipated pay of $570 per pay period

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# K Changes In Work Hours Examples

| Program | Manual Section |
| --- | --- |
| All programs | MA604G |

## Examples

#### 1) Example 1: Paid weekly and work hours vary

The customer reports that their new work hours will vary between 10 and 20 hours per week. Their pay rate is $8.25 per hour and that will not change. To forecast the new pay amounts:

- Add the range of hours to get the average weekly hours: (10 + 20) = 30. Divide by 2 = 15 (Expected averaged weekly hours).
- Multiply by 2 to get the average hours per pay period. (15 x 2) = 30 (Expected averaged bi-weekly hours).
- Multiply by the pay rate to get the new expected bi-weekly pay rate (30 x 8.25) = $247.50

#### 2) Example 2: Paid semi-monthly and work hours vary

The customer reports that their new work hours will vary between 20 and 25 hours per week. Their pay rate is $8.25 per hour and that will not change. To forecast the new pay amounts:

- Add the range of hours to get the average weekly hours: (20 + 25) = 45. Divide by 2 = 22.5 (Expected averaged weekly hours).
- Multiply by 2.15 to get the average hours per pay period (22.5 x 2.15) = 48.37 (Expected average semi-monthly hours)
- Multiply by the pay rate to get the new expected semi-monthly pay rate (48.37 x 8.25) = $399.05

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## L Zero Pay Periods Example

| Program | Manual Section |
|---|---|
| All programs | MA604G |

**Examples**

The customer reports that she gets paid weekly, works on call, and that zero pays are not unusual. She provided 4 weekly paychecks, 1 of which is a zero pay. The gross pay for each of the checks were (check 1 = $300.00, check 2 = $290.00, check 3 = $0.00, and check 4 = $310.00). To determine the monthly amount to budget for a MAGI program:

- Add all of the pay amounts for the income period ($300 + $290 + $310) = $900
- Divide by the amount of total number of pay periods including the zero pay period ($900 divided by 4) = $225
- Multiply by 4.3 because she is paid weekly ($225 x 4.3) = $967.50 (average monthly amount including the zero pay)

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## M Garnishments and Overpayments Examples

| Program | Manual Section |
|---|---|
| All programs | MA604E |

### Examples

#### 1) Income Garnished but the full amount is counted

The customer does not get their full Social Security payment in the amount of $1,200 per month because an overpayment is being recovered in the amount of $121.00 monthly. At the time of the overpayment, the customer was not receiving AHCCCS benefits. The customer's full gross amount of $1,200.00 is countable income.

#### 2) Income Garnished and the garnished amount is excluded

The customer is entitled to a full monthly Social Security payment in the amount of $1,600.00. The customer only gets $1,360.00 per month because an overpayment of $240.00 is being recovered monthly. The customer was receiving AHCCCS benefits during the overpayment. The overpayment was factored into eligibility determinations during that period. The $240.00 is excluded from the customer's countable income.

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## N Unusual Low-high Income Payments

| Program | Manual Section |
|---|---|
| All programs | MA604G |

### Examples

#### 1) Unusual Pay is expected to continue

The customer takes on an extra shift that is outside of her normal work hours. She reports that this is recurring, and happens every other week. The customer is paid weekly, and she provided 4 weekly paychecks. The gross pay for each of the checks were:

- check 1 = $300.00
- check 2 = $450.00
- check 3 = $300.00
- check 4 = $450.00

To determine the monthly amount to budget for a MAGI program:

- Add all the pay amounts for the income period ($300 + $450 + $300 + $450) = $1,500
- Divide by the amount of total number of pay periods ($1,500 divided by 4) = $375
- Multiply by 4.3 because she is paid weekly ($375 x 4.3) = $1,612.50 (average monthly amount including the bonus)

#### 2) Work hours outside of normal range (Not expected to continue)

The customer is asked to take on an extra shift for a co-worker who has called out sick. She reports that this is an unusual circumstance. The customer is paid weekly, and she provided 4 weekly paychecks. A call to the employer verifies that the customer normally works 30-35 hours per week and the additional hours worked in week 3 were unusual. The hours and gross pays provided were:

- check 1 = 32 hours $480

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- check 2 = 30 hours $450
- check 3 = 40 hours $600
- check 4 = 34 hours $510

To determine the monthly amount to budget for a MAGI program:

- Add all the pay amounts for the income period that are included in the normal range of hours verified by the employer, not using the usual pay ($480 + $450 + $510) = $1,440
- Divide by the amount of total number of checks used ($1,440 divided by 3) = $480
- Multiply by 4.3 because she is paid weekly ($480 x 4.3) = $2,064 (average monthly amount excluding the unusual pay)

**3) Bonus One time occurrence (Not expected to continue)**

The customer receives a one-time bonus. She reports that this is unusual, and the employer verified that this was a one-time occurrence. The customer is paid weekly, and she provided 4 weekly paychecks. The gross pay for each of the checks were:

- check 1 = $600.00
- check 2 = $625.00
- check 3 = $1,300.00 (Includes the $700 Bonus)
- check 4 = $600.00

To determine the monthly amount to budget for a MAGI program:

- Add all the pay amounts for the income period subtracting the bonus amount ($600 + $625 + $600 + 600) = $2,425.00
- Divide by the amount of total number of pay periods ($2,425 divided by 4) = $606.25
- Multiply by 4.3 because she is paid weekly ($606.25 x 4.3) = $2,606.88 (average monthly amount excluding the bonus)

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**4) None of the previous checks could be used to project income for future months:**

The customer reports that she had a special project at her work and worked an extra seven hours during her last four checks, but this is unusual and will not continue. A call to the employer confirms that she will no longer work the extra hours and her normal pay is 33 hours a week at $15 an hour. She is paid weekly and provided a copy of her last four checks. The gross pay for each of the checks were:

- check 1 = $600.00
- check 2 = $600.00
- check 3 = $600.00
- check 4 = $600.00

Because all checks can't be used to determine the ongoing income, use the statement from the employer to project income for future months. To determine the monthly amount to budget for a MAGI program:

- Multiply the number of normal hours by the hourly pay (33 x $15) = $495.
- Multiply by 4.3 because she is paid weekly ($495 x 4.3) = $2,128.50

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# E605 Verifying Income Examples

## E605 Verifying Income Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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## A Reasonable Compatibility Examples

| Programs | Manual Section |
|---|---|
| All programs, except ALTCS | MA605.1 |

#### 1) Example - Income information is reasonably compatible

The customer is 40 years old. He is a single person applying for MA in January 2014. The customer lists income of $1,150 per month from his job on the application. The state hub shows average monthly income of $1,220 from the job. No other income is found by the state and federal hubs.

Under the Adult Group, the income limit for a budget group of one person is $1,274 per month. Since both sources of information show that his income is below the limit, the customer qualifies for MA no matter which source is used. The difference in the two amounts does not affect eligibility, so it is reasonably compatible.

#### 2) Example - Income information is not reasonably compatible

The customer is also 40 years old and a single person applying for MA in January 2014. The customer lists income of $1,150 per month on the application from his job, but the state hub shows average monthly income from this job is $2,150. No other income is found by the state and federal hubs.

Under the Adult Group, the income limit for a budget group of one person is $1,274 per month. Since the customer says his income is low enough to qualify for MA, but the state hub shows his income is too high to qualify, he will need to provide proof of his current monthly income. The difference in the two amounts could affect eligibility, so it is not reasonably compatible.

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# E606 Types of Income

## E606 Types of Income

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**A Allocated Income**

| Programs | Manual Section |
|---|---|
| All programs | MA606H |

| Example | Calculation |
|---|---|
| The customer is in a nursing facility and on ALTCS. His spouse lives at home and is applying for SSI MAO.<br><br>The customer's gross income is $745 per month.<br><br>• He pays $38.50 for health insurance<br>• His personal needs allowance (PNA) is $149.10<br>• His calculated Share of Cost (SOC) is $0<br>• The calculated CSMIA is $895 | $745.00 (gross income)<br><br>-$149.10 (PNA)<br><br>-$38.50 (insurance premium)<br><br>=$557.40 (remaining income)<br><br>Remaining income is less than the CSMIA. So, the allocated income amount is $557.40. |
| The customer is in a nursing facility and on ALTCS. Her spouse lives at home and is applying for MSP.<br><br>• The customer's gross income is $1,490 per month<br>• Her PNA is $149.10<br>• She pays $120.00 for health insurance<br>• Her calculated SOC is $983.55<br>• The calculated CSMIA is $245.00 | $1,490.00 (total gross income)<br><br>-$149.10 (PNA)<br><br>-$120.00 (TPL)<br><br>-$983.55 (SOC)<br><br>=$237.35 (remaining income)<br><br>Remaining income is less than the CSMIA. So, the allocated income amount is $237.35. |

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| | |
|---|---|
| The customer is in an assisted living home and is on ALTCS. His spouse lives at home and is applying for ALTCS.<br>• The customer's gross income is $4,500 per month<br>• His PNA is $2,982.00<br>• He pays $50.00 for TPL<br>• Calculated SOC is $0<br>• The calculated CSMIA is $1,062.00 | $4,500.00 (total gross income)<br>-$2,982.00 (PNA)<br>-$50.00 (TPL)<br>=$1,468.00 (remaining income)<br>Remaining income is more than the CSMIA. So, the allocated income amount is the full CSMIA amount of $1,062.00. |

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## B Disability Insurance Payments Examples

| Programs | Manual Section |
|---|---|
| All programs | MA606S |

#### 1) Reduced Disability Insurance Amount

The customer is out of work and getting short-term disability insurance payments. The proof provided by the insurer shows that he is entitled to a maximum benefit of $1,250.00 per month. However, he also gets a monthly Social Security Disability payment of $820.00.

The $820.00 from Social Security is deducted from the maximum short-term disability benefit, resulting in an actual disability insurance payment of $430.00. Only the $430.00 actually paid is considered as disability insurance income.

#### 2) Taxable Disability Insurance Amount (MAGI Only)

The customer is getting long-term disability benefits of $1,500 per month. The proof provided by the employer shows that the customer's long-term disability premiums were split between the employer and the customer with each paying half. The employee's half of the premiums were paid with after-tax income.

Since half of the premium was paid by the employee with after-tax income, half of the $1,500 payment is excluded from counting as income. The other half of the payment is counted since the other half of the premium was paid by the employer.

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**C Indian Gaming Profit Distribution**

| Programs | Manual Section |
|---|---|
| All programs | MA606DD |

The customer received a quarterly gaming distribution of $2000 in October from the tribe. Since quarterly payments are based on new gaming profit, we will not know the amount of each payment until after the payments have been received. So, the $2000 received in October is used to anticipate the amount of the payment that will be received in the next quarter (January).

NOTE For programs where income is not prorated over the months in the quarter and is counted in full for the month it is received, a quarterly payment may put the person over the income limit. If the gaming income puts the customer over the income limit for January, his AHCCCS Medical Assistance will be stopped from January 1 to January 31. His benefits will be reinstated for February 1st.

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## D Indian Income from Protected Rights and Resources

| Programs | Manual Section |
|---|---|
| All programs | MA606EE |

#### 1) Indian Land Lease or Royalty Payments Example

The customer is a tribal member and has an allotment of trust lands. These lands are leased out for livestock grazing, and the customer gets a semi-annual payment of $4,500 from this lease. The proof received shows that the lands leased are federally-designated trust lands, and the income is not counted when determining the customer’s eligibility.

#### 2) Products Harvested Under Protected Rights or from Trust Land Example 1

The customer is a member of a tribe that has federally protected fishing rights.Each year during the spring, he fishes and sells much of the catch. He provides proof from the tribe of his fishing rights, and the income is not counted when determining his eligibility.

#### 3) Products Harvested Under Protected Rights or from Trust Land Example 2

The customer is a member of a tribe with federally protected hunting and gathering rights. She creates and sells artworks and crafts from deer and elk antlers, hide and other products from this hunting. She provides proof of her tribal hunting and gathering rights, and the income is not counted when determining her eligibility.

#### 4) Unique Religious, Spiritual, Traditional, or Cultural Significance Example

The customer gathers and sells herbs and plants for use in traditional tribal ceremonies. She makes between $200 and $600 per month from this self-employment. She provides a statement about the spiritual and traditional significance of the plants and herbs for tribal ceremonies. The income is not counted when determining the customer’s eligibility.

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## E Self-Employment Examples

| Programs | Manual Section |
|---|---|
| MAGI programs | MA606CCC |

#### 1) Net Loss of Income (MAGI programs only)

The customer's business did not make any profits for the year. The customer gives proof that the business had a loss of $2,400 for the year. The $2,400 is divided by 12 to get the monthly amount of loss. The average monthly loss is $200. This amount is subtracted from the budget group's countable income when determining income eligibility.

#### 2) Net Loss of Income (Non-MAGI programs only)

The customer's business did not make any profits for the year. The customer gives proof that the business had a loss of $1800 for the year. The $1800 is divided by 12 to obtain the monthly amount of loss. The average monthly loss is $150. The income from this business is counted as $0 when determining the budget group's countable income eligibility for the month.

#### 3) Qualified Joint Venture by a Married Couple (All Programs)

The customer provided two Schedule C Tax forms as proof of income for the business the customer and spouse share. Both the customer and spouse filed taxes as joint owners of the business. Since both customers run the business, they are co-owners and each filed taxes for their part. Income from the business would be counted for each member when determining the budget group's countable income.

#### 4) Non-Standard Self Employment (All Programs)

The customer and her family were part of the Adopt-A-Road program for years while she was in high school. Last year she moved into an apartment with her friends but had trouble finding work. She decided to use her experience as a volunteer and collect cans and other materials she could sell. She does keep regular hours and considers this her job. When she filed taxes, she used Form

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1040 and had to attach a Schedule 1 for ‘Other Income’. Even though she did not have a formal business, her self-employment income is countable, and the tax forms may be used as proof.

**5) Pro-Rated Monthly amounts (All Programs)**

The customer started a business in early September last year. The customer started making money right away and the businesses income has stayed the same ever since. He and his family applied for Medical Assistance in March of this year. The customer explained that the tax forms are the only proof they could give, but that they expected this income to stay about the same month to month. We would use the customer’s tax forms to calculate his monthly income from the previous year. By dividing the income and expenses claimed on his tax forms by the number of months (September through December) he was in business.

**6) Loan Expenses (Non-MAGI programs only)**

The customer and spouse have a mortgage on their farm. The customer is now applying for ALTCS. They give tax documents for the farm as proof of income. The mortgage payments are entered as an expense on the tax documents. For ALTCS, and other Non-MAGI programs, the interest paid on the mortgage is deducted from the income. Payment of the loan principal is not deducted from the income when determining the budget group’s countable income.

**7) Loan Expenses (MAGI programs only)**

The customer owns and operates a small cafe. The business has a mortgage for the land and the building. The customer applies for Medical Assistance in the Adult program. The customer gives tax forms as proof of income. The mortgage is entered as an expense. For Adult and MAGI programs, the full amount of the expense paid for the mortgage is allowed. Both principal and interest are deducted from the income when determining the budget group’s countable income.

**8) Income is not the same as last year (All Programs)**

The customer is self-employed. The customer gives taxes for last year as proof of income. When applying, the customer provided a letter explaining that this income is less than last year. The letter says that the income is about the same every month. The customer is asked to provide proof of the last 30 days of income and expenses for the business. This proof will be used when determining her budget group’s countable income for the month.

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## F Arizona State Retirement System with Health Insurance Supplement Examples

| Programs | Manual Section |
|---|---|
| All programs | MA606TT |

### Examples

#### 1) The health insurance premium supplement is the same amount as the premium paid.

A pay stub from Arizona State Retirement System (ASRS) shows:

- $950 gross monthly income;
- $100 of the gross amount is for a health insurance premium supplement; AND
- $100 is deducted for a health insurance premium.

$950 (Gross income) - $100 (health insurance premium supplement) = $850.00 countable income.

NOTE For ALTCS, a share of cost deduction would not be allowed for the health insurance because ASRS is paying the entire premium for the customer.

#### 2) The health insurance premium supplement is less than the total premium paid.

A pay stub from Arizona State Retirement System (ASRS) shows:

- $1200 gross monthly income;
- $100 of the gross amount is for a health insurance premium supplement; AND
- $300 is deducted for a health insurance premium.

$1200 (Gross income) - $100 (health insurance supplement) = $1100.00 countable income.

NOTE For ALTCS, only $200 would be allowed as a share of cost deduction because it is the amount the customer actually pays for the premium.

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**3) The health insurance premium supplement is more than the total premium paid.**

A pay stub from Arizona State Retirement System (ASRS) shows:

- $800 gross monthly income;
- $100 of the gross amount is for a health insurance premium supplement; AND
- $80 is deducted for a health insurance premium.

$100 (health insurance supplement)-$80 (health insurance premium) = $20 countable from the health insurance supplement. Only an amount up to the premium paid may be deducted from the total income.

$800 (Gross income) + $20 (The amount of the supplement that exceeds the total premium paid) = $820 countable income.

NOTE For ALTCS, a share of cost deduction would not be allowed for the health insurance because ASRS is paying the entire premium for the customer.

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## G Crowdfunding

| Programs | Manual Section |
|---|---|
| ALTCS<br>SSI MAO<br>MSP | MA606AA |

### Examples

#### 1) The customer does not own the crowdfunding account

The customer got into a car accident. The injuries caused by the accident made him need nursing home care. The customer's best friend created a GoFundMe crowdfunding campaign to help pay for the customer's medical expenses related to the car accident.

Since the customer is not the owner of the GoFundMe campaign, it is not counted as a resource for ALTCS. When the money is given to the customer, it is a gift/contribution and is counted income for non-MAGI Medical Assistance programs.

#### 2) The customer owns the crowdfunding account

The customer had a stroke and needed nursing home care. She created a Fundly crowdfunding campaign to help pay for expenses while she is out of work. Since the customer is the owner of the campaign, any money available to her is counted as a resource for ALTCS. All money raised is countable income for non-MAGI Medical Assistance programs.

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## H Difficulty of Care Payments

| Programs | Manual Section |
|---|---|
| MAGI Programs | MA606UUU |

### Examples

#### 1) The customer receives difficulty of care payments

The customer has wages reported through a HUB hit. She says she takes care of her father who receives ALTCS services. Her father lives with her. The customer has no other clients. She receives $200 biweekly from the home healthcare agency for taking care of her parent. The $200.00 is a Difficulty of Care payment. It is excluded when determining her eligibility for MAGI programs.

#### 2) The customer receives both difficulty of care payments and regular wages

Customer works for a home healthcare agency. The company is paying her to care for two people. She is paid for providing caregiving services two days a week to her son who receives ALTCS services and lives with her. She is also paid for providing caregiving services one day a week to an elderly man who lives in the next town. She receives one check for all the hours she works in the amount of $300.00. Mary provides a statement from the agency saying $100.00 of the total wages is for the person who does not live in her home. The $200.00 received for the care of her son is determined to be a Difficulty of Care payment. The Difficulty of Care payment of $200.00 is excluded when determining her eligibility for MAGI programs. The $100.00 is counted as wages.

#### 3) The customer receives difficulty of care payments reported on a 1099

The customer provides attendant care to her minor child who is an ALTCS member receiving Division of Developmental Disabilities (DDD) services. The child lives with the customer in the same household. The caregiver agency verifies that the customer is paid as a 1099 Independent Contractor. Although the income is reported as 1099 self-employment income, the payments meet the policy definition of Difficulty of Care. The Difficulty of Care income is excluded when determining eligibility for MAGI programs.

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# I Gifts and Contributions

| Programs | Manual Section |
|---|---|
| MAGI Programs | MA606AA |

## Examples

#### 1) Gift

The customer receives $200.00 cash from his family members to cover his monthly expenses. The cash gift is considered a gift income for purposes of eligibility and the ALTCS share of cost.

#### 2) Contribution

The customer receives a parsonage allowance from his church to cover housing expenses. The housing allowance is considered contribution income for purposes of eligibility and the ALTCS share of cost.

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# E607 Expenses Exceed Income Examples

| Programs | Manual Section |
|---|---|
| All Programs | MA607 |

**Examples**

The following are examples of when the information provided by the customer is enough proof for expenses exceed income and when the information is questionable or inconsistent and needs more proof.

**1) Customer Statement is not Questionable or Inconsistent**

**Example #1** The customer provided proof that child support income recently stopped. This reduced income for the household. The customer does not know how they will meet their living expenses.

The customer's statement is not questionable or inconsistent. No further proof for expenses exceed income (EEI) is needed for the application but must be reviewed again six months.

**Example #2** The customer has no income reported and it is time for their annual renewal. When asked how the customer was meeting basic living expenses, the customer stated they were living off credit cards. The customer's statement was accepted for proof for the new application. It has now been a year. The customer explained that they moved in with family who is not charging them for shelter costs and food. The customer already reported the move.

The customer's statement is not questionable or inconsistent. The customer's statement is acceptable proof that the customer does not have living expenses that exceed income.

**2) Customer Statement is Questionable or Inconsistent**

**Example #1** The customer has no income reported and it is time for their annual renewal. When asked how the customer is meeting basic living expenses, the customer states that they have been living off savings. Additionally, the customer is living with friends and reported expenses of utilities and water. Last year, the customer was asked how much money was in savings. The reported expenses have exceeded the reported savings. The customer did not provide any other explanation.

The customer's statement is questionable because they would have used all their savings. The customer needs to provide proof of basic living expenses and how the customer is paying the expenses.

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**Example #2** The customer has no income reported and it is time for their annual renewal. When asked how the customer was meeting basic living expenses, the customer previously stated they were living off credit cards and rent was $500.00. The customer's statement was accepted for proof at that time. It has now been a year. Further discussion reveals that once a week the customer gives blood to the local blood bank for $50.00. The $50.00 per week is self-employment income.

The customer's statement is inconsistent. The $200.00 the customer gets does not cover the reported $500.00 rent expense. The customer needs to provide proof of basic living expenses and how the customer is paying the expenses.

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# E608 Income Deeming Examples

## E608 Income Deeming Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Sponsor Deeming - Counting Only Current and Past Quarters**

| Programs | Manual Section |
|---|---|
| All programs | MA608.B |

The customer applies for AHCCCS Medical Assistance on May 23rd. Her earnings history from Social Security shows wages earned through December of the previous year and verifies that she has 36 qualifying quarters. She states that she has earned $4,000 so far since the beginning of the current year.

For the current year, the most quarters for which she can be credited is 2 quarters because May is in the second quarter of the year. The 2 quarters from the current year plus the 36 quarters verified by SSA add up to 38. Since this is less than the 40 quarters needed to be exempt from sponsor deeming, the customer does not have to provide proof of the income earned this year.

NOTE When the fourth quarter of the current year is reached, the customer is potentially eligible for the exemption from sponsor deeming and income for any lag quarters will need to be verified.

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# E609 Modified Adjusted Gross Income (MAGI) Deductions Examples

| Programs | Manual Section |
|---|---|
| Caretaker Relative<br>Pregnant Woman<br>Child<br>Adult<br>KidsCare | MA609C |

**Examples**

The following examples are for several of the most common types of MAGI deductions:

**1) Contributions to a Health Savings Account**

The customer is employed and has Health Savings Account (HSA) contributions deducted from her paycheck every month. She provided pay stubs verifying the deductions. The amount of the monthly HSA contribution is given as a MAGI deduction.

**2) Spousal Support**

The customer and his wife both pay spousal support to ex-spouses.

The customer's spousal support agreement was created in 2017 and has not been modified since then. The spousal support he pays every month is allowed as a MAGI deduction.

The customer's current wife also pays spousal support, but the agreement was created in February 2019. The spousal support she pays every month is not allowed as a MAGI deduction.

**3) Educator expenses**

The customer is a full-time teacher and is claiming educator expenses. He provides a copy of his last tax returns confirming the deduction. He also has receipts for the current year showing $312.00

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in out-of-pocket expenses for class supplies this year. Only $250.00 of the expenses are allowed as a MAGI deduction. The $250 is divided by 12 to get a monthly amount for the deduction.

#### 4) Pre-tax deductions from gross income

The customer and her spouse work and both have pre-tax deductions taken from their pay. The customer provides recent paystubs from their jobs.

She is paid bi-weekly and the paystubs show several deductions from gross pay, which are listed in two separate boxes on the paystub. One box is titled “Pretax deductions”, and the second box is titled “Other Deductions”. The Pretax Deductions box shows deductions for health insurance and retirement totaling $132.00 per pay period. The customer is given a MAGI deduction for $132.00 bi-weekly.

The customer’s spouse is paid weekly. His paychecks also show multiple deductions, but they are all listed together in one box. However, one deduction for $28.00 has an asterisk at the end. At the bottom of the paystub, it explains that deductions with an asterisk are taken pretax. The customer’s spouse is given a MAGI deduction for $28.00 weekly.

#### 5) Student loan interest paid

The customer is making monthly student loan payments of $250.00. The proof shows that $180.00 of the payment is for the loan principal, and $70.00 is for the loan interest. The $70.00 in interest is given as a MAGI deduction.

#### 6) MAGI 5% Disregard - Adult

The customer is a household of one person with no dependents. He only meets the non-financial requirements for the Adult program. He has counted income of $1,450.00 per month, which is compared to the 2020 income standard for an Adult of $1,415.00. Since the Adult program is the only program that Andrew might qualify for, the MAGI 5% disregard of $54.00 is applied.

After the 5% disregard is applied, the counted income is $1,396.00. The customer qualifies for the Adult program.

#### 7) MAGI 5% Disregard – Caretaker Relative #1

In October 2020, a married couple apply for themselves.They have six-year-old twin children who get SSI-Cash and are already receiving AHCCCS MA.

The parents are filing a joint return and claiming the children. Both parents are under age 65 and do not have Medicare. The family’s counted monthly income is $2,373.00. The parents meet the non-financial requirements for two MAGI programs, the Caretaker Relative and the Adult programs.

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The budget group size is four people for both parents. The household income of $2,373.00 is first compared to the income limit for the Caretaker Relative program for a family of four, which is $2,315.00. The parents are over the income limit for the Caretaker Relative program. Since they also meet the requirements for the Adult program, the MAGI 5% disregard is not applied to the income test for Caretaker Relative. The household income is then compared to the income limit for the Adult program for a family of four, which is $2,904.00. The household income is under the Adult limit and the parents qualify for the Adult program. The 5% MAGI Disregard is not applied.

**8) MAGI 5% Disregard – Caretaker Relative #2**

The customer is 68 years old and has custody of her three grandchildren. She applies for AHCCCS for herself in June 2020. The children are already on AHCCCS. The customer has counted income of $2,350.00 per month. She will be filing taxes and claiming the three grandchildren as dependents. The customer only meets the non-financial requirements for one MAGI program, the Caretaker Relative Program.

The customer's MAGI budget group includes all four family members. The customer's income of $2,350.00 is compared to the Caretaker Relative income limit for a household of 4, which is $2,315.00. Since the Caretaker Relative program is the only program that the customer might qualify for, the MAGI 5% disregard of $110.00 is applied.

After the 5% disregard is applied, the counted income is $2,240.00. The customer qualifies for the Caretaker Relative program.

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# E610 Examples for Calculating Income Eligibility for ALTCS

## E610 Examples for Calculating Income Eligibility for ALTCS

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**A Gross Test Calculation - Non-Community Spouse**

| Program | Manual Section |
|---|---|
| All programs | MA610 |

**Examples**

The customer lives with his wife, but they do not meet the community spouse rules. Their two minor children, who are 13 and 15 years old, live with them.

The customer gets Social Security Disability of $1,000 and a disability pension of $500 per month. His wife works full time and earns $4,000 per month.

The two children each get Social Security Survivor's benefits of $250 per month.

The customer's eligibility is calculated using the steps below:

| Step | Action |
|---|---|
| 1 | The customer's monthly income is totaled:<br><br>$1,000 + $500 = $1,500 |
| 2 | The total from step 1 is compared to 300% of the FBR.<br><br>In 2026, 300% FBR = $2,982.00<br><br>Because $1,500.00 is less than 300% of the FBR, the customer is income eligible for ALTCS. |

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## B Gross Income Test Calculation - Community Spouse

| Program | Manual Section |
|---|---|
| All programs | MA610 |

#### Examples

The Community Spouse Gross Income Test can have two parts: community property rules and name-on-check rules.

##### 1) Community Property Rules

The customer lives in a nursing facility and meets the community spouse rules. Her husband lives at home.

The customer gets $1,200.00 Social Security Retirement and $200.00 Arizona State Retirement per month. Her husband gets $1,600.00 Social Security Retirement per month.

First, the gross income test is calculated using community property rules. See the steps below:

| Step | Action |
|---|---|
| 1 | The gross countable unearned income of both spouses are combined:<br>$1,400.00 (customer's total countable unearned income)<br>+ $1,600.00 (spouse's total countable unearned income)<br>=$3,000.00 total gross countable unearned income |
| 2 | The gross countable earned income of both spouses are combined:<br>$0.00 (customer's total countable earned income)<br>+ $0.00 (spouse's total countable earned)<br>=$ 0.00 total gross countable earned income |

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| | |
|---|---|
| 3 | The combined gross countable unearned income from Step 1 and the combined gross countable earned income from Step 2 are totaled:<br><br>$3,000.00 (total gross countable unearned income)<br><br>+ $0.00 (total countable earned income)<br><br>=$3,000.00 total countable income. |
| 4 | The total calculated from Step 3 is divided by two:<br><br>$3,000.00 / 2 = $1,500.00. |
| 5 | The result from Step 4 is compared to 300% of the FBR.<br><br>In 2026, 300% FBR = $2,982.00.<br><br>Because $1,500.00 is less than $2,982.00, the customer is income eligible for ALTCS using community property rules.<br><br>NOTE When the result from Step 4 is more than 300% FBR, “name-on-check rules” are applied. See MAE610B.2 below. |

**2) Name on Check Rules**

The customer lives with his spouse at home and meets the community spouse rules.

He gets monthly income of $800.00 Social Security retirement and $600.00 California State retirement pension. His spouse works full time and earns $5,000.00 a month in wages.

The community property rules are applied first, then the name-on-check rules:

| Step | Action |
|---|---|
| 1 | The gross countable unearned income of both spouses is combined:<br><br>$1,400.00 (customer’s total countable unearned income)<br><br>+ $0.00 (spouse’s total countable unearned income)<br><br>=$1,400.00 total gross countable unearned income |

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| | |
|---|---|
| 2 | The gross countable earned income of both spouses is combined:<br><br>$0.00 (customer's total countable earned income)<br><br>+ $5,000.00 (spouse's total countable earned)<br><br>=$5,000.00 total gross countable earned income |
| 3 | The combined gross countable unearned income from Step 1 and the combined gross countable earned income from Step 2 is totaled:<br><br>$1,400.00 (total gross countable unearned income)<br><br>+ $5,000.00 (total countable earned income)<br><br>=$6,400.00 total countable income. |
| 4 | The total calculated from Step 3 is divided by two:<br><br>$6,400.00 / 2 = $3,200.00 |
| 5 | The result from Step 4 is compared to 300% of the FBR.<br><br>In 2026, 300% FBR = $2,982.00.<br><br>Since $3,200.00 is greater than $2,982.00, the customer is income ineligible for ALTCS using community property rules. Income eligibility must be determined using name on check rules (continue to step 6 below) |
| 6 | The customer's counted monthly unearned income and earned income is totaled:<br><br>$1,400.00 (customer's total countable unearned income)<br><br>+ $0.00 (customer's earned income)<br><br>=$1,400.00 total countable income used for the gross income test. |
| 7 | The result from Step 6 is compared to 300% of the FBR:<br><br>Since $1,400.00 is less than $2,982.00, the customer is eligible for ALTCS using the name on check rules. |

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Joint Rental Income Example

The customer and spouse are joint owners of a rental property. Their daughter is the agent for the rental property. The monthly rent paid by the renters of the property is $400.00. The $400.00 check paid by the renters is made out to the daughter. Although the check is made out to the daughter, the owners of the income are the customer and the spouse. $200.00 is the customer's income and $200.00 is the spouse's income.

Jointly Owned Annuity Example:

The customer and spouse are named as the annuitants on an annuity contract. The $1,000.00 monthly annuity check is made out only in one spouse's name. Because the customer and spouse are both owners of the annuity, $500.00 is considered the customer's income and $500.00 is considered the spouse's income.

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## C Net Income Test Examples

| Program | Manual Section |
|---|---|
| All programs | MA610 |

### Examples

#### 1) Net Income Test for the Customer Only

The customer is not married and lives in a setting where long-term care services cannot be provided.

She gets monthly income of $700.00 Social Security Retirement and a $100.00 VA pension (need-based). She also sells Avon to make extra money and received $80.00 in the budget month from this part time job.

The customer's eligibility is calculated using the net income test as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income:<br>$700.00 (customer's total countable unearned income that is not needs based)<br>-$0.00 (1/3 child support deduction is not applicable)<br>=$700.00 (subtotal)<br>-$20.00 (general income deduction)<br>=$680.00 (subtotal)<br>+$100.00 (need-based income)<br>=$780.00 (net unearned income) |
| 2 | Calculate net earned income:<br>$80.00 (customer's total countable earned income).<br>-$0.00 (unused portion of the $20.00 general income deduction) |

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| | |
|---|---|
| | -$65.00 (standard work expense deduction)<br>-$0.00 (IRWE deduction)<br>=$15.00 (subtotal of earned income)<br>-$7.50 (½ subtotal of earned income)<br>-$0.00 (blind work expense deduction)<br>=$7.50 (net earned income) |
| 3 | Calculate total net income:<br>$780.00 (net unearned income from Step 1 above)<br>+$7.50 (net earned income from Step 2 above)<br>=$787.50 (subtotal or net income)<br>-$0.00 (no child allocation)<br>=$787.50 (total net income) |
| 4 | The result in Step 3 above is compared to 100% of the FBR<br>In 2026, 100% FBR = $994.00. Because $787.50 is less than $994.00, the customer is income eligible for ALTCS using the 100% FBR net test. |

**2) Net Income Calculation for Customer and Spouse**

The customer and his wife live at home with their two-year-old child. The customer has been on ALTCS six months, when the ALTCS Health Plan notifies the office that he is refusing HCBS. The worker determines ALTCS acute care eligibility using the net test.

The customer gets monthly income of $700.00 Social Security Disability, and his wife works part time and makes $400.00 per month from her job. The child gets $250.00 Social Security Survivor benefits.

The customer's eligibility is calculated using the net income test as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income: |

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| | |
|---|---|
| | $700.00 (total of the customer's and the spouse's counted unearned income)<br>-$0.00 (1/3 child support deduction not applicable)<br>=$700.00 (subtotal)<br>-$20.00 (general income deduction)<br>=$680.00 (subtotal)<br>+$0.00 (there is no income based on need)<br>=$680.00 (net unearned income) |
| 2 | Calculate net earned income:<br>$400.00 (total of the customer's and the spouse's counted earned income)<br>-$0.00 (unused portion of the $20.00 general income deduction)<br>-$65.00 (standard work expense deduction)<br>-$0.00 (IRWE deduction)<br>=$335.00 (subtotal of earned income)<br>-$167.50 (½ subtotal of earned income)<br>-$0.00 (blind work expense deduction)<br>=$167.50 (net earned income) |
| 3 | Calculate total net income:<br>$680.00 (net unearned income from Step 1 above)<br>+$167.50 (net earned income from Step 2 above)<br>=$847.50 (subtotal of net income)<br>- $142.00 (child allocation amount)<br>=$705.50 (total net income) |
| 4 | Compare the result in Step 3 above to $1,491.00 (100% of the FBR for a couple for 2026):<br>Because $705.50 is less than $1,491.00, the customer is income eligible for ALTCS. |

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**3) Calculation for Customer Child and Ineligible Parent**

The customer is a 2-year-old child with a developmental disability. She lives with her parents and two minor siblings, aged 5 and 8. She has been on ALTCS benefits for seven months when the ALTCS Health Plan reports that the parents are refusing HCBS services for the customer. The worker determines eligibility for ALTCS acute care using the net test.

None of the children get any income. The customer's father works full-time and makes $4,000.00 per month. Her mother gets a $400.00 pension payment. The customer's parents are not receiving or applying for SSI or any AHCCCS benefits for themselves.

The customer's eligibility is calculated using the net income test as follows:

| **1st Process: Determine Child Allocations** | |
|---|---|
| **Step** | **Action** |
| 1 | Add the child allocation amounts for each other child in the home other than the customer child (see MA609B.8):<br><br>$497.00 (child allocation for 5-year-old sibling)<br><br>+$497.00 (child allocation for 8-year-old sibling)<br><br>= $994.00 (total child allocation) |
| **2nd Process: Deeming Calculation** | |
| **Step** | **Action** |
| 2 | Subtract the total child allocation from Step 1 from the ineligible parents' unearned income:<br><br>$400.00 (total of the ineligible parents' counted unearned income)<br><br>- $994.00 (total child allocations from Step 1)<br><br>= -$594.00 (remaining unused child allocations)<br><br>NOTE Since the child allocation amount is higher than the unearned income, the remaining unearned income amount to be deemed from the parents is $0. The remaining child allocation is carried over to the net earned income calculation. |

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| | |
|---|---|
| 3 | Calculate ineligible parents' net unearned income:<br>$0.00 (remaining unearned income amount from Step 2)<br>-$20.00 (general income deduction)<br>= -$20.00 (remaining general income deduction)<br>NOTE Since the general income deduction is higher than the remaining unearned income, the unearned income amount to be deemed from the parents is $0. The remaining general income deduction amount is carried over to the net earned income calculation. |
| 4 | Calculate ineligible parents' net earned income:<br>$4,000.00 (the parent's total earned income)<br>- $0.00 (student earned income deductions)<br>- $594.00 (remaining unused child allocation from Step 2)<br>- $20.00 (remaining unused general income deduction amount)<br>- $65.00 (standard income deduction)<br>- $0.00 (IRWE deduction)<br>= $3,321.00 (subtotal of earned income)<br>- $1,660.50 (½ subtotal of earned income)<br>= $1,660.50 (subtotal of earned income)<br>-$0.00 (blind work expense deduction)<br>= $1,660.50 (total net earned income) |
| 5 | Calculate total net income as follows:<br>$0.00 (total net unearned income from Step 3)<br>+$1,660.50 (total net earned income from Step 4)<br>=$1,660.50 (total net income) |

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| | |
|---|---|
| 6 | Calculate the deemed income from the ineligible parents:<br>$1,660.50 (total net income from Step 5)<br>- $1,491.00 (Couple FBR)<br>= $169.50 (amount of deemed income from parents) |
| **3rd Process: Net Income Test Calculation** | |
| **Step** | **Action** |
| 7 | Calculate the net unearned income:<br>$0.00 (customer child's own income)<br>+ $169.50 (deemed income from parents from Step 6)<br>- $0.00 (1/3 child support deduction – does not apply)<br>- $20.00 (general income deduction)<br>= $149.50 (subtotal unearned income)<br>+ $0.00 (no needs based assistance payments)<br>= $149.50 (net unearned income) |
| 8 | Calculate the net earned income:<br>$0.00 (customer child's counted earned income)<br>- $0.00 (student earned income deduction is not applicable)<br>- $0.00 (unused remaining general income deduction from Step 7)<br>- $0.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>- $0.00 (½ subtotal of earned income)<br>- $0.00 (Blind Work Expenses)<br>= $0.00 (net earned income) |

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| | |
|---|---|
| 9 | Calculate total net income:<br>$149.50 (net unearned income from Step 7)<br>+ $0.00 (net earned income from Step 8)<br>- $0.00 (child allocation amount for the customer child's children)<br>= $149.50 (total net income) |
| 10 | Compare the total net income from Step 9 to 100% of the FBR.<br>In 2025, 100% FBR = $994.00.<br>Because $149.50 is less than $994.00, the customer is income eligible for ALTCS using the net test. |

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# E611 Calculating Income Eligibility for SSI-MAO Examples

## E611 Calculating Income Eligibility for SSI-MAO Examples

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**A Calculation for the Customer Only Examples**

| Programs | Manual Section |
|---|---|
| SSI MAO | MA611 |

**Examples**

**1) Eligible under the 100% FBR Standard**

The customer, a 65-year-old single individual, resides with her two adopted children ages 10 and 12. The customer applies for AHCCCS Medical Assistance for herself in January 2026.

The customer receives $1,100.00 for Social Security Retirement per month. She also works part-time to make extra money and received $780.00 in January 2026. The two children do not have any income.

Calculate the customer's eligibility as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income:<br>$1,100.00 (customer's total countable unearned income that is not needs based)<br>- $0.00 1/3 child support deduction (not applicable)<br>= **$1,100.00** (subtotal)<br>- $20.00 (general income deduction)<br>= **$1,080.00** (subtotal)<br>+ $0.00 income based on need (not applicable)<br>= **$1,080.00** (net unearned income) |
| 2 | Calculate net earned income:<br>$780.00 customer's total countable earned income<br>- $0.00 (unused portion of the $20.00 general income deduction) |

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| | |
|---|---|
| | - $65.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **$715.00** (subtotal of earned income)<br>- $357.50 (one-half of the subtotal of earned income)<br>- $0.00 (blind work expense deduction)<br>= **$357.50** (net earned income) |
| 3 | Calculate total net income:<br>$1,080.00 (net unearned income from Step 1 above)<br>+ $357.50 (net earned income from Step 2 above)<br>= **$1,437.50** (subtotal of net income)<br>- $994.00 child allocation ($497.00 per child, two children)<br>= **$443.50** (total net income) |
| 4 | Compare the result in Step 3 above to **$994.00** (100% of the FBR for an individual for 2026).<br>Because $443.50 is less than $994.00, the customer is income eligible for AHCCCS Medical Assistance under SSI-MAO using the 100% FBR standard. |

#### 2) Eligible under the 100% FPL Standard

The customer is a 70-year-old single individual. The customer applies for AHCCCS Medical Assistance in February 2026.

The customer receives monthly income of $1,050.00 for Social Security retirement. He also works part time and made $125.00 in February 2026 from his job.

The customer's eligibility is calculated as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income as follows:<br>$1,050.00 customer's total countable unearned income that is not needs based |

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| | |
|---|---|
| | - $0.00 1/3 child support deduction (not applicable)<br>**= $1,050.00** subtotal<br>- $20.00 (general income deduction)<br>**= $1,030.00** subtotal<br>+ $0.00 income based on need (not applicable)<br>**= $1,030.00** net unearned income |
| 2 | Calculate net earned income as follows:<br>$125.00 (customer's total countable earned income)<br>- $0.00 (unused portion of the $20.00 general income deduction)<br>- $65.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **$60.00** (subtotal of earned income)<br>- $30.00 (one-half of the subtotal of earned income)<br>- $0.00 (blind work expense deduction)<br>= **$30.00** (net earned income) |
| 3 | Calculate total net income as follows:<br>$1,030.00 (net unearned income from Step 1 above)<br>+ $30.00 (net earned income from Step 2 above)<br>**= $1,060.00** subtotal of net income<br>- $ 0.00 child allocation (not applicable)<br>**= $1,060.00** (total net income) |
| 4 | Compare the result in Step 3 above to **$994.00** (100% of the FBR for an individual).<br>Because $1,060.00 is greater than $994.00, the customer is income ineligible for AHCCCS Medical Assistance using the FBR standard. Continue to Step 5 to determine eligibility using the 100% FPL standard. |

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| | |
|---|---|
| 5 | Take the total net income result from Step 3 and add the one-half subtotal of earned income from Step 2 back in:<br><br>$1,060.00 (total net income from FBR test)<br><br>+ $30.00 (one-half subtotal of earned income)<br><br>= **$1,090.00** (total net income) |
| 6 | Compare the result in Step 5 above to **$1,330.00** (100% of the FPL for an individual):<br><br>Because $1,090.00 is less than $1,330.00, the customer is income eligible for SSI-MAO using the FPL standard. |

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## B Calculation for Customer and Spouse Examples

| Programs | Manual Section |
|---|---|
| SSI MAO | MA611 |

**Examples**

**1) Eligible under the 100% FBR Standard Example**

The customer is 70 years old, and lives with his spouse, who is 45 years old. Their 10-year-old daughter lives with them. The customer applies for AHCCCS Medical Assistance for himself in January 2026.

The customer receives a monthly income of $900.00 for Social Security retirement. His spouse works part time and received $1,000.00 in January 2026. Their daughter does not have any income.

The customer's eligibility is calculated as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income:<br><br>$900.00 (total of the customer's and the spouse's total countable unearned income that is not needs based)<br><br>- $0.00 1/3 child support deduction (not applicable)<br><br>= **$900.00** subtotal<br><br>- $20.00 (general income deduction)<br><br>= **$880.00** subtotal<br><br>+ $0.00 income based on need (not applicable)<br><br>= $880.00 net unearned income |
| 2 | Calculate net earned income:<br><br>$1,000.00 (total of the customer's and the spouse's counted earned income) |

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| | |
|---|---|
| | - $0.00 (unused portion of the $20.00 general income deduction)<br>- $65.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **$935.00** (subtotal of earned income)<br>- $467.50 (one-half subtotal of earned income)<br>- $0.00 (blind work expense deduction)<br>= **$467.50** (net earned income) |
| 3 | Calculate total net income:<br>$880.00 (net unearned income from Step 1 above)<br>+ $467.50 (net earned income from Step 2 above)<br>**= $1347.50** (subtotal of net income)<br>- $497.00 (child allocation)<br>**= $850.50** (total net income) |
| 4 | Compare the result in Step 3 above to **$1,491.00** (100% of the FBR for a couple for 2026):<br>Because $850.50 is less than $1,491.00, the customer is income eligible for SSI-MAO using the 100% FBR standard. |

#### 2) Eligible Using FPL Standard Example

The customer, a 70-year-old man, lives with his 50-year-old wife. The customer applies for AHCCCS Medical Assistance for himself in February 2026.

The customer receives a monthly income of $1,600.00 for Social Security retirement. His spouse has no income.

The customer's eligibility is calculated using the net income test as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income: |

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| | |
|---|---|
| | $1,600.00 (total of the customer's and spouse's total countable unearned income that is not needs based)<br>- $0.00 1/3 child support deduction (not applicable)<br>**= $1,600.00** (subtotal)<br>- $20.00 (general income deduction)<br>**= $1,580.00** (subtotal)<br>+ $0.00 income based on need (not applicable)<br>**= $1,580.00** (net unearned income) |
| 2 | Calculate net earned income:<br>$0.00 (total of the customer's and the spouse's counted earned income)<br>- $0.00 (unused portion of the $20.00 general income deduction)<br>- $65.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **$0.00** (subtotal of earned income)<br>- $0.00 (one-half subtotal of earned income)<br>- $0.00 (blind work expense deduction)<br>= **$0.00** (net earned income) |
| 3 | Calculate total net income:<br>$1,580.00 (net unearned income from Step 1 above)<br>+ $0.00 (net earned income from Step 2 above)<br>**= $1,580.00** (subtotal of net income)<br>- $0.00 child allocation (not applicable)<br>**= $1,580.00** (total net income) |
| 4 | Compare the result in Step 3 above to **$1,491.00** (100% of the FBR for a couple for 2026): |

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|---|---|
| | Because $1,580.00 is greater than $1,491.00,the customer is ineligible using the 100% FBR standard. Continue to Step 5 to determine SSI Non-Cash eligibility using the 100% FPL standard. |
| 5 | Take the total net income result from Step 3 and add the one-half subtotal of earned income from Step 2 above:<br><br>$1,580.00 (total net income for FBR test)<br><br>+ $0.00 (1/2 subtotal of earned income)<br><br>= **$1,580.00** (total net income) |
| 6 | Compare the result in Step 5 above to **$1,804.00** (100% of the FPL for a couple):<br><br>Because $1,580.00 is less than $1,804.00, the customer is eligible for SSI-MAO using the FPL standard for a couple. |

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**C Calculation for Customer Child and Ineligible Parents Example**

| Programs | Manual Section |
|---|---|
| SSI MAO | MA611 |

**Examples**

The customer is a 10-year-old child who lives with her parents and her two siblings, ages 2 and 5. The customer has been determined by DDSA to have a disability. She is not eligible for SSI because her resources exceed $2,000.00. The customer's parents apply for AHCCCS Medical Assistance (MA) for her in February 2026.

The customer's father works full time and received $5,200.00 in February 2026. The customer's mother receives a monthly pension income of $900.00. None of the three children have any income. The customer's parents do not receive and are not applying for MA.

The customer's eligibility is calculated as follows:

| **1st Process: Determine Child Allocations** | |
|---|---|
| **Step** | **Action** |
| 1 | Add the child allocation amounts for each child in the home other than the customer child (see MA609B.8):<br><br>$497.00 (child allocation for sibling aged 2)<br><br>+ $497.00 (child allocation for sibling aged 5)<br><br>= **$994.00** (total child allocation) |
| **2nd Process: Deeming Calculation** | |
| **Step** | **Action** |
| 2 | Subtract the total child allocation from Step 1 from the ineligible parents' unearned income:<br><br>$900.00 (total of the ineligible parents' counted unearned income) |

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| | |
|---|---|
| | - $994.00 (total child allocations from Step 1)<br><br>**= -$94.00 (remaining unused child allocations)**<br><br>NOTE Since the child allocation amount is higher than the unearned income, the remaining unearned income amount to be deemed from the parents is $0. The remaining child allocation is carried over to the net earned income calculation. |
| 3 | Calculate ineligible parents' net unearned income:<br><br>$0.00 (remaining unearned income amount from Step 2)<br><br>- $20.00 (general income deduction)<br><br>**= -$20.00 (remaining general income deduction)**<br><br>NOTE Since the general income deduction is higher than the remaining unearned income, the unearned income amount to be deemed from the parents is $0. The remaining general income deduction amount is carried over to the net earned income calculation. |
| 4 | Calculate ineligible parents' net earned income:<br><br>$5,200.00 (parent's total earned income)<br><br>- $0.00 (student earned income deductions)<br><br>- $94.00 (remaining unused child allocation from Step 2)<br><br>- $20.00 (remaining unused general income deduction amount)<br><br>- $65.00 (standard income deduction)<br><br>- $0.00 (IRWE deduction)<br><br>**= $5,022.00** (subtotal of earned income)<br><br>- $2,511.00 (1/2 subtotal of earned income)<br><br>**= $2,511.00** (subtotal of earned income)<br><br>- $0.00 (blind work expense deduction)<br><br>**= $2,511.00** (total net earned income) |
| 5 | Calculate total net income as follows:<br><br>$0.00 (total net unearned income from Step 3)<br><br>+ $2,511.00 (total net earned income from Step 4) |

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| | |
|---|---|
| | = **$2,511.00** (total net income) |
| 6 | Calculate the deemed income from the ineligible parents:<br>$2,511.00 (total net income from Step 5)<br>- $1,491.00 (100% FBR for a couple for 2026)<br>= **$1,020.00** (amount of deemed income from parents) |
| **3rd Process: Net Income Test Calculation** | |
| **Step** | **Action** |
| 7 | Calculate the net unearned income:<br>$0.00 (customer child's own income)<br>+ $1,020.00 (deemed income from parents from Step 6)<br>- $0.00 (1/3 child support deduction – does not apply)<br>- $20.00 (general income deduction)<br>= **$1,000.00** (subtotal unearned income)<br>+ $0.00 income based on need (not applicable)<br>= **$1,000.00** (net unearned income) |
| 8 | Calculate the net earned income:<br>$0.00 (customer child's counted earned income)<br>- $0.00 student earned income deduction (not applicable)<br>- $0.00 (unused remaining general income deduction from Step 7)<br>- $0.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>- $0.00 (1/2 subtotal of earned income)<br>- $0.00 (Blind Work Expenses)<br>= **$0.00** (net earned income) |

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| | |
|---|---|
| 9 | Calculate total net income:<br>$1,000.00 (net unearned income from Step 7)<br>+ $0.00 (net earned income from Step 8)<br>- $0.00 (child allocation amount for the customer child's children)<br>= **$1,000.00** (total net income) |
| 10 | Compare the total net income from Step 9 to **$994.00** (100% of the FBR for an individual for 2026).<br>Because $1,000.00 is greater than $994.00, the customer is income ineligible using the 100% FBR income standard. Continue to Step 11 to determine if she is eligible using the 100% FPL standard. |

**Net Income Test Using 100% FPL Standard**

**FPL Deeming Calculation**

| Step | Action |
|---|---|
| 11 | Calculate the deemed income from the parents:<br>$2,511.00 (parents' total net income from Step 5)<br>+ $2,511.00 (one-half subtotal of earned income from Step 4 added back in)<br>= **$5,022.00** (subtotal total net income)<br>- $1,840.00 (100% FPL amount for a couple)<br>= **$3,218.00** (amount of deemed income from parents) |

**3rd Process: Net Income Test Calculation**

| Step | Action |
|---|---|
| 12 | Calculate the net unearned income:<br>$0.00 (customer child's own income) |

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| | |
|---|---|
| | + $3,218.00 (deemed income from parents from Step 11)<br>- $0.00 1/3 child support deduction (not applicable)<br>- $20.00 (general income deduction)<br>= **$3,198.00** (subtotal unearned income)<br>+ $0.00 income based on need (not applicable)<br>= **$3,198.00** (net unearned income) |
| 13 | Calculate the net earned income:<br>$0.00 (customer child's counted earned income)<br>- $0.00 (student earned income deduction - not applicable)<br>- $0.00 (unused remaining general income deduction from Step 7)<br>- $0.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>- $0.00 (Blind Work Expenses)<br>**= $0.00** (net earned income) |
| 14 | Calculate total net income:<br>$3,198.00 (net unearned income from Step 12)<br>+ $0.00 (net earned income from Step 13)<br>- $0.00 (child allocation amount for the customer child's children)<br>= **$3,198.00** (total net income) |
| 15 | Compare the total net income from Step 14 to **$1,330.00** (100% of the FPL for an individual).<br>Because $3,198.00 is greater than $1,330.00, the customer is income ineligible using the 100% FPL income standard. |

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# E612 MSP Income Eligibility Calculation Examples

## E612 MSP Income Eligibility Calculation Examples

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**A Customer Only Calculation**

| Programs | Manual Section |
|---|---|
| MSP | MA612 |

The customer has Medicare Part A and Part B. The customer receives Social Security Retirement income of $1,350.00 per month. He also works part time and made $200.00 in February 2026.

The customer's MSP eligibility is calculated as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income:<br>$1,350.00 (customer's countable unearned income that is not needs based)<br>- $0.00 (1/3 child support deduction is not applicable)<br>- $20.00 (general income deduction)<br>= **$1,330.00** (subtotal)<br>+ $0.00 (has no income based on need)<br>= **$1,330.00** (net unearned income) |
| 2 | Calculate net earned income:<br>$200.00 (customer's total countable earned income)<br>- $0.00 (unused portion of the $20.00 general income deduction)<br>- $65.00 (standard work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **$135.00** (subtotal of earned income)<br>- $67.50 (1/2 subtotal of earned income) |

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| | |
|---|---|
| | - $0.00 (blind work expense deduction)<br><br>= **$67.50** (net earned income) |
| 3 | Calculate total net income:<br><br>$1,330.00 (net unearned income from Step 1 above)<br><br>+ $67.50 (net earned income from Step 2 above)<br><br>= **$1,397.50** (subtotal or net income)<br><br>- $0.00 (allocation not applicable because the customer has no children)<br><br>= **$1,397.50** (total net income) |
| 4 | Compare the result in Step 3 to the MSP for an individual:<br><br>Because **$1,397.50** is between $1,330.01 – $1,596.00 (2026 SLMB FPL Standard), the customer is income eligible for SLMB. |

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**B Customer and Spouse Calculation Example**

| Programs | Manual Section |
|---|---|
| MSP | MA612 |

The customer lives with his wife and their 15-year-old daughter. He has Medicare Part A and Part B and applies for Medicare Savings Program benefits for himself in April 2026.

The customer gets $2,000.00 in Social Security Retirement income per month. His wife works and receives $800.00 in April 2026. The customer's daughter has no income of her own.

The customer's eligibility is calculated using the net income test as follows:

| Step | Action |
|---|---|
| 1 | Calculate net unearned income:<br><br>$2,000.00 (customer's total counted unearned income [$2,000.00] plus the spouse's counted unearned income [$0.00])<br><br>- $ 0.00 (1/3 child support deduction is not applicable)<br><br>= **$2,000.00** (subtotal)<br><br>- $20.00 (general income deduction)<br><br>= **$1,980.00** (subtotal)<br><br>+ $0.00 (there is no income based on need)<br><br>= **$1,980.00** (net unearned income) |
| 2 | Calculate net earned income:<br><br>$800.00 (customer's total counted earned income [$0.00] plus the spouse's counted earned income [$800.00])<br><br>- $0.00 (unused portion of the $20.00 general income deduction)<br><br>- $65.00 ($65.00 work expense deduction) |

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|---|---|
| | - $0.00 (IRWE deduction is not applicable)<br>= **$735.00** (subtotal of earned income)<br>- $367.50 (1/2 subtotal of earned income)<br>- $0.00 (blind work expense deduction is not applicable)<br>= **$367.50** (net earned income) |
| 3 | Calculate total net income:<br>$1,980.00 (net unearned income from Step 1 above)<br>+ $367.50 (net earned income from Step 2 above)<br>= **$2,347.50** (subtotal of net income)<br>- $497.00 (2026 child allocation of $497.00 - $0.00 income = $497.00)<br>= **$1,850.50** (total net income) |
| 4 | Compare the result in Step 3 to the MSP Standards for a couple:<br>Because **$1,850.50** is between $1,804.01 – $2,164.00 (2026 SLMB FPL Standard for a couple), the customer is income eligible for SLMB. |

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**C Income Calculation - Customer Child With Ineligible Parents**

| Programs | Manual Section |
|---|---|
| MSP | MA612 |

The customer is a 15-year-old child. He lives with his parents and two siblings. He has End Stage Renal Disease and receives Medicare Part A and Part B. The customer's parents apply for Medicare Savings Programs for the customer in February 2026.

The customer's father works full time and earned $3,500.00 in February 2026. His mother gets $900 per month from Arizona State Retirement. None of the three children have income of their own. The customer's parents are not getting MA and are not applying for MA for themselves.

The customer's eligibility is calculated using the net income test as follows:

| **1st Process: Determine Child Allocations**<br><br>**The following steps are used to determine the total amount of the child allocations for the customer's siblings in the household:** | |
|---|---|
| **Step** | **Action** |
| 1 | Calculate a child allocation separately for each child of the customer's parents in the household (excluding the customer child):<br><br>Sibling 1's allocation<br><br>$497.00 (2026 allocation amount)<br><br><u>- $0.00 (Sibling 1's income)</u><br><br>= **$497.00** (allocation amount for Sibling 1)<br><br>Sibling 2's allocation<br><br>$497.00 (2026 allocation amount)<br><br><u>- $0.00 (Sibling 2's income)</u><br><br>= **$497.00** (allocation amount for Sibling 2) |

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| | |
|---|---|
| 2 | Combine the individual allocations:<br>$497.00 (Sibling 1's allocation)<br>+ $497.00 (Sibling 2's allocation)<br>= **$994.00** (total allocation) |
| **2nd Process: Deeming Calculation**<br>**The following steps are used to calculate the amount deemed from the ineligible parent(s) to the customer child:** | |
| **Step** | **Action** |
| 3 | Calculate remaining unearned income:<br>$900.00 (parents' unearned income)<br>- $994.00 (child allocation amount from Step 2)<br>= **$0.00**<br>NOTE The remaining unused child allocation is carried over to Step 4. |
| 4 | Calculated remaining earned income:<br>$3,500.00 (parents' earned income)<br>- $94.00 (unused child allocation)<br>= **$3,406.00** (remaining earned income) |
| 5 | Calculate net unearned income of ineligible parent(s):<br>$0.00 (remaining unearned income from Step 3 above)<br>- $20.00 (general deduction)<br>= **$0.00** (with -$20.00 unused general deduction)<br>NOTE The remaining unused general deduction is carried over to Step 6. |
| 6 | Calculate net earned income of ineligible parent(s): |

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| | |
|---|---|
| | $3,406.00 (remaining earned income from Step 4 above)<br>- $20.00 (unused portion of the $20.00 deduction)<br>- $65.00 ($65.00 work expense deduction)<br>- $0.00 (Impairment Related Work Expense deduction)<br>= **$3,321.00** (subtotal earned income)<br>- $1,660.50 (1/2 subtotal of earned income)<br>- $0.00 (Blind Work Expense deduction)<br>= **$1,660.50** (net earned income of ineligible parent(s) |
| 7 | Calculate total net income of ineligible parent(s):<br>$0.00 (net unearned income of ineligible parent(s) from Step 5 above)<br>+ $1,660.50 (net earned income of ineligible parent(s) from Step 6 above)<br>= **$1,660.50** (total net income) |
| 8 | Determine deemed income from ineligible parent(s):<br>$1,660.50 (total net income from Step 7 above)<br>- $1,804.00 (2026 couple FPL/two parent allocation)<br>= **-$143.50** (amount of deemed income) |
| **3rd Process: Net Income Test Calculation**<br>**The steps below are used to calculate the net income used for eligibility:** | |
| **Step** | **Action** |
| 9 | Calculate the net unearned income:<br>$0.00 (customer child's income)<br>+ -$143.50 (deemed income of ineligible parents(s) from Step 8)<br>- $0.00 (1/3 child support deduction does not apply)<br>= **-$143.50** (subtotal unearned income) |

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| | |
|---|---|
| | - $20.00 ($20.00 general deduction)<br>+ $0.00 (no needs based assistance payments)<br>= **-$163.50** (net unearned income) |
| 10 | Calculate net earned income:<br>$0.00 (total of the customer child's counted earned income [$0.00])<br>- $0.00 (unused portion of the $20.00 general income deduction)<br>- $65.00 ($65.00 work expense deduction)<br>- $0.00 (IRWE deduction)<br>= **-$65.00** (subtotal of earned income)<br>- $0.00 (1/2 subtotal of earned income)<br>- $0.00 (blind work expense deduction)<br>= **-$65.00** (net earned income) |
| 11 | Calculate total net income:<br>-$163.50 (net unearned income from Step 9 above)<br>+ -$65.00 (net earned income from Step 11 above)<br>= **-$228.50** (subtotal of net income)<br>= 0.00 (child allocation amount – customer child does not have dependent children)<br>= **-$228.50** (total net income)<br>NOTE Since the total net income is less than zero, use $0.00 to compare to MSP Standards for an individual |
| 12 | Compare the result in Step 12 to the MSP Standards for an individual:<br>Because **$0.00** is below $1,330.00 (2026 QMB FPL Standard), the customer qualifies for QMB. |

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# E613 How to Calculate FTW Income Eligibility

| Programs | Manual Section |
|---|---|
| FTW | MA613.3 |

The customer is a 45-year-old man with a disability. He is quadriplegic. He works full time as a bookkeeper but because of his disability, he requires an attendant care worker and several IRWE items in order to work. He applies for AHCCCS FTW in February 2026. The customer also receives a $100.00 alimony payment each month.

His earned income from his job in February 2026 is $5,000.00. His IRWE expenses in order to work were verified to total $500.00.

The following steps are used to calculate the customer's eligibility using the net income test:

| Step | Action |
|---|---|
| 1 | Disregard the customer's unearned income.<br>-$100.00 alimony payment<br>$0.00 (counted unearned income) |
| 2 | Calculate net earned income:<br>$5,000.00 (customer's total countable earned income)<br>- $20.00 (general income deduction)<br>- $65.00 ($65.00 work expense deduction)<br>- $500.00 (IRWE deduction)<br>=$4,415.00 (subtotal of earned income)<br>- $2,207.50 (½ of subtotal of earned income)<br>- $0.00 (blind work expense deduction) |

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| | |
|---|---|
| | =$2,207.50 (net earned income) |
| 3 | Compare the result in Step 2 above to $3,325.00 (250% of the FPL):<br><br>Because $2,207.50 is less than $3,325.00, the customer is income eligible for AHCCCS FTW. |

NOTE The customer is eligible for AHCCCS FTW. If he passes the PAS, he is eligible for ALTCS AHCCCS FTW.

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# E614 Income of Children and Tax Dependents for MAGI

| Programs | Manual Section |
|---|---|
| Children<br>Pregnant Woman<br>Caretaker Relative<br>Adult<br>KidsCare | MA614 |

#### 1) Counting Income of Children

The customer lives with her daughter, age 17, and granddaughter, age 1.

The customer is a tax filer and claims her daughter and granddaughter as dependents. The customer earns $2,200 per month. Her daughter earns $300 per month. The daughter's income is expected to be too low to have to file a tax return.

- The customer's budget group = Self, daughter, and granddaughter. The daughter's income is below the tax filing threshold, she is the customer's child, and they are both in the budget group. Since all three conditions are met, the daughter's income is not counted in the customer's budget. Total monthly income counted is $2,200 (the customer's monthly income).
- The daughter's budget group = The customer, self, and granddaughter. The daughter's income is below the tax filing threshold, she is the customer's child, and they are both in the budget group. Since all three conditions are met, the daughter's income is not counted in her own budget. Total monthly income counted is $2,200 (The customer's monthly income).
- The granddaughter's budget group = Daughter and self. The daughter's income is still below the tax filing threshold, and she is under 19, but her parent (the customer) is not part of the granddaughter's budget group. So, the daughter's income is counted in the granddaughter's budget. Total monthly income counted is $300 (The daughter's monthly income).

#### 2) Counting Income of Tax Dependents

The customer, age 42, is a tax filer and claims her mother, age 63, as a tax dependent.

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The customer makes about $1,300 a month from her job while her mother's income is $200 a month from her part-time job. The mother's income is expected to be too low to have to file a tax return.

- The customer's budget group = Self and  mother. The mother is the customer's tax dependent, her income is below the tax filing threshold, and they are both in the budget group. Since all three conditions are met, the mother's income is not counted in the customer's budget. Total monthly income counted is $1,300.

- The mother's budget group = Self. The mother is the customer's tax dependent, her income is still below the tax filing threshold, but the customer is not part of the mother's budget group. The mother's income is counted in her own budget. Total monthly income counted is $200.

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# E703 Resource Treatment Examples

## E703 Resource Treatment Examples

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## A Commingled Funds Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA703.E |

#### 1) Commingled Funds- Example 1

A customer deposits a $1,000 Social Security check in his checking account. The check includes $200 for the current month and $800 for the four months before. The account already contained $300 in counted funds. The new balance is $1,300 ($500 counted, and $800 excluded retroactive SSA benefits).

- The individual withdraws $300. This is considered taken from the counted funds. The remaining $1,000 balance contains the excluded $800, and the remaining $200 of counted funds.
- The individual withdraws another $300. $200 is considered taken from the remaining counted funds and $100 from the excluded funds. The balance of $700 is excluded.
- The individual deposits $500 from the sale of some furniture, creating a new balance of $1,200. Only $700 of the new balance is excluded.

#### 2) Commingling Funds- Example 2

A customer deposits $200 in excluded funds in a checking account that already contains $300 in non-excluded funds.

- The individual withdraws $400. The remaining $100 is excluded.
- The individual then deposits $100 in non-excluded funds. Of the resulting $200 balance, $100 is excluded.
- he individual next deposits $100 in excludable funds. Of the new $300 balance, $200 is excluded.

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## B Constructively Received Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA703.F |

#### 1) Retained Ownership of a Bank Account for another person Example

The customer opened a bank account for his nephew and funded it with $5,000. Even though he put the account in the nephew’s name, he still has full control of the account. The resource remains countable to the customer.

#### 2) Uncashed Check Example

A check received by an individual as payment but which is not yet cashed, even six months or more after receipt, is considered constructively received and included in the resource calculation.

#### 3) Irrevocable Assignment Example

The customer irrevocably assigns a $10,000 Certificate of Deposit to his grandchildren. Since the assignment is irrevocable and the CD is no longer available to the customer, the $10,000 assignment is not considered constructively received, but is evaluated as a transfer.

#### 4) Transferred Asset Example

tThe customer assigns a $5,000 savings account to his brother, and the account is now solely in the brother's name. The account cannot be made available solely due to the customer's action. As a result, the savings account cannot be treated as constructively received but instead is evaluated as a transfer.

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**5) Refusal of an Inheritance Example**

The customer refuses an inheritance that reverts to another individual named in the will and is no longer available. The resource is no longer considered constructively received, but is evaluated as a transfer.

**6) Advance Payment Considered a Constructively Received Resource Example**

The customer entered a NF on April 15th and applied for ALTCS on April 18th. On April 29th he paid the NF $5,000. On April 25th the NF had billed the customer for 16 days in April totaling $2,990 and that payment was due no later than May 5th.

For April, $2,990 is considered payment of a current bill, but the balance of the payment ($2,010) is an advance payment and is considered a constructively received resource.

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**C Long-Term Care Partnership Program Exclusion Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA703F |

The customer has a qualifying long-term care insurance policy. When she enters a nursing home, the policy begins issuing benefits that she uses to pay her nursing home costs.

The customer receives $80,000 in payments from the LTC policy before applying for ALTCS. As a result, $80,000 of her resources will not be counted in determining if she is resource eligible for ALTCS. In addition, $80,000 of any estate she may leave when she dies will be exempt from the Estate Recovery program.

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# E704 Ownership of Resources

## E704 Ownership of Resources

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Equitable Ownership Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA704C |

When asked about any assets held in his name but not listed on the application, the customer states that he holds the title to his son's car.

The customer provides a written statement explaining why the car is in his name but actually belongs to his son. The customer's son could not get a loan to buy the car, which he needs to get to work. The customer took out a loan with his credit union and bought the car on his son's behalf. The son has made all the payments on this loan and has the car in his possession.

The written statement received from the son also confirms the customer's statement. The car is titled to his father since the loan is in his father's name. Once the loan is paid off, title to the car will be transferred to the son.

The worker verifies that there are no payments coming from the customer's account for the car. The customer has proven that he does not have an equitable interest in the car. The son has full equitable ownership. The car is not counted as the customer's resource in the eligibility determination.

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## B Creating Joint Ownership Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA704B<br>MA902B |

### Examples

#### 1) Title of a Resource with "and"

The customer added her cousin to the title on her property because she wanted it to stay in the family after she dies. The new title shows the customer **and** her cousin as the joint owners. Since both the customer and her cousin must agree to sell the property, adding the cousin's name must be evaluated as a 50% transfer.

#### 2) Title of a Resource with "or"

The customer added his brother to the title on his boat. The new title shows the customer **or** his brother as the owners. Since this did not change the customer's ability to sell, transfer, or dispose of the asset, a transfer did not occur. The full value of the boat would be counted as a resource to both the customer and to the brother.

NOTE This example also applies if the title shows "And/Or".

#### 3) Customer was Added to a Resource with "and"

The customer's daughter added the customer's name to her property. The title shows the customer's daughter **and** the customer as joint owners. Since the customer was added to the property as an owner, 50% of the property value is a resource to the customer.

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#### 4) Customer was Added to a Resource with "or"

The customer’s friend added the customer’s name to her property. The title shows the customer's friend **or** the customer as the owners. Since either the customer or the customer’s friend can sell the property, the full value of the property is a resource to the customer.

NOTE This example also applies if the title shows “And/Or”.

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## C Ownership Involving an Agent Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA704D |

### Examples

#### 1) Ownership Involving an Agent - Bank Account

The customer’s account lists both her name and her adult child as her Power of Attorney. The account is funded by the customer. The adult child makes withdrawals for the benefit of the customer. The adult child is acting as a fiduciary for her mother. This bank account is a countable resource to the customer.

#### 2) Improperly Titled Asset - Title not corrected

The customer’s bank statements show the account is listed in the representative's name only. The representative states all the money in the account belongs to the customer. The bank statements show the customer’s income is the only income going into the account. It also shows only the customer’s expenses are being paid from this account. The account is owned by the representative because the customer’s name is not on the account. The account is not a countable resource to the customer.

#### 3) Properly Titled Asset – Representative acting in a fiduciary manner

The customer owns an out-of-state property. The representative provides a deed showing the property is owned by the customer through their conservator. The deed shows it is the customer’s property and the conservator is acting in a fiduciary manner. The property is a countable resource to the customer.

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# E705 Resource Type Examples

## E705 Resource Type Examples

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## A Burial Funds Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA705D |

#### Irrevocable Burial Contract Example

The customer has irrevocably assigned ownership of a life insurance policy to a funeral home to fund a burial contract for himself. The equity value of the life insurance policy is $3,000.

The burial contract identifies the purchase of $1,300 of burial space items and $1,700 of burial services. Since the contract is funded by the irrevocable assignment of a life insurance policy it can be totally excluded. $1,300 is excluded as Burial Plot Items and $1,700 is excluded as an Irrevocable Burial Fund.

#### Burial Funds – Declaratively Designated Burial Funds Examples

##### 1) Burial Fund exclusion effective before the written designation

The customer opened a bank account in 1968 to set aside $400 for her future burial expenses. She has no irrevocable burial arrangement or other burial fund. She applied for AHCCCS benefits in late January. In February, she completes the DE-157 and lists the date she opened the account in 1968 as the date she considered these funds set aside for burial expenses.

The effective date of the exclusion is January. Her account balance in the month of application is $1,000. She receives a burial fund exclusion of $1,000 for the month of January.

##### 2) Burial Fund exclusion effective as of the written designation

The customer applied for ALTCS on November 21st. He has a revocable burial contract valued at $200. He also has a checking account with a balance of $1,900. At his interview on December 2nd he reports that on December 1st he decided to use $1,700 of the money in his checking account to buy a Certificate of Deposit to help cover his burial expenses. He completes the DE-157 and states that December 1st is the date he set aside the funds for burial.

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Since he already has a revocable burial contract worth $200, the available burial fund exclusion is $1,300 ($1,500 - the $200 revocable burial contract). $1,300 of the CD balance is excluded as a designated burial fund beginning with the budget month of December. The remaining $400 is a counted resource.

#### 3) Burial Fund value in the month of designation

The customer designated her savings account as her burial fund at her interview on November 8. She has no other burial-related resources.

The opening account balance on November 1st was $1,000. Interest in the amount of $0.33 was posted to the savings account on November 23rd. The burial fund exclusion is $1,000.33 because the interest was paid in the month of designation. The savings account is an excluded burial fund beginning with the budget month of November.

#### 4) Revocable Burial Contract Including Burial Plot Items

The customer applied in February and has a single revocable burial contract worth $4,500.00 that he purchased two years before. Because the resource includes only burial-related resources, it does not have to be separated to allow the Burial Fund Exclusion.

The contract lists $2,500 in burial services and $2,000 in burial plot item. The full $2,000 for the burial plot items are excluded if separately listed and value given. $1,500 of the contracted burial services is excluded as a burial fund. The remaining $1,000 is a counted resource. Since the funds were designated by title before the application date and do not need to be separated, the exclusions begin with the application month.

#### 5) Burial Fund co-mingled with other funds

The customer applies in May. She has a bank account of $1,200. She states that $500 of the funds in the account is designated for burial, and the remaining $700 is for living expenses. Since the funds designated for burial expenses are kept in the same account as funds that are not related to burial, the $500 cannot be excluded as a burial fund. If customer moves the $500 to a separate account, the exclusion may be given the month the funds are separated.

### Interest Earned on Excluded Burial Funds Examples

#### 1) Interest earned by a designated burial fund that is only partly excluded

The customer applied and was approved in May. At the time he applied, he had a bank account for burial expense funds that he designated by title in 2006. The value of the fund in the application month was $2,102. The burial fund exclusion was $1,500 and the remaining $602 is a counted

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resource. The fund as a whole earns about $0.30 per month, which the customer leaves in the account. All of the interest earned since May is excluded, even though part of it was generated by the original $602 that is counted.

#### 2) Value of a designated burial fund after a period of suspension

The customer has an excluded burial fund that was valued at $1,485 in April 2009 when the exclusion began. In December of the current year he gets a lump sum payment and is over income. Some of the lump sum payment is not spent, and he customer is over the resource limit in January and February. In March, his resources are again under the limit and his eligibility is no longer suspended. Because his eligibility was suspended and not ended, the value of his excluded burial fund remains unchanged at $1,485 and the interest earned since April 2009 left in the account is also still excluded.

> NOTE If the customer had used $50 of the burial fund to buy groceries in December, the exclusion would have ended effective January. The customer would have to re-designate the funds in the account all over again at the current value.

#### Additional Funds Placed in a Burial Account Example

The customer has designated a bank account of $1,000 as a burial fund, and received a Burial Fund Exclusion of $1,000. Two years later, the customer wants to add to her burial account. Even though her burial account balance is now $1,050 due to accumulated interest, she may add up to $500 to the account (the difference between the original designated amount and the maximum of $1,500).

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## B Home Property

| Programs | Manual Section |
|---|---|
| ALTCS | MA705K |

### Life Estate Interest Examples

#### 1) Life Estate Example – Spouse living in Home Property

The customer and his wife own a life estate interest in property. The customer is residing in a Nursing Facility and his wife uses the life estate property as her principal place of residence. The value of the life estate is excluded as a Home Property because the customer's spouse uses the life estate property as her home property.

#### 2) Life Estate Example – Customer is institutionalized, but did not live in the property.

The customer lived in an apartment for years, until he was placed in a nursing facility. After entering the nursing facility, he used $20,000 of his savings to buy a life estate interest in his son's home.

Since the customer did not live in the son's home before he was institutionalized, the life estate is not excluded as home property.

#### 3) Life Estate Example – Customer is institutionalized, but intends to return to the prior residence

The customer was living in her daughter's home, but had to enter a nursing facility. After entering the nursing facility, she used $19,000 of her savings to buy a life interest in her daughter's home.

Even though the customer lived in the home before entering the nursing facility, the life estate is not excluded as home property because she did not have an ownership interest in her daughter's home before she was institutionalized.

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**Previous Home Property Sold on Contract Example**

The customer sold his home under an installment contract. The contract has a principal balance of $75,000 as of July 1st. On July 10th the buyer makes a principal payment of $5,000 to the customer.

As of October 31st, the customer has used only $4,000 of the July payment in connection with purchasing of a new home. The unused $1,000 principal payment AND the remaining principle balance of the installment contract ($70,000) are counted as resources effective November 1st.

**Home Property Titled to a Trust Example**

A customer's home property is titled to a revocable trust. The current market value for the property is $309,000. The customer owes $135,500 on the home's mortgage. $309,000-$135,500= $173,500. The countable equity value for the home property in the trust is $173,500.

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## C Property Essential to Self-Support

| Programs | Manual Section |
|---|---|
| ALTCS | MA705S |

#### 1) Business Property Example – Used in a trade or employment

The customer and her spouse have a small commercial fishing business. They own a commercial fishing permit granted by the State Commerce Commission, a boat, and fishing tackle. They have been in business since 2002. The Arizona Corporation Commission records show incorporation in 2003. The customer also provided a copy of their most recent business bank statement for proof of income. The bank statement supports the customer's statement that the property is currently in use. Since this is a valid trade or business, the boat, tackle and permit are all excluded as essential to self-support.

#### 2) Rate of Return Example – Non-business property that produces a 6% rate of return

The customer owns a mobile home that he rents out and a small vacant lot that he rents out for event parking. The mobile home has an equity value of $6,100 and produces net annual rental income of $1,000. The vacant lot has an equity value of $4,000 and produces net annual rental income of $120. Each property's rate of return is calculated separately, as shown below:

Mobile Home – Net annual income of $1,000 divided by $6,100 = 16.3% rate of return. Since the mobile home produces more than a 6% return, $6,000 of its equity value is excluded. The remaining $100 is counted.

Vacant Lot – Net annual income of $120 divided by $4,000 = 3% rate of return. Since the vacant lot produces less than a 6% return, its equity value of $4,000 is counted.

#### 3) Rate of Return Example – Non-business property that produces a 6% rate of return

The customer owns an apartment complex with multiple units on the same property. The customer does not actively manage or maintain the property. The apartment complex has a property value of $200,000.

The customer receives $30,000 per year from the apartments. The customer has the following expenses related to the apartment: $2,500 a year in property taxes, and $2,500 a year for insurance.

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After expenses are accounted for, the customer's net income from the apartments is $25,000. Net annual income of $25,000 divided by $200,000 = 12.5% rate of return. The equity value of the property is reduced by $6,000.

**4) Rate of Return Example – Non-business property that produces a 6% rate of return**

Customer owns property with an equity value of $75,000. The customer has an outstanding agreement with a mining company that they may use the property for mining purposes. This mining company pays the customer $6,000 per year. Net annual income of $6,000 divided by $75,000 = 8% rate of return. This property's equity value is reduced by $6,000.

**5) Property that produces goods or services for the customer's needs**

A farmer has a 4-acre lot 5 miles from his house. He raises 3 cows and a garden every year. He sells two of the cows for $700 each and butchers the remaining cow for personal use. He sells the vegetables once he fills his personal freezers. He makes $1,200 from selling vegetables. The earnings are reviewed as self-employment income. Since this property is used to produce goods or services for the daily needs of the customer, $6,000 is deducted from the equity value of the property.

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## E Stocks and Digital Assets Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA705X |

#### 1) Publicly traded stock

The customer gives a stock certificate that shows they own 33 shares of Company X. A search of Yahoo Finance for Cryptocurrencies shows the current share price of Company X has a value of $10.50. The resource value is $346.50 (33 shares x $10.50 Share Price).

#### 2) Stock is held in a private corporation

The customer owns shares of a non-publicly traded stock. The customer gives the stock certificate as proof of ownership. The customer also gives a letter from the accounting department with an estimate of the value of the stock, a detailed explanation of the valuation, and the accounting department managers contact information. The letter from the accounting department is accepted as proof of the resource value.

#### 3) Stock purchases through a broker

The customer has a brokerage account. The account statement shows the customers holdings, including the share price and number of shares held. The most recent account statement is accepted as proof of the resource value.

#### 4) Digital Assests account

The customer gives an account statement showing they own 40.25 ‘Virtua Coins’ which can be exchanged for US Dollars. The account statement shows the share price, number of shares held, and the value. The most recent account statement is accepted as proof of the resource value.

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**5) Digital Assests as part of a portfolio**

The customer gives an account statement showing they own an account with multiple digital assets. The customer gives an account statement that shows how much of each currency is owned as proof. Each currency is convertible to USD at various exchange rates. The customer holds 3 different digital assets in the amount of: 26.35 Virtua Coins, 82 Zebra Dollars, and 1032.5 Litle Coins. Each currency is calculated individually using information found on Yahoo Finance for Cryptocurrencies. The account value is then totaled from the resource value of all the currencies held.

| Resource | 'Currency Amount' x 'Exchange Price per Unit' | | Resource Value |
|---|---|---|---|
| Virtua Coins | 26.35 x $10.00 | = | $263.50 |
| Zebra Dollars | 82 x $75.00 | = | $6,150.00 |
| Litle Coins | 1032.5 x $0.32 | = | $330.40 |
| TOTAL | | = | $6,743.90 |

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## F Financial Account Rebuttal Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA705I |

#### 1) Account Ownership Rebuttal Example – Successful rebuttal

The customer is listed on an account with her daughter. The daughter provided a written statement saying the account belongs to her and she makes all the deposits and withdrawals. Her mother was added to the account in case the daughter needed help during an emergency. The customer provided a written statement saying the account is not hers, her money goes into her own account, and she is removing her name. She provided her bank statement to show where her money is deposited. The daughter provided a recent bank statement showing that the customer's name has been removed from the account. The checking account is no longer a resource to the customer.

#### 2) Account Ownership Rebuttal Example – Unsuccessful rebuttal

The customer is listed on an account with her daughter. The daughter provided a written statement saying the account belongs to her and she makes all the deposits and withdrawals. No bank statements were provided. The customer did not provide a written statement or proof of where her money is deposited. The checking account is counted as a resource to the customer.

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## D Promissory Notes, Loans and Property Agreement Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA705R |

#### 1) Customer is the lender of a negotiable property agreement

An ALTCS customer has a property agreement with his cousin. The terms of the contract are as follows:

- The customer's cousin must pay $1,300 each month to pay the balance of $150,000 in exchange for the customer's property.
- There is no interest on the amount owed.
- The contract does not state that it is non-negotiable.

According to the payment schedule, $125,000 is still owed on the property agreement at the time of application. Since the property agreement does not clearly state that it is non-negotiable, the remaining principal balance of $125,000 is a countable resource to the customer. The $1,300 payments made to the customer are counted as a resource and not counted as income.

#### 2) Customer is the lender of a non-negotiable promissory note

An ALTCS customer has a promissory note with her grandson. The terms of the promissory note are as follows:

- The customer gave her grandson $50,000 to help him buy his new home.
- Her grandson will pay $1,500 each month until the balance is paid.
- The agreement clearly states that it is non-negotiable.

The customer's grandson owes $15,000 on the note at the time of application. Since the note is clearly identified as non-negotiable, it is a transfer. The customer got $35,000 as compensation, so the remaining $15,000 is uncompensated.

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**3) Customer is the borrower of a loan agreement (negotiable or non-negotiable)**

In the same month as her application, a customer entered a loan agreement with her friend. The terms of the agreement are as follows:

- The customer got $10,000 cash from her friend to help pay for medical costs
- The customer will pay $500 a month to her friend until the loan is repaid
- The contact does not state that it is non-negotiable.

The $10,000 the customer gets from the loan is not counted as income in the month received. Any amount remaining from the loan is counted as a resource in the month after the month she receives the money. The negotiability of the agreement does not affect treatment when the customer is the borrower.

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# E707 Community Spouse Resource Budgeting Examples

## E707 Community Spouse Resource Budgeting Examples

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**A Ineligible Month in Initial Period Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA707 |

The customer applies for ALTCS in July. The customer is eligible for ALTCS beginning July 1st. The customer is ineligible for August due to receipt of annually received income, but is eligible again in September. The 12-month count begins July 1st and ends on June 30st of the following year. The ineligible month (August) has no effect on the 12-month count.

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**B Ending the Initial Period early - Resources increased**

| Programs | Manual Section |
|---|---|
| ALTCS | MA707 |

The customer applies for ALTCS on March 3rd. The couple's CSRD is $32,000. Initial rules are applied and the customer is approved for ALTCS effective March 1st.

In August of the same year, the customer's wife inherits $30,000 from her sister's estate. She reports the inheritance and also proves that the other spousal transfers have been completed. The resources in the customer's name are now $1,500 and his wife has $60,000. Using initial rules, the couple's combined resources now total $61,500. Since the CSRD is only $32,000 the customer is now over resources under initial rules. However using post-initial rules, the customer's resources are under the $2,000 limit and he is eligible. The initial period is ended early and the customer remains eligible.

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## C Community Spouse Resource Deduction Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA707.4 |

The standards at MA707.2 are used in the CSRD calculation process.

#### 1) Minimum CSRD Example

The calculated CSRA is $30,000, and the spousal share is $15,000.

| | | |
|---|---|---|
| Spousal share | = | $15,000 |
| Lesser of $15,000 or $162,660 | = | $15,000 |
| Greater of $15,000 or $32,532 | = | $32,532 |
| CSRD | = | $32,532 |

The customer qualifies for the minimum CSRD.

#### 2) Maximum CSRD Example

The calculated CSRA is $350,000, and the spousal share is $175,000.

| | | |
|---|---|---|

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| | | |
|---|---|---|
| Spousal Share | = | $175,000 |
| Lesser of $175,000 or $162,660 | = | $162,660 |
| Greater of $162,660 or $32,532 | = | $162,660 |
| CSRD | = | $162,660 |

The customer qualifies for the maximum CSRD.

#### 3) In Between CSRD Example

The calculated CSRA is $96,000, and the spousal share is $48,000.

| | | |
|---|---|---|
| Spousal share | = | $48,000 |
| Lesser of $48,000 or $162,660 | = | $48,000 |
| Greater of $48,000 or $32,532 | = | $48,000 |
| CSRD | = | $48,000 |

The customer qualifies for a CSRD between the minimum and maximum amounts.

#### 4) Previously used maximum or minimum CSRD Example

The customer entered a nursing facility on March 3, 1999 and applied for ALTCS benefits on August 15, 1999. The FCPI was established as March 1999.

The couple’s countable resources in March 1999 totaled $180,000 and the spousal share was $90,000. The customer qualified for the 1999 maximum CSRD of $81,960. The customer's resources were over the limit and the ALTCS application was denied.

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The customer reapplied for ALTCS on February 6, 2026. The $90,000 spousal share determined for the 1999 resource assessment is now compared to the 2026 CSRD limits. Because the maximum CSRD in 2026 is $162,660, the entire spousal share of $90,000 is the new CSRD amount.

**5) Recalculation due to an Unreported Resource at Original CSRA Example**

The customer requests a resource assessment on July 17. The FCPI is determined to be June of that year. The CSRA is completed and the spousal share is calculated to be $40,000.

On December 5, the customer applies for ALTCS. The customer's counted resources in December include a $10,000 Certificate of Deposit (CD) that the customer owned and did not report when the CSRD was calculated in June. The CSRD is re-calculated for June and is determined to be $45,000.

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**D Establishing FCPI Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA707 |

The customer and his spouse applied for ALTCS on December 6 and are intending to receive HCBS. The customer lived in a nursing facility from April 5 through May 10 of the previous year and his spouse lived in a nursing facility from October 7 through November 12 of the current year. Neither spouse has any earlier periods of institutionalization.

The customer's FCPI began April of the previous year and his spouse's FCPI began October of the current year. If a resource assessment is needed, it would be completed as of April for the customer and as of October for his spouse.

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## E Community Spouse Resource Calculation

| Programs | Manual Section |
|---|---|
| ALTCS | MA707.8 |

#### 1) Initial Rules Calculation

The customer applies for ALTCS on December 5th. The CSRD is calculated to be $30,000. In December, the customer's counted resources are $22,000, and her husband's counted resources are $13,000. Resources are determined as follows:

| | |
|---|---|
| The customer's resources in December | $22,000 |
| The Community Spouse's resources in December | + $13,000 |
| Total counted resources | = $35,000 |
| Community Spouse Resource Deduction (CSRD) | - $30,000 |
| Total considered resources | = $5,000 |

The total counted resources are more than the resource limit of $2,000, and the customer is not eligible for ALTCS.

#### 2) Post-Initial Rules Calculation

The customer's initial rules period is ending and her eligibility is being redetermined. The couple has completed the spousal transfers, and only a bank account with $700 remains in the customer's name.

The total counted resources of $700 are less than the resource limit of $2,000, and the customer remains eligible for ALTCS.

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# E802 Non-Special Treatment Trusts Examples

## E802 Non-Special Treatment Trusts Examples

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# A Non-Special Treatment Trust - Income Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA802 |

#### 1) Solely Owned Trust Example – Income higher than disbursement

The customer owns a revocable trust. She gets $1,200.00 in Social Security income each month, which is direct-deposited into the trust account. In the month that the customer applies for ALTCS, the trustee takes $1,100.00 out of the trust account and gives it to the customer.

The $1,200.00 that went into the trust is higher than the $1,100.00 paid out from the trust. The full $1,200.00 is counted when determining income eligibility and share of cost.

#### 2) Jointly Owned Trust Example – Income lower than disbursement

The customer and his wife jointly own a revocable trust. Every month the customer's $1,500.00 Social Security benefit and his wife's $300.00 pension payment are direct-deposited to the revocable trust account. The trustee takes $2,000.00 out of the trust account and gives it to the couple. The $2,000.00 paid out from the trust is higher than the $1,800.00 that went into the trust. The $2,000.00 paid out from the trust is counted when determining income eligibility and share of cost.

#### 3) Jointly Owned Trust Example – Income higher than disbursement

The customer and her husband jointly own an irrevocable trust. The customer gets $1,200.00 Social Security income per month. The customer's husband gets $500.00 in military retirement pay. Both the Social Security and the military retirement pay are direct-deposited into the trust account.

In the month that the customer applies for ALTCS, the trustee takes $500.00 out of the trust account to pay the couple's expenses. The total of all income that went into the trust is higher than the amount paid out. The income assigned to the trust is counted when determining income eligibility and share of cost.

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## B Calculating Ownership Percentage of Trust Assets Example

| Programs | Manual Section |
|---|---|
| ALTCS | MA802 |

The customer created a trust on 8/31/2003. The trust was initially funded with $2,000.00 from the customer, $1,000.00 from the customer's spouse, and $1,000.00 from the customer's brother. No other money was ever added to the trust. The total amount of money in the trust is $4,000.00. The customer and spouse own $3,000.00 between the two of them.

$3,000.00 divided by $4,000.00 equals 0.75. The customer’s ownership percentage in the trust is 75%.

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# E803 Special Treatment Trust Examples

## E803 Special Treatment Trust Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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## A STTs and Income Calculations

| Programs | Manual Section |
|---|---|
| ALTCS | MA803E |

#### 1) Income Only Trust - Customer in a Nursing Facility

The customer receives a total of $3,500.00 per month from two pensions. Both pensions are assigned to an income only trust. In 2026, the customer's share of cost (SOC) is $3,350.90 and his personal needs allowance (PNA) is $149.10.

The trustee pays the SOC from the trust directly to the nursing facility and writes a check to the customer for the PNA. There are no other payments made from the trust.

The SOC payment is not counted as income, but the $149.10 paid to the customer for his personal needs is counted. The customer's total counted income is $149.10.

#### 2) Income Only Trust – Customer Lives at Home

The customer receives $2,100.00 from Social Security and $1,000.00 from a pension. Both the Social Security and the pension are assigned to her Income-Only Trust. In 2026, her SOC is $118.00, and her PNA $2,982.00. There are no other payments made from the trust.

The SOC payment is not counted as income, but the $2,982.00 paid to the customer for her personal needs is counted. The customer's total counted income is $2,982.00.

#### 3) Trust for a Person Under Age 65 with a Disability – Customer child lives with parents

The customer is an eight-year-old child living at home with his parents. He does not receive any income of his own. In the past he received a large injury settlement, which was put into a Trust for People Under Age 65 with a Disability. The trustee expects to issue the following payments every month:

- $15.00 to the customer for spending money;
- $100.00 to the grocer for his special food;
- $150.00 to medical providers for medical supplies;

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- $200.00 to the insurance company to insure the specially equipped van, which is owned by the trust; and
- $100.00 to the trustee for fees related to administering the trust.

Since only payments for shelter or payments made directly to the customer are counted as income when determining ALTCS eligibility, the customer's total counted income is $15.00.

#### 4) Trust for a Person Under Age 65 with a Disability – Customer lives in a Nursing Facility

The customer lives in a nursing facility and has a trust for a person under age 65 with a disability. The only income source is $680 per month in Social Security benefits. The Social Security income is not assigned to the trust.

The trustee expects to issue two payments each month:

- $50.00 paid to the grocery store for special foods for the customer; and
- $125.00 paid to the pharmacy for prescriptions, personal care items, and sanitary wipes.

The customer's total counted income is $680.00 from Social Security.

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## B Calculating Share of Cost when the Customer has a Special Treatment Trust - Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA803E |

#### 1) Income-Only Trust

The customer lives at home and has two sources of income. His Social Security benefit of $2,100.00 is assigned to his Income-Only Trust. His pension of $700.00 is paid directly to him, and is not part of the trust. Both the Social Security and the pension are counted to determine his Share of Cost.

#### 2) Trust for a Person Under Age 65 with a Disability

The customer lives in a nursing facility and has a Trust for a Person Under Age 65 with a Disability. The trust funds are in a brokerage account, and earn $300.00 each month in interest.

The customer receives monthly income from an annuity and from her Social Security benefits. The annuity payment is $1,600.00, and is deposited directly into the trust. The Social Security benefit is $2,000.00 per month, and is paid directly to her.

The interest earned by the trust is not counted for eligibility or Share of Cost. The customer’s income from both the annuity and Social Security are counted when determining Share of Cost.

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## C Special Treatment Trust Anticipated Disbursements Form (DE-312)

| Programs | Manual Section |
|---|---|
| ALTCS | MA803E |

These examples are divided by customer situations. In general, the following information applies to every DE-312:

- List ALL 12 months starting with the current month at the time the form is filled out. The row must show the month AND year. For example, “04/2020” or “April 2020” would be acceptable. Writing “April” without the year is not acceptable.
- When amounts do not change from month to month, they must be written in the appropriate space for each month. For example, when a customer pays $100.00 per month in legal fees, “100.00” will be in the space for legal fees for all 12 months. Writing “100.00” and drawing an arrow or line through the following months is not acceptable.
- When there is income assigned to the trust that is counted in the Share of Cost (SOC) calculation, the SOC must be paid from the trust income.
- Focus on the money going into and coming out of the trust:
    - Income that is not assigned to the trust should not appear on this form.
    - Any disbursement that is automatically deducted from income that is not assigned to the trust should not appear on this form.

#### 1) The trust does not receive income

The customer is applying for ALTCS in June 2020. She has a special treatment trust which requires a completed Special Treatment Trust Anticipated Disbursements Form (DE-312). She has $1,500.00 in countable income that is not assigned to the trust. She lives at home and does not have a share of cost.

The only thing titled to the trust is a financial account with $500,000.00 from a legal settlement.

The customer is requesting the following disbursements:

- $100.00 per month in legal fees for the attorney handling the trust
- $200.00 per month for personal care services from an AHCCCS-registered provider

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- $500.00 per month for rent
- A one-time disbursement of $750.00 for the purchase of a prepaid burial plan funded by an irrevocable life insurance policy, to be purchased in August 2020

All the requested disbursements are considered allowable disbursements. Since the $500.00 is for shelter, it is counted in the income determination. Her total countable income, including income outside the trust, would be $2,000.00. The other requested disbursements are not counted as income.

The DE-312 should be completed as follows:

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **06/2020** | **07/2020** | **08/2020** | **09/2020** | **10/2020** | **11/2020** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | | | | | | | |
| The ALTCS Share of Cost (SOC): | | | | | | | |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | 100.00 | 100.00 | 100.00 | 100.00 | 100.00 | 100.00 |
| Medical Insurance: | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Medical Expenses: | | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | 500.00 | 500.00 | 500.00 | 500.00 | 500.00 | 500.00 |
| Pre-Paid Burial Expenses:(See back page) | | | | 750.00 | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | | 800.00 | 800.00 | 1550.00 | 800.00 | 800.00 | 800.00 |

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **12/2020** | **01/2021** | **02/2021** | **03/2021** | **04/2021** | **05/2021** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | | | | | | | |
| The ALTCS Share of Cost (SOC): | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | 100.00 | 100.00 | 100.00 | 100.00 | 100.00 | 100.00 |
| Medical Insurance: | | | | | | | |
| Medical Expenses: | | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | 500.00 | 500.00 | 500.00 | 500.00 | 500.00 | 500.00 |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | | 800.00 | 800.00 | 800.00 | 800.00 | 800.00 | 800.00 |

**2) The trust receives income that is counted in the SOC calculation**

The customer is applying for ALTCS in March 2020. He has a special treatment trust which requires a completed Special Treatment Trust Anticipated Disbursements Form (DE-312).

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The customer:

- Lives in an assisted living home;
- Gets $1,000.00 per month in Social Security income and $2,000.00 per month from a pension; and
- Pays $144.60 for Medicare Part B and $200.00 per month for other health insurance.

If he is approved for ALTCS, his SOC before the Medicare Buy-in occurs will be **$306.40**. His SOC after the Medicare buy-in will be **$451.00**.

His Social Security income is assigned to the trust. The trust is also funded with a financial account with $20,000.00.

The customer is requesting the following disbursements:

- $75.00 per month in legal fees for the attorney handling the trust
- $144.60 for Medicare Part B
- $200.00 per month for his health insurance
- $200.00 per month for his visits to the chiropractor that is not covered by insurance

All the requested disbursements are considered allowable disbursements. None of the requested disbursements are counted as income. Since the customer has a SOC and the income assigned to the trust is counted for the SOC determination, the SOC must be paid from the trust income.

The DE-312 should be completed as follows:

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **03/2020** | **04/2020** | **05/2020** | **06/2020** | **07/2020** | **08/2020** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | | 1000.00 | 1000.00 | 1000.00 | 1000.00 | 1000.00 | 1000.00 |
| The ALTCS Share of Cost (SOC): | 306.40 | 306.40 | 306.40 | 306.40 | 451.00 | 451.00 | 451.00 |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | 75.00 | 75.00 | 75.00 | 75.00 | 75.00 | 75.00 |
| Medical Insurance: | | 344.60 | 344.60 | 344.60 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | | 926.00 | 926.00 | 926.00 | 926.00 | 926.00 | 926.00 |

| **Month:** | **Amounts Provided by Benefits and** | **9/2020** | **10/2020** | **11/2020** | **12/2020** | **01/2021** | **02/2021** |
|---|---|---|---|---|---|---|---|

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| | **Eligibility Specialist** | | | | | | |
|---|---|---|---|---|---|---|---|
| **<u>Income Assigned to the Trust:</u>** | | 1000.00 | 1000.00 | 1000.00 | 1000.00 | 1000.00 | 1000.00 |
| The ALTCS Share of Cost (SOC): | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | 75.00 | 75.00 | 75.00 | 75.00 | 75.00 | 75.00 |
| Medical Insurance: | | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Total of all Disbursements:** | | 926.00 | 926.00 | 926.00 | 926.00 | 926.00 | 926.00 |

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## D Income-Only Trust Anticipated Disbursements Form (DE-313)

| Programs | Manual Section |
|---|---|
| ALTCS | MA803E |

These examples are divided by customer situations. In general, the following information applies to every DE-313:

- List ALL 12 months starting with the current month at the time the form is filled out. The row must show the month AND year. For example, 04/2020; or April 2020, would be acceptable. Writing “April” without the year is not acceptable.
- When amounts do not change from month to month, they must be written in the appropriate space for each month. For example, when a customer pays $100.00 per month in health insurance, “100.00” will be in the space for health insurance for all 12 months. Writing “100.00” and drawing an arrow or line through the following months is not acceptable.
- The amount of total disbursements should not be greater than the amount of income assigned to the trust.
- When there is income assigned to the trust that is counted in the Share of Cost (SOC) calculation, the SOC must be paid from the trust income.
- Focus on the money going into and coming out of the trust:
    - Income that is not assigned to the trust should not appear on this form.
    - Any disbursement that is automatically deducted from income that is not assigned to the trust should not appear on this form.

#### 1) The customer has all of their income assigned to the Income-Only Trust and lives in a Home and Community Based Services (HCBS) living arrangement

The customer is applying for ALTCS in March 2020. He has an income-only trust.

The customer:

- Lives in an assisted living home;
- Gets $1,000.00 per month in Social Security income and $2,000.00 per month from a pension. Both incomes are assigned to the income-only trust; and
- Pays $144.60 for Medicare Part B and $200.00 per month for other health insurance.

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If he is approved for ALTCS, his SOC before the Medicare Buy-in occurs will be **$306.40**. His SOC after the Medicare buy-in will be **$451.00.**

The DE-313 should be completed as follows:

| **Msh:** | **Amounts Provided by Benefits and Eligibility Specialist** | **03/2020** | **04/2020** | **05/2020** | **06/2020** | **07/2020** | **08/2020** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |
| The ALTCS Share of Cost (SOC): | 306.40 | 306.40 | 306.40 | 306.40 | 451.00 | 451.00 | 451.00 |
| Personal Needs Allowance:* | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | 344.60 | 344.60 | 344.60 | 344.60 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |

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|---|---|---|---|---|---|---|---|
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **09/2020** | **10/2020** | **11/2020** | **12/2020** | **01/2021** | **02/2021** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |
| The ALTCS Share of Cost (SOC): | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 | 451.00 |
| Personal Needs Allowance:* | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 | 2349.00 |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |

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**2) The customer has income both inside and outside the Income-Only trust and lives in a HCBS living arrangement**

The customer is applying for ALTCS in March 2020. She has an income-only trust.

The customer:

- Lives in an assisted living home;
- Gets $4,000.00 per month in annuity income that is assigned to the trust;
- Gets $1,000.00 per month from Social Security that is NOT assigned to the trust; and
- Pays $144.60 for Medicare Part B and $100.00 for a Medicare supplement plan. Both payments are automatically deducted from the customer's Social Security payment.

If she is approved for ALTCS, her SOC before the Medicare Buy-in occurs will be **$2,406.40**. Her SOC after the Medicare buy-in will be **$2,551.00**.

Since the deductions for Medicare Part B and the supplemental plan are deducted from an income that is outside of the trust, the health insurance premiums should not appear on the form.

The DE-313 should be completed as follows:

NOTE The income outside the trust ($1,000.00) plus the countable Personal Needs Allowance disbursement ($1,349.00) equals $2,349.00, which is the income limit for 2020. Any additional countable disbursements would put the customer over the income limit. If the trustee wanted to disburse the $244.60 left over in the trust in March 2020, the disbursement would have to be a type of disbursement that is not countable, such as legal or professional expenses.

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **03/2020** | **04/2020** | **05/2020** | **06/2020** | **07/2020** | **08/2020** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 |
| The ALTCS Share of Cost (SOC): | 2406.40 | 2406.40 | 2406.40 | 2406.40 | 2551.00 | 2551.00 | 2551.00 |
| Personal Needs Allowance:* | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | | | | | | | |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 3755.40 | 3755.40 | 3755.40 | 3755.40 | 3900.00 | 3900.00 | 3900.00 |

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| Month: | Amounts Provided by Benefits and Eligibility Specialist | 09/2020 | 10/2020 | 11/2020 | 12/2020 | 01/2021 | 02/2021 |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 | 4000.00 |
| The ALTCS Share of Cost (SOC): | 2551.00 | 2551.00 | 2551.00 | 2551.00 | 2551.00 | 2551.00 | 2551.00 |
| Personal Needs Allowance:* | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 | 1349.00 |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | | | | | | | |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 3900.00 | 3900.00 | 3900.00 | 3900.00 | 3900.00 | 3900.00 | 3900.00 |

**3) The customer has all income assigned to the trust and lives in a long-term care medical institution**

The customer is applying for ALTCS in March 2020. He has an income-only trust.

The customer:

- Lives in a nursing facility;
- Gets $1,000.00 per month in Social Security income and $2,000.00 per month from a pension. Both incomes are assigned to the income-only trust; and
- Pays $144.60 for Medicare Part B and $200.00 per month for other health insurance.

If he is approved for ALTCS, his SOC before the Medicare Buy-in occurs will be **$2,537.95**. His SOC after the Medicare buy-in will be **$2,682.55**.

The DE-313 should be completed as follows:

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **03/2020** | **04/2020** | **05/2020** | **06/2020** | **07/2020** | **08/2020** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| The ALTCS Share of Cost (SOC): | 2537.95 | 2537.95 | 2537.95 | 2537.95 | 2682.55 | 2682.55 | 2682.55 |
| Personal Needs Allowance:* | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | 344.60 | 344.60 | 344.60 | 344.60 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Total of all Disbursements:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **09/2020** | **10/2020** | **11/2020** | **12/2020** | **01/2021** | **02/2021** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |
| The ALTCS Share of Cost (SOC): | 2682.55 | 2682.55 | 2682.55 | 2682.55 | 2682.55 | 2682.55 | 2682.55 |
| Personal Needs Allowance:* | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 | 117.45 |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 | 200.00 |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 | 3000.00 |

**4) The customer has income both inside and outside the Income-Only Trust and lives in a long-term care medical institution**

The customer is applying for ALTCS in March 2020. She has an income-only trust.

The customer:

- Lives in a nursing facility;
- Gets $2,000.00 per month in annuity income that is assigned to the trust;
- Gets $800.00 per month from Social Security that is NOT assigned to the trust; and
- Pays $144.60 for Medicare Part B which is automatically deducted from the customer's Social Security payment.

If she is approved for ALTCS, her SOC before the Medicare Buy-in occurs will be **$2,537.95**. Her SOC after the Medicare buy-in will be **$2,682.55.**

Since the SOC amount is greater than the amount going into the trust, the only allowable disbursement will be for the SOC. The SOC must be paid from the income going into the trust. The remaining amount due for the SOC will have to be paid from the customer's income outside the trust.

The DE-313 should be completed as follows:

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| Month: | Amounts Provided by Benefits and Eligibility Specialist | 03/2020 | 04/2020 | 05/2020 | 06/2020 | 07/2020 | 08/2020 |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |
| The ALTCS Share of Cost (SOC): | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |
| Personal Needs Allowance:* | | | | | | | |
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | | | | | | | |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |

| **Month:** | **Amounts Provided by Benefits and Eligibility Specialist** | **09/2020** | **10/2020** | **11/2020** | **12/2020** | **01/2021** | **02/2021** |
|---|---|---|---|---|---|---|---|
| **Income Assigned to the Trust:** | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |
| The ALTCS Share of Cost (SOC): | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |
| Personal Needs Allowance:* | | | | | | | |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Legal & Professional Expenses:<br>Related to the trust administration<br>• Trust taxes<br>• Investment and accounting fees<br>• Trustee and attorney fees<br>• Guardian and Conservator fees | | | | | | | |
| Medical Insurance: | | | | | | | |
| Medical Expenses: | | | | | | | |
| Family/Spouse Maintenance: | | | | | | | |
| Food and Clothing: | | | | | | | |
| Shelter, including room & board:* | | | | | | | |
| Pre-Paid Burial Expenses:(See back page) | | | | | | | |
| Payments to the Trust Beneficiary:* | | | | | | | |
| Entertainment/ Vocational Items: | | | | | | | |
| Transportation: | | | | | | | |
| **Total of all Disbursements:** | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 | 2000.00 |

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## E STT Disbursement Request Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA803E |

#### 1) Customer's portion of expenses

The customer has Arizona Long Term Care System (ALTCS) benefits and has a special treatment trust. His rent is $1500 a month and he has two roommates. He wants to disburse $1500 a month to pay rent.

Only the customer’s share of the expense may be paid from the trust. $1500/3 people in the home= $500 per person. Only $500 is allowed to be disbursed from the trust.

#### 2) Remodel and Home is not in Trust

The customer has Arizona Long Term Care System (ALTCS) benefits and has a trust for people under age 65 with a disability. She owns her home, but it is not titled to the trust. She requests a one-time disbursement for a full kitchen remodel. The remodel of the kitchen is cosmetic and is not needed for her to be able to use it.

Since the home is not titled to the trust, the one-time trust disbursement would not be approved.

#### 3) Vacation Expenses

The customer has Arizona Long Term Care System (ALTCS) benefits and has a Pooled trust. The trustee submits a one-time disbursement request for the following expenses:

- Airfare for the customer, his caregiver, and his best friend to travel to Florida;
- Hotel stay for 3 days; and
- Tickets for the customer, his caregiver, and best friend to go to an amusement park.

Disbursements for vacations are allowable as entertainment expenses. However, only expenses for the customer and one caregiver may be approved. Any portion of the disbursement request for the customer’s best friend would not be approved.

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**4) Reimburse Trustee**

The customer has Arizona Long Term Care System (ALTCS) benefits and has a trust for people under age 65 with a disability. She has a trustee for her trust. The trustee submitted a one-time disbursement request to reimburse himself for moving expenses he paid on Michelle's behalf.

Reimbursements to trustees are not allowable disbursements from special treatment trusts. The disbursement would not be approved.

**5) Credit Card Bill**

The customer has Arizona Long Term Care System (ALTCS) benefits and has a Pooled trust. He requests a one-time disbursement to pay off a credit card. Payments on past debts are not allowable trust disbursements. The disbursement would not be approved.

**6) The customer has income both inside and outside the Income-Only Trust and lives in a long-term care medical institution**

The customer has Arizona Long Term Care System (ALTCS) benefits and has an Income-Only Trust (IOT). She submitted a new Income-Only Trust Anticipated Disbursements (DE-313) form requesting an ongoing disbursement of $200 for health insurance. The health insurance bill shows that $50 of the payment would cover her spouse's health insurance.

Only the customer's portion of the health insurance premium may be disbursed from the IOT. $200-$50= $150 would be approved as an ongoing trust disbursement.

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# E901 Transfer Overview Examples

## E901 Transfer Overview Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Establishing the Look Back Period**

| Programs | Manual Section |
|---|---|
| ALTCS | MA901 |

The customer applied for ALTCS for the first time on October 18, 2015. During the application process, it is discovered that he gave a vacation property to each of his children on their 30th birthdays. His oldest daughter turned 30 in June 2010, and the customer transferred the title to her on June 17, 2010. His other daughter turned 30 in August 2012, and he transferred the title to the second property to her on August 3rd, 2012.

The customer's look back period goes back to 09/1/2010.

Since the earliest transfer to the oldest daughter happened before 10/1/2010, it is before the look-back period. The second transfer is after 10/1/2010 and must be evaluated as a transfer.

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**B Previous Penalty Period in Effect At New Application**

| Programs | Manual Section |
|---|---|
| ALTCS | MA901 |

The customer and his spouse transfer their home property to their daughter and their vacation home to their son in May 2009.

The customer applies and is approved for ALTCS in February 2010 and is assessed a penalty period of 80 months for the two transfers, beginning 02/01/2010 and ending 9/30/2016.

The customer receives ALTCS Acute for 12 months, but his eligibility is discontinued when he does not complete the renewal process in February 2011.

In October 2015, the customer reapplies for ALTCS. Because a penalty period was established by the earlier application and has not ended, the remaining penalty period of 12 months ending 9/30/2016 applies to this application, even though the transfer date is before the look-back date for his new application in 10/2015.

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# E902 Transfers That May Affect Eligibility Examples

## E902 Transfers That May Affect Eligibility Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Annuities that are Compensated Transfers**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Examples**

**1) Example 1**

The customer invested in a ROTH IRA while he was working.

It was converted to an irrevocable annuity when he retired in August and named AHCCCS as the beneficiary.

Since the annuity meets the conditions of naming AHCCCS as the primary beneficiary and was created using funds in a ROTH IRA, the annuity is considered a compensated transfer.

**2) Example 2**

The community spouse used $126,500 of the couple's resources to purchase a 9-year period-certain immediate annuity from a life insurance company. The community spouse is the annuitant. The annuity names AHCCCS as the beneficiary in the position after the institutionalized spouse.

The community spouse was 74-years-old on the date the annuity was purchased and according to the SSA Period Life Table had a life expectancy of 9.75 years or 117 months.

The annuity will issue regular monthly checks of $1,488.75 for a set period of 9 years or 108 total months. The insurance company will pay out a total of $160,785.00 over the period of the annuity contract.

Since the annuity meets all of the following requirements, it is a compensated transfer:

- Names AHCCCS as the beneficiary;
- Purchased from a life insurance company;
- Issuing regular monthly payments; and
- Will provide for full return of principal and interest during the community spouse's life expectancy.

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**B Annuity That Is An Uncompensated Transfer**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Example**

The customer applied for ALTCS and used $20,000 of his resources to purchase an immediate annuity from the ABC Insurance Company. The annuity does not name AHCCCS as the primary beneficiary.

The contract date is 9/15 and the first payment will be issued on 10/15.

The annuity will issue payments of $200 per month for 10 years in 120 monthly payments. This would result in a return of $24,000 over the period of the contract.

The customer is currently 79-years-old and has a life expectancy of 7.40 years or 88.8 months. At $200 per month, the contract will pay out $17,600 over the customer's life expectancy.

In this example, the annuity was purchased from a life insurance company, will issue regular monthly payments and is currently issuing payments.

However, the annuity does not meet the requirements to name AHCCCS as the primary beneficiary and does not provide for full return of principal and interest during the customer's life expectancy. The full purchase price of the annuity is a transfer with uncompensated value.

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**C Oral Loan Payments Made More Than a Year After The Agreement**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Example**

The customer borrowed $25,000 from his sister in April two years ago. They had an oral loan agreement that the customer would pay back the full amount in 10 monthly installments of $2,500 beginning that May.

The customer missed a few payments and still owed his sister $7,500 that he paid her this month, after the oral agreement was no longer valid because a year had already passed since the oral agreement.

The $7,500 the customer repaid his sister after the loan was no longer valid is considered a transfer with uncompensated value.

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**D Transfers To An Income Only Trust (IOT)**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Example**

The customer receives $1,600 in monthly income that is assigned to his IOT. The trustee issues $1,500 for the benefit of the customer. The $100 that was not disbursed is considered a transfer.

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**E Transfer to a Revocable Trust Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Example**

The customer has a revocable trust with a corpus of $300,000. Under the terms of the revocable trust, the Trustee has complete discretion in disbursing funds from the trust. Each month the Trustee disburses $100 to the customer as an allowance and $500 to a property management firm for the upkeep of the customer's home from the income earned by the trust.

On June 15, 2015, the Trustee gives $250,000 from the trust corpus to the customer's brother. In September 2015, the customer applies for ALTCS benefits and is approved.

The $250,000 from the trust was given away by the trustee within the 60-month look-back period, and is evaluated as a transfer with uncompensated value and a transfer penalty is imposed, beginning September 1, 2015.

NOTE Since the trust is revocable, the entire remaining value of the corpus is a counted resource. In this case the remaining $50,000 is counted. The $100 personal allowance and the $500 for upkeep of the home property are treated as counted income since they are being paid from the trust income.

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**F Transfer to an Irrevocable Trust Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA902 |

**Examples**

**1) Trustee has discretion to issue disbursements for the customer**

The customer established an irrevocable trust with a corpus of $300,000 on March 1, 2009. He enters a nursing facility on August 15, 2015, and applies for ALTCS benefits that month.

On January 15, 2010, the Trustee gave $100,000 from the trust corpus to the customer's brother.

Under the terms of the irrevocable trust, the Trustee has complete discretion to disburse the entire trust corpus and all income from the trust to anyone, including the customer. Each month the Trustee disburses $100 to the customer as an allowance and $500 to a property management firm for the upkeep of the customer's home. This money comes from interest earned by the trust corpus.

The $100,000 gift to the customer's brother is evaluated as a transfer with uncompensated value. However, the transfer was made before the look-back period begin date of 8/1/2010, and a transfer penalty period is not imposed.

> NOTE Since the trustee has discretion to disburse the entire trust corpus to the customer, the entire remaining value of the corpus is a counted resource. In this case the remaining $200,000 is counted. The $100 personal allowance and the $500 for upkeep of the home property are treated as counted income since they are being paid from the trust income.

**2) Trust Corpus is unavailable to the customer**

The customer established an irrevocable trust with a corpus of $350,000 on April 15, 2012. He enters a nursing facility on November 15, 2015, and applies for ALTCS benefits that month.

On January 15, 2015, the Trustee gave $100,000 from the trust corpus to the customer's brother.

Under the terms of the irrevocable trust, the Trustee cannot disburse any of the trust corpus to the customer. The trust terms do allow the Trustee to make disbursements to the customer from the trust income. Each month the Trustee disburses $100 to the customer as an allowance and $200 for the customer's car payment.

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Since none of the corpus can be disbursed to the customer, the entire value of the trust corpus at the time it became irrevocable is evaluated as a transfer with uncompensated value. The date of the transfer into the trust is within 60-month look-back period. An uncompensated transfer of $350,000 occurred on 4/15/2012. The fact that $100,000 of those funds was later transferred out of the trust to the customer's brother does not change the amount of the transfer on which the penalty is based. That amount remains $350,000.

NOTE The $100 and $200 disbursed from the trust earnings count as unearned income to the customer.

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# E903 Transfers That Do Not Affect Eligibility Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA903 |

**Examples**

**1) Transfers that do not include the customer's resources – Example #1**

The customer is listed as a joint owner on his son's bank account. The customer rebuts ownership of the account and provides evidence to prove that only his son's money is in the account. As part of the successful rebuttal of account ownership (MA705I), the customer removes his name from the bank account.

The customer's eligibility for ALTCS is not affected by removing his name from the account. The account did not include any of the customer's resources.

**2) Transfers that do not include the customer's resources – Example #2**

The customer, co-signed a car loan for her niece. The customer's name is listed on the title and the loan documents. The niece provides proof that she made all of the payments for the car loan, as well as the maintenance of the car. After the car was paid off, the niece gave the vehicle to charity.

Even though the customer's name was on the title, the equity in the car belonged only to the niece (MA704C.1). The vehicle was not the customer's resource.

**3) Purchases at Current Market Value**

The customer's bank statement showed a purchase in the amount of $2,877.32. When asked about this purchase by a Benefits and Eligibility Specialist, the customer states that he used the money to buy a new TV at a local electronics store. He purchased it for himself to replace his old TV, which was broken.

The new TV was purchased for the customer at the current market value and does not affect his eligibility for ALTCS.

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**4) Payment of Debt**

The customer holds a credit card with a balance of $4,200.00. The month before she applied for ALTCS, she paid off the entire balance and closed out the credit card account.

The credit card balance was a debt owed by the customer. Repayment of the debt does not affect her eligibility for ALTCS.

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# E905 Transfer Penalty Period Examples

## E905 Transfer Penalty Period Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A Length of the Transfer Penalty Period**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Example**

The customer gives her home to her cousin without receiving compensation. The equity value of the home is $1,000,000. If the average private pay rate at the time the customer applied for ALTCS is $4,027.61, the penalty period would be 248 months, and 8 days.

($1,000,000 / $4,027.61 = 248.28; .28 x 30 = 8.4 days; the fraction is dropped.)

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**B Transfer Penalty Period Calculations**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Example**

Each of the following customers transfers $35,000 with no compensation.

Customer A was first approved for ALTCS for March 2007, and lived in Yuma County at the time. The PPR used would be $4,445.00, and the penalty period would be 7.87 months, or 7 months and 26 days (.87 x 30 = 26.1 days; fraction is dropped).

Customer B was first approved for ALTCS for October 2013, and lived in Maricopa County at the time. The PPR used would be $6,648.77, and the penalty period would be 5.26 months, or 5 months and 7 days (.26 x 30 = 7.8 days; fraction is dropped).

Customer C was first approved for ALTCS for June 2014, and lived in Graham County at the time. The PPR used would be $5,595.31, and the penalty period would be 6.25 months, or 6 months and 7 days (.25 x 30 = 7.5 days; fraction is dropped).

Customer D was first approved for ALTCS for April 2010 and lived in Pinal County at the time. The customer was discontinued from ALTCS in December 2017. The customer reapplied for ALTCS for June 2020. The PPR used would be $5,942.65 (Pinal County for April 2010), and the penalty period would be 5.88 months, or 5 months and 26 days (.88 x 30 =26.4 days; fraction is dropped).

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**C Transfer Penalty Period Begin Date**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Examples**

**1) Transfer Penalty begin date – First approved month**

The customer applies for ALTCS in November. He gave a piece of land to his daughter two years ago, which is within the look-back period. The customer is over income in November but is eligible and approved for December. The transfer penalty begins in December, the first approved month.

**2) Transfer Penalty begin date – Month the transfer was made**

The customer was approved for ALTCS in July. In November, she gives her home property to her son. Since the customer is already on ALTCS, the transfer penalty period begins in November, the month of the transfer.

**3) Transfer Penalty begin date – First approved month**

The customer applied for ALTCS in October and applied for prior quarter coverage for September. On November 10, while the application is still pending, the customer gives $15,000 cash to her nephew. On November 30, the application is approved for September, October and ongoing. The transfer penalty period begins in September, the first approved month.

**4) Transfer Penalty begin date – Still in prior penalty period**

The customer was approved for ALTCS Acute beginning in May, due to a transfer penalty period. The penalty period ends after 22 months in March.

The next May, his ALTCS eligibility ended because he did not complete a renewal.

In September of that year, he reapplies, and the ALTCS worker discovers that the customer sold his home property and gave the money to his children that August while he was not on ALTCS.

The customer’s penalty period from the earlier application does not end until March 31 of the next year. The new penalty period for the transfer in August begins April 1.

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## D Multiple Transfers Made Before ALTCS Approval

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

### Examples

#### 1) Multiple Transfers – No Returns

The customer applied for ALTCS in October. She made the following uncompensated transfers:

- $2,000 in July
- $3,000 in August
- $38,000 in September

October is the first month that the customer is otherwise eligible for ALTCS except for the transfer.

All transfers that were made by the customer from July through September are added together and then divided by the customer's PPR for her county of residence to get the penalty period.

#### 2) Multiple Transfers – Partial Returns

The customer in the example above is approved in November. In December, the $2,000.00 transfer is returned to the customer.

The transfer penalty period does not change. After the month in which the transfer penalty started, all transfers that were added together must be returned to the customer in order to end the transfer penalty period.

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**E Multiple Transfers Made in Consecutive Months after ALTCS Approval**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Example**

The customer is on ALTCS when she sells her home for $60,000. She gives one of her grandchildren $20,000 in each month from April through June.

The three consecutive transfers are added together. The penalty period begin s in April, the month of the first transfer.

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**F Multiple Transfers Made in Non-Consecutive Months after ALTCS Approval**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Examples**

**1) Multiple Transfers Applied Together**

The customer sold his home and transferred the $40,000 proceeds to his children. He transferred $10,000 per month in the months of April, May, July and August. The private pay rate for the customer's county of residence when he was first approved for ALTCS was $5,942.65.

The $20,000 in transfers made in the consecutive months of April and May divided by $5,942.65 equals 3.36 months of ineligibility. The penalty period starts April 1st and the partial month penalty ends in July.

Since the penalty period resulting from the consecutive months' transfers ended in the same month the next transfer was made, all four transfers are added together. The penalty period begins in April, the month of the first transfer.

**2) Multiple Transfers Applied Separately**

The customer transfers $5,500 in May, $5,500 in June and $2,500 in July. She later transfers $35,000 in November. The private pay rate for the customer's county of residence when she was first approved for ALTCS was $5,942.65.

The earliest transfers made in the consecutive months of May, June and July total $13,500. Divided by $5,942.65, this equals 2.27 months. The penalty period would begin in May and end with a partial month penalty in July. Since the first penalty period would end before the month of the later transfer of $35,000, the penalty periods are calculated separately. The penalty period for the $35,000 transfer would begin in November, the month in which the transfer was made.

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**G Division of Penalty Period between Spouses**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Example**

The customer and her spouse gave their home to their son last March, receiving no compensation.

The customer applies for ALTCS in January. A transfer penalty period of 22 months is assessed, beginning January 1, and ending October of the next year. The customer is approved for ALTCS Acute beginning January 1.

On December 18, the customer's spouse applies for ALTCS and is approved on January 4th. When the spouse is approved in January, there are 10 months left of the penalty period. Beginning January, the remaining 10 months of the penalty period are equally divided between the spouses. Each spouse has a penalty period of 5 months beginning January 1, and ending May 31.

One of the spouses dies in April. The remaining month of his half of the penalty period (for May) is applied to his spouse, extending her penalty period to June 30.

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## H Change in the Penalty Period Example

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

### Examples

#### 1) Transfer Penalty Period – Full Amount Returned After the Transfer Month

The customer applies for ALTCS in March. He learns that the home he gave to his son three years ago without receiving compensation will result in a transfer penalty period of 19 months and 2 days.

He is approved for ALTCS Acute beginning March 1. To allow his father to qualify for long-term care services, the son transfers the property back to the customer in June. The penalty period ends on May 31, the last day of the month before the property was returned.

#### 2) Transfer Penalty Period – Full Amount Returned During Application Period

The customer applies for ALTCS in February. The customer transferred a sports car to his son in January. The transfer will result in a penalty of 13 months and 9 days.

To allow his father to qualify for long-term care services, the customer's son transfers the title of the vehicle back to the customer. The title transfer is effective February 27.

Since the transfer penalty would have begun in February, and the vehicle was returned in the same month, no transfer penalty is applied.

#### 3) Eligibility Ends During Penalty Period - Previous Penalty Expired

The customer applies for ALTCS in June. The customer transferred her home to her brother the year before. The Benefits and Eligibility Specialist determines a transfer penalty of 7 years and 6 months, which will ends in December.

Two years later, the customer's condition improves, and she is determined medically ineligible. Her ALTCS coverage ends.

Six years later, eight years after the initial application, in June, the customer reapplies and is eligible for ALTCS. Since the previous penalty has already ended, the customer is not penalized any further for the initial transfer. She is eligible for full ALTCS services in the application month.

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**4) Eligibility Ends During Penalty Period - Previous Penalty Active**

The customer applies for ALTCS in July 2020. The customer transferred her mobile home to her brother in 2016. The Benefits and Eligibility Specialist determines a transfer penalty of 3 years and 6 months, which will end January 31, 2024.

The customer receives an inheritance in August 2021 that puts her over the resource limit. Her ALTCS coverage ends August 31, 2021.

In December 2023, the customer reapplies but the previous penalty period is still active. The customer is only eligible for ALTCS Acute coverage for December 2023 and January 2024. She is eligible for full ALTCS services in February 2024.

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**I Prior Private Pay Rates**

| Programs | Manual Section |
|---|---|
| ALTCS | MA905 |

**Examples**

The Private Pay Rates vary according to the county where the customer lives. Private Pay Rates are generally updated once per year in October but may be updated more frequently.

The Private Pay Rates for 10/1/1988 to present are listed below.

NOTE From 10/1/1997 to 9/30/2002, DD customers had a separate Private Pay Rate. When the DD field in the table below is blank, use the Private Pay Rate for the county the customer lived in during their first month of ALTCS eligibility.

| Period | DD | Maricopa | Pinal | Pima | All Other Counties |
|---|---|---|---|---|---|
| 10/1/88 – 9/30/89 | | $1,785.90 | $1,627.20 | $1,739.40 | $1,627.20 |
| 10/1/89 – 9/30/90 | | $1,972.80 | $1,885.80 | $1,931.40 | $1,885.80 |
| 10/1/90 – 9/30/91 | | $1,987.20 | $1,926.00 | $1,965.30 | $1,926.00 |
| 10/1/91 – 9/30/92 | | $2,178.00 | $2,083.50 | $2,134.80 | $2,083.50 |
| 10/1/92 – 9/30/93 | | $2,283.00 | $2,181.00 | $2,238.00 | $2,181.00 |
| 10/1/93 – 9/30/94 | | $2,406.30 | $2,321.10 | $2,406.30 | $2,321.10 |
| 10/1/94 – 9/30/95 | | $2,509.50 | $2,509.50 | $2,509.50 | $2,426.40 |
| 10/1/95 – 9/30/96 | | $2,651.42 | $2,651.42 | $2,651.42 | $2,530.67 |

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| | | | | | |
|---|---|---|---|---|---|
| 10/1/96 – 9/30/97 | | $2,767.92 | $2,767.92 | $2,767.92 | $2,642.60 |
| 10/1/97 – 9/30/98 | $4,608.30 | $2,823.90 | $2,823.90 | $2,823.90 | $2,688.60 |
| 10/1/98 – 3/31/00 | $2,651.42 | $2,943.42 | $2,943.42 | $2,943.42 | $2,802.28 |
| 04/1/00 – 9/30/00 | $2,651.42 | $3,061.16 | $3,061.16 | $3,061.16 | $2,914.37 |
| 10/1/00 – 9/30/01 | $3,303.09 | $3,352.91 | $3,352.91 | $3,352.91 | $3,115.69 |
| 10/1/01 – 9/30/02 | $3,303.09 | $3,540.67 | $3,540.67 | $3,540.67 | $3,290.17 |
| 10/1/02 – 9/30/03 | | $3,898.95 | $3,898.95 | $3,898.95 | $3,624.18 |
| 10/1/03 – 9/30/04 | | $4,027.61 | $4,027.61 | $4,027.61 | $3,743.78 |
| 10/1/04 – 9/30/05 | | $4,188.72 | $4,188.72 | $4,188.72 | $3,893.53 |
| 10/1/05 – 9/30/06 | | $4,507.06 | $4,507.06 | $4,507.06 | $4,189.44 |
| 10/1/06 – 9/30/07 | | $4,781.99 | $4,781.99 | $4,781.99 | $4,445.00 |
| 10/1/07 – 9/30/08 | | $5,119.12 | $5,119.12 | $5,119.12 | $4,758.37 |
| 10/1/08 – 9/30/09 | | $5,808.25 | $5,808.25 | $5,808.25 | $5,158.40 |
| 10/1/09 – 9/30/10 | | $5,942.65 | $5,942.65 | $5,942.65 | $5,321.94 |
| 10/1/10 – 9/30/11 | | $5,777.74 | $5,777.74 | $5,777.74 | $5,135.38 |
| 10/1/11 – 9/30/12 | | $6,481.94 | $6,481.94 | $6,481.94 | $5,688.34 |

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| | | | | | |
|---|---|---|---|---|---|
| 10/1/12 – 9/30/13 | | $6,646.35 | $6,646.35 | $6,646.35 | $5,282.23 |
| 10/1/13 – 9/30/14 | | $6,648.77 | $6,648.77 | $6,648.77 | $5,595.31 |
| 10/1/14 – 9/30/16 | | $6,726.48 | $6,726.48 | $6,726.48 | $5,575.29 |
| 10/1/16 – 9/30/17 | | $6,905.11 | $6,905.11 | $6,905.11 | $5,667.81 |
| 10/1/17 – 9/30/18 | | $7,134.44 | $7,134.44 | $7,134.44 | $6,307.74 |
| 10/1/18 – 2/28/19 | | $7,204.17 | $7,204.17 | $7,204.17 | $6,334.17 |
| 3/1/19 – 9/30/19 | | $7,253.13 | $7,253.13 | $7,253.13 | $6,377.20 |
| 10/1/19 – 12/31/19 | | $7,429.58 | $7,429.58 | $7,429.58 | $6,592.52 |
| 1/1/2020 – 9/30/2020 | | $7,533.59 | $7,533.59 | $7,533.59 | $6,684.82 |
| 10/1/2020 – 12/31/2020 | | $7,204.78 | $7,204.78 | $7,204.78 | $6,451.92 |
| 1/1/2021 – 9/30/2021 | | $7,366.21 | $7,366.21 | $7,366.21 | $6,708.84 |
| 10/1/2021 – 12/31/2021 | | $7,968.11 | $7,968.11 | $7,968.11 | $7,275.76 |
| 1/1/2022 – 09/30/2022 | | $8,029.46 | $8,029.46 | $8,029.46 | $7,331.78 |
| 10/1/2022 – 9/30/2023 | | $8,912.70 | $8,912.70 | $8,912.70 | $8,138.28 |

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| | | | | | |
|---|---|---|---|---|---|
| 10/1/2023 – 12/31/2023 | | $7,826.46 | $7,826.46 | $7,826.46 | $7,281.17 |
| 1/1/2024 – 09/30/2024 | | $7,867.16 | $7,867.16 | $7,867.16 | $7,319.03 |
| 10/1/2024 – 09/30/2025 | | $8,201.34 | $8,201.34 | $8,201.34 | $7,752.73 |
| 10/1/2025 – 09/30/2026 | | $8,666.72 | $8,666.72 | $8,666.72 | $8,132.22 |

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# E1104 Enrollment with a Program Contractor Examples

**A Enrolled with an AHCCCS Complete Care (ACC) plan at Time of ALTCS Approval Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA1104 |

The customer applied for ALTCS on March 25th. On April 10th she applied for AHCCCS Medical Assistance programs other than ALTCS. On April 20th, she was approved for SSI-MAO and enrolled with a health plan effective April 1st.

On May 7th her ALTCS application was approved effective March 1st. Because her ALTCS eligibility begin date is before her enrollment started with the AHCCCS Complete Care (ACC) plan, she is enrolled with the ALTCS Health Plan beginning March 1st.

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**B Not Enrolled with an AHCCCS Complete Care (ACC) plan Example**

| Programs | Manual Section |
|---|---|
| ALTCS | MA1104 |

The customer applies for ALTCS on January 19th. He is not currently receiving AHCCCS Medical Assistance. On March 3rd his application is approved effective January 1st. He is enrolled with the ALTCS pHealth Plan beginning January 1st.

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## C County of Fiscal Responsibility Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1104E |

#### 1) Lives in Own Home

The customer lived in his own home in Pinal County for the last five years before applying for ALTCS. He intends to receive long-term care services in his home. Pinal is the county of fiscal responsibility.

#### 2) Moves to New Home in a Different County

The customer has lived in Pima County the last twenty years. In March, she moved to a new home in Cochise County. She also applied for ALTCS in March, and intends to receive long-term care services in her home. Cochise is the county of fiscal responsibility.

#### 3) Moves from Another State to a Nursing Home in Arizona

The customer has been living in a nursing home in Colorado. In July, his daughter moves him to a nursing home in Maricopa County. Maricopa is the county of fiscal responsibility.

#### 4) Home in One County but Placed in a Nursing Home in Another County

The customer has been living in his own home in Yavapai County for several years. On June 12, he had a stroke. He was hospitalized briefly in Yavapai County, then moved to a hospital in Maricopa County. On August 15th, the customer is admitted to a nursing facility in Maricopa County, where he intends to stay. Yavapai is the county of fiscal responsibility.

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## D Fiscal County Changes Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1104F |

#### 1) Adult Moves to a Home in a Different County Example

On September 25th, the customer reports that she has moved from her home in Pima County to her new home in Maricopa County. On September 29th, the worker completes makes the change. The effective date of the fiscal county change and an enrollment change (if necessary) is September 29th.

#### 2) Child Examples

- A six-year old customer and his parents all move from Coconino County to Pinal County. The county of fiscal responsibility is changed to Pinal County.
- The parents of a 12-year old customer move from Pima County to Yavapai County, but the customer remains in a facility in Pima County. The county of fiscal responsibility is changed to Yavapai County.
- A 16-year old customer moves to a group home in Maricopa County, but her parents remain in Gila County. Gila County remains the county of fiscal responsibility.

#### 3) Effect on Enrollment Examples

- The customer has been living in Yavapai County and receiving long-term care services in his home. His county of fiscal responsibility is Yavapai. A few months later, he decides to give up his apartment and move into his son's home in Pima County. The county of fiscal responsibility is changed to Pima County. However, the ALTCS Health Plan that the customer was enrolled with in Yavapai County does not provide services to Pima County. The customer's enrollment must also be changed to an ALTCS Health Plan that serves Pima County.
- The customer was living in her own home in Maricopa County for many years. When ALTCS was approved, her county of fiscal responsibility was Maricopa. A year later, she moves to her daughter's home in Cochise County. The county of fiscal responsibility must be changed to

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Cochise, but because the customer's current ALTCS Health Plan serves both counties, enrollment does not change.

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# E1201 ALTCS Share of Cost (SOC) Examples)

## E1201 ALTCS Share of Cost (SOC) Examples

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## A Community Spouse SOC Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

#### 1) Community Spouse Monthly Income Allowance (CSMIA)

The customer applies in July 2025. The customer's spouse lives at home. The spouse has the following counted monthly income and expenses:

- $1200.00 – Pension benefit
- $400.00 – Mortgage (includes property taxes)
- $130.00 – Condominium maintenance fee (includes $15 utility charge)
- $70.00 – Homeowner’s insurance

The spouse’s CSMIA calculation is shown in the following table:

| Step | Action |
|---|---|
| 1 | Calculate the total excess shelter costs:<br>$600.00 Spouse’s shelter costs ($400.00+$130.00+$70.00)<br>+ $314.00 Utility allowance ($329 SUA - $15 maintenance fee utility charge)<br>$914.00 – Total excess shelter costs |
| 2 | Calculate the Excess Shelter Allowance:<br>$914.00 Total excess shelter costs<br>- $793.00 30% of the Monthly Spousal Need Standard<br>$121.00 Excess Shelter Allowance |

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| | |
|---|---|
| 3 | Calculate the Minimum Monthly Maintenance Needs Allowance:<br>$121.00 Excess Shelter Allowance<br>+ $2,644.00 Monthly Spousal Need Standard<br>$2,765.00 Minimum Monthly Maintenance Needs Allowance (MMMNA). |
| 4 | $2,765.00 (MMMNA from Step 3) is less than $3,853.50 (Maximum Monthly Maintenance Needs Standard) |
| 5 | Calculate the CSMIA:<br>$2,765.00 MMMNA from Step 3<br>- $1200.00 spouse's counted monthly income<br>$1,565.00 is the CSMIA. |

**2) Community Spouse Family Allowance**

Customer is receiving ALTCS and has two dependents living at home with the community spouse. One dependent is the spouse's brother, and the other is the 30-year-old child of the customer and spouse.

The brother's total monthly income is $824.00 in Social Security Retirement benefits. His family allowance amount is calculated below:

| | |
|---|---|
| Monthly Spousal Need (Effective 7/1/25) | $2,644.00 |
| Brother's income | - $824.00 |
| Remainder | $1,820.00 |
| Divide remainder by 3 | /3 |
| Family Allowance for the brother, rounded up | $607.00 |

The adult child's total monthly income is $300.00 in spousal support (alimony). Her family allowance amount is calculated below:

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| | |
|---|---|
| Monthly Spousal Need (Effective 7/1/25) | $2,644.00 |
| Adult child's income | - $300.00 |
| Remainder | $2,344.00 |
| Divide remainder by 3 | /3 |
| Family Allowance for the adult child, rounded up | $782.00 |

Add the Family Allowance for each dependent together to get the total Community Spouse Family Allowance.

| | |
|---|---|
| Family Allowance for the brother rounded up | $607.00 |
| Family Allowance for the adult child, rounded up | + $782.00 |
| The total Community Spouse Family Allowance | $1,389.00 |

The total Community Spouse Family Allowance is $1,389.00.

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## B Expenses Incurred While an Application is Pending SOC Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

#### 1) Unpaid Medical Expense

The customer applied for ALTCS in July and is eligible. She has an unpaid bill for a non-covered medical expense incurred in June. The unpaid expense is deducted from the July SOC. If the expense is more than the share of cost without the deduction, the remaining unpaid balance is allowed as a share of cost deduction for August and ongoing months until the full amount has been allowed.

#### 2) Paid Medical Expense

The customer applies for ALTCS in May. He does not qualify for ALTCS in May, but is approved for June and ongoing. The customer incurred and paid a non-covered medical expense in May. Since the bill was paid in a month in which the customer was ineligible, it cannot be allowed as a SOC deduction for a later eligible month.

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**C Family Allowance (Non-CS) SOC Examples**

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

The customer lives in a nursing facility. His wife lives at home with their three young children. There is no proof of legal marriage. The wife has gross earned income of $600/month. Each child gets Social Security Survivors benefits of $132 per month.

The AFDC Need Standard for a family of 4 (wife + 3 children) is $1,162.00.

| | |
|---|---|
| Total AFDC Need Standard based on household size | $1,162.00 |
| Spouse's income | -$600.00 |
| Child's income | -$132.00 |
| Child's income | -$132.00 |
| Child's income | -$132.00 |
| Total Family Allowance | = $166.00 |

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## D Health Insurance Premium SOC Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

#### 1) Prorating Health Insurance Premiums

The customer is billed quarterly for a $120.00 health insurance premium. The customer chooses to have the premium payment divided across all three months. The quarterly payment is divided by three to get a monthly amount of $40.00.

#### 2) Pension Supplement for Health Insurance Premiums - Partial Reimbursement

The customer receives $100.00 from his pension every month to help pay for his medical insurance. His premium is $250.00. The $100.00 payment is not counted as income. The entire $100.00 is a reimbursement.

The reimbursement does not cover the whole insurance premium. The customer gets a $150.00 SOC deduction for the part of his premium not covered by the pension.

#### 3) Pension Supplement for Health Insurance Premiums - Customer's Share of Reimbursement

The customer receives $100.00 from his pension every month to help pay for medical insurance for himself and his spouse. The total premium for both is $150.00.

The $100.00 payment is not counted as income. The entire $100.00 is a reimbursement.

For SOC, only the customer’s share of the premium is considered. The $100.00 reimbursement is more than his share of the premium ($75.00). No SOC deduction is allowed.

#### 4) Pension Supplement for Health Insurance Premiums - Excess Reimbursement

The customer receives $297.00 from his pension every month as reimbursement for Medicare premiums for himself and his spouse. Social Security deducts Medicare premiums of $148.50 from each spouse’s gross SSA benefit.

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The customer's half of the reimbursement is not counted as income. The customer does not receive a SOC deduction for Medicare expenses because the pension reimburses his cost.

Because his wife pays her own Medicare premium, the wife's half of the reimbursement ($148.50) is counted unearned income to the customer. When AHCCCS begins paying the customer’s Medicare Part B premium, the entire $297.00 will be counted unearned income to the customer.

#### 5) Extra Help for Medicare Part D Coverage

The customer receives Extra Help to help pay her Medicare Part D premium. Her Part D premium is $56.00 per month. Extra Help pays $30.10 of that amount. The customer gets a $25.90 SOC deduction for the Part D premium that she pays.

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# E Home Maintenance Needs Allowance SOC

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

#### 1) Expected to be Institutionalized Six Months or Less

The customer is an unmarried woman. She entered the nursing home in October. She applied for ALTCS in November. On December 15, the ALTCS local office received a written statement from the customer's doctor certifying that she is likely to return to her home sometime in April.

October through April is exactly six months. The customer qualifies for a home maintenance allowance for the months of November through April.

#### 2) Expected to be Institutionalized More Than Six Months

The customer is an unmarried man. He entered a nursing home in August. He applied for ALTCS at the end of August. The customer's doctor provided a statement that certifying that the customer would most likely return to his home in April the following year. Since he is expected to remain institutionalized for more than six months, he does not qualify for a home maintenance needs allowance.

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## F Non-Covered Medical Expenses SOC Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

#### 1) Current Payments for Services

The customer is on ALTCS and has a SOC of $583.00. On August 5th, she turns in proof that she paid a $700 dental bill on July 30th.

The customer's July SOC is reduced from $583.00 to zero. The $117.00 left over does not carry over to the August SOC.

#### 2) Unpaid Expenses

The customer’s SOC is $120.00. In May, he provides proof that he owes $525.00 for dental expenses from January. The customer's insurance company paid $225.00. The customer is responsible to pay $300.00.

The unpaid balance is higher than the customer’s monthly SOC. The SOC is reduced to $0.00 for June, $0.00 for July and $60.00 for August.

#### 3) Calculating the SOC Deduction for Non-Covered Medical Expenses

In February, the customer received a bill of $400.00 for a hearing aid and batteries. In March, the customer began paying $25.00 per month toward the bill. The customer did not report the bill to AHCCCS until July.

- The payments for March, April, and May are not allowed as deductions because the expense was report in July.
- The payments for June and July are allowed as SOC deductions in the month that each payment was made.
- The unpaid balance of $175.00 is allowed as an SOC deduction in the next prospective month (August).

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**G PNA for Garnishment SOC Examples**

| Programs | Manual Section |
|---|---|
| ALTCS | MA1201C |

The customer is on ALTCS and has total income of $1000.00 per month. He lives in a nursing facility. His PNA for August 2026 is $149.10.

In September 2026, a court-ordered child support garnishment of $100.00 per month takes effect. The $100.00 garnishment is added to his PNA, increasing it to $249.10.

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# E1203 Freedom to Work (FTW) Premium Begin Date Examples

| Programs | Manual Section |
|---|---|
| FTW | MA1203A.2<br>MA1203B.5 |

**1) Premium Effective Date - Not currently receiving AHCCCS Medical Assistance**

The customer applies for AHCCCS on January 25th. AHCCCS approves his application on February 6th for Freedom to Work. Based on his income, his monthly premium is $15.00. His eligibility begins January 1st, and his first premium payment is due in March. He does not owe a premium for January and February.

**2) Change from Other AHCCCS Medical Assistance to FTW - Premium effective the following month.**

The customer is receiving AHCCCS Medical Assistance in the SSI MAO program. In February she reports that she began a job in January and just received her first paycheck.

AHCCCS determines that her countable income puts her over the SSI MAO income limit. On February 18th, FTW eligibility is approved beginning March 1st. The customer’s first premium payment is due in March.

**3) Adjust Effective Date for Premium Change due to Untimely Processing**

The customer is receiving AHCCCS Medical Assistance in the FTW program. The customer reports a change in income and provides all verification on July 22nd. The application is assigned to a worker for processing. The worker dispositions the application on August 5. The premium is reduced from $35.00 to $10.00 effective September 1. The effective date should be changed to August 1st due to untimely processing.

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# E1204 General Information about KidsCare Premiums Example

## E1204 General Information about KidsCare Premiums Examples

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**A Premium for Cases with Multiple Income Groups Examples**

| Programs | Manual Section |
|---|---|
| KidsCare | MA1204A.3 |

The customer lives with and cares for the following children:

- Her 15-year-old-daughter;
- Her 6-year-old-niece (her brother's daughter); and
- Her 10-year-old-nephew (her sister's son).

The customer makes $2,400.00 per month. She only claims her daughter on her taxes. Her niece receives $2,000 per month in SSDI. Her nephew receives $2,300 per month in SSDI.

The following table describes the income groups and total monthly income for the customer and the children she lives with:

| Income Group | Total Monthly Income | Income Range |
|---|---|---|
| The customer's income group includes her and her daughter (household size of 2) | $2,400.00 | 0 – 150% |
| The niece's income group only includes the niece (household size of 1) | $2,000.00 | 151 – 175% |
| The nephew's income group only includes the nephew (household size of 1) | $2,300.00 | 176 – 225% |

Because the highest income level is at the 176 - 225% range and there are 2 or more eligible children in the case, the premium for all members in the case is $70.00 for the entire case.

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# E1302 Public Fiduciary Referral Examples

| Programs | Manual Section |
|---|---|
| HPE | MA1302C |

**Examples**

**1) Customer Does Not Have an Authorized Representative**

A customer applying for ALTCS is incapacitated. A social worker completed the financial interview but does not want to be the authorized representative. The social worker thinks the customer has two accounts with a local bank. Neither account was in the Asset Verification Service (AVS) report.

No proof of the bank accounts was provided by the request for information (RFI) due date. The social worker can't get bank records because no one is authorized to access the customers bank information.

No one can legally represent the customer and they are unable to represent themselves. The customer should be referred to the County Public Fiduciary.

**2) Customer has an Authorized Representative Who Cannot Help with Application**

A customer renewing their Medical Assistance is incapacitated. They have an authorized representative. The representative said the customer's Social Security benefits stopped because the Social Security Administration (SSA) needs to verify the customer's address. SSA will not let the representative help reinstate benefits because they are not authorized.

A customer must take all steps to get any cash benefits they are entitled to as a condition of eligibility. The customer must reinstate the SSA benefits to stay eligible for Medical Assistance. Since the authorized representative can't help, the customer should be referred to the County Public Fiduciary.

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# E1309 Eligibility Begin Date Examples

## E1309 Eligibility Begin Date Examples

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Click on the next > (arrow) button in the top navigation pane to go to the Chapter subsections.

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**A QMB Begin Date Example**

| Programs | Manual Section |
|---|---|
| All programs | MA1309C |

**Example**

The customer applies for QMB in January. Requested proof is received in February. The information provided shows the customer meets all conditions of eligibility in the month of January and ongoing. The approval is dispositioned on February 20th. The QMB eligibility begin date is March 1st.

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## B BCCTP Begin Date Examples

| Programs | Manual Section |
|---|---|
| All programs | MA1309C |

### Examples

#### 1) Begin Date based on Diagnosis Date

The BCCTP diagnosis was July 24th. AHCCCS received the application on August 3rd. Eligibility would be effective July 1st if all requirements are met.

#### 2) Begin Date based on Creditable Coverage Ending

The BCCTP diagnosis was July 24th. AHCCCS received the application on August 3rd, but the customer had a job that provided creditable coverage until July 31st. Eligibility would be effective August 1st (the first month that all requirements are met).

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## C KidsCare Examples

| Programs | Manual Section |
|---|---|
| All programs | MA1309C |

### Examples

#### 1) Begin Date based on disposition date before the 25th of the month

The customer's determination of eligibility is completed on January 23rd. The eligibility begin date is February 1st.

#### 2) Begin Date based on disposition date after the 25th of the month

The customer's determination of eligibility is completed on January 27th. The eligibility begin date is March 1st.

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# E1314 HPE Period Examples

| Programs | Manual Section |
|---|---|
| HPE | MA1314 |

**Examples**

**1) Full application not turned in by the end of the HPE period**

Example: HPE is approved by the hospital on 01/20/15 for the period 01/20/15 through 02/28/15. The customer does not submit a full application by 02/28/15. HPE eligibility ends on 02/28/15.

**2) Full application turned in by the end of the HPE period**

Example 1: HPE is approved by the hospital on 01/15/15 for the period 01/15/15 through 02/28/15. The customer submits a full application on 02/25/15. Because the full application was received timely, HPE may continue past 02/28/15. The full application is processed and approved by the state on 03/15/15. The HPE period ends on 03/15/15.

Example 2: HPE is approved by the hospital on 01/30/15 for the period 01/30/15 through 02/28/15. The customer submits a full application on 02/05/15. The full application is processed and denied by the state on 02/06/15. The HPE period ends on 02/06/15.

Example 3: HPE is approved by the hospital on 01/25/15 for the period 01/25/15 through 02/28/15. A full application is also submitted by the hospital on 01/25/15. The full application is processed and approved by the state on 02/23/15. The HPE period ends on 02/23/15.

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# E1502 Types of Changes Examples

## E1502 Types of Changes Examples

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**A BCCTP Treatment Ends Examples**

| Programs | Manual Section |
|---|---|
| BCCTP | MA1502D |

| If treatment ends or is expected to end on... | And treatment was... | Then eligibility continues for an additional... | AND BCCTP eligibility ends on... |
|---|---|---|---|
| August 10th | For a pre-cancerous cervical lesion | 4 full calendar months | December 31st |
| August 10th | Specific treatment for breast or cervical cancer | 12 full calendar months | August 31st of the following year |
| August 10th | Hormone therapy for breast cancer | No additional period | August 31st, the end of the month in which the hormonal therapy ends |

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## B Living Arrangement Changes Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1502P |

### Examples

#### 1) Move from licensed and registered assisted living facility (ALF) to licensed and registered nursing facility

An active ALTCS customer lived in an ALF in January 2026. The ALF is licensed and registered with AHCCCS. The customer is not married and has no other health insurance. The share of cost calculation is as follows:

| | |
|---|---:|
| Total countable income | $2200.00 |
| Personal Needs Allowance | -$2982.00 |
| **Total Share of Cost** | =$0.00 |

On February 23, 2026, the customer moved to a skilled nursing facility. The skilled nursing facility is licensed and registered with AHCCCS. The customer notified AHCCCS of the move on the same day. The new SOC calculation is as follows:

| | |
|---|---:|
| Total countable income | $2200.00 |
| Personal Needs Allowance | -$149.10 |
| **Total Share of Cost** | =$2050.90 |

Since the new SOC amount is higher, the customer must be notified of the change 10 days before it is effective. The effective date of the new SOC will be April 1, 2026.

#### 2) Move from licensed and registered skilled nursing facility (SNF) to licensed and registered assisted living home

An active ALTCS customer lives in a skilled nursing facility in February 2026. The nursing facility is licensed and registered with AHCCCS. The customer is not married and has no other health insurance. The share of cost calculation is as follows:

| | |
|---|---:|
| Total countable income | $1823.00 |
| Personal Needs Allowance | -$149.10 |

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| | |
|---|---|
| **Total Share of Cost** | =$1673.90 |

On March 10, 2025, the customer moved to an assisted living home. The assisted living home is licensed and registered with AHCCCS. The customer notified AHCCCS of the move on the same day. The new SOC calculation is as follows:

| | |
|---|---|
| Total countable income | $1823.00 |
| Personal Needs Allowance | -$2982.00 |
| **Total Share of Cost** | =$0.00 |

Since the new SOC is lower and for the benefit of the customer, the effective date is March 1, 2026.

**3) Move from licensed and registered nursing facility to licensed Assisted Living Facility (ALF) that is NOT registered with AHCCCS.**

An active ALTCS customer lives in a skilled nursing facility in January 2026. The nursing facility is licensed and registered with AHCCCS. The customer is not married and has no other health insurance. The share of cost calculation is as follows:

| | |
|---|---|
| Total countable income | $2053.00 |
| Personal Needs Allowance | -$149.10 |
| **Total Share of Cost** | =$1903.90 |

On April 25, 2026, the customer moved to an ALF. The ALF is licensed but is NOT registered with AHCCCS. The customer notified AHCCCS of the move on the same day.

Because the ALF is licensed but not registered with AHCCCS, the net income test is used when the customer is in the unregistered facility for the full month. The customer is over income using the net test income limit of 100% of the Federal Benefit Rate for May 2026. The change is an adverse action in which the customer must be notified at least 10 days before it is effective. As a result, the customer will be discontinued for ALTCS effective June 1, 2026.

The customer’s personal needs allowance (PNA) will be increased in April 2026 because the customer is HCBS for part of the month. The increase in the PNA reduces the customer’s share of cost (SOC). A reduction in SOC is not an adverse action and is effective April 1, 2026.

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## C Prorating Share of Cost When a Customer Dies Examples

| Programs | Manual Section |
|---|---|
| ALTCS | MA1502G |

### Examples

#### 1) The capitation rate is less than the assessed share of cost

On March 13, 2021, an ALTCS customer died at a nursing home in Maricopa County. The share of cost (SOC) was $1472.00. The customer had Medicare A and B and was enrolled with United Healthcare. The daily capitation rate for United Healthcare in Maricopa County in March 2021 for a person with Medicare is $101.80.

101.80 x 13 (the number of days in March the customer was at the nursing home) = $1323.40. The prorated capitation rate (1323.40) is less than the customer's SOC. $1323.40 is the adjusted SOC for March 2021.

#### 2) The capitation rate is more than the assessed share of cost

On April 28, 2021, an ALTCS customer died at a nursing home in Pima County. The assessed share of cost (SOC) was $1335.00. The customer did not have Medicare and was enrolled with Banner University Family Care. The daily capitation rate for Banner University Family Care in Pima County in April 2021 for a person without Medicare is $238.80.

238.80 x 28 (the number of days in April the customer was at the nursing home) = $6686.40. The prorated capitation rate is more than the customer's share of cost. The customer's SOC is not adjusted and is still $1335.00.

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# E1706 Changes Before the Hearing is Held Examples

| Programs | Manual Section |
|---|---|
| All Programs | MA1706 |

**Examples**

**1) Two Consecutive Actions to Discontinue Eligibility**

At his June renewal, the customer had $10,000 in his savings account, and the worker took action to end ALTCS eligibility. His ALTCS is ending after June 30th.

On June 28th, the customer appeals this decision. Because the appeal was requested before the date his coverage stops, the customer's ALTCS eligibility is continued during the appeal process.

On July 5th, AHCCCS discovers that the customer also has a promissory note with a countable value of $30,000. Because the customer was approved for continued benefits during the appeal process, the change is not processed pending a hearing decision.

**2) Two Consecutive Actions to Increase the Share of Cost**

In January the customer's Social Security income increased by $20.00. This change in income is processed on February 4th. Because of the higher income, the customer's share of cost (SOC) is increasing as of March. AHCCCS sends her a letter about this change in the SOC.

The customer files an appeal on February 19th, before the change is effective. Her SOC is changed back to the previous amount during the appeal process. On March 1st, the customer reports that she started receiving another pension. Because the customer was approved for the prior SOC amount during the appeal process, the change is not processed pending a hearing decision.

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# PAS Appendix - EPD

## Elderly and Physically Disabled (EPD) PAS-Overview

## Elderly and Physically Disabled (EPD) PAS-Overview

#### Introduction

In this chapter, you will learn about:

- The Preadmission Screening (PAS) Process and Purpose;
- Standards and best practices for PAS documentation; and
- Investigative interviewing.

For each section in this chapter, you will find:

- An overview of the topic;
- Any definitions needed; and
- Best practices or examples.

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# The Preadmission Screening (PAS) Process and Purpose

### Purpose

The purpose of the PAS is to determine medical eligibility for long-term care services.

The PAS tool contains a combination of functional and medical factors that are assigned weighted, numerical values. The customer is evaluated on these factors and the assessed scores are added together to get a total score.

The EPD PAS tool is used to assess:

- Functional
- Medical
- Nursing; and
- Social needs of the customer.

In general, a customer scoring at or above a threshold score on the PAS is considered to be at immediate risk of institutionalization. This means that the customer needs the level of care typically provided in an institution, like a skilled nursing facility.

### Process

| Step | Action |
|---|---|
| 1 | Schedule the ALTCS PAS Appointment. Take the following actions:<br>• Explain the ALTCS program and the purpose of the PAS.<br>• Ask if any accommodations are needed.<br>• Enter a case note in HEAplus that this was completed. |
| 2 | At the beginning of the PAS interview, take the following actions:<br>• Reexplain the ALTCS program and the purpose of the PAS to everybody attending the PAS interview. |

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| | |
|---|---|
| | • If the DE-202 has not already been obtained, explain the reason it is needed. Obtain a signature for the DE-202 using DocuSign. If DocuSign is not available, use another method to get the DE-202 signed, such as fax or mail. |
| 3 | Use the appropriate PAS tool to conduct the PAS interview. Follow the guidance in Investigative Interviewing. |
| 4 | Ask the customer or representative for the names of providers needed for medical records. |
| 5 | At the end of the PAS interview, explain the following to the customer or representative:<br>• What happens next in the PAS Process;<br>• They may hear from the ALTCS Benefits and Eligibility Specialist;<br>• The Appeal Process; and<br>• The customer's right to reapply at any time if they are medically ineligible. |
| 6 | Provide a list of Community Resources for the customer and representative and include a statement in the PAS summary that the list was provided. |
| 7 | Inform the customer and representative that they will receive a call and a letter telling them of the medical eligibility determination. |

**Process for Posthumous, Prior Quarter, and Private Request PAS**

A PAS may be requested for a deceased person, a prior quarter month, or before applying for ALTCS. There is a special process when a PAS is requested for one of these reasons. Information for each process is found below.

### 1) Posthumous PAS

A posthumous PAS is completed after a customer has passed away. Reasons for a posthumous PAS are:

- The customer passed away after the application was made; or
- Someone applied for the deceased customer.

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**Things to Keep in Mind When Completing a Posthumous PAS:**

- For a posthumous PAS, the date of death must be entered on the application before the PAS is opened. Without a date of death, the PAS is completed as an Initial PAS and all questions must be answered.
- No comments are required when scoring. However, a brief summary must be included on the PAS Summary screen.
- Since it is not possible to assess the orientation questions for a deceased customer, score as a 0 “unable to assess”. It is possible to answer the “Caregiver judgment” questions and score based on the caregiver’s response, if known. If a caregiver is not available for interview, score as a 9 “No caregiver”.
- The following are not required:
    - Deterioration in overall function;
    - Medications, assistance required for administration, and any allergies to medications;
    - Therapeutic diet;
    - Number of hospitalizations, ER visits, and falls; and
    - Whether the client was hospitalized or had plans for discharge.
- A posthumous PAS can be completed for a deceased customer regardless of the living arrangement.
- It is the PAS assessor’s responsibility to notify the financial Benefits and Eligibility Specialist when the customer dies after the PAS referral has been made. Give the financial Benefits and Eligibility Specialist the following information:
    - The date of death;
    - The place of death; and
    - The person who provided this information.

**2) Prior Quarter PAS**

Prior Quarter (PQ) coverage provides medical coverage for up to three months prior to the month of application. Children under age 19 and women ages 19-60 who are pregnant or in the postpartum period may qualify for prior quarter coverage. To be eligible the customer must:

- Have a medical expense in the PQ month. The medical expense can be paid or unpaid; and
- Meet all eligibility requirements in the month the medical expense was incurred.

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**Things to Keep in Mind When Completing a Prior Quarter (PQ) PAS:**

- To get the PQ PAS to autofill the answers, enter the Initial PAS first, then open the oldest PQ PAS, then the next oldest PQ, and then the most recent PQ.
- If the Initial PAS and all the PQs score Eligible and do not need Physician Review (PR), select “Complete PAS” starting with the Initial PAS, then the oldest to most recent PQ PAS.
- When the Initial PAS and PQ months need PR, do NOT select “Complete PAS” on the Initial or PQ months until the case is returned from PR.

**3) Private Request PAS**

A Private Request PAS (PRP) is a courtesy provided to see if the customer is at risk of institutionalization before an ALTCS application is submitted. Because the PRP does not include an application, a decision notice is not sent and the customer cannot appeal the decision.

An eligible PAS, including a Private Request PAS, may be used for up to 180 days when a customer is denied financially and later reapplies. An ineligible PAS is never used for a new application.

A PRP may be requested when the customer:

- Plans to move to Arizona and wants to know if they are medically eligible;
- Knows they are within the financial limits, but are not sure about medical eligibility; or
- Knows they are over the resource limit and wants to know if they are likely to be medically eligible before they consider reducing resources.

**Things to Keep in Mind When Completing a Private Request PAS:**

| | |
|---|---|
| When the customer is a resident of Arizona | • Make an appointment and complete the PAS just as you would any other PAS.<br>• Request medical records as usual.<br>• After completing the PAS in the system, tell the customer that based on the courtesy assessment, they do or do not meet medical eligibility criteria.<br>• An eligible PRP can be used when the customer applies within six months from the date the PRP was completed. |

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| | |
|---|---|
| When the customer is NOT a resident of Arizona | • Contact the customer and any caregivers to obtain PAS information.<br>• Request medical records as usual.<br>• If a PR is needed but the customer does not have solid plans to move to Arizona, discuss the case with your Benefits and Eligibility Manager.<br>• Tell them that it appears they do or do not meet the medical eligibility criteria.<br>• Make it clear that when they apply for ALTCS, another PAS assessment may need to be completed. |

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## Medical Records

Review all available medical records and use the information when scoring the PAS. A few examples of medical records that are useful in the PAS assessment include:

- Discharge summary if the customer was hospitalized;
- Consultations by specialists (for example, psychology, psychiatry, neurology, or cardiology reports);
- Therapy notes, such as occupational therapy physical therapy, and speech therapy;
- Nursing notes, when they address a specific incident or condition;
- Home health care or home hospice evaluation and progress notes;
- Laboratory results, EEG, EKG or MRI results;
- Physician Progress Notes relating to current condition or need for long-term care;
- MDS (Minimum Data Set) when the customer is in NF;
- For reassessments, the long-term care case manager's quarterly assessments.

#### Things to keep in mind when reviewing medical records

When reviewing medical records:

- Make sure that the customer's name is on all records and is correct;
- For records that include the customer's date of birth (DOB), check that it matches the DOB on file. If it does not, determine which one is correct by contacting the provider about the discrepancy. If the provider has the incorrect DOB, but the records are for the customer, add a sentence to the summary stating the provider entered the wrong DOB, but the records are correct. If our records are incorrect contact the Benefits and Eligibility Specialist (BES) and report that the DOB in HEAplus appears to be incorrect.
- Review the dates on medical records used to support your scores and decision. The records should be current and relevant to the customer's condition, typically within the past six months. When older records are relevant, include the explanation in comments. For example, a customer was diagnosed with dementia years ago and that is the most current record of the diagnosis;

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**Scoring when medical records are not available or conflict with reported function**

Follow the steps below when the information provided by the customer, caregiver, or representative during the PAS conflicts with the medical records, or medical records are not available:

| Step | Action |
|---|---|
| 1 | Were medical records provided for the customer?<br>• If YES, continue to step 2.<br>• If NO, STOP. Score based on what the customer, caregiver or representative reported, noting any differences between what was reported by each person or between what was reported and what you observed. |
| 2 | Do the medical records support the customer's responses?<br>• If YES, STOP. Score based on the customer's responses.<br>• If NO, contact the customer, representative, or caregiver to discuss and clarify the differences. Continue to step 3. |
| 3 | Does the customer have a valid reason explaining why the medical records contradict what is being reported?<br>• If YES, score based on the customer's report and add comments to each section that has a discrepancy describing the reason the reported information was used instead of the medical records.<br>• If NO, score based on the most relevant records and add comments to each section that has a discrepancy explaining why the reported information was not used. Contact your Benefits and Eligibility Manager (BEM) requesting review. The BEM determines if the PAS scores are accurate, if able. When the BEM is unable to determine the accuracy of the scores, a M.A.R.S. Inquiry is sent to PAS Policy. |

**Definitions**

| Term | Definition |
|---|---|
| Valid reason explaining why the medical records contradict what is being reported | Based on the PAS Assessor's knowledge and experience, a valid reason is a logical |

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| | |
|---|---|
| | explanation in support of why the reported information conflicts with the medical records.<br><br>Reasons may vary and could cover dozens of scenarios. Two sample reasons are given below, as examples only:<br><br>• The customer says that he can walk “just fine” with his cane. Recent medical records state the customer cannot walk at all without weight-bearing support due to advanced Alzheimer’s. Caregiver notes say the customer tries to get up from the wheelchair daily, causing two falls in the last six months. The PAS Assessor does not find a valid reason to use the customer’s statement instead of medical records and explains why in the comments.<br><br>• A neurological assessment from nine months ago indicates the customer’s ADLs are moderately impacted by her recently diagnosed Parkinson’s Disease. She is mainly independent but needs limited hands-on assistance with transfers in and out of chairs, bed and the shower, and stand-by assistance for mobility. The caregiver reports that the customer has declined in the past few months and now needs daily set-up and limited hands-on assistance with eating, grooming and bathing. Another neurology appointment is scheduled next week about the decline. The PAS Assessor finds the explanation a valid reason to use the statement instead of medical records, explains why in the comments, and makes a note to follow-up on the results from the customer’s neurology appointment next week. |

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# Investigative Interviewing and Documentation

The PAS, with all comments and documents, is the legal basis for ALTCS medical eligibility decisions. Documentation is the critical key to objective and accurate PAS decisions. The PAS should be clear, complete and correct. The PAS documentation should support the score. Information from the PAS is shared with the ALTCS Health Plan and may be shared with federal and state auditors, the customer, the Office of Administrative Hearings, and when authorized, with other parties.

### Overview

Investigative interviewing involves collecting detailed and accurate information about the customer's functional, medical, nursing, and social needs. Documentation involves the proof collected and information obtained during the interview.

NOTE Tips for collecting accurate, complete information for specific functions and conditions have been added to the Appendix sections for those areas.

### Before scheduling the PAS visit

It is important to be prepared. Always check to see if there is a prior PAS for the customer. When the customer has a prior PAS, take the following actions:

- Review the prior PAS.
    - Review the ADLs and note the assistance received.
    - Was a Physician Review completed on the prior PAS? If so, what was the physician's decision?
    - Review medical records and note the medical conditions and functional limitations mentioned.
- Review the previous medical records.
    - Make note of the customer's medical conditions.
    - Look for any functional limitations mentioned.

NOTE Refer to the PAS Summary section for guidance on how to document prior PAS information.

- If there is no prior PAS, review the current PAS referral and gather as much information as possible.

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**During the PAS Interview**

Use the tips below for the PAS Interview:

| Tip | Steps |
|---|---|
| Build rapport with the customer and others involved. | • Be on time. If you are running late, call the customer and let them know. The PAS may need to be rescheduled to ensure there is enough time to do a thorough interview.<br>• Extend a warm greeting and introduce yourself.<br>• Be prepared. Make sure your equipment is working properly before the interview begins. Have all needed paperwork available.<br>• Review and describe the medical criteria for eligibility, the PAS, and its purpose, and what will be covered during the interview.<br>• Make sure the customer and others involved have a clear understanding of the interview and ask if they have any questions. |
| Review the PAS questions and information with the customer and others involved. | • Read the PAS questions as written. When needed or asked, paraphrase the question, or use an example to clarify the meaning.<br>• When a response needs more detail or explanation, use the tips in the “Investigative Interviewing Skills” section below to get a clear, complete response. Avoid asking closed-ended or leading questions.<br>• Give the person time to answer each question. Make sure to get enough information to provide a clear, complete, and correct picture of the question being asked.<br>• If the customer has a previous PAS, discuss any information that has changed since the previous PAS. Make sure |

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| | |
|---|---|
| | changes in the customer's status are clearly and accurately explained in summary.<br>• Ask about any decline in health or ADL skills. Does the customer have a new or progressing medical condition or illness that explains the decline? Has the customer addressed the decline with a medical provider? |

**Investigative Interviewing Skills**

Ask questions and use statements that encourage the person to give information. The tips in the table below give ways to gather clear, correct, and complete information.

| Skill Type | Description | Examples |
|---|---|---|
| Open-ended questions | • Are worded so the question cannot be answered with "yes," "no" or just one-word.<br>• Encourage discussion.<br>• Begin with words like "who", "what", "where", "when", and "how". | • Who helps the customer get out of bed?<br>• What steps are taken to complete shaving needs?<br>• Where was the customer when he fell?<br>• When was the last time the customer fell?<br>• Describe the process for the customer to get dressed and undressed. |
| Inquiry statements | • Encourage the person to volunteer information<br>• Allow for a wide range of answers | • Tell me more about the issues that prevent the customer from using the toilet on his own.<br>• Please explain how you complete your showering or bathing task. |

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| | | |
|---|---|---|
| Clarifying questions | Prevent or correct misunderstanding and confusion. You may need to ask more than one question to clarify the information. | Customer said: “I only shower once a week because I’m not very active, but it’s hard to do by myself. I fell last week and hurt my arm.”<br><br>You say: “So you hurt your arm last week. Did that fall happen when you were showering? Is it difficult for you to shower on your own because you hurt your arm, or did you fall because you were showering on your own?" |
| Restating information | Repeating exactly what the customer said to be sure it was heard correctly. This confirms what the customer said and avoids misunderstanding. | You said you “help transfer him into the shower by holding onto his arm for balance.” Is that right? |
| Paraphrasing | Restating information using your own words. Paraphrasing confirms that the information is understood correctly. | Customer said: “I have to give myself insulin after I eat or I get really sick.”<br><br>You say: “So you take your insulin after every meal? Is that correct?” |

**Definitions**

| **Term** | **Definition** |
|---|---|
| Documentation | For eligibility, this means all entries in HEAplus screens, written comments and notes, and any documents in HEAplus or EDMS. |

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# Intake Information

## Intake Information

#### Introduction

In this chapter, you will learn about setting up the PAS in the following HEAplus batteries:

- Open PAS;
- Developmental Disabilities;
- Assessment; and
- DD/EPD Information.

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## Open PAS Battery

#### Overview

Most of the fields on this screen are automatically populated by the system. See the table below for a list and descriptions of fields on the Open PAS screen:

| Question | Description |
|---|---|
| Application IDs | There may be more than one application for the customer |
| Person ID number (PID) | Select “Yes” when the customer is in an acute care facility when the PAS is completed. Otherwise, select “No”. |
| Assessment Date | Not automatically populated. Enter the PAS appointment date. |
| Assessment type | Shows one of the following assessment types:<br>• Initial<br>• Posthumous<br>• Prior Quarter<br>• Private Request<br>• Reassessment |
| PAS tool used | Lists the PAS tool appropriate for the person’s DD status and age. |
| DD status of each application | • Potential DD: May have a developmental disability, but eligibility has not been determined by DES/DDD.<br>• DD: DES/DDD determined the customer is eligible for DD services. |

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| | |
|---|---|
| | • DD in NF: The customer is eligible for DD services and is living in a nursing facility.<br>• Not DD - DES/DDD determined the customer is not eligible for DD services. |
| Status of the PAS | • Open PAS – a PAS has not been started. Click the “Open PAS” link to begin.<br>• Continue PAS - the PAS has been started but not completed. Click the “Continue PAS” link to continue.<br>• View PAS – the PAS was completed and is closed. Click the “View PAS” link to view the PAS.<br>• Incomplete – the PAS is not complete but is closed. Generally used when the customer missed the PAS appointment, voluntarily withdrew, or had mail returned and could not be contacted. |
| PAS Records link | The link goes to the PAS History screen where you can review other PAS assessments for the customer. |

**DD Status Changes**

Take the following steps when the customer’s DD status has changed:

| Step | Action |
|---|---|
| 1 | On the Open PAS screen, click the pencil icon in the DD Status box. |
| 2 | On the DD History screen, click the edit icon in the line that needs updated. |
| 3 | Enter the date the status ended in the End Date field. Click “Save.” |
| 4 | Click on the “Add DD” link. |

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| | |
|---|---|
| 5 | Select the new DD Status from the drop-down list in the DD Status field. |
| 6 | Enter the date the status began in the Begin Date field and click “Save”. This date must be at least one day after the end date for the previous DD Status. |

**Definitions**

| Term | Definition |
|---|---|
| Qualifying developmental disability | For DES/DDD eligibility, a qualifying developmental disability means the customer has been diagnosed with at least one of the following:<br>• Intellectual Disability<br>• Cerebral Palsy<br>• Seizure Disorder<br>• Autism<br>• Down Syndrome |

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# Developmental Disabilities

#### Overview

The Developmental Disabilities page tells whether the customer has or had a DD qualifying diagnosis and gives the DD history. The fields on this page are automatically populated by the system.

When the DD diagnosis question is answered “Yes”, the DD Case Status is also shown. Click the Focus Response button to view the DD Case Status report. Any changes to the DD status will be listed in the DD history. The DD history includes the following information:

- DD status
    1. Not DD – the customer does not have a DD status
    2. DD – the customer has or had a DD status
    3. Potential DD – the customer is potentially eligible for DDD.
    4. DD in NF – the customer has or had a DD status while in a skilled nursing facility.
- Begin date – the date the DD Status began.
- End date – when a customer has a change to DD Status, this is the date the previous DD Status ended.

NOTE It is very important to make sure the DD status is correct before completing the PAS.

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## Assessment Battery

#### Overview

This section is used to gather information about:

- The PAS tool used
- The assigned assessor
- Where the customer is located at the time the PAS is conducted
- The phone number for the location where the PAS interview is conducted
- The customer's living arrangement

#### Assessment Information

Complete these fields as described below:

| Field Name | Field Information |
|---|---|
| DD Status | The field is pre-filled by HEAplus with the DD status selected when the application is registered. |
| Tool Used | The field is pre-filled by HEAplus with the DD status selected when the application is registered and the PAS created. |
| Assessor<br><br>(the first of two Assessor fields) | Use the dropdown list to select the name of the assessor who creates the PAS and conducts the interview. |
| Assessor<br><br>(the second of the two Assessor fields) | When another assessor helps complete the PAS, use the dropdown list to select the name of the assessor who helped. |

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| | |
|---|---|
| | NOTE It is not common that another assessor needs to help with a PAS, and this field is usually blank. |
| Location | Use the dropdown list to select the setting where the in-person PAS interview is conducted.<br><br>When the interview is conducted by telephone, select the setting the customer is located at the time of the PAS interview. |
| Telephone | Enter the telephone number for the location where the PAS interview is conducted.<br><br>When the interview is conducted by telephone, enter the telephone number for the customer's location at the time of the PAS interview. |

**Living Arrangement**

Complete these fields as described below:

| Field Name | Field Information |
|---|---|
| Usual Living Arrangement | Use the dropdown list to select the usual living arrangement as follows:<br><br>• Community: Customer lives in a private home, mobile home, apartment, or is homeless, which includes staying in a homeless shelter.<br><br>• Group Home: The customer lives in a residential placement with a large group of other people.<br><br>• ICF/ IID: The customer lives in an Intermediate Care Facility for Individuals with Intellectual Disability, or related conditions. |

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| | |
|---|---|
| | • Nursing facility: The customer lives in a nursing facility. This includes both certified and uncertified facilities.<br>• Other supervised setting: The customer lives in an adult foster home, adult care home, apartment for assisted living, or similar setting.<br>• Residential Treatment Center: The customer lives in a facility that provides behavioral health services to people under age 21 or under age 22 when admitted prior to age 21.<br>NOTE “Usual living arrangement” means the customer’s living arrangement for the last six months or the current living arrangement when there is no plan to make a change. |
| Usual Living Situation | Use the dropdown list to select the appropriate usual living situation as follows:<br>• Lives Alone<br>• With Non-Relative: The customer lives with others not related to him or her. Also select this option when the customer lives in the same nursing facility or assisted living setting as a spouse or other family member.<br>• With Other Relative: The customer lives with a relative other than a spouse or parent.<br>• With Parents<br>• With Spouse<br>NOTE “Usual living situation” means the people with whom the customer has lived for the last six months or currently lives with when there is no plan to make a change. |

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## DD/EPD Information

#### Overview

This section is used to gather information about the customer's:

- Medical assessment
- Physical measurements

#### Medical Assessment

| Question | Answer |
|---|---|
| Currently Hospitalized/rehab | Select "Yes" when the customer is in the hospital or an intensive rehabilitation facility. Otherwise, select "No". |
| Imminent discharge from acute care facility | Select "Yes" when the customer is in an acute care facility when the PAS is completed. Otherwise, select "No". |
| Discharge Date | • When there is a planned discharge date, enter the date provided by the representative or facility.<br>• When there is no firm discharge date, enter the date of the PAS interview. |
| Number of emergency room visits in last 6 months | Enter the number in the space provided. Include actual or approximate dates and the reasons for the visits in the PAS summary.<br>NOTE Count all emergency room visits, even when it resulted in being admitted to a hospital. |

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| | |
|---|---|
| Number of hospitalizations in last 6 months | Enter the number in the space provided. Include actual or approximate dates and the reasons for the hospitalizations in the PAS summary. |
| Number of falls in the last 90 days | Count the total number of falls. For each fall, document the approximate date, any injuries and treatment received, and a description of what happened in the PAS summary. |

**Physical Measurement**

Complete the physical measurements section. Use approximate height and weight if the actual measurement is unknown. To enter the height and weight using metric units, select the check box next to “Enter in Metric Units”.

**Definitions**

| Term | Definition |
|---|---|
| Acute care facility | Means:<br>• A hospital, when the customer is not in a long-term care bed, or<br>• An intensive rehabilitation facility. |
| Intensive rehabilitation facility | A free-standing rehabilitation hospital or a rehabilitation unit within a hospital that provides an intensive rehabilitation program. Patients admitted must be able to tolerate three hours of intense rehabilitation services per day. |

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# Functional Scores

## Functional Scores

#### Introduction

In this chapter, you will learn about:

- Activities of Daily Living (ADLs);
- Continence;
- Deterioration in overall function;
- Communication/Sensory function;
- Behaviors;
- Medical conditions;
- Medications;
- Services/Treatments;

For each section in this chapter, you will find:

- An overview of the topic;
- Definitions;
- (other)

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# Activities of Daily Living (ADLs)

## Activities of Daily Living (ADLs)

### Overview

The ability or inability to perform ADLs can be used as a practical measure of a person's need for long-term care services and risk of institutionalization.

The ADLs include:

- Mobility
- Transferring
- Bathing
- Dressing
- Grooming
- Eating
- Toileting

### Things to Keep in Mind When Scoring Activities of Daily Living (ADLs):

- Gather information about the customer's ADLs in the past 30-days with emphasis on current performance.
- When it is clearly evident that a customer needs more assistance than is received, that may be considered when scoring. This should be done conservatively, as it may be difficult to determine the exact amount of assistance needed. Comments must include a thorough explanation of this need and must state "scored based on need".

NOTE Generally a score based on need would not be higher than 1.

- When the customer spends a major part of the day in a setting other than the customer's living arrangement, the customer's ability to complete the ADLs in that setting may also be considered. For example, the customer goes to an adult day care center Monday through Friday from 8:00 a.m. until 5:00 p.m.
- ADLs may consist of several smaller tasks. Consider ALL parts of the ADL that are relevant to the customer when scoring. Do not score just on the performance of part of the task. See the scoring section of the specific ADL for more details.

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- When the customer's ADL performance is not consistent throughout the 30-day period, score based on the most typical ADL performance. Describe any deviations from typical performance in the comment section, including:
    - How often the deviations occurred;
    - In what circumstances deviations occurred; and
    - The customer’s functioning level during the deviation.
- Short-term deviations from typical ADL performance such as having the flu or otherwise being temporarily “under the weather” would NOT be scored as typical performance.
- Consider the use of a service animal in scoring when the animal has been trained to assist in specific ADL functions exclusively for the individual. This excludes emotional therapy animals and household pets.

**Definitions**

| Term | Definition |
|---|---|
| Cooperation | Actions taken by the customer that allow the caregiver to perform a task for the customer but are not an actual part of the task. |
| Limited Hands-On Assistance | Hands-on help needed to do a portion of the task each time, but not needed for the entire task each time. |
| Occasional Hands-On Assistance | When the customer needs hands-on help to complete an entire task less than daily. |
| Physical Lift | When a caregiver actively bears some part of the customer’s weight during movement or activity.<br><br>NOTE This does not include steadying or guiding the customer. |
| Physical Participation | The customer’s active participation, not just being passive or cooperative. This includes the ability to complete a part of the task. |

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| | |
|---|---|
| Service Animal | A dog or miniature horse that is individually trained to do work or perform tasks for the benefit of an individual with a disability. Other species of animals, whether wild or domestic, trained or untrained, are not considered service animals |
| Supervision | When a caregiver observes the customer and is readily available to provide assistance, including verbal cues or reminders and set-up activities |
| Typical performance | In general, means the level of skill or function the customer achieves most of the time. |

#### Examples

Important! Examples only provide guidance on scoring. They do not cover every possible situation.

**Cooperation vs. Participation**

The following table gives examples of cooperation as compared to participation

| Cooperation | Participation |
|---|---|
| The customer raises her arms, and the caregiver threads the customer's hands and arms through shirtsleeves and pulls the shirt down. | The caregiver holds the customer's shirt so that the sleeves are easy to get to. The customer threads her arms through and tugs her shirt into place. |
| The customer turns his face toward the caregiver when asked to do so during face washing. | The customer washes his face once the caregiver prepares the washcloth and hands it to him. |
| The customer allows the caregiver to lean her to the side and place a slide board under her. | The customer leans over to her side, the caregiver places the slide board under her, and the customer slides onto the slide board. |

Limited Hands-on Assistance

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Example 1:

The customer's spouse reports that he combs his wife's hair every morning. The customer has limited range of motion in her right arm, which is her dominant arm, due to a torn rotator cuff. The spouse reports that each morning he sets up a basin and a cup with fluoride, she rinses her mouth and he cleans out the basin. She does not have teeth to brush. The customer has no shaving needs.

Explanation: The customer needs hands-on help to do a part of the grooming task but does not need hands-on help for the whole task. She needs help combing her hair, which is only one part of the task. No hands-on assistance is needed for oral care, only set up, and there are no shaving needs.

Example 2:

Each day, the customer sets the water temperature before showering and gets in and out of the walk-in shower on his own. He washes most of his upper and lower body and rinses with a hand-held shower head. The customer cannot reach down to wash his lower legs and feet, even when using a shower chair. The customer has fallen seven times in the past 30 days while trying to bend to wash his feet. To maintain safety and prevent falls, the customer calls his wife to wash his feet every time he showers. After showering, the customer dries himself with a towel independently.

Explanation: The customer needs hands-on help to do a part of the bathing task but does not need hands-on help for the whole task. He needs help to wash his lower legs and feet, which is only one part of the task. He is able to complete the rest of the task without hands-on assistance.

Occasional Hands-on Assistance

The customer has end stage renal disease and gets dialysis three times a week. On dialysis days he is too weak to walk or use a wheelchair independently. His caregiver reports that on those days she pushes him in a wheelchair for all mobility. On the days that the customer does not receive dialysis, he is able to walk with a walker, and the caregiver provides supervision to maintain safety and prevent falls.

Explanation: The customer needs hands-on help completing an entire task, but it is less than daily. He needs hands-on assistance for all mobility three days a week. He does not need hands-on assistance the other four days.

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# Mobility

## Overview

The score for Mobility is based on how well the individual moves within the residence or other routine setting, with emphasis on purposeful movement.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Mobility Components | Tips to gather the correct information |
|---|---|
| How does the customer move? | • Use open-ended questions.<br>• Ask how the customer moves around the residence or other routine setting. Here are some suggestions:<br>◦ How does the customer move around the home?<br>◦ What<br>• Gather information about how far the customer moves or is moved as it could impact the score. |
| Who is involved? | When the customer gets assistance with mobility, ask:<br>• Who provides assistance; and<br>• What assistance does each person provide? |
| How often? | Ask how often the customer moves around the residence or setting AND how often assistance is provided. |

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| | |
|---|---|
| | For example, the customer uses a wheelchair for all mobility. The spouse pushes the wheelchair for his wife.<br>• Is that help given every time?<br>• If the help is not given every time, how often does the spouse assist by pushing the wheelchair for her? |
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me more about the customer's need for a walker.<br>• Tell me what prevents the customer from self-propelling the wheelchair.<br>• You said that you have trouble walking from the bedroom to the kitchen. What makes this difficult for you? |

#### Scoring

Follow the steps below to determine the Mobility score.

| Step | Action |
|---|---|
| 1 | Does the customer completely rely on another person for all mobility?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE Walking or movement for therapy only may not be purposeful movement, and may not significantly affect the mobility score. For example, the customer is bedfast with the exception of three physical therapy sessions a week for 20 minutes each. |
| 2 | Is the customer mobile with hands-on assistance, but still able to participate in some way most of the time?<br>• If YES, STOP. Give the customer a score of 2. |

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|---|---|
| | • If No, continue to step 3.<br><br>NOTE The actual distance the customer is mobile impacts scoring. |
| 3 | Is the customer independently mobile most of the time with set-up, supervision, or limited or occasional hands-on assistance?<br><br>• If YES, STOP. Give the customer a score of 1.<br><br>• If NO, continue to step 4. |
| 4 | Is the customer independently mobile most or all of the time, with or without assistive devices?<br><br>• If YES, STOP. Give the customer a score of 0.<br><br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definition |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to help a person perform a particular task. Examples: walkers, canes, handrails, wheelchairs |
| Hands-on Assistance | Physical contact to support a person so that the activities of daily living can be carried out without fall or injury. |
| Purposeful Movement | The act of intentionally moving from one place to another. |
| Set-up | Involves placing the assistive device where the customer can reach. Examples include charging an electric wheelchair or adjusting the wheelchair safety belt. |

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| | |
|---|---|
| Supervision | Observing the customer and being readily available to provide assistance, including giving verbal cues or reminders. |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

Example 1:

The caregiver reports she pushes the customer in his wheelchair every day because he is too weak to move himself due to Multiple Sclerosis (MS). The customer is unable to stand on his own, so when no one is around, he lays in bed unable to move.

Example 2:

The hospital nurse reports that the customer was in a motorcycle accident and has a serious head trauma and several broken bones. He has been bedridden since his admission to the hospital more than 30 days ago. The nurse reports it is unclear how long it will take before he is able to be moved from the bed.

Score of 2: Hands-on Assistance

Example 1:

The customer has severe shortness of breath that gets worse as the day goes on. He self-propels his wheelchair only for the first trip of the day to the dining room. Due to fatigue and shortness of breath, his spouse pushes him in the wheelchair for all other mobility for the remainder of the day.

Example 2:

The nursing assistant reports that the customer is in a secured unit due to advanced Alzheimer's disease. The customer walks independently, but cannot find her own way to any of the areas in the facility. She needs a caregiver to hold her arm and lead her in the right direction.

Example 3:

The customer's daughter reports that her mother has muscular dystrophy (MD) and uses a walker to move around her home. The customer has fallen 10 times in the past three months when trying to use the walker on her own. Because of these falls and risk of injury, the daughter now walks directly behind her holding onto a gait belt fastened around the customer's waist at all times.

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Score of 1: Supervision, Limited Hands-on or Occasional Hands-on Assistance

Example 1:

The customer reports that she walks unsteadily and has fallen three times in the past 30 days due to dizziness. Since these falls, she always uses a walker, and her spouse supervises all mobility to prevent further falls.

Example 2:

The caregiver says that she sets up the customer's walker and reminds the customer to use it on a daily basis. Once or twice a day the customer receives hands-on assistance to turn her walker around to lead her in the right direction. She gets confused and lost going from room to room. No other help is provided. The caregiver says the customer needs help because she has Alzheimer's disease and is forgetful.

Score of 0: Independent

The customer reports that he has spina bifida, which has led to weak leg muscles and uneven hips. He is unable to walk because of his condition. He is able to maneuver around his home using a motorized wheelchair. His caregiver offers to plug in the chair for him, but he declines the offer and charges it himself without problems.

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## Transferring

#### Overview

The score for Transferring is based on how well the customer moves between two surfaces within a residential environment. Transferring includes getting into and out of a chair, sofa or bed, but does not include transfers to a toilet, bath, or shower.

Things to consider when assessing how well a customer transfers include:

- Level of assistance needed on a consistent basis;
- Specific assistance needed to transfer between different surfaces like a wheelchair, bed, chair, and couch;
- Set-up of assistive devices;
- Assistance needed to get the customer to a sitting position to transfer from bed;
- Assistance needed to lift or position the customer's legs when transferring into bed.

NOTE The transferring score must consider and include all transferring activities.

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Transferring Components | Tips to gather the correct information |
|---|---|
| How does the customer move between surfaces? | Use open-ended questions<br>• Ask what happens during the transferring process. Here are some suggestions:<br>◦ Please describe how the customer gets out of bed?<br>◦ Would you describe how the customer gets into bed?<br>◦ Please describe how the customer gets up from a chair. |

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| | |
|---|---|
| | ◦ How does the customer get out of their wheelchair?<br>◦ Please describe what the customer does to sit down on a couch? |
| Who is involved? | For each type of transfer where the customer needs assistance, ask the customer and caregiver about:<br>• Who provides assistance;<br>• What assistance the person provides;<br>• How the customer participates in the transfer. |
| How often does it happen? | Ask how often the transfers occur AND how often assistance is provided for each type of transfer. |
| What's the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Can you tell me more about how much help the customer needs getting out of bed in the morning?<br>• Tell me more about the limitations that prevent the customer from being able to get out of the wheelchair on his own.<br>• You said that you have trouble getting up from the couch. Please tell me what makes this difficult for you. |

#### Scoring

Follow the steps below to determine the Transferring score. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer rely completely on others for transfers, OR is the customer bedfast?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need to be physically lifted or moved, but does physically participate most of the time? For example: participates by pivoting, or sits up and swings legs over the side of the bed.<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the customer transfer with just supervision, physical guidance, set-up, or limited or occasional hands-on assistance most of the time? (or a combination of these)<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the activity independently, with or without assistive devices most or all of the time?:<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definitions |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to help a person perform a particular task. Examples include canes, walkers, slide boards, gait belts, Hoyer lifts, and wheelchairs |
| Bedfast | Confined to a bed due to illness or injury. |

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| | |
|---|---|
| Physical Guidance | Means physical contact that helps the customer start or complete a task but does not involve bearing any of the customer's weight. Examples include:<br>• Pulling the customer up from a seated or laying position;<br>• Physically guiding the customer;<br>• Physically steadying the customer. |
| Physical Lift | Actively bearing some part of the customer's weight during movement or activity |
| Set-up | Means placing assistive devices for the customer's use, and includes locking any brakes for safe transferring activity. |
| Supervision | Observing the customer and being readily available to provide assistance, including verbal cues and reminders. |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

Example 1:

The CNA reports that the customer is bedfast. He is paralyzed from the chest down and does not have enough upper body strength to participate in transfer activities. Caregivers turn and position the customer every two hours, but he is not currently being moved from the hospital bed.

Example 2:

The customer's hospice nurse reports that the customer makes only two transfers a day, both using a Hoyer lift. The caregiver transfers him out of bed to a wheelchair for an hour when the hospice nurse takes him outside for some fresh air. Then he is transferred back into bed using the Hoyer lift. The customer is not able to participate in the transfers due to advanced dementia and atrophy.

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Score of 2: Hands-On Assistance

Example 1:

The customer's husband reports that a Hoyer lift is used to transfer his wife out of bed each morning. She holds onto a bar on her hospital bed and shifts her bottom from side to side to assist in the transfer. A Hoyer lift is then used to transfer the customer from her bed to a wheelchair. The customer reaches out and holds onto the wheelchair arm to help guide her into the wheelchair. The Hoyer lift is also used to transfer the customer back into her bed each time. The customer is transferred using a Hoyer lift due to severe morbid obesity and venous insufficiency.

Example 2:

The customer's husband reports that the customer needs assistance sitting up in bed and getting out of bed in the morning. He lifts her upper body until she is in a sitting position, then turns her while lifting her legs out of bed. He then holds the customer under both arms and lifts her to a stand, bearing most of the customer's weight until she is standing. The customer pivots and her husband supports her back until she is safely in the chair. When she gets out of the chair, he holds her under both arms and lifts her to a stand, bearing most of her weight until she is standing. At night, the customer sits on the edge of the bed, then her husband lowers her upper body onto the bed and lifts her legs into bed. The customer needs this assistance daily due to the residual effects of a stroke.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

The customer reports that she gets out of bed on her own every day. The customer's sister is with her from 5pm until 8pm every evening. Once the customer is in bed and before leaving each night, the sister puts the customer's walker right next to the bed and makes sure it is locked. In the morning, the customer uses the walker for support to lift herself out of bed. She uses the walker throughout the day to stabilize herself when she gets in and out of her chair.

The customer becomes more fatigued and unsteady at the end of the day, so her sister supervises transfers from 5 p.m. until she helps the customer into bed. When the customer goes to bed, the sister holds her arm and guides her onto the bed, then lifts the customer's legs into bed. The customer is already weak due to chemotherapy and needs more help at the end of the day.

Score of 0: Independent

The customer lives by himself. He has a high-rise bed so he is able to get in and out on his own without fear of falling. He notes that his dining room chair is lower, and he struggles to come to a stand. He holds onto the table for support and gets in and out of the chair on his own. He has a lift chair in the living room, which makes it easy for him to get in and out of. The customer has not had any falls in the past 90 days.

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# Bathing

#### Overview

The score for Bathing is based on the customer's ability to wash, rinse, and dry all body parts. It includes the following:

- Transferring in and out of shower or bath
- Taking sponge baths for the purpose of maintaining adequate hygiene and skin integrity
- Set-up including gathering equipment, running the water, and setting the temperature

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Bathing Components | Tips to gather the correct information |
|---|---|
| How does the customer bathe? | • Use open-ended questions<br>• Ask what happens for each part of the bathing process. Here are some suggestions:<br>◦ How are bathing supplies gathered?<br>◦ Who turns the water on and sets the temperature?<br>◦ Please describe how the customer gets in and out of the shower or tub.<br>◦ Describe how the customer's body and hair are being washed.<br>◦ Who is drying the customer's body?<br>◦ Tell me about the customer's bathing routine. |

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| | |
|---|---|
| | ◦ Please describe any assistive devices the customer uses; such as grab bars, shower chair or washing aides.<br>• Make sure you get all the information that is needed. |
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance does each person provide; and<br>• How does the customer participate? |
| How often does it happen? | Ask how often the customer bathes AND how often assistance from others is provided. |
| What is the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

#### Scoring

Follow the steps below to determine the Bathing score. Refer to the example section for more information on how each score may be applied.

NOTE If hair is routinely washed by a beautician due to personal preference exclude from scoring

| Step | Action |
|---|---|
| 1 | Does the customer completely rely on another person for all bathing tasks?<br>• If YES, STOP. Give the customer a score of 3. |

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| | • If NO, continue to step 2. |
| 2 | Does the customer need help with bathing as described below most of the time? (include sponge baths)<br>• Assistance transferring in and out of the tub or shower (not considered for sponge baths), AND<br>• Moderate hands-on help;<br>OR<br>• Standby assistance throughout bathing activities in order to maintain safety.<br>◦ If YES, STOP. Give the customer a score of 2.<br>◦ If NO, continue to step 3. |
| 3 | Does the customer require set-up or reminding most of the time, but can bathe safely without continuous assistance or supervision?<br>OR<br>Does the customer require limited hands-on assistance or occasional hands-on assistance most of the time?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 4. |
| 4 | Is the customer able to complete the activity independently most of the time, with or without assistive devices?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definitions |
|---|---|

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| | |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to assist a person to perform a particular task. Examples: grab bars, long-handled loofah, shower chair |
| Limited Hands-On Assistance | Hands-on help needed to do a portion of the task each time, but not needed for the entire task each time. |
| Occasional Hands-On Assistance | When the customer needs hands-on help to complete an entire task less than daily. |
| Stand-by Assistance | The presence of another person within arm's reach with the purpose of maintaining one's safety |
| Supervision | Observing the customer and being readily available to provide assistance, including verbal cues or reminders and set-up activities |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

The customer states that she became paralyzed six months ago in a car accident and has lost the use of her limbs. The customer is given a shower two to three times per week. Her caregiver transfers her onto a chair in the shower using a Hoyer lift. The caregiver washes, rinses and dries the customer's body and hair. The caregiver then uses the Hoyer lift to transfer the customer out of the tub.

Explanation: The customer relies completely on someone else for all of her bathing needs.

Score of 2: Hands-On Assistance

Example 1:

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The customer is a 94 year old male who lives by himself. He said that he bathes three days per week, but is unable to get in and out of the shower on his own. A CNA comes to the home on the days that he bathes and sets the water temperature. The CNA then holds onto the customer's arm and torso to ensure a safe transfer in and out of the shower. The CNA sets the water temperature and lathers a washcloth with soap. The customer is able to wash his upper torso. The CNA washes the customers back, legs and feet. The CNA dries the customer's body with a towel.

Explanation: The customer receives hands-on assistance transferring in and out of the shower each time; and receives moderate hands-on assistance, washing his back, legs, and feet, each time. The customer needs assistance with two of the three criteria every time justifying the score of 2.

Example 2:

The customer has been bedridden since falling from a building two months ago and breaking both legs in several places. His wife reports that she brings a bowl of warm, soapy water to the customer's bedside every morning. The customer is able to wash his face, upper torso and private area. She washes the customer's hair, back side, legs and feet, and then dries him with a towel.

Explanation: The customer receives moderate hands-on assistance, washing his hair, backside, legs and feet each time. He also receives set up for all bathing supplies. Without this help he would not be able to maintain adequate hygiene.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

Example 1:

The customer's nurse reports that the customer was recently diagnosed with dementia. Every morning the nurse reminds the customer that it is time to take a bath. The nurse fills the tub with water and makes sure that it is a safe temperature. The customer gets in the tub on her own. Once seated, the nurse leaves the bathroom to give the customer privacy. The customer is able to wash her entire body with a soapy washcloth prepared and placed on the edge of the tub by her nurse. The nurse comes back to the bathroom after 15 minutes and holds onto the customer's arm to safely pull her to a stand. The nurse wraps a towel around the customer, and the customer dries herself off. The customer has had her hair washed and styled every Friday for the past 15 years. She does not wash her hair on the other days.

Explanation: The customer receives daily reminders when it is time to take a bath. She requires set-up, which includes filling the tub with water and making sure the water temperature is safe. The customer bathes safely without assistance and supervision, but needs limited hands-on assistance getting out of the tub.

Example 2:

The customer is 90 years old and lives alone. She is frail, and at risk for falls. Three times per week a caregiver comes to her home to assist with bathing. The customer does not bathe on the other days. The caregiver reports that she sets up all bathing supplies on a table close to the customer's shower chair and stays in the bathroom to ensure that the customer transfers safely from her walker to the shower chair. Once the customer is sitting on the chair, the caregiver goes into the other room so the customer has privacy. The customer washes her body and hair on her own. The

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caregiver comes back into the bathroom when the customer is done bathing and makes sure that the customer transfers safely out of the tub. The caregiver wraps a towel around the customer and then the customer dries herself.

Explanation: The customer needs standby assistance to ensure safety for all transfers in and out of the shower, but she is able shower without assistance and supervision. She needs to have her bathing supplies set-up within reach to maintain safety and avoid falls.

Score of 0: Independent

The customer has a full-time caregiver at his home due to early onset Alzheimer's disease and the risk of forgetting things or getting lost. The caregiver reports that the customer showers daily and does not need any help with his bathing routine. He does not need to be reminded and does not get any reminders. He gets in and out of the shower, and wash, rinse, and dry himself. The caregiver said that she is always in the home when the customer showers but is not in the bathroom with him.

Explanation: The customer is able to complete his bathing routine independently.

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## Dressing

#### Overview

The score for Dressing is based on the customer's ability to dress and undress.

Dressing includes:

- Choosing and putting on clean clothes and footwear; including assistive devices such as prostheses, braces, and anti-embolism stockings
- Fine motor coordination for buttons and zippers
- Choosing appropriate clothing for the weather

Dressing does not include:

- Difficulties with zippers or buttons at the back of a dress, blouse, or bra
- Concerns such as matching colors
- The use of diapers, which would be considered for Toileting

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Dressing Components | Tips to gather the correct information |
|---|---|
| How does the customer get dressed and undressed? | Use open-ended questions<br>• Ask how a customer dresses and undresses. Gather enough detail to be able to describe all parts of the task. Here are some suggestions:<br>◦ Describe the set-up process before the customer gets dressed. |

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|---|---|
| | ◦ How does the customer put on and remove upper body clothing (shirt, bra, dress)?<br>◦ How does the customer put on and remove lower body clothing (underwear, pants, skirts, socks)?<br>◦ Please describe how the customer opens fasteners (ties, zippers, snaps, buttons, and clasps).<br>◦ How does the customer close fasteners?<br>◦ Tell me how the customer puts on and removes shoes. This includes slip on shoes, tying shoes, and fastening Velcro straps.<br>◦ How long does it take the customer to dress and undress? |
| Who is involved? | Ask:<br>• Who provides assistance with dressing and undressing;<br>• What assistance does each person provide; and<br>• How does the customer participate? |
| How often does it happen? | Ask how often a task occurs AND how often assistance is provided.<br>• Find out the frequency that the customer dresses and undresses. For example: Daily, four days a week, once a week; and<br>• Identify how often the customer receives assistance from others. |
| What's the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions: |

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| | • You told me you get the clothing out of the closet for your wife each morning. What is the reason for this?<br>• Tell me more about the limitations that prevent the customer from being able to fasten buttons and snaps.<br>• You told me you have trouble dressing the lower part of your body. Please tell me what makes this difficult. |

**Scoring**

Follow the steps below to determine the Dressing score. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Does the customer receive a combination of full hands-on assistance by the caregiver for BOTH dressing AND undressing?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need physical assistance or significant verbal assistance most of the time, but is able to physically participate?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3.<br>NOTE If the customer needs hands-on assistance or significant verbal assistance every time they dress, but can undress independently, it will warrant a score of 2. This is due to the amount of the activity the caregiver performs and the frequency. |
| 3 | Does the customer need supervision, reminding, or set-up assistance; or need limited or occasional hands-on assistance most of the time?<br>OR<br>Does the customer need more than 30 minutes to complete the task independently due to medical or functional limitations? (Do not include behavioral concerns) |

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| | • If YES to either or both questions, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 4. |
| 4 | Is the customer able to complete the activity independently most of the time, with or without assistive devices?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definitions |
|---|---|
| Anti-embolism stockings (TED Hose) | Specialized hosiery designed to help reduce the threat of blood clots forming in the legs. They improve blood circulation in the leg veins by applying graduated compression |
| Assistive Devices | Mechanical aids, such as zipper pulls, long-handled shoehorns, stocking aids, Velcro fasteners; and adaptive clothing, such as elastic waist pants, slip-on shoes or non-tie shoes |
| Cooperation | Includes actions that allow the caregiver to perform a task for the customer, but are not an actual part of the task<br>Example: The customer raises his arms, but the caregiver threads hands and arms through shirt sleeves and pulls the shirt down. |
| Limited Hands-On Assistance | Hands-on help needed to do a portion of the task each time, but not needed for the entire task each time. |

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| Occasional Hands-On Assistance | When the customer needs hands-on help to complete an entire task less than daily. |
| Physical Participation | The customer's active participation, not just being passive or cooperative. This includes the ability to complete a small portion of the task<br><br>Example: The caregiver holds shirt, so sleeves are easy to get to. The customer threads her arms through and tugs her shirt into place. |
| Set-up | Includes laying clothes out for the customer, placing shoes where the customer can put them on easily, and placing assistive devices within reach |
| Supervision | Observing the customer and being readily available to provide assistance, including verbal cues or reminders and set-up activities |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

The customer is in the advanced stages of Lou Gehrig's disease. He needs help daily dressing and undressing because he has lost a lot of his motor skills. To get dressed, the customer raises his arms, and his wife threads his hands and arms through the shirtsleeves, pulls the shirt over his head and then pulls it down. She then slides on the customer's pants and pulls them up, puts the customer's socks and shoes on for him, and ties the shoes. To get undressed, the customer raises his arms, and his wife pulls the shirt over his head and guides his arms out of the shirtsleeves. As the customer lies on the bed, she pulls his elastic pants down over his hips as she rolls the customer from side to side. She removes his shoes and socks each time.

Explanation: The customer receives a combination of full hands-on by the caregiver for BOTH dressing and undressing.

Score of 2: Hands-On Assistance

Example 1:

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The customer says her hands are very shaky due to tremors. Each day the CNA puts a dress over her head. The customer pushes her arms through the dress sleeves as the CNA guides the dress over her arms. The customer pulls the dress down once it's over her head and arms. The CNA puts the customer's socks and shoes or slippers on her every day. The customer does not wear a bra or underwear and never wears anything with fasteners due to her hand tremors. The CNA helps the customer undress by pulling the dress up above the customer's hips. The customer is then able to slide her arms out of the dress and over her head. The customer can slide her slippers or shoes off, and the CNA removes her socks.

Explanation: The customer needs hands-on assistance from her CNA to put on her dress, socks, and shoes. The customer can actively participate by pushing her arms through the dress sleeves and pulling her dress down once over her head and arms. The customer needs similar hands-on assistance when undressing, and actively participates by sliding her shoes or slippers off and taking her dress off once the CNA lifts the dress over her hips.

Example 2:

The customer's spouse reports that her husband has advanced dementia and needs step by step direction and reminders to put on each article of clothing. She places all articles of clothing on the bed each morning. She tells the customer what article of clothing to put on next and provides some hands-on assistance if needed. The spouse said she must be specific; she holds the shirt with the left arm hole open, touches his left arm and says, "now put your arm through this hole." She offers the same step by step guidance for the other arm and to pull his head through the shirt hole. She gives step by step guidance for putting on his underwear, pants, socks, and shoes in the same order each time. The customer can undress himself before he goes to bed without verbal assistance. The spouse said she is not sure why he is still able to undress himself without the verbal assistance.

Explanation: The customer receives significant verbal assistance each time he dresses, as well as some hands-on assistance when he struggles. Without this assistance, he would not be able to dress himself.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

Example 1:

The customer reports that she picks out her clothes every morning and puts her bra and shirt on by herself. She puts on her underwear and pants by herself. She said that her daughter puts her socks on her every morning because if she bends down too far, she gets dizzy. She wears slip on shoes, which she puts on by herself. It takes her more than 30 minutes to dress due to shortness of breath. Every night the customer undresses herself, except for her socks, which are removed by her daughter. After undressing, she puts on a nightgown. Undressing also takes more than 30 minutes due to her shortness of breath.

Explanation: It takes the customer more than 30 minutes to dress herself each time; she receives limited hands-on assistance with her socks each time; and it takes more than 30 minutes for her to undress at night and put on her nightgown.

Example 2:

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The customer's husband reports that his wife only wears dresses. She chooses what she is going to wear and takes it out of her closet every morning. She puts the dress on by herself. She chooses not to wear a bra or underwear. Her husband puts her socks and shoes on her every morning. She is unable bend over that far due to osteoarthritis in her hips. She takes off her dress and puts on a nightgown, while her husband removes her socks and shoes each night.

Explanation: The customer is receiving limited hands-on assistance from her husband. He is putting her socks and shoes on every morning and removing her socks and shoes every night.

Score of 0: Independent

The customer lives by herself. She says she has dizzy spells about 5 days each week due to vertigo. It takes her about 15 to 20 minutes to get dressed on those days because she must do it slower, but she does it on her own. On the two days she does not have dizziness, she says she dresses and undresses in about 5 to 10 minutes. Approximately, two times a month the customer will call her daughter because she needs help taking off her pants because she is too dizzy to do so.

Explanation: The customer dresses and undresses herself in less than 30 minutes, most of the time.

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## Grooming

#### Overview

The score for Grooming is based on how well the customer is able to manage grooming tasks, including: combing or brushing hair, shaving, and oral care. If the customer uses an assistive device, the score is based on how well the customer manages the grooming task with the use of the device.

Grooming does not include:

- Nail care
- Cosmetic grooming such as styling hair, skin care and applying make-up
- Shaving that is routinely done by a barber or beautician due to personal preference rather than necessity

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Grooming Components | Tips to gather the correct information |
|---|---|
| How does the customer groom? | Use open-ended questions or inquiry statements<br>• Ask what happens for each part of grooming. Here are some suggestions:<br>◦ How does the customer's hair get combed or brushed?<br>◦ Tell me about the customer's oral hygiene routine.<br>◦ What steps are taken to complete shaving needs?<br>• Make sure you get all the information that is needed for each task. |

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|---|---|
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance each person provides; and<br>• How the customer participates in the grooming task. |
| How often does it happen? | For each grooming task, ask how often it is done AND how often assistance from others is provided. |
| What is the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

#### Scoring

Follow the steps below to determine the Grooming score. Score is based on all grooming tasks that the customer requires. If the customer does not need the task done at all, do not consider it in scoring. Refer to the Example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Does the customer completely rely on another person for all grooming tasks?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |

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|---|---|
| 2 | Does the customer need hands-on physical assistance with all grooming tasks most of the time, but can participate physically?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |
| 3 | Does the customer need set-up, supervision, reminding, limited hands-on assistance, or occasional hands-on assistance most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4.<br>NOTE Give the customer a score of 1 even when set-up, supervision, limited hands-on assistance, and occasional hands-on assistance occur in combination. |
| 4 | Is the customer able to complete the activity independently, with or without assistive devices most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1 |

**Definitions**

| Term | Definitions |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to assist a person to perform a particular task. Examples: universal ADL cuffs; adapted holders and long handles for toothbrushes, razors, and hairbrushes; electric razor; tube dispenser for toothpaste |
| Grooming | The process of tending to one's appearance. |
| Oral Care | Cleaning the mouth and teeth, including dentures, of food debris and dental plaque. For |

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| | |
|---|---|
| | people without teeth or dentures, oral care includes cleaning the mouth and gums. |
| Set-up | Scoring for set-up involves more than simply making grooming items available. Examples of set-up include: putting toothpaste on a toothbrush and cleaning up after each use, adding a new razor blade to a razor and cleaning up after each use, setting up adaptive holders and long handles for toothbrushes, razors, hair brushes. |
| Shaving | To remove hair from the face, legs, or underarms by cutting it close to the skin with a razor. |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

Example 1:

The CNA reports that the customer is bedfast and is unable to participate in grooming tasks because he is in a coma. A soft toothbrush is used daily to clean the customer's teeth. The CNA explained that the customer is positioned with his head turned to the side to prevent aspiration during oral care. The CNA also reported that the staff will comb the customer's hair two to three times per week and shave his face weekly.

Example 2:

Both of the customer's arms were broken in a car accident and are in casts. Every day, her daughter brushes her mother's hair, then brushes her teeth. The customer can rinse and spit out toothpaste into a cup that her daughter holds close to her mouth. There are no shaving needs currently.

Score of 2: Hands-On Assistance

Example 1:

The spouse reports that the customer removes her dentures before she goes to bed every night. He sets up the denture cup with cleaning tablets and puts the dentures in the cup. Each morning, when she wakes up, he places her dentures in her mouth. She suffers from dementia and does not remember how to place her dentures in her mouth. Spouse reports that his wife attempts to comb

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her hair, but she is only able to comb the front of her hair. He combs the sides and back of her hair each time. He does this every day. She has limited range of motion due to severe arthritis and is not able to reach the sides and back of her hair. The customer has no shaving needs.

Example 2:

The customer has dialysis five days a week. The customer's spouse reports that on the days the customer has dialysis she is too weak to complete her grooming tasks. On those days he brushes her teeth and combs her hair. On the weekends the customer can set up her own supplies, brush her teeth and comb her hair without assistance. Shaving occurs approximately twice a month. The spouse reports that he shaves her legs and underarms because she has a tremor and will easily cut herself.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

Example 1:

The customer's wife reports that the customer was recently diagnosed with multiple sclerosis. He has tremors in his hands which makes it difficult for him to complete his grooming tasks. His toothbrush and hairbrush both have adaptive holders, which do help him keep his hands steady. The wife said that the customer is still able to brush his hair, which is kept short for convenience. Although the toothbrush holder helps and he can brush his front teeth, he is not able to brush the back and bottom teeth, so she brushes them for him. These tasks are completed every morning. He is at risk of cutting himself when shaving because of the tremors, so his wife lathers his face with shaving cream and shaves his face and neck once a week.

Example 2:

The customer said that he is bedbound due to a recent car accident which left him paralyzed from the waist down. He said an aide brings a basin of water, soap and washcloth, toothbrush, toothpaste, and an electric razor and sets it on a tray in front of him in his hospital bed. The customer puts toothpaste on the toothbrush and brushes his teeth. He also shaves his face and neck. He does not use shaving cream, just the razor. He finishes his daily grooming by washing his face with the washcloth and basin of water. The CNA then removes the grooming supplies and cleans the tray on his hospital bed. No hair care is necessary, he is bald.

Score of 0: Independent

The customer lives by herself and reports that all her grooming supplies are readily available on her bathroom counter. She said that she has limited grip in her hands due to severe arthritis. She has an assistive device, a universal ADL holder, which she straps around her hand to secure her toothbrush and brush into place. She can brush her teeth, which she does daily. She combs her own hair daily. She said without this device she would not be able to complete her grooming tasks. She said that she does not shave her underarms or legs because she prefers not to.

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## Eating

#### Overview

The score for Eating is based on the customer's ability to eat and drink, with or without adaptive utensils. It also includes the customer's ability to cut, chew and swallow food.

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Eating Components | Tips to gather the correct information |
|---|---|
| How does the customer eat? | Use open-ended questions<br>• Ask what happens during the eating process. Here are some suggestions:<br>◦ What is the customer's method of eating? For example, is it by mouth, feeding tube, or another method?<br>◦ How is food set-up for the customer? For example, does the customer need help cutting food or opening containers?<br>◦ Describe the customer's eating routine from the time the food is plated until the completion of the meal. |
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance does each person provide; and<br>• How does the customer participate? |

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| How often does it happen? | Ask how many meals the customer eats each day AND how often assistance is provided for each meal. |
| What is the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• What difficulties does the customer have while eating, if any?<br>• Please tell me more about how much help the customer needs during each meal.<br>• Tell me about any limitations that prevent the customer from being able to cut their food and open containers.<br>• You said that you have trouble swallowing your food. Please tell me more about the trouble you have. |

#### Scoring

Follow the steps below to determine the score for Eating. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Is the customer totally fed by another person, including being fed by another person through a stomach tube or vein access?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need assistance with the following most of the time?<br>• Eating on their own, but needs stand-by assistance for frequent gagging, choking, difficulty swallowing, or aspiration; OR<br>• Need assistance being fed some food by mouth by another person |

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| | ◦ If YES to either question, STOP. Give the customer a score of 2.<br>◦ If No to both questions, continue to step 3. |
| 3 | Does the customer need assistance with the following most of the time?<br>• Feed, chew, and swallow foods on their own, but need reminding to maintain adequate intake; OR<br>• Need set-up (includes mechanically altered diet)<br>◦ If YES to either question, STOP. Give the customer a score of 1.<br>◦ If NO to both questions, continue to step 4. |
| 4 | Is the customer able to complete the activity independently, with or without assistive utensils, without safety issues most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1.<br>NOTE If a customer is fed through a feeding tube or vein, score a 0 if the person administers the feeding independently |

**Definitions**

| Term | Definitions |
|---|---|
| Assistive Utensils | Utensils that are designed, made, or adapted to help a person with eating. Examples: curved utensils, universal cuff utensil holder, bendable utensils, weighted utensils |
| Mechanically altered diet | Food prepared with the purpose of changing the consistency to make it easier for a person to eat by mouth. Examples: soft foods, pureed foods, ground meat, thickened liquids |

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| | |
|---|---|
| Parenteral Nutrition | A method of getting nutrition into the body through the veins |
| Serving Food | Bringing food to a person |
| Set-up | Actions taken before a meal to make it easier for a person to eat. Examples include: opening milk cartons, cutting food, clockwise arrangement for the visually impaired, cutting or pureeing of food.<br><br>Set-up does NOT include: serving food, delivering a meal, preparing food (for example, cooking). |
| Stand-by Assistance | The presence of another person within arm's reach required to prevent injury during the performance |
| Tube Feeding | Nutrition administered through a tube. Examples include nasogastric (NG) tube, gastrostomy (g-tube) or jejunostomy (j-tube). |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

Example 1:

The customer's hospice nurse reports that the customer is fed by a caretaker for each meal due to weakness from advanced cancer. The customer eats three small meals a day. The caregiver cuts all food into small pieces; sets the meal in front of the customer; and uses a spoon to bring each bite of food to the customer's mouth. The customer is only able to open her mouth, chew and swallow the food.

Example 2:

The customer receives all nutrition and hydration through a feeding tube. The customer is unable to feed himself due to his diagnosis of Amyotrophic Lateral Sclerosis (ALS). The feeding tube is needed because the customer cannot safely take nutrition by mouth without choking or aspiration. The customer is unable to feed himself using the feeding tube due to hand weakness and

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clumsiness. The caregiver feeds the customer through the feeding tube five times a day, then cleans the customer's skin around the tube after each meal.

Score of 2: Hands-On Assistance

Example 1:

The customer's caregiver reports that the customer needs help eating every day. The caregiver cuts up food into bite-size pieces. During each meal, the customer uses thick-handled silverware to feed herself for about five to ten minutes, and then asks the caregiver to feed her due to tremors in the arms and hands from stage three Parkinson's disease. The caregiver holds a cup with thickened liquids up to the customer's mouth and the customer drinks from a straw every time due to swallowing difficulty caused by Parkinson's disease.

Example 2:

The customer's spouse reports that the customer recently had a stroke, which resulted in severe difficulty swallowing. The spouse cuts the customer's food into small pieces and sets the plate in front of the him for each meal. The customer feeds himself and drinks from a cup. Because the customer is at high risk for choking, the spouse sits next to him for each meal. She is trained in emergency first aid and has had to perform the Heimlich maneuver four times in the past three months.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

Example 1:

The caregiver reports that the customer needs assistance with setting up each meal due to rheumatoid arthritis. The caregiver plates the food, opens a carton of milk and places both on a tray with a cup before bringing it to the customer. Once the tray is in front of the customer, the caregiver needs to pour the milk into the cup and cut the customer's food into small pieces. After this is done the customer can eat without further assistance.

Example 2:

The customer lives by himself and said that he does not have anybody to help him manage his activities of daily living. He has been diagnosed with COPD and gets short of breath very easily. He also has diabetic neuropathy in his hands and feet. It is very difficult for him to get from his reclining chair to the kitchen, so he is only eating one meal a day. He said that he can only eat foods that do not need to be cut because he is unable to cut food due to the neuropathy in his hands. He has lost 15 pounds in the past month. While the customer is not getting help with eating, the score is based on need to maintain adequate food intake and help with cutting food.

Score of 0: Independent

Example 1:

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The customer reports that he lives alone and receives Meals on Wheels during the week, but not on weekends. During the week, every time a meal is delivered the Meals on Wheels volunteer sets the food on a tray in front of the recliner where the customer sits. The customer opens containers and cuts food without issue. As soon as the volunteer leaves, he feeds himself. On Friday extra meals are delivered to last for the next two days. On Saturday and Sunday, the customer heats a meal in the microwave when he is hungry and eats three times a day. He gets himself a drink each time he is thirsty and drinks from a cup without any issues.

Example 2:

The customer's spouse brings all of the customer's meals on a tray. For breakfast, lunch, and dinner he plates the food, pours a glass of ice water, and places them on the tray before bringing it to the customer. The customer sits in a recliner chair for all meals due to severe back pain. Once given the tray, the customer cuts her food and eats and drinks independently. The customer opens containers without any issues.

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# Toileting

## Overview

The score for Toileting is based on the customer's ability to empty their bowel and bladder in the appropriate places. It includes all of the following:

- Using a toilet, bedpan, or urinal;
- Transferring on and off the toilet;
- Wiping;
- Washing hands;
- Changing protective garments;
- Managing a colostomy bag or catheter;
- Adjusting clothing; and
- Flushing the toilet.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Toileting Components | Tips to gather the correct information |
|---|---|
| How does the customer empty their bowel and bladder? | Use open-ended questions:<br>• Ask what happens during the toileting process. Here are some suggestions:<br>• How does the customer get on and off the toilet?<br>• How does the customer adjust their clothing to use the toilet? |

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|---|---|
| | • Please describe any assistance provided with set-up. For example, lifting the toilet lid, turning on water to wash hands, or emptying a bedpan.<br>• Please describe any assistive devices the customer uses; such as grab bars or a high-rise toilet seat. Also, how often are those devices used?<br>• How does the customer clean himself or herself? |
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance does each person provide;<br>• How does the customer participate; and<br>• How often is assistance provided for toileting? |
| What's the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• What limits you from completing the task independently?<br>• Tell me more about the limitations that prevent the customer from being able to use the toilet on his own. |

**Scoring**

Follow the steps below to determine the toileting score. Refer to the example section for more information on how each score may be applied.

NOTE Toileting should be scored based on the customer's ability to complete a task independently. When a customer is able to complete a task, but refuses, score on the ability.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer completely rely on others for the entire toileting process?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE When a customer relies on somebody for one step of the task but not another, continue to step 2. For example, a customer relies on somebody completely to care for a catheter, but they are able to use the toilet for a bowel movement. |
| 2 | Does the customer need hands-on physical assistance with most of the toileting components or stand-by assistance for safety most of the time?<br>OR<br>Is the customer at risk due to the inability to keep themselves clean? See Definitions table below.<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 3. |
| 3 | Does the customer need supervision, reminders, limited hands-on assistance or occasional hands-on assistance most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4.<br>NOTE Parts of the task include clothing adjustment, changing protective garments, washing hands, limited or occasional wiping, and emptying bedpan or urinal. |
| 4 | Does the customer safely complete the toileting task without assistance from another person with or without the use of assistive devices?<br>• All of the time;<br>• Most of the time; OR<br>• Needs supervision, limited hands-on assistance, or occasional hands-on assistance LESS than the majority of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Definitions**

| Term | Definitions |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to assist a person to perform a particular task. Examples: grab bars, raised toilet seat, self-wipe toilet aide, safety rails, bedside toilet |
| At risk due to inability to keep clean | The customer's health is at risk due to poor post-toileting perineal care. Some examples of the risks include frequent urinary tract infections (UTI), rashes or sores around the upper thighs, groin, or buttocks. |
| Catheter | A flexible tube inserted through a narrow opening into a body cavity, particularly for removing fluid from the bladder. Common types of catheters: Foley, Suprapubic, Straight or Intermittent, Nephrostomy tube |
| Ostomy | A surgical procedure that creates an opening, called a stoma, from an area inside the body to the outside. This procedure changes the way urine or stool exits the body. Common types of ostomies: Colostomy, Ileostomy, Jejunostomy, Nephrostomy |
| Set-up Activities | Ensuring assistive devices are in place; emptying bedpans, commode chairs, and urinals.<br><br>NOTE Set-up does not include cleaning the bathroom. |
| Stand-by Assistance | The presence of another person within arm's reach with the purpose of maintaining one's safety |
| Supervision | Observing the customer and being readily available to provide assistance, including verbal cues or reminders and set-up activities |

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**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

Score of 3: Total Dependence

Example 1:

The customer's mother reports that the customer has physical limitations due to paralysis. Each time the customer needs to use the restroom, a family member picks her up and puts her on the toilet. Then the family member cleans her, picks her up off the toilet, adjusts her clothes, and flushes the toilet. The customer is unable to participate at all.

Explanation: The customer is completely dependent on someone else for her toileting needs. The customer is not able to participate at all.

Example 2:

The customer's CNA reports that the customer is in a coma and has a Foley catheter and ostomy bag. The customer completely relies on his caregiver to change and clean both the Foley catheter and the ostomy bag.

Explanation: The customer completely relies on the caregiver for all toileting components all of the time.

Score of 2: Hands-On Assistance

Example 1:

The customer's brother reports that the customer gets assistance using the toilet each time due to a recent below the knee amputation on his right leg. The brother holds the customer's arm as he guides him down onto the toilet so he does not fall. The customer is able to clean himself adequately. The brother pulls the customer up to a standing position and steadies the customer so that he does not lose his balance. The customer needs help adjusting his clothing due to balance issues. Once he is in a standing position and steady, the customer flushes the toilet and washes his hands. The brother stays within arm's reach until the task is completed due to continued fall risk.

Explanation: The customer receives limited hands-on assistance each time for transferring on and off the toilet and adjusting clothing. Even though he is only receiving limited hands-on assistance, he needs standby assistance every time for safety. The standby assistance each time justifies a score of 2.

Example 2:

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The customer lives by herself. She is severely morbidly obese. She is able to transfer on and off the toilet on her own using secured grab bars. She only wears dresses and undergarments, so she is able to lift her dress and pull down her undergarments each time. She attempts to wipe herself after bowel and bladder elimination; however she is not able to reach to adequately clean herself from the front or back. She has had six UTIs in the past eight months, which has resulted in four hospital stays. She is able to adjust her clothing, flush the toilet, and wash her hands without issue.

Explanation: Although the customer is able to safely complete her toileting tasks on her own, she is not able to maintain adequate cleanliness. This has put her health at risk and justifies a score of 2.

Score of 1: Supervision, Limited Hands-On or Occasional Hands-On Assistance

The customer's brother reports that the customer is forgetful. The customer has a history of rashes and infections from not cleaning himself after a bowel movement. He has to be reminded to flush the toilet every day and clean himself after every bowel movement. Once reminded, the customer flushes the toilet and cleans himself adequately. The customer is able to transfer onto the toilet each time. The customer's brother pulls the customer up by the arm to come to a stand due to arthritic knees. He provides this assistance every time. The customer washes his hands after toileting.

Explanation: The customer needs supervision by getting verbal reminders to flush and clean himself. He receives limited hands-on assistance to transfer off the toilet each time.

Score of 0: Independent

Example 1:

The customer's brother reports that the customer toilets independently. The customer is able to transfer safely on and off of the toilet, wash his hands, and adjust his clothing. Due to the customer's delusion that his feces will turn into snakes if he flushes the toilet, he refuses to flush the toilet. So, his brother flushes the toilet when he refuses. The customer does flush the toilet after urinating.

Explanation: The customer is independent with the entire task all of the time. The customer is physically able to flush the toilet, but due to his delusion, refuses to.

Example 2:

The customer reports that she sits down on the toilet without any help. She uses grab bars to keep steady when she cleans herself. There are no concerns with her being able to keep herself clean. She is able to flush the toilet, wash her hands, and adjust her clothing every time. Her family is home just in case she calls for help. The customer has called for her daughter and asked for help getting up from the toilet five times in the last 30 days due to knee pain.

Explanation: The customer is independent with the entire task most of the time. She is offered limited hands-on assistance, but it is less than the majority of the time.

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# Continence

## Continence

#### Overview

Continence is scored based on the customer's level of control of the bowel and bladder during the last 30 days.

NOTE Continence does not include a customer's toileting ability. An individual who is totally incontinent could still be independent in toileting.

#### Things to Keep in Mind When Scoring Continence

- Include who reported the information and the frequency of incontinence in the comment sections.
- Brief periods of incontinence caused by an acute condition or temporary illness are not considered when scoring. For example, the customer has an acute urinary tract infection or episode of diarrhea causing incontinence.
- Incontinence that only happens during a seizure should not be considered.
- Incontinence does not include the customer willfully toileting in inappropriate places. These behaviors are assessed under disruptive behaviors.
- Incontinence involving minimal amounts is scored as continent. Minimal amounts, also referred to as dribbling, means an immediate change of clothing or protective undergarment is not needed.
- When the customer frequently loses control because they are unable to make it to the restroom in time they are considered incontinent.

#### Scoring

The scoring is divided into two sections, bowel continence and bladder continence.

1) Bowel Continence

Follow the steps below to determine the score for bowel continence

| Step | Action |
|---|---|

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|---|---|
| 1 | Does the customer have two or more incontinent episodes a week OR no voluntary control?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE Score customers who rely on dilatation or ostomies for evacuation as totally incontinent of bowel. |
| 2 | Does the customer have incontinent episodes once a week?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |
| 3 | Does the customer have incontinent episodes less than weekly?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer have complete voluntary control?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

2) Bladder Continence

Follow the steps below to determine the score for bladder continence

| Step | Action |
|---|---|
| 1 | Does the customer have incontinent episodes daily OR no voluntary control?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE Score customers who rely on catheters, intermittent catheterization, or ostomies as totally incontinent of bladder. |

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|---|---|
| 2 | Does the customer have incontinent episodes one or more times per week, but not daily?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |
| 3 | Does the customer have incontinent episodes less than weekly?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer have complete voluntary control, stress incontinence, or dribbling?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1.<br>NOTE Score those who receive dialysis and do not urinate as continent. |

**Definitions**

| Term | Definitions |
|---|---|
| Bladder Continence | The customer's ability to voluntarily control the discharge of body waste from the bladder. |
| Bowel Continence | The customer's ability to voluntarily control the discharge of body waste from the bowel. |
| Stress Incontinence | The customer's inability to prevent the escape of small amounts of bowel or bladder contents during activities such as coughing, sneezing, lifting, or laughing. |

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# Deterioration in Overall Function

## Deterioration in Overall Function

### Overview

This section is used to identify all significant, overall changes related to ADLs and continence in the customer's:

- Functional status;
- Skills; or
- Abilities.

Consider the customer's overall function in the last 90 days when scoring.

NOTE Include **specific details** of what has changed in the comment sections.

### Scoring

| Score | Description |
|---|---|
| 0 | No deterioration |
| 1 | Deteriorated |
| 2 | Unable to determine<br><br>NOTE This score should only be used when absolutely needed. For example, the customer is unable to answer or respond and the caregiver does not know this information; OR if there is no one available to provide this information. |

### Definitions

| Term | Definitions |
|---|---|

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|---|---|
| Deterioration | A new or increased loss of independence in ADLs or continence as compared to 90 days before the PAS. |

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# Communication (Sensory)

## Communication and Sensory Patterns

### Overview

This section is used to evaluate and score the customer's:

- Hearing;
- Communication abilities; and
- Vision.

NOTE Consider the customer’s communication and sensory ability for the last 30 days when scoring.

### Scoring

The scoring is made by reviewing available information from the caregiver, customer, medical records, and observation. Include the information when entering the comment. The comment should always include who gave the information.

**1. Hearing:** The customer’s ability to receive sounds and does not include the ability to understand the meaning of the sound. If an assistive device is used, such as hearing aids, then rate hearing based on the customer’s ability while using the device.

| Step | Action |
|---|---|
| 1 | Does the customer have highly impaired hearing, the absence of useful hearing, or is completely deaf?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE Give a customer who is unable to respond due to being in a coma a score of 3. |
| 2 | Is the customer only able to hear in special situations, and only able to follow loud conversations? For example, the speaker has to adjust voice pitch or volume, speak distinctly, and look directly at the customer when speaking. |

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|---|---|
| | • If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the customer have minimal difficulty when not in a quiet setting, but is able to understand conversations when in one-on-one situations?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer adequately able to hear conversations, the television, or when talking on the telephone?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1.<br>NOTE When the customer's ability can't be determined, give a score of 0. |

**2. Expressive Communication:** The customer's ability to express information and make themselves understood using any means. Expressive communication includes verbal communication, written communication, and sign language. The score in this area may be impacted by mental status or physical conditions.

| Step | Action |
|---|---|
| 1 | Is the customer rarely or never understood?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Is the customer sometimes understood, but their ability is limited to making concrete requests?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |

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|---|---|
| 3 | Is the customer usually understood, but they have difficulty finding words, finishing thoughts, or enunciating?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer usually understood without difficulty?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1.<br>NOTE When the customer's ability can't be determined, give a score of 0. |

**3. Vision:** The customer's ability to visually perceive visual stimuli. The customer will be scored based on their ability to see close objects and those at a distance in adequate lighting. If assistive devices are used, such as glasses or a magnifying glass, then rate vision based on the customer's ability while using the device.

NOTE A diagnosis of legal blindness does not reflect a specific level of impairment for PAS scoring. For example, a customer may be able to read large print and be legally blind.

| Step | Action |
|---|---|
| 1 | Does the customer have severe impairment, in which they have no vision or are only able to see light, colors, or shapes?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer have highly impaired vision and is unable to see large print?<br>OR<br>Is the field of vision severely limited? For example: the customer has tunnel vision or central vision loss.<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If No to both questions, continue to step 3. |

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| 3 | Does the customer have impaired vision making it difficult to focus at reading range?<br>OR<br>Can the customer see large print and obstacles, but not details, or has monocular vision?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 4. |
| 4 | Is the customer able to see adequately? For example: read the news, watch TV, read the labels on medication bottles.<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1.<br>NOTE When the customer's ability can't be determined, give a score of 0. |

**Definitions**

| Term | Definitions |
|---|---|
| Central Vision | The field of vision that allows a person to see shapes, colors, and details clearly and sharply.<br>A person who loses central vision often feels like they are missing fine details or seeing blurred spots in the center part of their field of vision. |
| Field of Vision | The entire area that a person is able to see when their eyes are fixed in one position. |
| Monocular Vision | A condition in which one eye is blind, or one eye is unable to register images in coordination with the other eye. |

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|---|---|
| Tunnel Vision | Loss of peripheral vision but still having central vision, resulting in a constricted, circular field of vision. |

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## Orientation

#### Overview

The score for orientation is based on the customer's awareness of their environment in relation to:

- Person – First name, last name, and caregiver's name;
- Place – Immediate environment, place of residence, city, and state; and
- Time – Day, month, year, and time of day.

NOTE Forgetfulness and confusion do not always point to disorientation. The customer's ability to re-orient, and the frequency and level of the forgetfulness and confusion need to be assessed to determine level of orientation.

#### Things to Keep in Mind When Scoring Orientation

- Consider the customer's orientation for the last 90 days, placing the most emphasis on recent mental status as well as the ability to reorient.
- A customer who is aware of his or her forgetfulness and reorients on their own is considered to be oriented. For example, they ask questions, look at a clock, or look at a calendar.
- Temporary disorientation due to an acute condition is not considered in scoring. Examples of acute conditions are an electrolyte imbalance or intoxication.
- Take into consideration people from cultures or environments where time and place are traditionally measured in general terms.
- A customer who has difficulty speaking may need to be assessed using other means such as:
    - Multiple choice questions;
    - The customer writing their answers; or
    - Using some other way to communicate.
- A customer in a coma should be scored as totally disoriented to person, place, and time.

#### During the PAS Interview

- Interview the customer and caregivers. Make a note of any discrepancies. If there is no caregiver present at the assessment, make every effort to contact a family member or someone familiar with the customer to complete this part of the assessment.

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- When there is no caregiver, review the medical records to see if the customer is oriented at the physician appointments. When necessary, call the physician's office and speak to the staff to confirm orientation.
- Select "No Caregiver" if unable to locate or contact anybody aware of the level of orientation for the customer, including medical providers. Explain the attempts made and why they are unable to locate or contact a caregiver in comments.
- Comments need to clearly explain whether scoring is for "Knows" or "Unable to assess".
    - For "Knows", use the exact quote from the customer. For example: "Mary".
    - "Unable to assess" should be used very rarely. For example, a person with a serious mental illness, who is delusional, may respond to his or her name but not state it when asked. Or a person who seems to be refusing to answer the questions. Explain why "Unable to assess" was selected in the comments.
- All scores must have a comment that includes the customer's response to the questions. If the customer answered incorrectly, include the correct answer in brackets [ ]. For example: "Mary" [Gertrude].

#### Scoring

The scoring for orientation has three sections:

- Person/Caregiver;
- Place; and
- Time

### 1. Person/Caregiver

- Determine if the customer knows their first name, last name, and their caregiver's name. When the customer can identify a person based on their relationship, such as daughter or nurse, but does not know that person's name, they should be scored as oriented.
- Ask the caregiver for their judgment of the customer's orientation to first name, last name, and caregiver's name. Document whether the caregiver thinks the customer always knows, usually knows, or seldom/never knows.

### 2. Place

- Determine whether the customer knows their immediate environment, place of residence, city, and state.
    - Examples of immediate environment are: the kitchen, their room, the common area.

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    - The customer does not have to know the address of the location or the specific facility type to be considered oriented to place of residence. For example, the customer responds, "my son's house" or “a hospital” when in a nursing home.

- Ask the caregiver for their judgment of the customer’s orientation to immediate environment, place of residence, city, and state. Document whether the caregiver thinks the customer always knows, usually knows, or seldom/never knows.

**3. Time**

- Determine whether the customer knows the day, month, year, and time of day.
    - Consideration should be given to people in cultures or environments where time passing is traditionally measured in general rather than specific terms. For example: "winter", "morning", "middle of the week".
    - If the customer does not know the day, month, year, or time of day, ask follow-up questions to determine orientation. When you follow up, follow up completely by having the customer demonstrate their ability to determine Time. For example:

        You ask, “What day is it?”

        The customer relies, “Heck if I know, I’m retired.”

        You ask, “How would you find out what day it is if you wanted to?”

        The customer replies, “I’d look at my phone.”

        You say, “Great, would you please look at your phone and tell me what day it is?”

- Ask the caregiver for their judgment of the customer’s orientation to the day, month, year, and time of day. Document whether the caregiver thinks the customer always knows, usually knows, or seldom/never knows.

**Definitions**

| Term | Definitions |
|---|---|
| Disorientation | The loss of one’s bearings; a state of mental confusion or impaired awareness of time, place, or identity. |

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| | |
|---|---|
| Orientation | Awareness of one's environment related to place, time, and people. |
| Reorient | The ability to self-correct with or without prompts from a caregiver, for the purpose of orientation |

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# Communication and Sensory Overview

#### Overview

The customer's awareness of their environment, including people, place and time, and ability to communicate, hear, or see can impact their need for long-term care services and risk of institutionalization.

#### Things to Keep in Mind When Scoring Communication and Sensory Patterns

You may need to adjust how you interview when a customer has difficulty seeing, hearing, speaking, or a combination of these. Here are just few examples:

- Ask multiple choice questions, where the customer can answer by nodding or holding up a certain number of fingers;
- Show the customer the written question;
- Have the customer write their answers; or
- Use some other way to communicate.

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# Behaviors

## Behaviors

#### Overview

This section of the assessment measures the frequency and extent of behaviors that require caregiving from others or interfere with the customer's self-care. Caregiving can include supervision, intervention or both.

Behaviors measured include:

- Wandering
- Self-injurious
- Aggression
- Resistiveness
- Disruptive Behavior

#### Things to Keep in Mind When Scoring Behaviors:

- Behaviors should be assessed based on the last 90 days, except as indicated in self-injurious behaviors and aggression.
- It may be difficult for the customer to discuss behaviors. Assessors need to be sensitive to this and involve caregivers and family members separately for collateral information.
- There are two scores for each behavior; the frequency of the behavior and the intensity of the intervention.
- For intervention, score based on the most common method. For example, if verbal redirection is used once or twice a week, but a chemical restraint is given daily, a score of 3 should be indicated for intensity of intervention.
- When they warrant a score, the details of the behavior and intervention MUST be entered in the comment sections. If the reported behaviors do not warrant a score for frequency and intervention add "see summary" to the comment sections, and the details must be put in the summary.
- It is possible for the frequency of the behavior to be scored a 0 and the intensity of the intervention scored a 3. For example, frequency is scored a 0 due to a history of the behavior; intervention is scored a 3 because a chemical restraint is being used to stop the behavior. In this case, a comment should be included for both the frequency and the intervention.

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NOTE When the behavior is not occurring, and has not occurred in the past six months, intervention should be scored a 0.

**Definitions**

| Term | Definition |
|---|---|
| Chemical Restraints | Prescribed medication used to stop or reduce specific, overt behaviors likely to cause physical harm to self or others |
| Frequency of Behavior | The number of times the behavior occurs within the indicated timeframe. |
| Intervention for Behavior | Treatment to control the behavior. Intervention may be formal or informal, and includes actions taken by the customer's caregivers to control the behavior.<br><br>Some examples include, but are not limited to:<br><br>• Verbally redirecting<br><br>• Physically stopping the behavior<br><br>• Interventions outlined in a Behavior Treatment or Modification Plan<br><br>• Chemical restraints |
| Medical Attention | Examination and treatment by a medical professional or Primary Care Provider (PCP) resulting from inappropriate behavior.<br><br>Some examples of medical attention include, but are not limited to:<br><br>• Treatment received by an emergency medical technician (EMT)<br><br>• Treatment or examination by a psychiatric hospital provider |

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| | • Examination or treatment received at a medical hospital |
| Physical Intervention | Immediate hands-on interaction by the caregiver to stop an inappropriate behavior |
| Physical Restraints | Physical devices to stop or reduce movement to protect a customer from injury |
| Verbally redirected with ease | The customer stops the inappropriate behavior quickly after hearing a verbal prompt |
| Verbally redirected with difficulty | The customer eventually complies with verbal redirection, but it takes the caregiver a great deal of time and effort to stop the inappropriate behavior |

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# Wandering

## Overview

Wandering is the behavior of moving about without rational purpose as a result of disorientation or memory problems that puts the safety of the customer or others at risk. The customer tends to wander beyond the borders of his or her environment or to areas within the environment that pose a safety risk.

NOTE For example, a customer who is not aware of the dangers of knives and hot stoves wanders out of the recreation room and into the kitchen where knives are on the table, or a hot stove is within reach.

Wandering indicates that the customer does not easily reorient to location.

The following are not considered wandering:

- Getting lost in an unfamiliar place
- Leaving without permission or running away
- Voluntarily leaving against medical advice
- Pacing

## During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Include the information when entering the comment and always include who gave the information.

| Wandering Component | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the definition of wandering | Is the behavior rational or irrational | Ask follow-up questions to help determine if the customer's behavior is rational.<br><br>For example, the customer opens the door leading to a busy street because he wants to walk to the bus stop and pick up his kids after school at 3:00 pm. |

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| | | Ask, “Are his children currently attending school?” |
| | Are there safety concerns or risks involved | Ask questions such as:<br>• What safety concerns, if any, are there for the customer or other people when this happens?<br>• How does the customer put himself at risk by doing this?<br>• What are the risks involved?<br>• Has he gotten hurt before due to this behavior?<br>• How does this risk his safety or the safety of others?<br>• Has there been police involvement due to this behavior? |
| | Is the customer going beyond the physical borders of their environment | Ask questions such as:<br>• Does the customer ever succeed in leaving the house?<br>• What does he do to leave?<br>• Where does he wander to?<br>• How far has he gotten when he attempts to leave the house? |
| | Does the customer have orientation or memory problems | • Review the orientation questions in the Functional Scores battery for information about the customer’s level of orientation and the caregiver’s judgment.<br>• Review medical records. |
| Determine the intensity of the intervention | The information received about all wandering interventions should be documented | Ask questions such as:<br>• What do you do in response to this behavior? |

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| | thoroughly in the comment section | • How often do you respond that way?<br>• How well does this response work?<br>• What happens if you do not respond this way?<br>• What happens if the action you took does not stop the behavior? |
| Determine the frequency of the behavior | Determine the frequency of the behavior for the past 90 days | Ask questions such as:<br>• How often does the behavior occur?<br>• Do you know when the customer will wander?<br>• What tells you that it will happen? |
| Determine if there is a history of wandering | If the customer has wandered in the past but not in the last 90 days, what changed? | Ask questions such as:<br>• Does the customer have a history of wandering?<br>• How often did it occur?<br>• What happened to make it stop?<br>NOTE Make sure that the prior behavior fits the definition of wandering. |

#### Scoring

When scoring Wandering, follow the steps in the two sections below to determine:

- The frequency of wandering behavior that creates a threat to the safety of the customer or others, and
- The intensity of intervention for the wandering behavior.

Refer to the example section for more information on how each score may be applied.

Frequency

Frequency describes or measures how often the wandering behavior puts the customer's or others' safety at risk.

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NOTE When no intervention is needed because the wandering behavior does not pose a safety risk, the score for frequency is 0, no matter how often the behavior happens.

| Step | Scoring |
|---|---|
| 1 | Does the behavior occur at least daily, posing a threat to the safety of self or others?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the behavior occur at least weekly but less than daily; posing a threat to the safety of self or others?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |
| 3 | Does the behavior occur less than weekly, but poses a threat to the safety of self or others?<br>OR<br>Does the behavior happen weekly or more often, but only poses a safety threat less than weekly?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 4. |
| 4 | Does the customer have a history of wandering behavior that is not a current problem, including if chemically controlled?<br>OR<br>Has wandering behavior not been observed?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above. Go back to step 1. |

Intensity of Intervention

Intensity of intervention measures the level of effort and physical involvement used to stop or prevent the wandering behavior.

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**NOTE** If more than one intervention is used, score based on the one that is used most often.

| Step | Action |
|---|---|
| 1 | Does the customer require physical intervention or restraints, including chemical restraints?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE If a chemical restraint is used, confirm that it is prescribed specifically for this behavior. |
| 2 | Can the customer be verbally redirected with difficulty?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Can the customer be easily redirected?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer's wandering not require intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definition |
|---|---|
| Chemical Restraints | A medication prescribed specifically to stop or reduce the wandering behavior |
| Pacing | Walking back and forth within an area due to restlessness, lack of exercise, stress, or anxiety, |

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| | which does not pose a safety risk to self or others. |
| Physical Intervention | A physical device or barrier that prevents the customer from going beyond the physical borders of his environment to prevent the wandering behavior. For example, placement in a locked memory unit to prevent the wandering behavior.<br><br>OR<br><br>Hands-on assistance to stop the wandering behavior from occurring. For example, stepping in front of the person or leading them by the hand. |
| Verbal Redirection with difficulty | Spoken direction or requests, or verbal redirection of the customer's focus that takes a great deal of time and effort but eventually succeeds. |
| Verbal Redirection with ease | Spoken direction or requests, or verbal redirection of the customer's focus that the customer responds to quickly and easily. |

#### Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

| **Frequency** | **Intervention** |
|---|---|
| **Score of 3**<br><br>The caregiver, the customer's daughter, reports the customer wanders through the house at night. The customer goes into other family members' rooms every night collecting items and stacking them on the floor in the hallway to take on her "trip". The caregiver confirms that there is no trip scheduled. | **Score of 3**<br><br>Every night the caregiver turns on the hallway light so that she can see the random piles. She then takes her mother's arm and leads her back to her bedroom, puts her in bed, sings a lullaby until she falls back to sleep, and then closes the bedroom door. |

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| | After the customer is asleep, the caregiver picks up the items and puts them away. |
| The customer and other family members have tripped over the piled items at night. The injuries were mostly minor, except for the customer fracturing her wrist. | **Score of 2**<br><br>Every night the caregiver wakes up when she hears the customer stacking items on the floor. When she asks the customer to go back to bed, the customer starts crying and says, “but I have a trip.”<br><br>The caregiver tells the customer that the flight is not until morning. The customer resists several more times, saying she needs to leave on her trip “now”. She eventually tires and returns to her bed on her own. |
| | **Score of 1**<br><br>Every night the customer’s daughter wakes up when she hears the customer stacking items on the floor. She quietly tells the customer that her flight is not until the morning. The customer, says, “Oh I must be confused’, then goes back to bed without further prompting. |
| | **Score of 0**<br><br>Not applicable. A safety risk exists, and intervention is needed. |
| **Score of 2**<br><br>The customer’s wife explains that the customer has moderate dementia. He walks down the street in the evening about three times each week after his daughter visits for dinner. The customer’s wife said that when she is cleaning up after dinner, he leaves his house to “go home.” He gets lost and walks into the street. The wife is afraid he won’t make it home due to his confusion. | **Score of 3**<br><br>When the customer tires or gets lost walking, he asks his neighbors where his house is, even when he is right in front of it. The neighbors are aware of his condition and take him by the arm each time to take him back to his house. |
| | **Score of 2**<br><br>The customer’s wife says she follows him and asks him to come home. He keeps walking and walks faster when she calls his name. She runs to catch up and tells him, “it’s time to turn around and go home.” He avoids her and continues |

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| | walking. Once he tires, he walks with her back to the house. |
| | **Score of 1**<br><br>The customer's wife says she follows him and asks him to come home. She will tell him that it is time for his favorite TV show. He smiles and walks back home with her. |
| | **Score of 0**<br><br>Not applicable. A safety risk exists, and intervention is needed. |
| **Score of 1**<br><br>The customer lives in a skilled nursing facility. The CNA reports that the customer wanders in and out of other residents' rooms several times a week. He goes through drawers and closets "looking for buried treasures". The CNA said that the customer's behavior does not usually pose a safety risk. However, twice in the past month this has resulted in arguments with another resident that became physical. | **Score of 3**<br><br>When this behavior occurs, a staff member quietly tells the customer that it is time to go back to his room. The customer appears confused, so each time the caregiver holds the customer by his arm and walks him slowly back to his room. |
| | **Score of 2**<br><br>When this behavior occurs, a staff member quietly tells the customer that it is time to go back to his room. The customer raises his voice, each time, and says he will not go back to his room until he finds the buried treasure. After repeated attempts to reason with him, he finally says, "Fine. I will just come back another time to find the treasure." |
| | **Score of 1**<br><br>When this behavior occurs, a staff member will ask the customer if he is ready to watch his favorite movie, "Cool Hand Luke". The customer smiles and starts walking to his room. The customer's favorite movie is always set up on a DVD player in his room. |

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<table>
<tr><td></td><td>Score of 0<br><br>Not applicable. A safety risk exists, and intervention is needed.</td></tr>
<tr><td rowspan="4">Score of 0<br><br>The daughter says the customer used to wander the house every night, collecting items from other rooms and stacking them on the hallway floor to get ready to “go visit her daughter.” The customer only has one daughter and lives with her. The daughter was concerned that someone would trip and fall over the piles. This behavior has not occurred in over 4 months.</td><td>Score of 3<br><br>The customer’s daughter said that ever since her mother was prescribed Risperidone, which the customer takes every evening, not only has the wandering behavior stopped but she also sleeps through the night.</td></tr>
<tr><td>Score of 2<br><br>Does not apply to a frequency score of 0.</td></tr>
<tr><td>Score of 1<br><br>Does not apply to a frequency score of 0.</td></tr>
<tr><td>Score of 0<br><br>This information would go in the summary.</td></tr>
</table>

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# Self-Injurious Behavior

#### Overview

Self-Injurious Behavior (SIB) is an action that occurs on multiple occasions and causes physical injury to a person's own body.

Some examples of SIB are:

- head banging,
- punching or hitting oneself,
- hand/arm biting,
- picking at skin or sores,
- compulsive water drinking,
- eating nonfood items, and
- excessive skin rubbing or scratching.

The following are not included in the score:

- Suicide attempts
- Accidents, such as tripping and falling
- Risky lifestyle choices, like not following medical advice, smoking, drug, and alcohol abuse.

#### During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Put this information in the comments, and always include who gave the information.

| Self-Injurious Behavior Components | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the description of self- | Is the behavior deliberate or irrational | Ask follow-up questions to determine if the customer's behavior is deliberate or irrational. |

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| injurious behavior in the overview | | For example:<br>• The customer punches a wall over and over because he is frustrated is a deliberate action.<br>• The customer cuts her wrist with a needle, leaving railroad track scars, because the “voices” are telling her she is “bad” is an irrational act.<br>Ask questions such as:<br>• What triggers you to hurt yourself?<br>• When you ask the customer what triggers them to hurt themself, what does the customer say? |
| | Does the repeated behavior cause physical harm to the body? | Ask questions such as:<br>• Describe what the customer does that causes harm to their body.<br>• How often does the customer do this?<br>• How is this causing immediate physical harm to their body? |
| Determine the intensity of the intervention | Consider how often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this behavior?<br>• How often do you respond that way?<br>• How well does this intervention work?<br>• What happens when you don’t respond this way?<br>• What happens when the action taken does not stop the behavior? |
| Determine the frequency of the behavior | Consider the past 90 days. Consider the last year when the behavior resulted in a serious injury requiring | Ask questions such as:<br>• How often does this behavior happen?<br>• How seriously was the customer hurt? |

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| | immediate medical attention. | • Has the customer needed medical attention due to this behavior? Tell me more about that.<br>• When was the last time this behavior happened? |

#### Scoring

When scoring Self-injurious Behavior, follow the steps in the two sections below to determine:

- The frequency of behavior that causes physical harm to the customer's body, and
- The intensity of intervention for the behavior.

Refer to the example section for more information on how each score may be applied.

Frequency

Frequency describes or measures how often the self-injurious behavior happens.

| Step | Scoring |
|---|---|
| 1 | Does the behavior occur at least once a day, posing a threat to health and safety?<br>OR<br>Has the action occurred on multiple occasions and caused a serious injury that needed immediate medical attention in the last year?<br>• If YES to either question, STOP. Give the customer a score of 3.<br>• If NO to both questions, continue to step 2. |
| 2 | Does the behavior occur at least weekly but less than daily and pose a threat to health or safety?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |

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| 3 | Does the behavior occur less than weekly, but poses a threat to the customer's health?<br><br>OR<br><br>Does the behavior happen weekly or more often, but only poses a health threat less than weekly?<br><br>• If YES to either question, STOP. Give the customer a score of 1.<br><br>• If NO to both questions, continue to step 4. |
| 4 | Does the customer have a history of self-injurious behavior that is not a current problem (including if chemically controlled)?<br><br>OR<br><br>Has the self-injurious behavior never been observed?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Intensity of Intervention

Intensity of intervention measures the level of effort and physical involvement used to stop or prevent the self-injurious behavior.

NOTE If more than one intervention is used, score based on the one that is used most often.

| Step | Scoring |
|---|---|
| 1 | Does the customer require physical intervention, physical restraints, or chemical restraints?<br><br>• If YES, STOP. Give the customer a score of 3.<br><br>• If NO, continue to step 2.<br><br>NOTE If a chemical restraint is used, confirm that it is prescribed specifically for this behavior |
| 2 | Can the customer be verbally redirected with difficulty?<br><br>• If YES, STOP. Give the customer a score of 2.<br><br>• If NO, continue to step 3. |

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| 3 | Is the customer easy to verbally redirect?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer's behavior not need intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definition |
|---|---|
| Chemical restraints | A medication prescribed specifically to stop or reduce the self-injurious behavior. |
| Physical injury | Any damage to a person's body which can range from minor to life threatening. Examples include: cuts, scratches, bruises, bite marks, burn marks, blindness, and broken bones. |
| Physical restraints | Physical devices that restrict movement to protect a customer from injury. |

**Examples**

**Example 1:**

Frequency: Score of 3

The customer is diagnosed with Asperger's and is not DD eligible. His mother reports that when he gets overstimulated, he bangs his head against the wall or floor at least once a day. She said that this behavior has caused bruising, and cuts on forehead.

Intervention: Score of 1

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The mother said when she sees this behavior, her first reaction is to ask the customer to stop, but he usually doesn't. She then asks him, "Do you want to rock now, or would you rather swing?" The question distracts him, and he stops the head banging immediately.

**Example 2:**

Frequency: Score of 3

The SNF staff report that about once every other month, the customer punches the wall over and over again when he gets frustrated, which results in bloody knuckles and bruises on his hands. Last week, the customer was taken to the ER after punching the wall where he received treatment for a broken wrist and finger.

Intervention: Score of 2

Every time this behavior happens, two staff members calmly approach the customer. They ask him why he is upset. The customer yells and screams and tells them that he is "sick of everything." They continue talking with him for several more minutes until the customer tires. Shortly after the customer was taken to the ER, the staff members put up a punching mat on the wall. The customer has agreed that if he "has" to punch the wall he will do so on the mat.

**Example 3:**

Frequency: Score of 2

The group home staff reports that the customer has hallucinations that tell her to slap herself. As a result, the customer repeatedly slaps her head and face three or four times a week. The staff reports that the customer often bruises her face. The staff reports that 45 days ago she was slapping herself in the head every day, but since she was prescribed medication, the behaviors have decreased.

Intervention: Score of 3

The group home staff reports that the customer takes a daily dose of Quetiapine that was prescribed to reduce the self-injurious behavior. In addition, the three or four times a week they see the customer hurting herself, they hold her arms down to her sides to stop the behavior.

**Example 4:**

Frequency: Score of 1

The customer's mother reports that the customer scratches his forearms with a paperclip which have left several scars. His mother describes the cuts as mostly "superficial," but the scratches cause bleeding and scarring. The customer only scratches himself when he is by himself, so she is not sure how often he is scratching but he has told her he remembers doing it at least three times in the past month. He told her it helps him deal with his emotions when nothing else works.

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Intervention: Score of 1

The mother reports that she and her son are in the process of finding a therapist. In the meantime, they have agreed that when he feels like scratching on his arm he will come and talk to her first. If the mother is away from the house, she will ask him when she gets home if he had urges to scratch. The customer talks with her about his feelings. He will then show her his forearms. The mother said that she is not confident he is being completely honest with her, but she did acknowledge that he is easily redirected.

**Example 5:**

Frequency: Score of 0

The customer's husband reports that his wife had been burning herself on her stomach with candle wax. He did not become aware of this behavior until six months ago. When he asked her about it, she said that she used to burn herself several years ago after a traumatic event but stopped when she met him. About six months ago, she had an event that reminded her of her past trauma, and she started to burn herself again. The behavior lasted for two months.

Intervention: Score of 3

The customer sees a therapist once a week and has been prescribed an anti-depressant that she takes every morning. Her husband reports that the combination of interventions has stopped the behavior.

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# Aggression

#### Overview

Aggression is physically attacking another person. Some examples of aggression are:

- Throwing objects at a person
- Punching
- Biting
- Pushing
- Pinching
- Pulling hair
- Scratching
- Physically threatening behavior
- Destroying property as a result of trying to hurt another person

The following are not included in the score, but are included in the PAS summary:

- One-time incidents that did not result in a serious injury needing medical attention
- Self-injurious behavior
- Physically hurting a pet or animal
- Making verbal threats without any physical components

#### During the PAS interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Aggression Components | Factors to consider | Tips to gather the correct information |
|---|---|---|

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|---|---|---|
| Does the behavior fit the definition of aggression | Is the behavior directed toward another person? | Ask questions such as:<br>• Describe the customer's physical attacks towards another person. What does he do?<br>• When the customer throws things "all over the place", does she ever throw these items at another person?<br>• You said he threw a bottle and broke the television. Tell me how the customer meant that action to physically attack another person. |
| | Are there safety concerns or risks with the behavior | Ask questions such as:<br>• Does the customer put others at risk by doing this?<br>• What are the risks involved?<br>• Has he hurt another person before due to this behavior?<br>• How does this jeopardize the safety of others? |
| Determine the intensity of the intervention | Consider how often someone intervenes, as well as the effort and physical involvement | Ask questions such as:<br>• What is done in response to this aggressive behavior?<br>• How often is the intervention used?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens when this does not stop the aggression?<br>NOTE Document all information received about any interventions for aggression in the comment section. |

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| Determine the frequency of the behavior | Consider the past 90 days.<br><br>**<u>Exception:</u>** Consider the past year when the behavior caused a serious injury needing medical attention. | Ask questions such as:<br>• How often does the behavior occur?<br>• Did the customer's behavior cause a serious injury in the past year that required medical attention? If so, when did it happen and what type of medical attention was received.<br>• What triggers this behavior, if known?<br>• When was the last time this behavior happened? |

**Scoring:**

When scoring Aggression, follow the steps in the two sections below to determine:

- The frequency of aggressive behavior; and
- The intensity of intervention for the aggressive behavior.

Frequency

Frequency describes or measures how often the aggressive behavior happens.

| Step | Scoring |
|---|---|
| 1 | Does the behavior occur at least once a day, posing a threat to the safety of others?<br><br>OR<br><br>Has the behavior caused serious injury requiring medical attention in the last year?<br>• If YES to either question, STOP. Give the customer a score of 3.<br>• If NO to both questions, continue to step 2. |

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|---|---|
| 2 | Does the behavior occur at least weekly but less than daily; posing a threat to the safety of others?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the behavior occur less than weekly, but poses a threat to the safety of others?<br>OR<br>Does the behavior happen weekly or more often, but only poses a safety threat less than weekly?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer have a history of aggressive behavior that is not a current problem, including if chemically controlled?<br>OR<br>Has the aggressive behavior not been observed?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Intensity of intervention

Intensity of intervention measures the level of effort and physical involvement used to stop or prevent the aggressive behavior.

NOTE If more than one intervention is used, score based on the one that is used most often.

| Step | Scoring |
|---|---|
| 1 | Does the customer require physical intervention, physical restraints, or chemical restraints?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |

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| | |
|---|---|
| | NOTE If a chemical restraint is used, it must be prescribed specifically for this behavior. |
| 2 | Can the customer be verbally redirected with difficulty?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Is the customer easy to verbally redirect?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer's behavior not need intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definition |
|---|---|
| Chemical Restraints | A medication prescribed specifically to stop or reduce aggressive behavior |
| Physical Intervention | Immediate hands-on assistance, provided by a caregiver to stop the aggressive behavior. |
| Physical Restraints | Physical devices that stop or reduce movement to protect a customer from injuring themselves or others. |
| Verbal Redirection with difficulty | Verbal redirection given by a caregiver that takes a great deal of time and effort to reduce the |

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| | |
|---|---|
| | aggressive behavior, but the customer eventually complies |
| Verbal Redirection with ease | Verbal redirection given by a caregiver that the customer responds to quickly and easily to reduce the aggressive behavior |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Example 1:**

**Frequency: Score of 3:**

The customer's mother reports that the customer was in a serious motor vehicle accident just over a year ago, which resulted in a traumatic brain injury (TBI). The mother reports that, among other things, he is easily agitated which results in aggressive behavior. She said that every day for the past 90 days, the customer has hit, pinched, punched, or slapped both her and her husband at least once a day. This behavior has resulted in bruises and welts for both the mother and father. On one occasion, the father slapped the customer in the face to stop the behavior. None of the aggressive behaviors resulted in seeking medical attention.

**Intervention: Score of a 2:**

The mother reports that she and her husband are receiving therapy to learn how to cope with their son's TBI. She said they were given de-escalating tools to reduce the customer's behavior. Although he is still aggressive on a daily basis, they are learning how to look for triggers that aggravate the customer. When they see that he is becoming upset they will give him space and talk with him from across the room. Even when they can get far enough away before he becomes aggressive, he still curses, screams, and stomps his feet. They encourage him to talk about what is upsetting him. He will say that he "hates that he is not himself anymore." They continue to keep their distance and encourage him to go in the backyard and "shoot some hoops." He continues to curse and scream, but eventually takes their advice and goes outside to play basketball.

**Example 2:**

**Frequency: Score of 3:**

The customer's spouse reports that his wife has been diagnosed with Alzheimer's disease. Sometimes his wife does not recognize him, and when this happens, she becomes angry and yells, "I don't know you, get out of my house." However, she has only become physically aggressive on one occasion, six months ago. It was late at night and the customer was very disoriented and confused. She thought her husband was a "burglar". She yelled at him to "Get out of my house!", then taking the fireplace poker she struck him several times before he could get away from her.

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The husband called 911 and when they responded, he was transported to the hospital. He was treated for broken ribs and a deep cut to his forehead. The husband reports that since this incident, when he sees that she is becoming upset because she does not recognize him, he distances himself by going to another room until she is calm. She still gets very upset, but he has been able to avoid another physical attack.

**Intervention: Score of 1:**

The spouse reports that on the occasion when he was transported to the hospital, his wife was taken to the ER and given a dose of Seroquel to reduce her agitation. Now, when she becomes agitated, he moves at least ten feet away from her and tries to redirect her by calmly asking if she would like a snack. Sometimes this works and she calms down and sits in her recliner while he makes her snack. Other times she will say, “I don’t know you. You are trying to poison me.” When this happens, he keeps his distance, but puts on a CD of her favorite songs. Even at her most agitated, the music calms her. He knows she is calm when she sits down in her recliner chair and stops pacing around the house. He then approaches her chair and asks if she would like a snack. Her common response is, “yes, dear that would be very nice.”

**Example 3:**

**Frequency: Score of a 2:**

The customer’s daughter reports that the customer has Alzheimer’s disease. The daughter reports that before her mother’s memory started to decline, she was very sweet and never “raised a hand to me or the rest of my family.” In the past year, the daughter reports the customer is easily agitated and when upset, she will raise her cane up in the air swings it at anyone who comes near her. The daughter reports that if the customer did hit someone it would hurt. The daughter is also concerned that the customer has poor balance and could fall when she starts swinging her cane. This behavior occurs at least five times a week when a family member attempts to approach the customer to pick up items from the trashcan that she has thrown on the floor.

**Intervention: Score of a 2:**

The customer’s daughter said that her mother started taking items out of trashcans in the home about two months ago. The daughter said when she or a family member ask her what she is doing, she always says the same thing, “I have to find my kitten.” The daughter said whenever a family member tries to approach her; she becomes agitated and startled and raises her cane. The daughter or another family member will try to calmly talk with customer, but this only makes things worse. They have tried to leave her alone until she stops throwing garbage on the floor, but the customer slipped on a banana peel once when they tried this. Now they stay further than cane distance away to make sure the customer is safe. It takes over 10 minutes to redirect the customer into the TV room, by telling her that it is time to watch “The Price is Right.”

**Example 4:**

**Frequency: Score of 1:**

The customer’s wife reports that her husband had his right leg amputated below the knee six months ago. She said that he has been depressed ever since and has been drinking heavily. When he drinks too much, he gets very angry. Since his surgery, she said he becomes “out of control” and starts yelling at her, approximately once a month. The more he yells, the angrier he gets. He then starts throwing his empty bottles at her. She reports that he has never actually hit her with a

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bottle, probably because he is “too drunk to throw well.” But, during these episodes he has thrown a beer bottle through the sliding glass door and multiple times has hit the living room wall, smashing glass all over the floor and carpet.

**Intervention: Score of 3:**

The customer’s wife reports that there is no reasoning with him when he has had too much to drink. She is scared that one day he might hit her. She said when he becomes violent, she calls the police. On one occasion he was arrested for disorderly conduct when four of her neighbors called the police. On the other occasions the police have had to physically restrain the customer until he calms. She said that she has not pressed charges because, “he is going through so much right now.”

**Example 5:**

**Frequency: Score of 0:**

The customer reports that her husband died six months ago. She said she has never felt so much grief in her life and she “kind of lost it for a while.” The customer is diagnosed with bipolar disorder. In the first couple of months after her husband died, she was not sleeping and became “manic and explosive.” During this time, she admits to hitting a “lady in the store with my cart because she was walking too slowly.” She also threw a garbage can at her neighbor because “he looked at me weird.” After these incidents, she was prescribed a new medication for the aggression and has not had any outbursts in the last 90 days.

**Intervention: Score of 3:**

The customer reports that the neighbor filed a restraining order, and she cannot go near his home. She was asked to leave the store when she hit the lady with her cart. She was prescribed Symbyax to control aggressive behaviors, which she takes daily. She has not been aggressive towards others in over four months. She sees a therapist weekly to deal with her grief and anger issues.

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## Resistiveness

#### Overview

Resistiveness is inappropriate stubborn and uncooperative behavior, which includes:

- Passive or obvious behaviors
- Obstinance
- Unwillingness to participate in self-care or take necessary medications

The following are not included in the score:

- Difficulties with processing sounds
- Reasonable acts of self-advocacy
- Verbal threats
- Physical aggression
- Self-injurious behavior

#### During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Resistiveness Components | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the definition of resistiveness | Is the behavior inappropriately stubborn and uncooperative | Ask questions such as:<br>• What does the customer not want to do?<br>• What is the reason the customer does not want to do that activity?<br>• Is it reasonable for the customer to not want to do the activity? |

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| | | |
|---|---|---|
| | | • How is this behavior inappropriate?<br>• What does the customer do that shows she is being uncooperative or stubborn?<br>• Is the customer able to follow directions or advocate for himself?<br>• Are the reasons for resistance rational? |
| Determine the intensity of the intervention | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What do you do when the customer resists?<br>• How often do you have to do that?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens if the intervention does not work? |
| Determine the frequency of the behavior | Consider the past 90 days. | Ask questions such as:<br>• How often does the behavior occur?<br>• Who is affected?<br>• What triggers the behavior, if known? |

#### Scoring

When scoring Resistive Behavior, follow the steps in the two sections below to determine:

- The frequency of the behavior; and
- The intensity of intervention for the behavior.

Frequency

Frequency describes or measures how often the resistive behavior happens.

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NOTE When no intervention is needed for the resistive behavior, the score for frequency is 0, no matter how often the behavior happens.

| Step | Scoring |
|---|---|
| 1 | Does the behavior occur at least once daily?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the behavior occur at least weekly but less than daily?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the behavior occur less than weekly?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the behavior not occur or occurs at a level not requiring intervention (including if chemically controlled)?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Intensity of Intervention

Intensity of intervention measures the level of effort and physical involvement used to stop or prevent the resistive behavior.

NOTE If more than one intervention is used, score based on the one that is used most often.

| Step | Scoring |
|---|---|

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| | |
|---|---|
| 1 | Does the customer require physical intervention or restraints, including chemical restraints?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE If a chemical restraint is used, confirm that it is prescribed specifically for this behavior. If it is not, continue to step 2. |
| 2 | Can the customer be verbally redirected with difficulty?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Can the customer be verbally redirected easily?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer not require intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Definitions**

| Term | Definition |
|---|---|
| Self-advocacy | Speaking up for oneself and one's views or interests |

**Examples**

The following examples only provide guidance on scoring. They do not cover every possible situation.

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**Example 1:**

Frequency: Score of 3

The customer's daughter reports that her father has a cognitive impairment from a traumatic brain injury (TBI) sustained four months ago after being shot in the head. He now lives with her. Since his accident, the customer resists changing his clothes because he thinks he has already changed, which has resulted in ulcers on his buttocks from wearing soggy, soiled clothing. He also will not take his blood pressure medication because he thinks she is trying to poison him. These behaviors happen daily.

Intervention: Score of 2

The customer's daughter reports that it is very difficult to convince her father to change his clothes. Every morning she reminds him that it is time to get dressed. He gets upset and paces back and forth, shaking his head. He continues to refuse and says he has already changed. She will eventually give up. The only day she can get him to change his clothes is on Sunday. She reminds him that it is time to get ready for church and sets out his "Sunday" outfit. He then changes his clothes. She is unable to get him to take his medication, so she mixes it up in his oatmeal each morning.

Explanation: The resistive behavior happens daily, so the frequency is scored a 3. The intervention is a score of 2 because it is not easy for the daughter to verbally redirect him.

**Example 2:**

Frequency: Score of 2

The customer lives in a nursing home and is diagnosed with Alzheimer's disease. The nurse reports that the customer must be convinced three to four times a week to do her oral care at night. The customer resists her oral care by covering her mouth with her hands. She says she does not want the staff to pull out her teeth because it will hurt, even though she has dentures. The nurse also reports that the staff help the customer shower four times a week. The customer refuses each time. She says, "I am fine the way I am. Leave me alone." The nurse reports that the customer is incontinent. To avoid urinary tract infections and skin integrity issues, she should be bathing at least four times a week.

Intervention: Score of a 1

The nurse reports that, for oral care, the staff gently remind the customer that they only want to clean her dentures and promise not to hurt her. The verbal reassurance relieves her anxiety, and she allows the staff to remove and clean her dentures. For bathing, the staff tell the customer that her daughter is coming to visit, which she is. The customer says, "Oh, well I want to look pretty for my guest." The customer then allows the staff member to help her with bathing.

Explanation: The resistive behavior happens at least weekly, but less than daily, so the frequency is scored a 2. The intervention is a score of 1, because it is easy for the staff to verbally redirect her.

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**Example 3:**

Frequency: Score of a 1

The customer lives with his brother. His brother said that the customer struggles with alcoholism, and goes days without showering, changing his clothes, and grooming. This behavior happens one to two times a month. When the brother reminds the customer to do these tasks, the customer says, “leave me alone, I’m not in the mood.” Two months ago, the customer was seen by a mental health provider, and was prescribed a daily anti-depressant in hopes of improving his mood, and to help with his lack of self-care.

Intervention: Score of a 3

The brother said that the customer’s therapist created a daily hygiene routine for him to follow. The brother reminds and encourages the customer three times a week to follow the routine. The customer is also taking a daily anti-depressant. Per brother, the combination of daily medication and reminders to follow the hygiene routine has decreased the customer’s resistance from weekly to one or two times a month.

Explanation: The resistive behavior happens less than weekly. The intervention is a score of 3, because it is scored on the intervention used most often, which is the chemical restraint.

**Example 4:**

Frequency: Score of 0

Intervention: Score of 0

The customer lives by himself. He said that his sister comes over once a week and brings him healthy, homemade dishes, but he refuses to eat these saying he is fine with his sandwiches and frozen meals.

Explanation: The behavior fits the definition of resistive behavior, but there is no intervention. This information goes in the summary.

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# Disruptive Behavior

#### Overview

Disruptive Behavior is inappropriate behavior that interferes with the normal activities of the customer or others. This includes, but is not limited to:

- Putting on or taking off clothing inappropriately
- Sexual behavior inappropriate to time, place, or person
- Excessive whining, crying, or screaming
- Persistent pestering or teasing
- Constantly demanding attention
- Urinating or defecating in inappropriate places

The following are not included in the score:

- Behavior that does not disrupted or affect anyone.
- A customer reacting reasonably to a difficult situation. For example, stress or illness.
- Crying from pain.
- Repeatedly asking for toileting help because of a urinary tract infection (UTI).

#### During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Disruptive Behavior Components | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the definition of disruptive behavior | Who does the behavior disrupt? | Ask questions such as:<br>• Who is affected by this behavior? |

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| | | |
|---|---|---|
| | | • When the customer does this, does it disrupt others?<br>• Whose activities are disrupted when this happens? |
| | How is the behavior disruptive? | Ask questions such as:<br>• What happens during these episodes that interferes with the normal activities of the customer or others?<br>• In what way is this behavior inappropriate? |
| Determine the intensity of the intervention | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this disruptive behavior?<br>• How often is the intervention used?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens if this does not stop the disruptive behavior? |
| Determine the frequency of the behavior | Consider the last 90 days. | Ask questions such as:<br>• How often does the behavior occur?<br>• What triggers this behavior, if known? |

#### Scoring

When scoring Disruptive behaviors, follow the steps in the two sections below to determine:

- The frequency of disruptive behavior; and
- The intensity of intervention for the disruptive behavior.

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Frequency

Frequency describes or measures how often the disruptive behavior happens.

NOTE When no intervention is needed for disruptive behavior, the score for frequency is 0, no matter how often the behavior happens.

| Step | Scoring |
|---|---|
| 1 | Does the behavior occur at least daily?<br>• If YES to either question, STOP. Give the customer a score of 3.<br>• If NO to both questions, continue to step 2. |
| 2 | Does the behavior occur at least weekly but less than daily?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the behavior occur less than weekly?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer have a history of disruptive behavior that is not a current problem (including if chemically controlled)?<br>OR<br>Does the behavior not occur or occurs at a level not needing intervention?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Intensity of Intervention

Intensity of intervention measures the level of effort and physical involvement used to stop or prevent the disruptive behavior.

NOTE If more than one intervention is used, score based on the one that is used most often.

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| Step | Action |
|---|---|
| 1 | Does the customer require physical intervention or restraints, including chemical restraints?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2.<br>NOTE If a chemical restraint is used, confirm that it is prescribed specifically for this behavior. If it is not, continue to step 2. |
| 2 | Can the customer be verbally redirected with difficulty?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Can the customer be verbally redirected easily?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer not require intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

#### Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Example 1:**

Frequency: Score of 3

The customer is diagnosed with obsessive-compulsive disorder (OCD) and has a morning routine that she needs to complete in a specific order. For example, she needs to brush her hair exactly 200 strokes. If she loses count or hears someone talking during the time that she is brushing her hair, she will start over. If a family member tells her that she is going to be late for school, she will yell and cry and say she cannot go until she is done and must start all over. This behavior is

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disruptive to the customer and the other members of her family because they are often late to appointments, work, and school. This behavior happens every morning.

Intervention: Score of a 1

The customer's family knows the exact time that the customer starts to brush her hair, and they know how long it usually takes her. They have created a time schedule and allow an extra 15 minutes for her to complete this task. They also are quiet during this time so that the customer is not disrupted. The customer still yells and cries every morning and is often late for school. But when the family reminds her to stick to her schedule, she stops crying and takes responsibility for her behavior.

**Example 2:**

Frequency: Score of 2

The customer moved into a group home two months ago. The staff report that the customer is diagnosed with schizophrenia. The staff said that the customer hides her soiled clothing after incontinent episodes three times a week. They have found soiled clothing in the pantry, refrigerator, bathroom cabinets, and under her bed causing health concerns for the other residents and staff. The residents, staff, and visitors have complained of the home smelling badly because of this. When the soiled clothing is found, the staff must immediately stop what they are doing to disinfect the area.

Intervention: Score of 3

The staff reported this behavior to the customer's psychiatrist shortly after she moved in. The psychiatrist prescribed a daily dose of Haldol to reduce the behavior. The staff report that the behavior was happening daily when the customer first moved in, but as soon as she started taking the medication it has reduced to three times a week.

**Example 3:**

Frequency: Score of 1

The customer is diagnosed with Alzheimer's disease and lives in a nursing home. Approximately, three times a month he makes sexually explicit and inappropriate remarks to the female residents. The women tell him to stop, but when they do the customer laughs and continues to make inappropriate remarks. The female residents have told the staff that this behavior makes them feel very uncomfortable. The behavior always happens during scheduled group movie time.

Intervention: Score of 2

During the group movie time, the staff watch the customer closely and confront him immediately after he starts making inappropriate comments. The staff ask him to apologize to the women, but he refuses and says, "it's a free country." The staff eventually stop the argument by redirecting him verbally three to five times before he complies.

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**Example 4:**

Frequency: Score of 0

The customer moved into a skilled nursing facility four months ago. He is diagnosed with Huntington's disease. The staff reports that when the customer first was transferred to the SNF he would have loud conversations and laugh hysterically with his imaginary friend. It happened every night and woke up the other residents in the facility.

Intervention: Score of 3

The nurse reports that shortly after the customer's admission he was prescribed Seroquel, taken before bedtime, to help him sleep and reduce hallucinations associated with Huntington's disease. He now sleeps through the night and no longer wakes other residents.

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# Medical Assessment

## Medical Assessment

#### Introduction

In this chapter, you will learn about:

- Medical conditions
- Medications
- Services/Treatments

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# Medical Conditions

## Medical Conditions Battery

### Overview

This section is used to record the diagnoses and medical conditions that impact the customer's current:

- ADL status
- Cognitive status
- Mood and behavior status
- Medical treatments
- Skilled nursing care
- Risk of death

The medical conditions categories are:

- Hematologic/ Oncologic
- Cardiovascular
- Musculoskeletal
- Respiratory
- Metabolic
- Neurological
- Genitourinary
- Gastrointestinal
- Ophthalmologic/ EENT
- Psychiatric
- Current Skin Conditions

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**Things to Keep in Mind When Adding a Medical Condition in HEAplus:**

- Review each category of medical conditions listed in HEAplus to ensure that no significant diagnoses are left out.
- Do not add inactive or historical diagnoses here. Add the information in the Summary if needed.
- If a specific diagnosis is not found in HEAplus but is the same or basically the same as one of the listed medical conditions, select the listed condition and note the difference in the comments. Examples: If the diagnosis is Lou Gehrig's disease, select Amyotrophic Lateral Sclerosis - ALS. If the diagnosis is quadriplegia, select Paralysis.
- It is very important to carefully evaluate and document any condition that may relate to Paralysis or Neurocognitive Disorder since these conditions affect the PAS score.
- Select up to three major diagnoses. Major diagnoses are those that require the most resources and significantly impact the need for long-term care. In some cases, there may be only one or two major diagnoses.
- To qualify for ALTCS, a customer must have a non-psychiatric medical condition or developmental disability that by itself or combined with other medical conditions, places the person at risk of institutionalization.
- Verify diagnoses and medical conditions with medical documentation from the provider or electronic health record sources. Do NOT use verbal verification unless records have been requested from all sources and all attempts have been unsuccessful.
- Medical records MUST be requested for each PAS and every PAS type - initials, reassessments, private request, posthumous, and prior quarter PAS.

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## Hematologic/Oncologic

### Overview

Hematologic conditions are disorders of the blood and blood-forming organs. Oncologic conditions are disorders relating to tumors, malignant or benign. These conditions are listed and defined in the definitions section below.

### Definitions

| Conditions listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Anemia | A condition marked by a lack of healthy red blood cells to carry enough oxygen to the body's tissues. Symptoms include feeling tired and weak. | • Anemia of chronic disease<br>• B12 or Folic Acid deficiency<br>• Hemolytic anemias<br>• Iron deficiency<br>• Neutropenia<br>• Pernicious<br>• Sickle cell<br>• Thrombocytopenia |
| Solid Cancers: Cancer of an organ or body part | Abnormal cellular growths in "solid" organs such as the breast or prostate. | • Basal cell<br>• Malignancy<br>• Multiple Myeloma (MM)<br>• Neoplasms (malignant)<br>• Sarcomas |
| Leukemia | Cancer of blood-forming tissues, including the bone | • Acute leukemia<br>• Chronic leukemia |

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| | | |
|---|---|---|
| | marrow and the lymphatic system. | • Myelodysplastic Syndrome (MDS) |
| Lymphoma | Cancer of the lymph nodes. | • Hodgkin's lymphoma<br>• Non-Hodgkin's lymphoma<br>• Multiple myeloma |
| Human Immunodeficiency Virus (HIV) | A virus that attacks the body's immune system. There is currently no cure. | • HIV-1<br>• HIV-2 |
| Acquired Immune Deficiency Syndrome (AIDS) | A disease caused by HIV with an increased risk for developing certain cancers and infections due to a weakened immune system. | • AIDS – Related Complex (ARC) |
| Cytomegalovirus (CMV) | A type of herpesvirus that can cause damage to various body systems in people with weakened immune systems and newborns. | • Congenital CMV Infection |
| Edema | Swelling caused by injury or inflammation. It can affect a small area or the entire body | Types of edema include:<br>• Peripheral edema<br>• Pedal edema<br>• Lymphedema<br>• Pulmonary edema<br>• Cerebral edema<br>• Macular edema |

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## Cardiovascular

#### Overview

Cardiovascular conditions are disorders of the heart and blood vessels. The cardiovascular conditions in HEAplus are listed and defined in the definitions section

#### Definitions

| Condition listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Angina - Chest Pain | A type of chest pain caused by reduced blood flow to the heart. | Angina Pectoris |
| Atherosclerotic Heart Disease (ASHD) | The build-up of fats, cholesterol, and other substances in and on the artery walls. | • Arteriosclerotic Cardiovascular Disease (ASCVD)<br>• Aortic arteriosclerosis<br>• Atherosclerotic heart disease<br>• Cardiomegaly<br>• Cardiomyopathy<br>• Coronary artery disease (CAD) |
| Congestive Heart Failure (CHF) | A weakness of the heart that leads to buildup of fluid in the lungs and surrounding body tissues. | • Heart Failure<br>• Pulmonary Edema |
| Myocardial Infarction (MI) | Another term for heart attack. A blockage of blood flow to the heart muscle. | • Cardiogenic Shock<br>• Heart Attack |

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| Hypertension (HTN) | Also called high blood pressure. A condition in which the force of the blood against the artery walls is high enough long-term that it may cause health problems, such as heart disease. | • Arterial Hypertension<br>• Cor Pulmonale<br>• Essential Hypertension<br>• Pulmonary Hypertension<br>• Renovascular Hypertension |
| Hypotension | Blood pressure that is below the normal for an individual. This means the heart, brain, and other parts of the body do not get enough blood. | • Orthostatic Hypotension<br>• Postural Hypotension<br>• Postprandial Hypotension<br>• Neurally Mediated Hypotension<br>• Multiple System Atrophy with Orthostatic Hypotension |
| Peripheral Vascular Disease (PVD) | A slow, progressive circulation disorder. Narrowing, blockage or spasms in a blood vessel can cause PVD. PVD can affect any blood vessel outside of the heart including the arteries, veins, or lymphatic vessels. | • Arteriosclerotic Vascular Disease<br>• Buerger's Disease<br>• Deep Venous Thrombosis (DVT)<br>• Gangrene<br>• Intermittent Claudication<br>• Neuropathy<br>• Polyneuropathy<br>• Peripheral Insufficiency<br>• Phlebitis<br>• Raynaud's Disease<br>• Statis Dermatitis<br>• Thrombophlebitis<br>• Varicose Veins<br>• Venous Stasis |

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| Cardiac Arrhythmia | An abnormal heart rhythm. Heart rhythm problems occur when the electrical impulses coordinating the heartbeat do not work properly, causing the heart to beat too fast, too slow, or irregularly. | • Atrial Fibrillation (A-Fib)<br>• Atrial Flutter<br>• AV Block<br>• Bradycardia<br>• Bundle Branch Block (BBB)<br>• Heart Block (1st Degree, 2nd Degree, Complete)<br>• Paroxysmal Atrial Tachycardia (PAT)<br>• Premature Atrial Contraction (PAC)<br>• Premature Ventricular Contraction (PVC)<br>• Sick Sinus Syndrome<br>• Sinus Tachycardia<br>• Supraventricular Tachycardia (SVT)<br>• Tachycardia<br>• Ventricular Fibrillation (V-Fib) |
| Syncope | Fainting or passing out caused by a temporary drop in the amount of blood that flows to the brain. | • Vasovagal Syncope<br>• Neurocardiogenic Syncope |

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## Musculoskeletal

### Overview

Musculoskeletal conditions are related to muscles, bones, and connective tissue. These conditions are described in the table below:

NOTE If the condition affects a specific part of the body, include that information in the comment section.

| Conditions listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Amputation | Surgically cutting off a limb | • Above the Knee Amputation (AKA)<br>• Below the Knee Amputation (BKA) |
| Arthritis | Inflammation or degeneration of joints. A joint is where two bones meet. There are more than 100 different types of arthritis. | • Ankylosing Spondylitis<br>• Fibromyositis<br>• Gout<br>• Infectious Arthritis<br>• Lupus<br>• Myelopathy<br>• Psoriatic Arthritis<br>• Reiter's Syndrome<br>• Rheumatoid Arthritis (RA)<br>• Scleroderma |
| Degenerative Joint Disease (DJD) | This type of arthritis causes inflammation, breakdown, and loss of the cartilage in the joints. | • Degenerative Disc Disease<br>• Osteoarthritis |

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| Osteoarthritis | Same as DJD above. | Degenerative Joint Disease (DJD) |
| Fracture | A complete or partial break of the bone. When the broken bone punctures the skin, it is an “open” or compound fracture. | |
| Joint Replacement | Surgery that removes damaged or diseased parts of a joint and replaces them with man-made parts. | |
| Muscular Dystrophy | A group of genetic diseases characterized by progressive weakness and degeneration of the muscles which control movement. | • Duchenne’s (Pseudohypertrophic)<br>• Becker Muscular Dystrophy<br>• Erb’s Atrophy<br>• Landouzy-Dejerine<br>• Primary Lateral Sclerosis<br>• Spinal Muscular Atrophy |
| Osteoporosis | A decrease in bone mineral density and bone mass, or a change in the quality of the bone. | Osteopenia |
| Contracture | A permanent tightening of the muscles, tendons, skin, and nearby tissues that causes the joints to shorten and become very stiff. | |

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| Lower Back Pain | A common, painful condition affecting the lower area of the spine. | • Spondylolisthesis<br>• Spondylolysis<br>• Back ache |
| Paralysis | The loss of the ability to move, and sometimes feeling in part or most of the body. Paralysis typically occurs because of illness, poison, or injury. | • Hemiplegia – paralysis on one side of the body<br>• Paraplegia – paralysis of the legs and lower body<br>• Quadriplegia – paralysis of all four limbs; tetraplegia |
| Paralytic Syndrome | See paralysis above. | |
| Spina Bifida with Hydrocephalus | A birth defect in which part of the spinal cord is exposed through a gap in the backbone. It can cause paralysis of the lower limbs, and cognitive impairment. Hydrocephalus is a condition in which fluid accumulates in the brain. | |
| Spina Bifida without Hydrocephalus | A birth defect in which part of the spinal cord is exposed through a gap in the backbone. It can cause paralysis of the lower limbs, and cognitive impairment. | |
| Osteomyelitis | An inflammation of the fatty tissues of the bone. It is caused by an infection of the bone or joint. | |

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| Disorder of Muscle | Any unspecified disorder of the muscle not related to other musculoskeletal conditions. | |
| Muscle Weakness | Weakness of the muscles not related to any other musculoskeletal condition. | • Paresis<br>• Diparesis<br>• Double Hemiparesis<br>• Hemiparesis<br>• Monoparesis<br>• Paraparesis<br>• Pentapareis<br>• Quadripareis<br>• Triparesis |
| Abnormality of gait and mobility | A deviation from standard or typical gait and mobility for an average person. This may be due to injuries, vision or inner ear problems, illness, or problems with the legs and feet, to name a few. | |
| Arthrogryposis | A term used to describe a variety of conditions involving multiple joint contractures. | Arthrogryposis multiplex congenita (AMC) |
| Multiplex Congenita | See Arthrogryposis. | |

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#### When to make Paralysis a Major Diagnosis

Paralysis is a scored medical condition (0 - 6.5 points). Follow the steps below to determine whether Paralysis should be indicated as a major diagnosis.

| Step | Action |
|---|---|
| 1 | Does the customer have a diagnosis of paralysis that:<br>• Is one of the main reasons they need ADL assistance?<br>OR<br>• Requires a significant amount of services, such as medical or nursing services, to help the customer?<br>◦ If YES, STOP. Add Paralysis as a medical condition and select “Yes” to “Is this a major diagnosis?”<br>◦ If No, continue to Step 2. |
| 2 | Does the customer have a diagnosis of Paralysis, that is NOT one of the main reasons they need ADL assistance AND does NOT use a significant amount of resources?<br>• If YES, STOP. Add Paralysis as a medical condition and select “No” to “Is this a major diagnosis?”<br>• If NO, STOP. Do not add paralysis as a medical condition. |

#### Definitions

| Term | Definition |
|---|---|
| Paralysis | The complete loss of motor function, where the customer is unable to move the affected body region in any capacity. The paralyzed muscle groups will not contract or fire, and even a flicker of activation is unable to be seen. This typically occurs because of damage to the brain, spinal cord, or nerves, each of which helps initiate movement by relaying messages to the muscles. |

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| Paresis | A condition that causes weakness in an area of the body, like an arm or leg. While this condition can make an area of the body difficult or fatiguing to move, there is still some motor function present. |

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## Respiratory

#### Overview

Respiratory conditions are related to the act of breathing and involve the nose, trachea, lungs, and air passages. Respiratory conditions are listed and described in the definitions section below.

#### Definitions

| Conditions listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Asthma | Spasms in the bronchi of the lungs, making it hard to breathe. Asthma usually results from an allergic reaction. | • Bronchial Asthma<br>• Reactive Airway Disease (RAD) |
| Emphysema | A lung condition that causes shortness of breath. | • Chronic Obstructive Lung Disease (COLD or CLD) |
| Chronic Obstructive Pulmonary Disease (COPD) | A chronic lung disease where inflammation reduces airflow in the lungs, difficulty breathing, cough, mucus production, and wheezing. | |
| Bronchitis | An infection of the main airways of the lungs, causing them to become irritated and inflamed. | • Chronic Bronchitis<br>• Bronchiolitis |

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| Pneumonia | An infection of the air sacs of the lungs. | Types of pneumonia include:<br>• Aspiration Pneumonia<br>• Bacterial Pneumonia<br>• Bronchopneumonia<br>• Interstitial Pneumonia<br>• Lobar Pneumonia<br>• Pneumocystis Carinii Pneumonia (PCP)<br>• Segmental Pneumonia<br>• Viral Pneumonia |
| Tuberculosis | An infectious bacterial disease that mainly affects the lungs. | |
| Respiratory Failure | A condition in which blood does not have enough oxygen or has too much carbon dioxide. The lack of oxygen causes the organs to not function properly. | • Anoxia<br>• Apnea<br>• Asphyxia<br>• Hypoxia<br>• Respiratory Insufficiency |
| Coccidiomycosis (Valley Fever) | A fungal disease of the lungs and other tissues, typically found in the warmer, arid regions of America. | |
| Allergic Rhinitis | An allergic response to specific allergens. Pollen is the most common allergen in allergic rhinitis. | • Hay Fever |

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| Allergies | A condition in which the immune system reacts abnormally to a foreign substance. | |
| Pulmonary Fibrosis | A disease that causes damage and scarring of the lung tissue. This thickens the tissue and makes it more difficult for the lungs to work. | |
| Respiratory Syncytial Virus (RSV) | A common respiratory virus that usually causes mild, cold-like symptoms. RSV can be serious, especially for infants and older adults. | |

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## Metabolic

### Overview

Metabolic conditions are related to physical and chemical changes in the body, including endocrine disorders and electrolyte imbalances. Metabolic conditions are listed and described in the Definitions section below.

### Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Diabetes Mellitus Type I | A condition in which the pancreas produces little or no insulin.<br><br>NOTE Include the customer's A1C results and document blood sugar measurements including frequency, range, and who performs the testing in the comments. | • Diabetic nephropathy<br>• Diabetic neuropathy<br>• Insipidus<br>• Insulin Dependent (IDDM)<br>• Mellitus<br>• Non-Insulin Dependent (NIDDM) |
| Diabetes Mellitus Type II | A condition in which the body does not use insulin the way it should, resulting in high blood sugar levels.<br><br>NOTE Include the customer's A1C results and document blood sugar measurements including frequency, range, and who | |

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| | performs the testing in the comments. | |
| Hypothyroidism | A condition in which the thyroid gland does not produce enough of certain crucial hormones. | • Hashimoto's Disease<br>• Myxedema |
| Hyperthyroidism | A condition in which the thyroid gland produces too much of the hormone thyroxine. | • Basedow's Disease<br>• Graves' Disease (Toxic Diffuse Goiter)<br>• Plummer's (Parry's) Disease |
| Electrolyte Imbalance | A disorder caused by the electrolyte levels in the blood being too high or too low. | • Dehydration<br>• Hyper/Hypo-Calcemia<br>• Hyper/Hypo-Chloride<br>• Hyper/Hypo-Kalemia<br>• Hyper/Hypo-Magnesium<br>• Hyper/Hypo-Natremia<br>• Malnutrition<br>• SIADH |
| Hyperlipidemia | A common condition in which there are high levels of fat particles in the blood. | • High cholesterol<br>• Elevated lipids or triglycerides<br>• Hypercholesterolemia |
| Hepatitis | Inflammation of the liver. | |
| Weight Loss | A reduction of the total body mass, due to a loss of fluid, body fat or lean mass, like bone, | Cachexia |

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| | muscle, and connective tissue. | |
| Obesity | An excessive amount of body fat. | |
| Cushing's Syndrome | A disorder in which the body makes too much cortisol over a long period of time. Symptoms include:<br><br>Weight gain and fatty deposits; especially in the torso, face, and between the shoulders<br><br>Purple stretch marks on the breasts, arms, abdomen, and thighs<br><br>Thinning skin that bruises easily<br><br>Skin injuries that are slow to heal<br><br>Acne<br><br>Fatigue<br><br>Muscle weakness | |

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## Neurological

#### Overview

Neurological conditions are disorders of the brain or nervous system. These conditions are listed and described in the table below:

#### Definitions

| Conditions listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Neurocognitive Disorder | A general term for decreased mental function due to a medical condition other than a psychiatric condition.<br><br>There are several neurological tests and clinical assessments that may be used to diagnose NCD. | • AIDS Dementia Complex<br>• Alper's Disease (Grey Matter Degeneration)<br>• Alzheimer's Disease<br>• Arteriosclerotic Dementia (Vascular Dementia)<br>• Degenerative Dementia<br>• Frontotemporal Dementia<br>• Jakob-Creutzfeldt Disease<br>• Korsakoff's Syndrome<br>• Lewy Body Dementia<br>• Multi-Infarct Dementia<br>• Normal Pressure Hydrocephalus<br>• Pre-senile Dementia (Pick's Disease)<br>• Progressive Dementia |
| Polio | A disease caused by the polio virus that can infect a person's spinal | • Acute Anterior Poliomyelitis |

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| | cord, causing paralysis or death. | • Poliomyelitis (Infantile, Paralytic, and Nonparalytic)<br>• Post-Polio Syndrome |
| Seizure Disorder | A disorder in which nerve cell activity in the brain is disturbed, causing seizures. | • Epilepsy<br>• Infantile Spasms<br>• Landau-Kleffner Syndrome<br>• Status Epilepticus |
| Cerebral Palsy (CP) | Impaired coordination (spastic paralysis), typically caused by damage to the brain before or during birth. | Types of CP include:<br>• Athetoid<br>• Congenital<br>• Diplegia<br>• Infantile Quadriparesis |
| Autism | A developmental disorder characterized by difficulty in social interaction and communication, and by restricted or repetitive patterns of thought and behavior. | • Asperger's Syndrome<br>• Autistic-Like Behaviors<br>• Autistic Spectrum<br>• Infantile Autism<br>• Kanner's Syndrome<br>• Pervasive Developmental Disorder<br>• Rhett's Disorder |
| Intellectual Cognitive Disability | A developmental disorder characterized by diminished cognitive and adaptive development. | • Borderline Intelligence<br>• Borderline Intellectual Functioning<br>• Intellectual Developmental Disability I/DD) |
| Encephalopathy | A broad term for any brain disease that alters brain function or structure. Causes | Types of Encephalopathy<br>• Hepatic |

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| | include infection, tumor, and stroke. | • Metabolic<br>• Uremic<br>• Wernicke |
| Stroke | Same as CVA | Same as CVA |
| Cerebrovascular Accident (CVA) | The sudden death of brain cells due to lack of oxygen when the blood flow to the brain is impaired. | • Cerebral Hemorrhage<br>• Cerebral Infarction<br>• Ischemic Stroke |
| Transient Ischemic Attack (TIA) | A temporary blockage of blood flow to the brain. | Mini stroke |
| Parkinson's Disease | A progressive brain disorder that leads to shaking, stiffness, and difficulty with walking, balance, and coordination. | • Paralysis Agitans<br>• Shaking Palsy |
| Multiple Sclerosis (MS) | A disease where the immune system attacks the protective covering of the nerves. Symptoms vary, but can include numbness, weakness, lack of coordination, vision problems, fatigue, and dizziness. There are three types of MS:<br>• Relapsing/ Remitting<br>• Secondary Progressive<br>• Primary Progressive | • Demyelinating Disease of the Central Nervous System<br>• Disseminated Sclerosis<br>• Optic Neuromyelitis |

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| Amyotrophic Lateral Sclerosis (ALS) | A progressive neurodegenerative disease that affects nerve cells in the brain and the spinal cord, causing loss of muscle control. | • Lou Gehrig's Disease<br>• Progressive Bulbar Palsy (PBP) |
| Head Trauma | Damage to the brain, skull, or scalp caused by injury. The type of head trauma depends on the kind of injury, the part of the head damaged, and how severe the damage is. | • Cerebral Contusion<br>• Closed Head Injury (CHI)<br>• Concussion<br>• Skull Fracture<br>• Traumatic Brain Injury (TBI) |
| Huntington's Chorea | An inherited condition where nerve cells in the brain break down over time. | Huntington's Disease |
| Age Related Cognitive Decline | A condition caused by the loss of brain matter due to aging. | |
| Hydrocephalus, Obstructive | A buildup of fluid deep within the brain that can cause brain damage. | |
| Non-Traumatic (spontaneous) Intracranial Hemorrhage | Bleeding within the brain tissue that is not caused by a physical injury. | |
| Organic Mental Disorder | Decrease in brain function caused by injury, disease, chemical or hormonal abnormalities, exposure to toxins or abnormal | |

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| | changes associated with aging. | |
| Tourette’s Syndrome | A disorder causing repetitive movements or unwanted sounds that cannot be easily controlled. Examples include repeated eye blinking, shrugging, or blurting out unusual sounds or offensive words. | |
| Idiopathic Orofacial Dystonia | A disorder causing involuntary muscle contractions of the face, jaw, and tongue that interfere with opening and closing the mouth and may affect chewing and speech. | |
| Migraine | A type of headache. Symptoms include pain, nausea, vomiting, and sensitivity to light and sound. | |
| Neurofibromatosis | A disorder of the nervous system causing tumors to grow on nerves. | |
| Spasms | A sudden involuntary contraction of a muscle, a group of muscles, or a hollow organ like the bladder. | |
| Ataxia | A lack of muscle coordination when a voluntary movement is attempted. It affects motions that require | Types of Ataxia include:<br>• Cerebellum Ataxia |

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| | muscles to work together, like walking, picking up an object, and swallowing. | • Sensory Ataxia<br>• Vestibular Ataxia |
| Coma | A state of prolonged unconsciousness. Some causes include traumatic head injury, stroke, brain tumor, or an underlying illness, such as diabetes or an infection. | |
| Convulsion | An involuntary contraction of the muscles most often seen with certain seizure disorders. Some causes include fever, meningitis, drug or alcohol abuse, poisoning, hypoglycemia, and head injury. | |
| Aphasia | Loss of ability to speak, write, or understand both verbal and written language. It is caused by damage to the part of the brain that controls language expression and comprehension. | Types of Aphasia include:<br>• Broca's Aphasia<br>• Wernicke's Aphasia<br>• Global Aphasia |
| Dysphasia | A partial loss of ability to speak, write and understand both verbal and written language. | |
| Generalized Pain | Unpleasant sensations indicating potential or actual physical damage | • Fibromyalgia<br>• Reflex sympathetic dystrophy syndrome |

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| | felt all over or throughout the body. | • Complex regional pain syndrome |
| Tremor | Involuntary shaking or movement, ranging from slight to severe, commonly affecting hands, legs, face, head, or vocal cords. | |

**When to make Neurocognitive Disorder (NCD) a Major Diagnosis**

NCD is a scored medical condition (0 or 20 points). When identified as a major diagnosis, it adds 20 points to the total score. Since this one condition can mean the difference between a person scoring eligible or not even within the physician review threshold, accurate scoring is very important.

NOTE Being prescribed medication for memory loss or dementia does NOT by itself warrant adding NCD as a major diagnosis.

Follow the steps below to determine when to list NCD as a major diagnosis. For these steps, documentation of decline in cognitive function and impact on the customer's orientation, communication, behaviors, or ADLs can include reports from a relative or caregiver.

| Step | Action |
|---|---|
| 1 | Review the customer's file and all available medical records.<br><br>Does the customer have ALL the following?<br><br>• An NCD diagnosis from a clinician;<br><br>• Documentation of a significant decline in cognitive function and performance;<br><br>• Documentation that the impact on the customer's orientation, communication, behaviors, or ADLs interferes with independence in everyday activities; AND is NOT better explained by psychiatric condition, delirium, or substance-induced intoxication.<br><br>NOTE Having a copy of the Neuropsychological testing and clinical assessments is not required. However, the outcomes of the tests should be referenced in the clinician's documentation of the NCD diagnosis. If the customer meets the criteria above and the NCD diagnosis records do not reference the testing or clinical assessment, review the case with your Benefits and Eligibility Manager. |

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| | • If YES, STOP. Add NCD as a medical condition and select “Yes” to “Is this a major diagnosis?”<br>• If NO, continue to Step 2. |
| 2 | Does the customer have ALL the following:<br>• An NCD diagnosis from a clinician;<br>• Documentation of a significant decline in cognitive function and performance;<br>• Documentation that the impact on the customer’s orientation, communication, behaviors, or ADLs interferes with independence in everyday activities; AND<br>• A psychiatric diagnosis that may be causing or contributing to the impact on the customer’s orientation, communication, behaviors, or ADLs.<br>• If YES, STOP. Add NCD AND the psychiatric condition as medical conditions and select “Yes” to “Is this a major diagnosis?” for both.<br>• If NO. Continue to Step 3. |
| 3 | Does the customer have a NCD diagnosis from a clinician, BUT the decline in cognitive function and performance is modest and does not interfere with the customer’s ability to be independent in everyday activities?<br>• If YES, STOP. Add NCD as a medical condition and select “No” to “Is this a major diagnosis?”<br>• If NO, STOP. Do not add NCD as a medical condition. |

**Definitions**

| Term | Definition |
|---|---|
| Clinician | A health care professional who works one-on-one with patients, diagnosing or treating illness. Examples include: a PCP, Nurse Practitioner, Neurologist, Geriatrician, Geriatric Psychiatrist, or Neuropsychologist. |
| NCD diagnosis | The process of a clinician identifying a neurocognitive condition from its signs and |

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| | symptoms. The standard diagnostic process includes:<br>• Reviewing the patient history;<br>• Conducting neuropsychological testing or clinical assessments, and physical examinations;<br>• Other laboratory tests or imaging studies as needed to determine a specific NCD. |
| Neuropsychological testing and clinical assessments | Standardized, measurable testing of neurological function. Some examples include:<br>• MMSE,<br>• MoCA,<br>• SLUMS,<br>• MRI or CT scan,<br>• Neuropsychological evaluation,<br>• PET Scan. |

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## Genitourinary

#### Overview

Genitourinary conditions are disorders related to the genitals and urinary system including the kidneys. Genitourinary conditions are listed and described in the definitions section below.

#### Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Urinary Tract Infection (UTI) | An infection in any part of the urinary system, including the kidneys, ureters, bladder, and urethra. | • Cystitis<br>• Hydronephrosis<br>• Pyelonephritis<br>• Urosepsis |
| Chronic Renal Failure/ Insufficiency (CRF/ CRI) | A decrease in the kidneys' ability to filter waste and fluid from the blood. | • Chronic Kidney Disease (CKD)<br>• End-Stage Renal Disease (ESRD)<br>• Kidney Failure |
| Benign Prostatic Hypertrophy (BPH) | An enlarged prostate gland, which causes urinary symptoms, such as a weak stream, dribbling, and frequent urinary urges. | |
| Neurogenic Bladder | A lack of bladder control due to a problem with the nervous system. | |
| Urinary Incontinence | Loss of bladder control. | Stress Incontinence |

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## Gastrointestinal

#### Overview

Gastrointestinal conditions are related to the stomach, intestines, and related structures, like the esophagus, liver, gall bladder and pancreas. These conditions are listed and described in the definitions section below.

#### Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Ulcers | Sores on the lining of the stomach, small intestine or esophagus. | • Duodenal ulcer<br>• Gastric ulcer<br>• Gastritis<br>• Gastro-Intestinal Bleed (GI Bleed)<br>• GERD<br>• Peptic ulcer disease (PUD) |
| Hernia | An organ or fatty tissue has pushed through a weak spot in the surrounding muscle or connective tissue that normally contains it. | • Hiatal hernia<br>• Inguinal hernia<br>• Umbilical hernia |
| Colitis | Inflammation of the inner lining of the colon. | • Amebic colitis<br>• Chronic Diarrhea<br>• Crohn’s Disease<br>• Ulcerative colitis |

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| Irritable Bowel Syndrome (IBS) | A disorder of the large intestine commonly marked by abdominal pain, bloating, and changes in bowel habits. | • Diverticulitis<br>• Diverticulosis<br>• Dumping Syndrome<br>• Spastic Colon |
| Cirrhosis | Scarring of the liver that reduces liver function and can lead to liver failure. | • Alcoholic Liver Disease<br>• Biliary Cirrhosis<br>• ESLD - End Stage Liver Disease |
| Constipation | A condition in which a person has fewer than three bowel movements a week and stools are difficult to pass. | • Obstipation |
| Intestinal Obstruction | A blockage of the small or large intestine, preventing the passage of fluids and digested food. | • Bowel Obstruction<br>• Ileus |
| Aneurysm | A bulge or ballooning in the wall of a blood vessel, caused by a weakened area. | • Gastric Cirsoid Aneurysm<br>• Gastric Artery Aneurysm<br>• Mesenteric Artery Aneurysm<br>• Splenic Artery Aneurysm |
| Abdominal Aortic Aneurysm | A bulge in the abdominal aorta, the body's main artery, that occurs when the artery wall weakens and thins. | |
| Abdominal Pain | Pain from inside the abdomen or the outer muscle wall, ranging from mild and temporary to severe | |

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| | and requiring emergency care. | |
| Dysphagia with Aphagia | An inability to swallow. It is the most severe form of dysphagia, which is difficulty swallowing food, liquid, or saliva | • Oropharyngeal Dysphagia<br>• Esophageal Dysphagia |

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## Ophthalmologic/EENT

#### Overview

Ophthalmologic conditions are related to the eyes. EENT conditions are related to the eyes, ears, nose, and throat. Ophthalmologic and EENT conditions are listed and described in the definitions section below.

#### Definitions

| Conditions listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Blindness | A lack of vision or a loss of vision that cannot be corrected with glasses or contact lenses. Blindness may be partial or complete.<br><br>Partial blindness is very limited vision in one or both eyes.<br><br>Complete blindness means a person has no vision and cannot see light. | • Monocular vision (blindness in only one eye)<br><br>• Legal Blindness (20/200 vision or less in the better eye with the use of assistive devices) |
| Cataract | A cloudy area in the lens of the eye that leads to a decrease in vision. | |
| Glaucoma | A condition of increased pressure within the eyeball, causing gradual loss of sight. | |

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|---|---|---|
| Hearing Deficit | Total or partial inability to hear sounds. | • Deafness<br>• Hearing Impairment |
| Macular Degeneration | A condition affecting the central part of the retina that causes distortion and loss of central vision. | • Age-related Macular Degeneration |
| Diabetic Retinopathy | A condition caused by diabetes, damaging the blood vessels of the retina. | |
| Dizziness and Giddiness | A feeling of being unbalanced and lightheaded. | |
| Vertigo | A sensation of being off balance that may cause a person to feel like they or the environment around them is moving or spinning. | |

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## Psychiatric

### Overview

Psychiatric conditions are related to the mind and mind processes.

A non-psychiatric medical condition or developmental disability that impacts the need for long-term care is needed to qualify for ALTCS eligibility.

**IMPORTANT:**

When the PAS scores eligible without a major non-psychiatric diagnosis, the PAS must be sent to physician review.

Psychiatric conditions include:

| Psychiatric Conditions listed in HEAplus | Associated and Related Conditions |
|---|---|
| Major Depression | • Major Depressive Disorder<br>• Clinical Depression |
| Depressive Episodes | • Adjustment Disorder<br>• Situational Depression |
| Bipolar Disorder | • Manic-Depressive Disorder<br>• Mood Disorder |
| Schizophrenia | Types of Schizophrenia are:<br>• Catatonic<br>• Hebephrenic<br>• Paranoid<br>• Simple<br>• Schizoaffective Disorder<br>• Undifferentiated |

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|---|---|
| Alcohol Abuse | Alcohol Dependence |
| Drug Abuse | • Illegal substances<br>• Prescription medications |
| Behavior Disorder | • Attention Deficit Disorder (ADD)<br>• Attention Deficit/Hyperactivity disorder (ADHD)<br>• Conduct Disorder<br>• Impulse Control Disorder<br>• Intermittent Explosive Disorder<br>• Oppositional Defiant Disorder |
| Anxiety | • Generalized Anxiety Disorder<br>• Panic Disorder<br>• Agoraphobia<br>• Social Anxiety<br>• Selective Mutism<br>• Separation Anxiety |
| Disorientation | Altered mental state |
| Obsessive Compulsive Disorder (OCD) | Types of OCD are:<br>• Contamination<br>• Perfection<br>• Doubt/harm<br>• Forbidden thoughts |
| Non-psychotic mental disorder | • PTSD |

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|---|---|
| | • Neurosis |
| Failure to Thrive | Geriatric Failure to Thrive |

**When to make a Psychiatric Condition a Major Diagnosis:**

Follow the steps below to determine whether the psychiatric condition should be indicated as a major diagnosis.

| Step | Action |
|---|---|
| 1 | Does the customer have a psychiatric condition that by itself, causes a need for caregiving from others or interferes with self-care?<br>• If YES, STOP. Include the psychiatric diagnosis as a Major Diagnosis.<br>• If NO, continue to step 2. |
| 2 | Does the customer have both psychiatric and non-psychiatric conditions and it is not possible to determine whether the need for caregiving is caused by the psychiatric condition?<br>• If YES, STOP. Include the psychiatric diagnosis as a Major Diagnosis.<br>• If No, continue to step 3. |
| 3 | Does the customer have a psychiatric condition that does NOT cause a need for caregiving from others or interfere with self-care?<br>• If YES, STOP. Do NOT include the psychiatric diagnosis as a Major Diagnosis.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Examples**

The following examples only provide guidance on when to make a psychiatric condition a major diagnosis. They do not cover every possible situation.

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**Example 1:**

The customer's psychiatric condition causes a need for caregiving or interferes with self-care:

The customer's spouse reports that the customer is diagnosed with Obsessive Compulsive Disorder. He refuses to put his feet on the floor because he says he will be contaminated with germs. His wife reports that he uses a wheelchair for all mobility to avoid having his feet touch the floor. To get him into the wheelchair, she has to place Lysol wipes on the footrest each time. She then places a foot stool with disinfectant wipes next to the bed. She holds his arm while he steps on the stool because he is afraid of falling and touching the floor. His wife reports that the customer does not have any physical limitations that prevent him from transferring or walking.

Explanation: The need for help is based solely on the customer's diagnosis of OCD. Include the psychiatric condition as a Major Diagnosis.

**Example 2:**

The customer needs caregiving because of either a psychiatric or medical condition:

The customer is in an assisted living facility. The customer is diagnosed with Chronic Obstructive Pulmonary Disease (COPD) and Bipolar Disorder. The staff member reports that she resists changing her clothes and taking a shower daily. When the staff member asks her what is keeping her from changing her clothes and showering, she says, "I'm tired, leave me alone." The staff member is not sure if she is tired because of COPD, or if she is being resistive due to her diagnosis of Bipolar Disorder.

Explanation: It is not possible to determine which condition is causing the behavior. Since it could be the psychiatric condition, include it as a Major Diagnosis.

**Example 3:**

The customer has a psychiatric condition that does NOT cause a need for caregiving:

The customer is receiving hospice care for terminal cancer. She is also diagnosed with Major Depressive Disorder. The nurse reports, the customer is showing physical signs of approaching death and is extremely weak and exhausted. She is unable to eat and has lost 15 pounds in the past month. She does not have the energy to complete any of her ADLs. She receives hands-on assistance for all ADLs based solely on her medical condition.

Explanation: The diagnosis of Major Depressive Disorder does not cause a need for help from the caregiver. The need for help is caused by her medical condition. Do NOT include the psychiatric condition as a Major Diagnosis.

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# Current Skin Conditions

## Overview

Skin conditions are diseases and disorders related to the skin on any or all parts of the body. The conditions in this part of the PAS are described in the section below.

## Skin Conditions

| Conditions listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Cellulitis | A bacterial skin infection causing red, swollen skin that is typically painful and warm to the touch. | Cutaneous Abscess |
| Pressure Ulcers | Injuries to the skin and tissue underneath, mainly caused by prolonged pressure on the skin. | • Bed Sore<br>• Decubitus<br>• Diabetic Ulcer<br>• Pressure Sore |
| Stasis Ulcers | A breakdown of the skin caused by fluid build-up in the skin from poor vein function. | |
| Zoster without complications | A blistering, painful rash caused by the virus that remains in the nerve cells after a person has had chickenpox. | Shingles |
| Methicillin Resistant Staph Aureus (MRSA) | A highly contagious infection caused by staphylococcus | Hospital Acquired MRSA (HA-MRSA) |

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|---|---|---|
| | bacteria that is resistant to commonly used antibiotics. | |
| Bacterial Infection | An illness or injury caused by harmful bacteria on or inside any area of the body. | |

#### Documenting Skin Ulcers

When the customer has or had pressure ulcers or stasis ulcers, see the table below for details needed on the Current Skin Conditions screen.

| **Ulcer Type...** | **Then...** |
|---|---|
| Pressure Ulcers | Complete the following:<br>• Comments, including the size and location of the ulcer;<br>• History of Skin Ulcers;<br>• Pressure Ulcer (description); and<br>• Number of current Pressure Ulcer(s). |
| Stasis Ulcers | Complete the following:<br>• Comments, including the size and location of the ulcer;<br>• Answer the History of Skin Ulcers question. |

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# Medications

## Medications

#### Overview

The Medications page is used to gather information about whether the customer:

- Needs help with medications;
- Is on a therapeutic diet;
- Is allergic to any medications;
- Takes insulin; and
- Takes medication or treatments.

NOTE When the customer is in a facility, review the physician's order list for current medications and treatments. If the PAS interview is in-the customer's home, ask to see prescription containers and copy the information from the labels.

#### Completing the Medications Page

See the table below for best practices completing the questions on this page.

| For | Then |
|---|---|
| Needs help with Medications | Select "Yes" when the customer gets help with medication, like setting up a medication box, reminders or being given the medication by someone else.<br><br>Select "No" when the customer safely takes medications without any help.<br><br>Describe any help given to the customer in the comments section. |
| Therapeutic Diet | Select "Yes" when a physician has prescribed a specific diet based on the customer's medical condition. Otherwise, select "No." |

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| | Add a description of any specific diet needs. For example:<br>• Consistency needs, such as needing the food to be soft or pureed;<br>• Level of nutrients, such as an 1800 calorie per day diabetic diet for the customer;<br>• Amount of fluids, such as a fluid restricted diet of 1,500 ml per day;<br>• Number of meals per day; or<br>• Food limitations, such as no wheat or dairy products. |
| Medical Allergies | Select “Yes” when the customer is allergic to any medications. Otherwise, select “No.”<br><br>When the customer has medical allergies include the names of all medications the customer is allergic to in the comments section. |
| Takes Insulin | Select “Yes” when the customer takes insulin. Otherwise, select “No.”<br><br>When “Yes” is selected, answer the following questions. Does the customer:<br>• Require assistance drawing up insulin?<br>• Require assistance self-injecting insulin?<br>• Require assistance with finger sticks?<br><br>When the customer needs help in any of these three areas, enter the name of the person that helps in the “Who assists?” field. |
| Medications/Treatments | Enter all medications the customer currently takes. This includes medications the customer has taken in the last 30 days but has stopped taking and nonprescription medication.<br><br>Enter the following information for each medication: |

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|---|---|
| | • Name of medication or treatment;<br>• Select how often the medication or treatment is taken from the drop-down list;<br>• Enter the medication dosage;<br>• Select the route of medication from the drop-down list;<br>• Enter details in the comments section about what the medication or treatment is prescribed for, the form of the medication, and how long it will be taken, if known.<br>NOTE If there is any difference between the prescribed dosage or frequency and what the customer actually takes, include the details in the comments.<br>When the customer does not take any medications, select “No Medications added” and save. |

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# Services Treatments

## Services and Treatments

#### Overview

This section is used to record services and treatments the customer is currently getting. There are times when a service may be needed but is not currently received or used. In these situations, add comments about the need and the reason the service or treatment is not being provided.

The service and treatment categories are:

- Injections/IV
- Medications/Monitoring
- Skin care
- Feedings
- Bladder/Bowel
- Respiratory
- Therapies
- Rehabilitative Nursing
- Other Services and Treatments

#### Things to Keep in Mind When Adding Services and Treatments in HEAplus

- Use information from the interview, medical records, and contact with health providers to select the services and treatments the customer currently gets.
- Include ongoing services or treatments that are intermittent. For example, the customer uses a small volume nebulizer (SVN) when needed.
- Recently discontinued services or treatments can be mentioned in the PAS Summary if they are significant.
- Services and treatments may be provided by professionals, nonprofessional caregivers, by the customer, or others as appropriate.
- Use professional judgment, education and experience when assessing need for a service or treatment that is not being received and there are no supporting medical records available.

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- When the customer’s file shows a service or treatment is needed, but not currently being received, document the reason the customer is not getting the service or treatment. Some examples are:
    - The customer’s doctor prescribed oxygen, but the customer refuses to use it because they “don’t need it”. Add an explanation of the need and the reason it is not received in the comment section.
    - The customer’s doctor prescribed oxygen, but the customer cannot afford the coinsurance for the treatment on his own. Add an explanation of the need and the reason it is not received in the comment section.
- Include comments explaining the frequency of treatments to help identify the severity of the condition. For example, the customer has dialysis treatment three times a week, and each treatment takes 4 hours.

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# Injections IV

### Overview

This section is used to record injection or IV treatments the customer is currently receiving. The treatments are listed as:

- Intravenous Infusion Therapy; and
- Intramuscular/Subcutaneous Injections.

Include all the following information in the comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the customer receives chemotherapy from their doctor every six weeks due to bladder cancer.

### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Intravenous Infusion Therapy | Inserting a needle directly into a vein to inject a fluid substance into the body. Also referred to as IV Therapy. Includes intravenous infusions and blood transfusions. |
| Intramuscular Injections | Use of a hypodermic syringe to inject a fluid substance into the muscle. For example, Epinephrine injections for severe allergic reactions. |

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| Subcutaneous Injections | Use of a hypodermic syringe to inject a fluid substance beneath the skin. For example, Insulin injections to treat high blood sugar due to diabetes. |

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## Medications/Monitoring

### Overview

Medications and monitoring include the following:

- Drug regulation; and
- Drug administration.

| Medications/Monitoring listed in HEAplus | Definition |
|---|---|
| Drug Regulation | Drug regulation is close evaluation, monitoring and adjustment of medications to ensure they are working effectively and safely. Examples of drug regulation include:<br>• Periodic lab tests, such as blood work to check the cholesterol for a customer on cholesterol lowering medication.<br>• Adjusting the medication dose or schedule based on test results or symptoms. For example, adjusting the insulin dosage based on a sliding scale or not giving the customer Lanoxin if his pulse is below 60.<br>• Close supervision or observation to evaluate adverse reactions, interactions, or immediate response to a drug. For example, watching for a response to chemical restraints or medication prescribed for behavior control.<br>NOTE Drug regulation is not routine monitoring or adjusting of medications that is normally and safely done by a nonprofessional. For example, a customer takes Tylenol for her knee pain because aspirin upsets her stomach. |
| Drug Administration | Drug administration is giving or applying medication to treat an illness or condition. This |

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| | includes prescribed and non-prescribed medication, as well as self-administration. |

#### Documentation

Include the following information in the comments when known or available:

- What medication is being regulated?
- Who is regulating or administering the medication?

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## Skin care

### Overview

Skin Care includes the following:

- Pressure ulcers and other ulcers;
- Ostomy care not related to the bowel or bladder; and
- Wound care.

### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Pressure ulcers and other ulcers | Skin care for a:<br><br>**Pressure ulcer,** also known as a “bedsore” or “decubitus ulcer,” which is a skin breakdown that occurs due to prolonged pressure on a specific area of the body, usually over bony prominences, leading to tissue damage and open sores.<br><br>OR<br><br>**Other ulcers** which refer to various types of sores or lesions that can develop on the skin due to different causes, such as:<br><br>• Arterial ulcers (poor blood flow);<br>• Venous ulcers (problems with blood flow in veins); or<br>• Diabetic ulcers (complications of diabetes)<br><br>Examples of skin care for ulcers include:<br><br>• Putting medicine, like ointment or Betadine, on the ulcer; |

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|---|---|
| | • Covering the ulcer with protective material, like a bandage or Duoderm;<br>• Applying heat treatment to the ulcer to aid the healing process; and<br>• Removing dead or infected skin tissue to help the ulcer heal, also known as debridement.<br><br>NOTE Skin care for ulcers includes preventive measures ordered by a physician for a customer with a history of chronic skin breakdowns that are likely to recur. |
| Ostomy care not related to the bowel or bladder | Skin care for a “cutaneous ostomy”, which is a surgically created opening on the skin surface for drainage from an area like a wound or abscess. The most common example of an ostomy not for the bowel or bladder is a feeding tube, like a Jejunostomy tube (J-tube). Examples of ostomy care include:<br>• Irrigation;<br>• Cleaning; and<br>• Bandaging. |
| Wound care | Skin care for a wound or other condition that needs wound care on an ongoing basis. For specific guidance on what documentation to include in the comment section, see Documentation for Wound Care below:<br><br>Injuries and conditions that may need wound care include:<br>• Injuries resulting in an open wound;<br>• Surgical incisions;<br>• The catheter site for Total Parenteral Nutrition (TPN);<br>• A porta-catheter site; |

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|---|---|
| | • An intravenous or infusion site;<br>• Peritoneal dialysis site; and<br>• Any stoma or opening in the skin, not covered in Sections 1 and 2 above, that needs more than routine care.<br><br>Examples of wound care include:<br>• Applying medicated solutions or ointments;<br>• Covering with gauze or bandages to help protect the wound; and<br>• Dialysis shunt observation. Observations include:<br>◦ Visual inspection for signs of bleeding, bruising, swelling, or infection;<br>◦ Palpation for evidence of stenosis or thrombosis;<br>◦ Listening with a stethoscope to identify any changes in the vascular sounds; and<br>◦ Clinical tests, like color flow doppler, static venous pressure, on-line clearance/access flow tests.<br><br>NOTE Wound care does NOT include simple first aid measures or applying medication for skin conditions, such as acne or dry skin. |

**Documentation**

Include all the following information in the Comments:

- A description of the care the customer gets;

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- The person providing the care;
- How often the customer gets the care; and
- The reason the care is needed.

#### Documentation for Wound Care

Things to keep in mind when documenting wound care:

- Include the location, size, and age of the wound in the comments along with the treatment description.
- Do not select wound care when the wound has healed or the skin opening no longer needs more than routine care on the date of the PAS.
- Wound care does not apply when the skin is intact. For example, there is no wound care when the customer only has a rash or dermatitis.

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# Feedings

#### Overview

This section is used to record feeding treatments the customer is currently receiving. Feeding treatments are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Parenteral Feeding/Total Parenteral Nutrition (TPN) | Delivers nutrition intravenously, bypassing the usual process of eating and digestion. |
| Tube Feeding | Delivers nutrition through a tube directly into the gastrointestinal (GI) tract. Common feeding tubes are nasogastric (NG tube), gastrostomy (G-Tube), and jejunostomy (J-Tube). |

#### Documentation

Include all the following information in the Comments:

- The type of feeding the customer gets;
- The person administering the feeding;
- How often the customer gets the feeding; and
- The reason the feeding is administered using this method.

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## Bladder/Bowel

#### Overview

This section is used to record bladder and bowel treatments the customer is currently receiving. Bladder and Bowel treatments are listed in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Catheter Care | The regular cleaning of urinary catheters and the genital area, emptying and changing draining bags, and disinfecting catheter supplies that are designed to be used more than once.<br>A urinary catheter is a tube placed in the body to drain and collect urine from the bladder. Urinary catheter types include:<br>• Condom;<br>• Indwelling; and<br>• Intermittent self-catheter |
| Ostomy Care | Maintaining the health of an artificial opening or stoma to the bowel or bladder, which includes cleaning the area around the stoma, changing the stoma ring, and changing the ostomy bag.<br>An ostomy is a surgical procedure that creates an opening, called a stoma, from the bowel or bladder to the outside of the body for the passage of urine or stool. |
| Bowel Dilation | The expansion of the anal opening to allow or help stool passage, which includes the use of suppositories. |

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**Documentation**

Include all the following information in the Comments:

- A description of the care the customer gets;
- The person providing the care;
- How often the customer gets the care; and
- The reason the care is needed.

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## Respiratory

#### Overview

This section is used to record respiratory treatments the customer is currently receiving. Respiratory treatments are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Suctioning | Using a tube attached to a machine to remove mucous from the lungs when a customer is unable to do so on their own. |
| Oxygen (O2) therapy | The use of oxygen as a medical treatment, also known as supplemental oxygen. Oxygen can be given a few ways including nasal cannula, face mask, and inside a hyperbaric chamber. The rate of liter flow or percentage of oxygen should be included in the comment. |
| Small Volume Nebulizer (SVN) | A device for converting medication in liquid form into a mist or fine spray which is inhaled through a mask to treat the respiratory system. |
| Ventilator | A device that mechanically assists the patient's respiration, doing part or all the work the body would normally do. For specific guidance on what documentation to obtain and what to include in the comment section, see Documentation for Ventilator below. |
| Tracheostomy (Trach) Care | Suctioning and cleaning parts of the trach tube and skin. This helps prevent a clogged tube and decreases the risk for infection. |

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|---|---|
| Chest Physiotherapy | The process of positioning the body so that gravity will allow drainage from the nasal passages, airways, and sinuses. |
| Continuous Positive Airway Pressure (C-PAP) therapy | A treatment for people who can breathe freely, but have difficulty breathing while asleep. The C-PAP machine keeps the customer's airway continuously open and stimulates breathing. |

**Documentation**

Include all the following information in the Comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the customer gets oxygen therapy, which he administers on his own. Continuous (24 hours a day) O2 set at 2L, due to COPD.

**Documentation for Ventilator**

1. Obtain records from Respiratory Therapy which contain information on the ventilator usage such as hours per day and settings.

2. Include the following ventilator information in the comment section:

- Hours per day, and
- Settings (Rate, Tidal Volume, and Oxygen Concentration)

3. When Ventilator is checked, "Ventilator Dependent" will appear in the pre-populated section on the PAS Summary page.

NOTE There may be times when a customer uses a ventilator but is not considered "Ventilator Dependent". Ventilator dependent means the customer is on a ventilator at least six hours a day for 30 consecutive days. The six hours do not need to be consecutive. If a customer does not meet these criteria add a sentence to the beginning of the PAS Summary that clearly states that the customer uses a ventilator, but does not fit the ALTCS definition of Ventilator Dependent.

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**Definitions Associated with Ventilator**

| Term | Definition |
|---|---|
| Bi-level Positive Airway Pressure (BiPAP) | A device that applies air flow at a higher pressure when a person breathes in than when the person breathes out. A BiPAP is considered a ventilator when the device has a third breath rate setting.<br>Select CPAP when the customer uses BiPAP machine that does not have a set back-up rate. For example, the rates are set as IPAP 15, EPAP 6.<br>Select Ventilator when the BiPAP has all three breath settings. |
| Continuous Positive Airway Pressure (CPAP) | A device that applies air flow at a constant pressure throughout the respiratory cycle.<br>CPAP is never considered a ventilator since no mechanical assistance is provided for inhalation. |
| Expiratory Positive Airway Pressure (EPAP) | The set rate of pressure while exhaling. |
| Inspiratory Positive Airway Pressure (IPAP) | The set rate of pressure while inhaling. |
| Respiratory Flow Sheet | Also known as a Ventilator Flow Sheet. This sheet is used to record ventilator treatment details, including rate, volume, oxygen concentration, and other information. |
| Tidal volume | The amount of air going in and out in one breathing cycle. |
| Ventilator | A device that mechanically assists the patient's respiration, doing part or all of the work the body would normally do. |

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| Ventilator dependent | The customer is on a ventilator at least six hours a day for 30 consecutive days (the six hours do not need to be consecutive), because they are unable to breathe well enough to maintain normal levels of oxygen and carbon dioxide in the blood |
| Ventilator rate | The number of breaths per minute (BPM) delivered by the ventilator. It can be a range or a set number. |

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## Therapies

#### Overview

This section is used to record therapy services the customer is currently receiving. Therapy services are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Physical | Therapy to help improve or maintain physical function. Some examples of physical therapy include:<br>• Hydrotherapy;<br>• Exercises and stretches;<br>• Massage;<br>• Warm water therapy; and<br>• Training on how to use assistive devices |
| Occupational | Therapy to help customer engage in activities of daily life, such as self-care skills, education, work, and social interaction. Some examples of occupation therapy include:<br>• Community and work reintegration training;<br>• Developing of cognitive skills;<br>• Self-care training;<br>• Home management training; and<br>• Wheelchair management. |

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| Speech | Therapy to help regain or improve speech, language, swallowing, and cognitive function. Some examples of speech therapy include:<br>• Physical exercises to strengthen the muscles used in speech and eating;<br>• Speech drills to improve clarity; and<br>• Sound production practice to improve articulation. |
| Respiratory | Treatment provided to restore, maintain, and improve respiratory function. Some examples of respiratory therapy include:<br>• Using a CPAP, which may or may not be under the direction of a respiratory therapist; and<br>• Using a Bi-PAP under the direction of a respiratory therapist. |
| Alcohol and Drug Treatment | Medical, chemical, or psychological treatment aimed at customers with substance-use disorders. Treatment can include self-help groups. |
| Vocational Rehabilitation | Services provided to customer with disabilities to support entering or returning to work by developing or improving job-related skills. |
| Individual and Group Therapy | Treatment of mental health problems by talking with a psychiatrist, psychologist, or other mental health provider. The therapy may be provided individually or in groups. |

**Definitions**

| Term | Definition |
|---|---|

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| Hydrotherapy | The use of water to relieve discomfort and promote physical well-being. |

#### Documentation

Include all the following information in the Comments:

- The type of therapy the customer gets;
- The person providing the therapy;
- How often the customer gets the therapy; and
- The reason the therapy is needed.

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# Rehabilitative Nursing

#### Overview

This section is used to record rehabilitative nursing services the customer is receiving.

Rehabilitative nursing is a professional nursing service that sets up a therapeutic plan of care that is:

- Problem oriented;
- Tailored to the customer; and
- Has measurable goals.

Rehabilitative nursing does NOT include:

- Watching or monitoring the customer, unless it is part of a teaching or training program; or
- Activity or exercise done for recreation or general health purposes.

Rehabilitative nursing services are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Teaching or Training Program | A nursing service to teach a customer or caregiver how to care for a medical need. Examples of teaching or training programs include:<br>• Diabetes testing;<br>• Ostomy care;<br>• Catheter care;<br>• Diet planning;<br>• Use of prosthetics; |

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|---|---|
| | • Self-administering medication; and<br>• Insulin injections. |
| Bowel/Bladder Training | A nursing service that helps a customer manage incontinence through a combination of exercises, techniques, and lifestyle changes. |
| Turning and Positioning | Moving, turning, or repositioning a customer who cannot move on their own. This improves circulation, prevents skin ulcers, and prevents shortening and hardening of muscles, tendons, or other tissue. |
| Range of Motion | An exercise moving a specific joint or body part to:<br>• Maintain and increase joint mobility;<br>• Prevent shortening and hardening of muscles, tendons, or other tissue;<br>• Increase circulation; and<br>• Relieve discomfort. |
| Other Rehabilitative Nursing | Services directed by a nurse or therapist that help a customer regain health or strength. Examples of these services include:<br>• Therapy to improve the customer's ability to walk independently;<br>• Therapy to improve the customer's ability to eat;<br>• Deep breathing exercises; and<br>• Splinting a joint or body part. |

**Documentation**

Include all the following information in the comments:

- The treatment the customer gets;
- The person giving the treatment;

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- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the nurse turns and repositions the customer in his hospital bed every 2 hours to prevent pressure ulcers.

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## Other Services and Treatments

#### Overview

This section is used to record other service and treatments the customer is currently receiving. Other services and treatments are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Peritoneal Dialysis (PD) | A way to remove waste products from the blood when the kidneys are not able to do an adequate job. During PD, a cleansing fluid is added to the belly through a tube. The lining of the belly acts as a filter and the fluid pulls waste and extra fluid from the blood. After a set period, the fluid with the waste products is drawn out of the belly into a drainage bag. PD can be done at home, work, or when traveling.<br><br>There are two kinds of peritoneal dialysis:<br>• Continuous Ambulatory PD (CAPD)<br>• Automated PD (APD) |
| Hemodialysis (HD) | A procedure used to clean the blood by drawing it from a blood vessel into a dialysis machine, which filters out waste and extra fluid. Then the blood is returned to the body through a blood vessel. |
| Chemotherapy/Radiation | Chemical or x-ray agents that have a specific and toxic effect on cancerous cells. |
| Restraints | Devices and medications that limit or restrict movement to protect a customer from injury. These are also known as mechanical and chemical restraints. |

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| | |
|---|---|
| | Mechanical restraints: Physical devices or barriers that restrict normal access to one's body or immediate environment and protect from injury. For example:<br>• Vests;<br>• Seat belt;<br>• Geri chair with lap tray; or<br>• A locked room or area.<br>NOTE Bed and chair alarms, wander guards, and self-removable seat belts are not restraints. Side rails are not restraints unless the intention is to prevent the customer voluntarily getting out of bed.<br>Chemical restraints: Prescribed medication used to stop or reduce behaviors that could cause physical harm to self or others, like combativeness, constant pacing, and self-mutilation.<br>NOTE To be considered a chemical restraint, the medication must be prescribed specifically to control or stop the harmful behavior. |
| Fluid Intake/Output | Measuring and monitoring the amount of fluids the customer takes in, puts out, or both.<br>Fluid intake includes fluids taken by mouth, as well as fluids given by IV or tube feeding.<br>Fluid output includes vomit and urine, including catheter output. Remember that not every customer with a catheter is being monitored for fluid intake/output.<br>NOTE Fluid intake/output does not include routine recording of dietary intake percentages or supplements. |
| Other | Other therapies prescribed for a specific problem. For example:<br>• Hospice; |

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| | |
|---|---|
| | • Sitz bath;<br>• TED hose;<br>• TENS unit for pain;<br>• Special mattress;<br>• Whirlpool (if used for reasons other than physical therapy or decubiti care, it should be noted here);<br><br>Any service or treatment received or needed, but not documented elsewhere, should be indicated here.<br><br>NOTE This is essential if a diagnosis is marked as needing services or treatment. For example, if peripheral vascular disease is indicated because the customer requires treatment with TED hose, then the TED hose should be added here. |

**Documentation**

Include all the following information in the Comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

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# Reassessments

## PAS Reassessments

#### Overview

PAS reassessments are required on certain cases to determine if a customer still meets the PAS eligibility criteria for ALTCS.

#### Reasons for PAS Reassessments

- Elderly or physically disabled (EPD) customers who are under age 65 and were found eligible by physician review on the previous assessment require an annual reassessment.
- A reassessment may be completed at any time for the following reasons:
    - A routine audit of the PAS assessment reveals a question regarding the eligibility decision;
    - A review by Administration or an ALTCS physician consultant determines the member may not have a continuing need for long-term care services; or
    - An ALTCS health plan, case manager, nursing facility, or other party requests a review that reveals a question regarding continuing eligibility.
- A reassessment can be scheduled at six months when the customer has the potential to improve and will no longer need long-term care services. These can be requested by:
    - A Physician Consultant;
    - PAS Analyst Review Consultant (PARC) reviewer; or
    - PAS Assessor, after discussing with a supervisor.

#### Things to keep in mind when completing a PAS Reassessment

- Verify the current address and living arrangement. If this is different from what is displaying in HEAplus, contact the Benefits and Eligibility Specialist (BES) to update the demographics.
- When a customer scores eligible but is experiencing an acute episode or condition that may improve, set a one-year reassessment date.
- A change in score or condition must be explained in the comment section or the summary.

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- Include a complete description of the customer's current functional and medical status.
- Review the PAS records and the prior PAS before conducting a reassessment.
- Contact the Long-Term Care (LTC) case manager prior to completing a reassessment. Discuss potential ineligibility and obtain the last two LTC quarterly assessments.
- A Physician Review must be requested for an ALTCS customer who resides in a nursing facility and meets the score for Transitional but not full ALTCS eligibility.
- Prior to completing a reassessment for a customer who scores into the Transitional Program (MA1010) and resides in a nursing facility, the case manager should be consulted regarding discharge planning.
- On the DD/EPD Information screen in HEAplus, the following fields do not need to be completed:
    - Currently Hospitalized/rehab;
    - Imminent discharge from acute care facility; and
    - Discharge Date.

**Reviewing Reassessment Decision Letters**

The PAS Assessor must review the reassessment letter for accuracy before it is sent. Review the letter in HEAplus using the table below as a guide:

| What to verify | Where it is found |
|---|---|
| The letter is addressed to the customer or representative | • Case Summary screen under Customer Contact Information; or<br>• The most recent Application Summary. |
| The mailing address is complete and correct | • Case Summary screen under Customer Contact Information; or<br>• The most recent Application Summary. |
| Only one language is used on the letter, and it is the customer's or representative's preferred language | • Case Summary screen under Customer Contact Information; or |

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| | |
|---|---|
| | • Information Belongs To page, View Application link, Budget Group page, under Person Applying. |
| Effective date | • For approval effective dates, see MA1309C.<br>• For change effective dates, see MA1501C.<br>• When coverage is stopping, see MA1503. |
| Legal basis for the decision, including:<br>• Denial reason or reason benefits are stopping;<br>• Law and regulation citations. | On the letter in the decision block and under the letter section “Legal Authorities for This Decision”. |
| Appeal rights and Appeal Request Form | On the letter, under “What if You Do Not Agree with our Decision?” The Appeal Request form should be a separate page. |
| PAS Scoring page (only for adverse actions) | The PAS Scoring page is the last page of the letter. |

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# PAS Appendix - DD

## Developmentally Disabled (DD) PAS - Overview

## Developmentally Disabled (DD) PAS - Overview

#### Introduction

In this chapter, you will learn about:

- The Preadmission Screening (PAS) Process and Purpose;
- Standards and best practices for PAS documentation; and
- Investigative interviewing.

For each section in this chapter, you will find:

- An overview of the topic;
- Any definitions needed; and
- Best practices or examples.

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# The Preadmission Screening (PAS) Process and Purpose

#### Purpose

The purpose of the PAS is to determine medical eligibility for long-term care services.

The PAS tool contains a combination of functional and medical factors that are assigned weighted, numerical values. The customer is evaluated on these factors and the assessed scores are added together to get a total score.

The DD PAS tool is used to assess:

- Developmental and Independent Living Skills;
- Medical;
- Nursing; and
- Social needs of the customer.

In general, a customer scoring at or above a threshold score on the PAS is considered to be at immediate risk of institutionalization. This means that the customer needs the level of care typically provided in an institution, like a skilled nursing facility.

#### Process

Follow the steps below for the Initial PAS process

| Step | Action |
|---|---|
| 1 | Schedule the ALTCS PAS Appointment. Take the following actions:<br>• Explain the ALTCS program and the purpose of the PAS.<br>• Ask if any accommodations are needed.<br>• Enter a case note in HEAplus that this was completed. |
| 2 | At the beginning of the PAS interview, take the following actions:<br>• Reexplain the ALTCS program and the purpose of the PAS to everybody attending the PAS interview. |

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|---|---|
| | • If the DE-202 has not already been obtained, explain the reason it is needed. Obtain a signature for the DE-202 using DocuSign. If DocuSign is not available, use another method to get the DE-202 signed, such as fax or mail. |
| 3 | Use the appropriate PAS tool to conduct the PAS interview. Follow the guidance in Investigative Interviewing. |
| 4 | Ask the customer or representative for the names of providers needed for medical records. |
| 5 | At the end of the PAS interview, explain the following to the customer or representative:<br>• What happens next in the PAS Process;<br>• They may hear from the ALTCS Benefits and Eligibility Specialist;<br>• The Appeal Process; and<br>• The customer's right to reapply at any time if they are medically ineligible. |
| 6 | Provide a list of Community Resources for the customer and representative and include a statement in the PAS summary that the list was provided. |
| 7 | Inform the customer and representative that they will receive a call and a letter telling them of the medical eligibility determination. |

**Process for Posthumous, Prior Quarter, and Private Request PAS**

A PAS may be requested for a deceased person, a prior quarter month, or before applying for ALTCS. There is a special process when a PAS is requested for one of these reasons. Information for each process is found below.

**1) Posthumous PAS**

A posthumous PAS is completed after a customer has passed away. Reasons for a posthumous PAS are:

- The customer passed away after the application was made; or
- Someone applied for the deceased customer.

**Things to Keep in Mind When Completing a Posthumous PAS:**

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- For a posthumous PAS, the date of death must be entered on the application before the PAS is opened. Without a date of death, the PAS is completed as an Initial PAS and all questions must be answered.
- No comments are required when scoring. However, a brief summary must be included on the PAS Summary screen.
- The following are not required:
    - Deterioration in overall function;
    - Medications, assistance required for administration, and any allergies to medications;
    - Therapeutic diet;
    - Number of hospitalizations, ER visits, and falls; and
    - Whether the client was hospitalized or had plans for discharge.
- A posthumous PAS can be completed for a deceased customer regardless of the living arrangement.
- It is the PAS assessor's responsibility to notify the financial Benefits and Eligibility Specialist when the customer dies after the PAS referral has been made. Give the financial Benefits and Eligibility Specialist the following information:
    - The date of death;
    - The place of death; and
    - The person who provided this information.

#### 2) Prior Quarter PAS

Prior Quarter (PQ) coverage provides medical coverage for up to three months prior to the month of application. Children under age 19 and women ages 19-60 who are pregnant or in the postpartum period may qualify for prior quarter coverage. To be eligible the customer must:

- Have a medical expense in the PQ month. The medical expense can be paid or unpaid; and
- Meet all eligibility requirements in the month the medical expense was incurred.

**Things to Keep in Mind When Completing a Prior Quarter (PQ) PAS:**

- To get the PQ PAS to autofill the answers, enter the Initial PAS first, then open the oldest PQ PAS, then the next oldest PQ, and then the most recent PQ.
- If the Initial PAS and all the PQs score Eligible and do not need Physician Review (PR), select "Complete PAS" starting with the Initial PAS, then the oldest to most recent PQ PAS.

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- When the Initial PAS and PQ months need PR, do NOT select “Complete PAS” on the Initial or PQ months until the case is returned from PR.

#### 3) Private Request PAS

A Private Request PAS (PRP) is a courtesy provided to see if the customer is at risk of institutionalization before an ALTCS application is submitted. Because the PRP does not include an application, a decision notice is not sent and the customer cannot appeal the decision.

An eligible PAS, including a Private Request PAS, may be used for up to 180 days when a customer is denied financially and later reapplies. An ineligible PAS is never used for a new application.

A PRP may be requested when the customer:

- Plans to move to Arizona and wants to know if they are medically eligible;
- Knows they are within the financial limits, but are not sure about medical eligibility; or
- Knows they are over the resource limit and wants to know if they are likely to be medically eligible before they consider reducing resources.

**Things to Keep in Mind When Completing a Private Request PAS:**

| | |
|---|---|
| When the customer is a resident of Arizona | • Make an appointment and complete the PAS just as you would any other PAS.<br>• Request medical records as usual.<br>• After completing the PAS in the system, tell the customer that based on the courtesy assessment, they do or do not meet medical eligibility criteria.<br>• An eligible PRP can be used when the customer applies within six months from the date the PRP was completed. |
| When the customer is NOT a resident of Arizona | • Contact the customer and any caregivers to obtain PAS information.<br>• Request medical records as usual. |

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|---|---|
| | • If a PR is needed but the customer does not have solid plans to move to Arizona, discuss the case with your Benefits and Eligibility Manager.<br>• Tell them that it appears they do or do not meet the medical eligibility criteria.<br>• Make it clear that when they apply for ALTCS, another PAS assessment may need to be completed. |

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# Medical Records

#### Overview

Medical records are a critical part of making an objective and accurate PAS decision.

Review all available medical records and use the information when scoring the PAS. A few examples of medical records that are useful in the PAS assessment include:

- DDD/DES Person-Centered Planning Document;
- Department of Special Education Individualized Education Program (IEP);
- Multidisciplinary Evaluation Team (MET) record;
- Clinical Autism Diagnostic Evaluation;
- Consultations by specialists (for example, psychology, psychiatry, neurology, or cardiology reports);
- Therapy notes (for example, speech, occupational, behavioral health, and physical therapy);
- Primary Care Physician (PCP) reports.

#### Things to keep in mind when reviewing medical records

When reviewing medical records:

- Make sure that the customer's name is on all records and is correct.
- For records that include the customer's date of birth (DOB), check that it matches the DOB on file. If it does not, determine which one is correct by contacting the provider about the discrepancy. If the provider has the incorrect DOB, but the records are for the customer, add a sentence to the summary stating the provider entered the wrong DOB, but the records are correct. If our records are incorrect contact the Benefits and Eligibility Specialist (BES) and report that the DOB in HEAplus appears to be incorrect.
- Review the dates on medical records used to support your scores and decision. The records should be current and relevant to the customer's condition, typically within the past six months. When older records are relevant, include the explanation in comments. For example, a 50-year-old customer was diagnosed with moderate intellectual disability 35 years ago and that is the most current record of the diagnosis.

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**Scoring when medical records are not available or conflict with reported function**

Follow the steps below when the information provided by the customer, caregiver, or representative during the PAS conflicts with the medical records, or medical records are not available:

| Step | Action |
|---|---|
| 1 | Were medical records provided for the customer?<br>• If YES, continue to step 2.<br>• If NO, STOP. Score based on what the caregiver or representative reported, noting any differences between what was and what you observed. |
| 2 | Do the medical records support the customer's responses?<br>• If YES, STOP. Score based on the customer's responses.<br>• If NO, contact the caregiver to discuss and clarify the differences. Continue to step 3. |
| 3 | Does the caregiver have a valid reason explaining why the medical records contradict what is being reported?<br>• If YES, score based on the caregiver's report and add comments to each section that has a discrepancy describing the reason the reported information was used instead of the medical records.<br>• If NO, score based on the most relevant records and add comments to each section that has a discrepancy explaining why the reported information was not used. Contact your Benefits and Eligibility Manager (BEM) requesting review. The BEM determines if the PAS scores are accurate, if able. When the BEM is unable to determine the accuracy of the scores, a M.A.R.S. Inquiry is sent to PAS Policy. |

**Definitions**

| Term | Definition |
|---|---|

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| | |
|---|---|
| Valid reason explaining why the medical records contradict what is being reported | Based on the PAS Assessor's knowledge and experience, a valid reason is a logical explanation of why the reported information conflicts with the medical records.<br><br>Reasons may vary and could cover dozens of scenarios. For example:<br><br>• The customer is a 55-year-old female diagnosed with moderate intellectual disability and lives alone. She says that she can walk "just fine" with her cane. Recent medical records state the customer is an extreme fall risk, and EMS has been contacted by neighbors four times in the past 45 days. The PAS Assessor contacts the customer to ask about the falls reported in the records and the customer says she does not remember falling. The PAS Assessor does not find a valid reason to use the customer's statement instead of medical records and explains why in the comments.<br><br>• A Clinical Autism Diagnostic Evaluation from six months ago indicates the customer was using a few words and making frequent eye contact with his parents. The customer's mother reports that when her child was 12 months old, he was saying a few words and looking at her often. She explained that at 17 months of age he became completely non-verbal and no longer makes eye contact with anyone. The mother is extremely concerned and has scheduled an appointment with the licensed psychologist who evaluated her son six months ago. The PAS Assessor finds the explanation a valid reason to use the statement instead of medical records, explains why in the comments. |

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# Investigative Interviewing and Documentation

#### Overview

The PAS, with all comments and documents, is the legal basis for ALTCS medical eligibility decisions. Documentation is the critical key to objective and accurate PAS decisions. The PAS should be clear, complete and correct. The PAS documentation should support the score. Information from the PAS is shared with the ALTCS Health Plan and may be shared with federal and state auditors, the customer, the Office of Administrative Hearings, and when authorized, with other parties.

Investigative interviewing involves collecting detailed and accurate information about the customer's development, motor skills, independent living skills (ILS), and behavioral concerns. Use your knowledge and expertise of the PAS assessment to do this.

> NOTE Tips for collecting accurate, complete information for specific functions and conditions have been added to the Appendix sections for those areas.

#### Before scheduling the PAS visit

It is important to be prepared. Always check to see if there is a prior PAS for the customer. When the customer has a prior PAS, take the following actions:

- Review the prior PAS.
    - Do the comments and records support the scores?
    - Was a Physician Review completed on the prior PAS? If so, what was the physician's decision?
- Review the previous medical records.
    - Make note of the customer's medical conditions.
    - Look for any developmental or functional limitations mentioned.
    - Make note of any behavioral health providers listed and services provided.

If there is no prior PAS, review the current PAS referral and gather as much information as possible, including records from the DDD Support Coordinator.

#### During the PAS Interview

Use the tips below for the PAS Interview:

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| Tip | Steps |
|---|---|
| Build rapport with the customer and others involved. | • Be on time. If you are running late, call the customer and let them know. The PAS may need to be rescheduled to ensure there is enough time to do a thorough interview.<br>• Extend a warm greeting and introduce yourself.<br>• Be prepared. Make sure your equipment is working properly before the interview begins. Have all needed paperwork available.<br>• Review and describe the medical criteria for eligibility, the PAS, and its purpose, and what will be covered during the interview.<br>• Make sure the people involved have a clear understanding of the interview and ask if they have any questions. |
| Review the PAS questions and information with the people involved. | • Use the tips in the Investigative Interviewing Skills section below to gather clear, complete information for the DD PAS.<br>• Avoid asking leading questions.<br>• Give the person time to answer each question. Make sure to get enough information to provide a clear, complete, and correct picture of the question being asked.<br>• If the customer has a previous PAS, discuss any information that has changed since the previous PAS. Make sure changes in the customer's status are clearly and accurately explained in summary.<br>• Ask about any decline in health or regression in developmental milestones or ILS skills. HAS the decline or regression been discussed with a medical provider? |

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**Investigative Interviewing Skills**

Ask questions and use statements that encourage the person to give information. The tips in the table below give ways to gather clear, correct, and complete information.

| Skill Type | Description | Examples |
|---|---|---|
| Open-ended questions | • Are worded so the question cannot be answered with “yes,” “no” or just one-word.<br>• Encourage discussion.<br>• Begin with words like "who", "what", "where", "when", and "how".<br><br>NOTE Most questions in the DD 0-5 tool are “yes” or “no”, but still need more details. For example, how often the customer completes the task or how long it takes. | • Who helps the customer get dressed?<br>• What does the customer’s personal hygiene routine look like?<br>• What is the customer doing on their own, and what do they need assistance with?<br>• How was the customer physically aggressive?<br>• When was the last time the customer was physically aggressive?<br>• Where did the customer go when he ran away? |
| Inquiry statements | • Encourage the person to volunteer information.<br>• Allow for a wide range of answers. | • Tell me more about what happens when she is having a tantrum.<br>• Please explain how your child…<br>• Describe how the... |
| Clarifying questions | Prevent or correct misunderstanding and confusion. You may need to ask more than one question to clarify the information. | The customer’s mother said: “Johnnie can make a bowl of cereal and a peanut butter and jelly sandwich, but he’s really messy."<br><br>You say: “So you said Johnnie can make a bowl of cereal and a sandwich. Does he do this all by himself? Is he able to clean up after himself when he |

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| | | |
|---|---|---|
| | | is done?" |
| Restating information | Repeating exactly what was said to be sure it was heard correctly. This confirms what was said and avoids misunderstanding. | You said you “check the customer after she bathes by smelling her hair and checking her hands and feet to make sure they are clean.” Is that right? |
| Paraphrasing | Restating information using your own words. Paraphrasing confirms that the information is understood correctly. | The customer’s father said: “When Johnnie is having a bad day and gets really mad, he just loses control and breaks everything around him.”<br><br>You say: “So Johnnie only loses control and starts breaking things when he gets really angry? Is that correct?” |

**Definitions**

| Tip | Steps |
|---|---|
| Documentation | For eligibility, this means all entries in HEAplus screens, written comments and notes, and any documents in HEAplus or EDMS. |

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# Intake Information

## Intake Information

#### Introduction

In this chapter, you will learn about setting up the PAS in the following HEAplus batteries:

- Open PAS;
- Developmental Disabilities;
- Assessment; and
- DD/EPD Information.

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# Open PAS Battery

#### Overview

Most of the fields on this screen are automatically populated by the system. See the table below for a list and descriptions of fields on the Open PAS screen:

| Field Name | Description |
|---|---|
| Application IDs | There may be more than one application for the customer |
| Person ID number (PID) | Provides the customer's PID |
| Assessment Date | Not automatically populated. Enter the PAS appointment date. |
| Assessment type | Shows one of the following assessment types:<br>• Initial<br>• Posthumous<br>• Prior Quarter<br>• Private Request<br>• Reassessment |
| PAS tool used | Lists the PAS tool appropriate for the person's DD status and age. |
| DD status of each application | • Potential DD: May have a developmental disability, but eligibility has not been determined by DES/DDD.<br>• DD: DES/DDD determined the customer is eligible for DD services. |

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| | • DD in NF: The customer is eligible for DD services and is living in a nursing facility.<br>• Not DD - DES/DDD determined the customer is not eligible for DD services. |
| Status of the PAS | • Open PAS – a PAS has not been started. Click the “Open PAS” link to begin.<br>• Continue PAS - the PAS has been started but not completed. Click the “Continue PAS” link to continue.<br>• View PAS – the PAS was completed and is closed. Click the “View PAS” link to view the PAS.<br>• Incomplete – the PAS is not complete but is closed. Generally used when the customer missed the PAS appointment, voluntarily withdrew, or had mail returned and could not be contacted. |
| PAS Records link | The link goes to the PAS History screen where you can review other PAS assessments for the customer. |

**DD Status Changes**

Take the following steps when the customer’s DD status has changed:

| Step | Action |
|---|---|
| 1 | On the Open PAS screen, click the pencil icon in the DD Status box. |
| 2 | On the DD History screen, click the edit icon in the line that needs updated. |
| 3 | Enter the date the status ended in the End Date field. Click “Save.” |
| 4 | Click on the “Add DD” link. |

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|---|---|
| 5 | Select the new DD Status from the drop-down list in the DD Status field. |
| 6 | Enter the date the status began in the Begin Date field and click “Save”. This date must be at least one day after the end date of the previous DD Status. |

**Definitions**

| Term | Definition |
|---|---|
| Qualifying developmental disability | For DES/DDD eligibility, a qualifying developmental disability means the customer has been diagnosed with at least one of the following:<br>• Intellectual Disability<br>• Cerebral Palsy<br>• Seizure Disorder<br>• Autism<br>• Down Syndrome |

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# Developmental Disabilities

#### Overview

The Developmental Disabilities page tells whether the customer has or had a DD qualifying diagnosis and gives the DD history. The fields on this page are automatically populated by the system.

When the DD diagnosis question is answered “Yes”, the DD Case Status is also shown. Click the Focus Response button to view the DD Case Status report. Any changes to the DD status will be listed in the DD history. The DD history includes the following information:

- DD status
    1. Not DD – the customer does not have a DD status
    2. DD – the customer has or had a DD status
    3. Potential DD – the customer is potentially eligible for DDD.
    4. DD in NF – the customer has or had a DD status while in a skilled nursing facility.
- Begin date – the date the DD Status began.
- End date – when a customer has a change to DD Status, this is the date the previous DD Status ended.

NOTE It is very important to make sure the DD status is correct before completing the PAS.

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# Assessment

#### Overview

This section is used to gather information about:

- The PAS tool used
- The assigned assessor
- Where the customer is located at the time the PAS is conducted
- The phone number for the location where the PAS interview is conducted
- The customer's living arrangement

#### Assessment Information

Complete these fields as described below:

| Field Name | Field Information |
|---|---|
| DD Status | The field is pre-filled by HEAplus with the DD status selected when the application is registered. |
| Tool Used | The field is pre-filled by HEAplus with the DD status selected when the application is registered and the PAS created. |
| Assessor<br><br>(the first of two Assessor fields) | Use the dropdown list to select the name of the assessor who creates the PAS and conducts the interview. |
| Assessor<br><br>(the second of the two Assessor fields) | When another assessor helps complete the PAS, use the dropdown list to select the name of the assessor who helped. |

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| | |
|---|---|
| | NOTE It is not common that another assessor needs to help with a PAS, and this field is usually blank. |
| Location | Use the dropdown list to select the setting where the in-person PAS interview is conducted.<br><br>When the interview is conducted by telephone, select the setting the customer is located at the time of the PAS interview. |
| Telephone | Enter the telephone number for the location where the PAS interview is conducted.<br><br>When the interview is conducted by telephone, enter the telephone number for the customer's location at the time of the PAS interview. |

**Living Arrangement**

Complete these fields as described below:

| Field Name | Field Information |
|---|---|
| Usual Living Arrangement | Use the dropdown list to select the usual living arrangement as follows:<br><br>• Community: Customer lives in a private home, mobile home, apartment, or is homeless, which includes staying in a homeless shelter.<br><br>• Group Home: The customer lives in a residential placement with a large group of other people.<br><br>• ICF/ IID: The customer lives in an Intermediate Care Facility for Individuals with Intellectual Disability, or related conditions. |

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|---|---|
| | • Nursing facility: The customer lives in a nursing facility. This includes both certified and uncertified facilities.<br>• Other supervised setting: The customer lives in an adult foster home, adult care home, apartment for assisted living, or similar setting.<br>• Residential Treatment Center: The customer lives in a facility that provides behavioral health services to people under age 21 or under age 22 when admitted prior to age 21.<br>NOTE “Usual living arrangement” means the customer’s living arrangement for the last six months or the current living arrangement when there is no plan to make a change. |
| Usual Living Situation | Use the dropdown list to select the appropriate usual living situation as follows:<br>• Lives Alone<br>• With Non-Relative: The customer lives with others not related to him or her. Also select this option when the customer lives in the same nursing facility or assisted living setting as a spouse or other family member.<br>• With Other Relative: The customer lives with a relative other than a spouse or parent.<br>• With Parents<br>• With Spouse<br>NOTE “Usual living situation” means the people with whom the customer has lived for the last six months or currently lives with when there is no plan to make a change. |

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## DD/EPD Information

#### Overview

This section is used to gather information about the customer's:

- Medical assessment
- Physical measurements

#### Medical Assessment

The table below lists the questions for this part of the application and how to complete them:

he comment should always include who gave the information.

| Question | Answer |
|---|---|
| Currently Hospitalized/rehab | Select "Yes" when the customer is in the hospital or an intensive rehabilitation facility. Otherwise, select "No". |
| Imminent discharge from acute care facility | Select "Yes" when the customer is in an acute care facility when the PAS is completed. Otherwise, select "No". |
| Discharge Date | • When there is a planned discharge date, enter the date provided.<br>• When there is no firm discharge date, enter the date of the PAS interview. |

#### Physical Measurement

Complete the physical measurements section. Use approximate height and weight if the actual measurement is unknown. To enter the height and weight using metric units, select the check box next to "Enter in Metric Units".

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**Definitions**

| Term | Definition |
|---|---|
| Acute care facility | • A hospital, when the customer is not in a long-term care bed, or<br>• An intensive rehabilitation facility. |
| Intensive rehabilitation facility | A free-standing rehabilitation hospital or a rehabilitation unit within a hospital that provides an intensive rehabilitation program. Patients admitted must be able to tolerate three hours of intense rehabilitation services per day. |

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# Functional Assessment

## DD Functional Assessment

#### Introduction

In this chapter, you will learn about the Functional Assessment for the following:

##### DD 0-5 PAS tool

- Developmental Domain

##### DD 6-11 PAS tool

- Motor and Independent Living Skills
- Communication
- Behaviors

##### DD 12+ PAS tool

- Motor and Independent Living Skills
- Communication and Cognitive function
- Behaviors

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# Ages 0-5

## Ages 0-5

#### Overview

The DD 0-5 PAS tool is designed to assess the following:

- Gross motor skills;
- Fine motor skills;
- Communication skills;
- Socialization skills;
- Daily living skills; and
- Behaviors.

#### Things to Keep in Mind When Scoring Questions for Developmental Domain

- During the interview, write down your observations, and take the time to discuss any differences between what is reported by the caregiver and what is seen or read in medical records to ensure accurate scoring. See “Scoring when medical records are not available or conflict with reported function” in PAS Documentation for more guidance.
- Answer items based on the child’s performance now, not based on the way the skills were performed at the ages indicated on the PAS tool.

NOTE There are some questions with an exception. These questions are called Precursor Skills. See definition below.

- All available, pertinent records should be reviewed prior to completing the PAS scoring to supplement information gathered at the interview.
- Don’t assume a child can perform skills based on their performance in other developmental age ranges. Many children with developmental delays have Scattered Skills. See definition below.
- At the PAS interview, read all the questions exactly as they are worded on the PAS tool. Do not paraphrase the questions. Further explanation can be given if the question is not understood, however that should be done only after reading the full question as it is written.
- If the parent or caregiver’s response to the question is “sometimes” ask more questions to assess what is meant by “sometimes” and determine the proper score. If the skill is emerging,

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and a child has just begun to perform the milestone, the answer would be “Yes” regardless of how well they do it.

- Enter a comment for ALL questions asked. Include who reported the information, what the answer was (Yes or No), and any additional information given.

**Definitions**

| Term | Definition |
|---|---|
| Emerging Skills | New skills that the child is just beginning to do. They are skills that the child has not mastered yet. |
| Precursor Skills | Developmental skills that are usually attained before learning a more advanced skill. |
| Reverse Scoring | The scoring is reversed for questions 9, 63, 64, 65, 76, 77, 78, and 79. A “Yes,” response indicates potential for a serious problem and has a weighted numerical score. |
| Scattered Skills | Scattered skills are common with children diagnosed with autism spectrum disorder (ASD). A child may perform several skills within a certain range of developmental checklists but may have some skills in that range that are missing completely. For example, a child has age-appropriate gross and fine motor skills but shows significant delays with their communication and social skills. |

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# Ages 0-5 Developmental Domain

#### For Infants less than 6 months old

There is no Functional Scores section for infants less than 6 months old.

Take the following steps to complete a PAS for this age group:

| Step | Action |
|---|---|
| 1 | Complete all available sections of the PAS in HEAplus. There will not be a Developmental Domain section for infants less than 6 months old. |
| 2 | Add a description of the child's emerging developmental patterns to the PAS Summary, including:<br>• Muscle tone, such as lifting their head when lying down;<br>• Visual and hearing perception, such as following objects with their eyes or turning their head towards a sound;<br>• Sleep and feeding habits; and<br>• Social interaction, such as smiling or cooing at a face or a touch. |
| 3 | Request all pertinent medical documentation, including evaluations and assessments. |
| 4 | Once the medical records are in EDMS, submit a request for a mandatory Physician Review (PR). |

#### Introduction

In this chapter, you will learn about completing the Functional Scores section for customers at least 6 months old, but younger than 6 years old. There is no Functional Scores section for infants less than 6 months old. There are nine sections of developmental questions that are asked depending on the age of the child. They are as follows:

| For ages... | Ask Questions... |
|---|---|

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| | |
|---|---|
| 6 months and older | 1-9 |
| 9 months and older | 1-19 |
| 12 months and older | 1-28 |
| 18 months and older | 1-44 |
| 24 months and older | 1-56 |
| 30 months and older | 1-65 |
| 36 months and older | 1-79 |
| 48 months and older | 1-93 |
| 60 months, but less than 72 months old. | 1-101 |

NOTE Check the customer's date of birth to see if they are nearing an age where additional questions are asked. It is usually beneficial to complete the PAS assessment after the age change. Discuss these cases with a supervisor.

#### Questions Asked

The following tables include guidance for the developmental questions that are asked for each age group. The questions must be read exactly as they are written. Clarity can be given if requested.

**For 6 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 1. Does your child lift their head when laying on their back? | • Answer "Yes," even if the child is only able to lift their head briefly. Include this information in the comments. |

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| | • Answer “Yes,” if the child is starting to do this, but not all the time. Include this information in the comments. |
| 2. When your child is on their tummy, does s/he straighten both arms and push their whole chest off the bed or floor? | • Answer “Yes,” even if the child is only able to straighten both arms and push their whole chest off the bed or floor briefly. Include this information in the comments.<br>• Answer “No,” if the child in unable to be on their tummy due to medical or physical limitations. Include this information in the comments. |
| 3. If you hold both hands just to balance your child, does s/he support their own weight while standing? (That is, can s/he bear weight?) | This is a precursor skill for fine and gross motor skills.<br>• Answer “Yes,” even if the child can only bear weight and balance briefly.<br>• Answer “Yes,” if the child is walking around furniture while holding on with one hand. The child has moved beyond this stage to a higher level of development.<br>• Answer “Yes,” if assessing an older child who can bear weight and balance, even if it is only briefly. Add comments to explain anything that is atypical. |
| 4. Does your child reach for OR grasp a toy? | • The child does not have to do both to achieve a “Yes” response.<br>• If an older child has a physical impairment and is unable to reach for an object but does grasp, the answer would be “Yes”. Include this information in the comments.<br>• If the child only uses one hand to complete this task, the answer would be “Yes”. Most children will have a dominant side and tasks will primarily be performed with that hand.<br>• If the child has the use of only one hand but can complete the task with that hand, |

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| | the answer would be “Yes.” Include this information in the comments. |
| 5. Does your child try to pick up a crumb or Cheerio by using their thumb and all their fingers in a raking motion, even if they aren't able to pick it up? (If they already pick up the crumb or Cheerio, check "yes" for this item.) | • Answer “Yes,” if the child tries to pick up a crumb or Cheerio. This question is asking if the child **attempts** to do the task, not if they can actually do it. |
| 6. Does your child make high-pitched squeals? | This is a precursor skill for saying words or speaking in phrases.<br><br>If the parent is unsure, some follow up questions include:<br><br>• Does the child scream when upset or scared?<br><br>• Does the child cry making a high-pitched sound when sad, angry, or scared? |
| 7. Does your child show two or more emotions? (For example, laughs, cries, screams, etc.) | • If the child does not do this consistently, include a description of when it does happen in the comment section.<br><br>• Include the emotions the child does show in the comment section. Other examples include, startled, angry, surprised, sad. |
| 8. Does your child act differently toward strangers than s/he does with you and other familiar people? (Reactions to strangers may include, for example, staring, frowning, withdrawing, or crying.) | • Include the child’s reaction to strangers and the child’s reaction to familiar people in the comment section.<br><br>• When an in-person interview in conducted, include how the child responded to you in the comment section. |
| 9. Does your child stiffen and arch their back when picked up? | This is a Reverse Scoring Question used to establish typical neurological development or GI concerns.<br><br>• If a parent or caregiver does not understand the question, ask follow-up questions for clarification. For example: |

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| | ◦ Is there a medical concern that causes the child's muscle tone to change?<br>◦ Does the child pull away when you try to pick him up for no apparent reason?<br>◦ Does this behavior happen regularly or only at certain times?<br>• A "Yes" answer to this question could be an indicator of a serious neurological disorder or severe gastrointestinal problem. Include the medical condition in the comment section if applicable.<br>• This question is not assessing if a child does this because they are upset, do not want to stop what they are doing, or are resistive to being picked up. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 9 MONTHS

**For 9 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 10. Does your child roll from their back to their tummy, getting both arms out from under them? | This is a precursor skill for standing, crawling, or walking.<br>• If the child is standing, crawling, or walking, they have progressed beyond this stage and the answer is "Yes" even though they may no longer roll from their back to their tummy.<br>• Answer "Yes," if the child does this sometimes, and add the specific or estimated frequency, and when it is done to the comments. For example, the child only rolls from their back to their tummy with certain people. |

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| 11. When you stand your child next to furniture or the crib rail, does s/he stand, holding onto the furniture for support? | This is a precursor skill for standing alone, walking, running, or climbing.<br>• If the child is standing alone, walking, running, or climbing, they have progressed beyond this stage and the answer is “Yes”. |
| 12. Does your child creep or move on their stomach across the floor? | This is a precursor skill for crawling or walking.<br>• If the child is walking, they have progressed beyond the creeping stage and the answer is “Yes” even though they may no longer creep or move across the floor on their stomach.<br>• If the parent indicates the child never crept, it would be inaccurate to answer “No” to this question if they are now walking. |
| 13. Does your child sit supported (for example, in a chair with pillow, etc.) for at least 1 minute? | This is a precursor skill for sitting independently.<br>• If the child is sitting independently, they have progressed beyond this stage and the answer is “Yes”.<br>• Include in the comment how long the child sits with supports. If the child sits without support for at least a minute, include that in the comments. If the child falls or slides after a minute, include that in the comments too. |
| 14. When a loud noise occurs, does your child respond? (For example, act startled, cry or turn toward the sound.) | • Answer “Yes,” even if the child does not respond every single time a loud noise occurs.<br>• If the caregiver responds, “Sometimes” answer “Yes” and ask questions to clarify when the child does and does not respond. For example, the child does not respond to loud noises when watching her favorite movie. Include this information in the comments. |

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| 15. If you call your child when you are out of their line-of-sight, does s/he look in the direction of your voice? | • This question is not asking if the child goes to look for the person calling them or looks in their eyes once they find them. It is specifically asking if the child looks in the direction from where the voice is coming from.<br>• Answer “Yes,” if the child does this briefly or “sometimes” and include this information in the comments. |
| 16. Does your child make non-word sounds? (That is, babble or jabber?) | This is a precursor skill for talking.<br>• A child who now has meaningful words probably no longer babbles. The answer would still be “Yes”. In this case, there is no need to determine whether the child did babble or can babble because they have moved beyond this stage to a higher level of development. |
| 17. Does your child look toward you (parent or caregiver) when hearing your (parent or caregiver’s) voice? | This question is not asking if the child makes eye contact or looks into the parent’s eyes.<br>• Answer “Yes,” if the child looks in the direction of their parent or caregiver.<br>• Answer “Yes,” if the child does this briefly or “sometimes” and include this information in the comments. |
| 18. Does your child enjoy playing peek-a-boo/ pat-a-cake? | This is a precursor skill to assess the child’s enjoyment of joint attention or reciprocity-based games.<br>• The question is asking if the child “enjoys” one of these games, not if they physically participate. The parent may be the one doing the activity, but the child still shows signs of enjoyment.<br>• A child who is older may no longer be interested in these types of games so follow-up questions should be asked for accuracy. Did the child enjoy peek-a-boo or pat-a-cake when they were younger but now enjoy more advanced interactive |

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| | games? For example, Chutes and Ladders, Candy Land, or Connect 4. |
| 19. Does your child feed themselves a cracker or cookie? | • This question is assessing the physical act of getting food from hand to mouth, chewing and swallowing.<br>• Answer “Yes,” if the child can begin feeding themselves a cracker or cookie, but then the parent finishes.<br>• Answer “Yes,” if the child does this inconsistently. Include this information in the comments.<br>• If the parent answers “No,” ask follow-up questions to find out if the child feeds themselves any other types of foods. For example, the child feeds themselves Cheerios. The answer would still be “Yes”. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 12 MONTHS

**For 12 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 20. Does your child walk around the furniture while holding on with only one hand? | This is a precursor skill for walking without holding onto anything.<br>• If the child is walking without holding onto anything, they have progressed beyond this stage and the answer is “Yes”.<br>• Answer “Yes,” if the child does this, but falls. Include this information in the comments |
| 21. Does your child crawl at least 5 feet on hands and knees, without stomach touching the floor? | This is a precursor skill for walking, running, or climbing.<br>• If the child never crawled, but is now walking, running, or climbing, answer “Yes,” UNLESS there is a physical |

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| | impairment that keeps them from being able to crawl on their hands and knees. If so, answer “No,” and include this information in the comments.<br><br>• If the child is physically unable to perform this milestone, include what the limitations are in the comments. Also, include how they do move. For example, scoot on their bottom, creep, or the parent moves them. |
| 22. Does your child hold a bottle or cup? | This is a precursor skill for drinking from a cup or glass.<br><br>• Answer “Yes,” if the child drinks from a cup or glass, even if they never performed this skill.<br><br>• Answer “Yes,” if the child can hold a “sippy cup”. The cup does not have to be open for the answer to be “Yes”. |
| 23. Does your child move an object from one hand to the other? | This question is assessing whether the child can coordinate the two sides of their body together.<br><br>• If the child is unable to do this, describe what they do instead. For example, the child turns his whole body to get the object to avoid crossing the midline, or the child drops the object on the floor first and then picks it up with the other hand. |
| 24. Does your child pick up a small object with thumb and fingers? | • Answer “Yes,” if the child only has the use of one hand but can complete the task with that hand.<br><br>• If the parent is not sure what the question means, ask if the child can pick up an object using a pincer grasp and show, or explain, what that means. |
| 25. Does your child coo or laugh or make other sounds of pleasure? | Ask how the child shows excitement or happiness to those they are comfortable around. If the parent or caregiver reports they do not show excitement or happiness, ask what the |

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| | child does instead and include this information in the comments. |
| 26. Does your child reach for familiar person when person holds out arms to them? | This is to assess understanding and response of non-verbal communication.<br>• Answer “Yes,” if the child does it with only some familiar people, or sometimes, briefly. Include comments to explain.<br>• If the parent reports “sometimes” ask and include a more specific or average frequency. Explain under what circumstances a child might not do it. For example, the child doesn’t do it when they are mad or busy with another activity.<br>• Answer “No” if a child responds but cannot physically lift their arms. Include comments to explain that the child appears to understand and respond to non-verbal communication but has a physical barrier. |
| 27. Does your child play with a doll or stuffed animal by hugging it? | This is to assess if a child shows affection or self-soothes.<br>• Answer “Yes,” if the child initiates hugging other objects, toys, pets, or people. Include this information in the comments.<br>• Answer “No,” if the child hugs a doll or stuffed animal only because a parent tells them to but does not initiate it on their own. Include this information in the comments. |
| 28. Does your child suck OR chew on finger foods? (For example, crackers, cookies, toast, etc.) | This is to assess the child’s oral feeding abilities needed for swallowing.<br>• The child does not have to do both to achieve a “Yes” response.<br>• Answer “No,” if the child is tube-fed and unable to consume any food orally. Include this information in the comments.<br>• Answer “No,” if a child can only consume a meal that has been altered, for example pureed, to avoid choking or swallowing |

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| | issues. Include this information in the comments. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 18 MONTHS

**For Ages 18 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 29. Does your child stand in the middle of the room by themselves and take several steps forward? | This is a precursor skill for walking independently, climbing, jumping, and running.<br>• Answer “Yes,” if the child is able to take several steps forward and then falls. Include this information in the comments. |
| 30. Does your child climb on furniture? | Helpful follow-up questions include:<br>• How does the child get on and off a bed?<br>• How does the child get on and off a sofa?<br>• How does the child get on and off a chair? |
| 31. Does your child turn the pages of a board, cloth, or paper book by himself/herself? **(S/he may turn more than one page at a time.)** | Answer “Yes,” if the child can turn the pages of any type of book. Include what the child does and how they do it in the comments. |
| 32. Without showing them how, does your child scribble back and forth when you give them a crayon (or pencil or pen)? | This is a precursor skill for writing letters or words and making shapes.<br>• Answer “Yes,” if the child is able to make any type of back-and-forth scribble, regardless of how they hold the writing object.<br>• Answer “Yes,” if the child no longer scribbles because they are now writing letters or words and making shapes. The child has moved beyond this stage to a higher level of development. |

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| 33. Does your child stack a small toy, block, cup, dish, or other object on top of another one? | This question is not asking for a specific number of objects or the length of time the child stacks objects.<br>• Answer “Yes,” if the child is beginning to stack objects, briefly stacks objects, or does so but inconsistently. Include this information in the comments.<br>• If question 49 is answered “Yes,” it would be incorrect to answer “No”. Confirm the scoring is consistent and correct. |
| 34. Does your child respond to their name when you call? | • Answer “Yes,” even if the child does not respond every time their name is called. Include a comment to explain how often and the reasons the child might not respond. For example, the child is watching their favorite movie and does not respond to anything when he is watching it.<br>• Responses can include:<br>◦ Turning toward the person calling their name. The child does not need to make eye contact.<br>◦ Verbal acknowledgement<br>◦ Change in behavior once their name is called<br>◦ Head movement<br>◦ Pause in activity<br>◦ Eye contact<br>• Inquire to find out if there is another name or word, such as a nickname, that the child responds to. If so, include this information in the comments.<br>• If the child is hearing impaired, and does not respond because of it, answer “No”. Include this information in the comments. |

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| 35. When playing with sounds, does your child make grunting, growling, OR deep-toned sounds? | This question is asking if the child makes these sounds, not what they are doing when they make the sounds.<br>• Answer “Yes,” if the child makes grunting, growling, OR deep-toned sounds. The child only needs to do at least one of the sounds for the answer to be “Yes”.<br>• Examples include the sounds of the following:<br>◦ A car;<br>◦ A motor;<br>◦ A train; or<br>◦ An animal. |
| 36. Does your child say “Da-da” or “Ma-ma” or another name for parent or caregiver (including parents or caregiver’s first name or nickname)? | This is a precursor skill for more advanced language.<br>• In nearly all cases, if question 36 is answered "Yes,” question 16 should also be answered "Yes". Confirm the scoring is consistent and correct.<br>• Answer “Yes,” if the child uses another name for the parent or caregiver consistently. For example, the child calls the parent by their first name, or a nickname.<br>• Answer “No,” if the child says “Da-da” or “Ma-ma” for every person they encounter.<br>• Answer “Yes,” if the child uses Sign Language or any other method of communication and can sign or identify the parent or caregiver’s name. Include this information in the comments. |
| 37. When you ask your child to point to their nose, eyes, hair, feet, ears and so forth, does your child correctly point to at least **one** body part? (They can point to themselves, you, or a doll). | Answer “Yes,” if the child is starting to learn how to point to their body parts but does not get it right all of the time. Include this information in the comments. |

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| 38. If you point at a toy across the room, does your child look at it? | Answer “Yes,” if the child looks at a toy or object across the room when a parent points and asks them to look. The intent of this question is not asking if the parent is only pointing and not speaking. |
| 39. Does your child ever use their index finger to point, to indicate interest in something? | • This question is specifically looking for the ability to isolate the index finger. Answer “Yes,” only if the child points with an index finger.<br>• Inquire to find out if the child has any motor limitations that may impact their ability to do this. If so, include this information in the comments. |
| 40. Does your child ever bring objects over to you? | Answer “Yes,” if the child takes the parent over to the object to show them. This question is intended to find out if a child shows interest in an item, so it is not specifically asking if the child only brings an object to the parent. |
| 41. Does your child imitate you? For example, you make a face - will your child imitate it? | • The child can imitate people other than a parent and still score “Yes”. Include this information in the comments.<br>• Imitations can include:<br>◦ Imitation of faces<br>◦ Gesture or body movements<br>◦ Sound or word production |
| 42. Does your child take interest in other children? | • Other children include siblings.<br>• A child does not need to interact with other children to show interest. Ways a child may show interest in other children include:<br>◦ Trying to imitate what another child is doing<br>◦ Observing, tracking, and monitoring other children with their eyes |

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| | ◦ Responding to another child's actions<br>◦ Getting excited when other children are around<br>• Use investigative interviewing skills to make sure the child is not just interested in an object another child is holding, like a toy. Answer "No," if this is the case and include this information in the comments. |
| 43. Does your child eat solid foods? (For example, cooked vegetables, chopped meats, etc. *Not assessing nutritional value or adequate intake.*) | • Answer "Yes," if the child is a picky eater and only eats specific solid foods. Include this information in the comments.<br>• Answer "No," if the child is only eating pureed foods or is fed through a feeding tube. Include this information in the comments. |
| 44. Does your child like being hugged or cuddled? | • A child does not have to like being hugged or cuddled by multiple people for the answer to be "Yes." If a child only likes to be hugged or cuddled by one person, for example their mom, answer "Yes," and include this information in the comments.<br>• A child does not have to enjoy being hugged or cuddled all the time for the answer to be "Yes." There might only be certain times, for example, they like to be hugged or cuddled when they are happy or sad. Include this information in the comments<br>• Answer "Yes," if a child seeks ANY close physical contact with another person, such as sitting in someone's lap or wanting a quick embrace.<br>• The amount of time the child likes being hugged or cuddled is not factored into this question. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 24 MONTHS

**For Ages 24 months and older**

*Effective until 2026-05-22*

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 45. Does your child run? | • Answer “Yes,” if a child can run but is clumsy or falls. Include this information in the comments.<br>• Answer “No,” if the child walks fast but does not actually run. |
| 46. Does your child jump, with both feet leaving the floor at the same time? (That is, can s/he jump up?) | • This question is specifically asking if a child can jump up, off the floor. Other areas, such as on a trampoline or bed, are not considered here.<br>• Answer “No,” if the child is not able to jump with both feet leaving the floor at the same time, for example, only does a gallop or tries. Include this information in comments. |
| 47. Does your child flip light switches off and on? | • If a parent says the child is too short and cannot reach, ask if the child can do this when picked up so they can reach.<br>• Ask follow-up questions to find out if the child understands cause and effect tasks like pushing a button to get a response. For example, if the child pushes a doorbell, they know the doorbell will ring. |
| 48. Does your child put a small object in a cup and dump it out? (You may show them how.) | Answer "No," if the child is unable to dump the object out. Ask follow up questions to find out what they do instead. For example, the child will put his hand in the cup to take the object out. Include this information in the comments. |
| 49. Does your child stack at least four small toys, blocks, cups, dishes, or other objects on top of each other? | • Answer “No,” if the child is stacking some objects, but less than four. Include this information in the comments.<br>• Check question 33 to confirm the scoring is consistent and correct. |

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| 50. Does your child name at least three objects? (For example, bottle, dog, favorite toy, etc.) | • This question is asking if the child can identify at least three objects, either in spoken language, sign language, or any other method of communication. These objects can be the names of any person, place, or thing.<br>• Answer “Yes,” even if the child is not able to say the words accurately. An approximation of the word is ok if it is only used for that object. For example, the child says “baba” instead of “bottle”. Include the objects the child can name in the comments.<br>• Answer “No,” if the child just repeats sounds or words another person makes but is not actually identifying an object. Include this information in comments, clearly describing this type of behavior. |
| 51. Does your child follow instructions with one action and one object? (For example, “Bring me the book,” “Close the door,” etc.) | • Answer “Yes,” if the child follows instructions, but not every time. Include times the child may not follow instructions in the comments. For example, when they are busy doing something else, or are not interested in following a certain instruction.<br>• Answer “Yes,’ if the child is able to follow instructions, but does so with a picture schedule rather than from verbal commands. Include this information in the comments. |
| 52. Does your child demonstrate understanding of the meaning “no”, or word or gesture with the same meaning? (For example, stops current activity briefly.) | • Answer “Yes,” if the child demonstrates they understand the meaning of “no.” The child does not need to comply or actually stop what they are doing, to demonstrate they understand the meaning of “no.” Responses may include:<br>◦ Briefly stopping what they are doing<br>◦ Arguing, talking back, or showing resistance<br>◦ Asking why |

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| | • Answer “Yes,” if the child uses the word “no” in the right context. Include this information in the comments.<br>• Answer “Yes,” if the child demonstrates an understanding of the meaning “no,” but uses another word, such as nope, uh-uh, or stop. Include this information in the comments. |
| 53. Does your child copy the activities you do, such as wipe up a spill, sweep, shave, or comb hair? | • Answer “Yes,” if the child copies the activities with prompts. Include this information in the comments.<br>• Answer “Yes,” if the child copies some activities but not others. Include this information in the comments. |
| 54. Does your child play near another child, each doing different things? | This question is assessing the child’s tolerance of others in their same space. This includes the same room or the same playground. The children do not need to be right next to each other. This is a base skill for more complex social development.<br>• Answer “Yes,” if the child plays near their siblings, but not near other children. Include this information in the comments.<br>• Answer “Yes,” if the child will tolerate playing close to another child, even if they are each doing something different and not interacting. The child does not need to initiate play or interact.<br>• Answer “Yes,” if the activity itself is the same as the activity other children are doing, but they are doing the activity individually, and not interacting. |
| 55. Does your child hold and drink from a cup or glass? (Includes “sippy” cups.) | If this question is answered “Yes,” check question 22 to confirm the scoring is consistent and correct. |
| 56. Does your child look at you when you talk to them? | • Answer “Yes,” if the child does this, but only briefly. Duration is not a factor. |

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| | • Answer “Yes,” if the child does this sometimes, but not every time. Include times the child may not look at someone in the comments. For example, when they are busy doing something else, or are being disciplined. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 30 MONTHS

**For Ages 30 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 57. While standing, does your child throw a ball or toy? | • This question is asking if the child can stand and throw an object. It is not asking if the child can throw the object far or straight. |
| 58. Does your child ask questions beginning with what or where? (For example, “What’s that?” “Where doggie go?” etc.) | • This question is asking if the child can ask questions beginning with what or where. This applies to spoken language, sign language, or any other method of communication. |
| 59. Does your child call themselves “I” or “me” more often than their own name? (For example, “I do it” more than “Mary (John) do it.”) | • This question applies to spoken language, sign language, or any other method of communication.<br>• If the child uses both I or me and their first name, ask to get a more specific frequency to determine the best scoring based on what they use more often. |
| 60. Does your child take off clothing that opens in the front (for example, a coat or sweater)? (Does not have to unbutton or unzip the clothing, etc.) | • Answer “Yes,” if the child can perform the task with prompts, but no hands-on help. The child must be able to completely remove items without hands-on assistance for the answer to be “Yes.”<br>• Answer “No,” if the child needs hands on help to initiate or finish the task, except for |

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| | unfastening the zipper or buttons. Include this information in the comments. |
| 61. Does your child use a spoon to feed themselves? | • Answer “No,” if the child can use a fork but not a spoon. Include this information in the comments.<br>• Answer “No,” if the child requires hand over hand feeding with the spoon ALL the time. Include this information in the comments.<br>• Answer “Yes,” if the child starts the meal by spoon feeding independently or can use a spoon but prefers to use their hands or uses their hands more often than a spoon.<br>• Answer “Yes,” if the parent or caregiver puts the food in the spoon and then the child feeds themselves using the spoon. |
| 62. Does your child sleep at least 8 hours in a 24-hour period? | • Answer “yes,” if the child is not sleeping through the night but takes a nap later that day to make up the time. Include how long the child sleeps in the full 24-hour period in the comments. |
| 63. Does your child do things over and over and can’t seem to stop? (Examples are rocking, hand flapping or spinning.) * | This is a Reverse Scoring Question used to assess a behavior that is atypical.<br>• This question is not assessing a behavior that occurs one time or on rare occasion. It is assessing repeated behaviors that go beyond normal “bad days,” “terrible twos,” sibling rivalry, or accidents.<br>• Describe the behavior in detail. Include:<br>◦ What does the child do;<br>◦ How often the behavior occurs;<br>◦ Under what circumstances the behavior occurs; and<br>◦ What is done to decrease, prevent, or stop behavior. If no intervention is needed, explain the reason for this. |

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| 64. Does your child destroy or damage things on purpose? * | This is a Reverse Scoring Question used to assess Emotional Regulation.<br>• This question is not assessing a behavior that occurs one time or on rare occasion. It is assessing repeated behaviors that go beyond normal “bad days,” “terrible twos,” sibling rivalry, or accidents.<br>• Answer “Yes,” if the child has intentionally destroyed something on multiple occasions, and it is considered a consistent behavior.<br>• ONLY answer “Yes,” if actual damage was done with intent. Accidentally destroying or damaging something, should not be scored here. Describe the behavior in the comment section and score accordingly.<br>• Ask follow up questions to find out if the parent or caregiver has noticed a consistent trigger that occurs prior to these events. Include this information in the comments.<br>• Describe the behavior in detail. Include:<br>◦ What does the child do;<br>◦ How often the behavior occurs;<br>◦ Under what circumstances the behavior occurs; and<br>◦ What is done to decrease, prevent, or stop behavior. If no intervention is needed, explain the reason for this. |
| 65. Does your child hurt themselves on purpose? * | This is a Reverse Scoring Question used to assess Emotional Regulation. This question is assessing behavior that is intentional, not accidental.<br>• Answer “Yes,” if the child has intentionally hurt themselves and the behavior caused an injury. For example, draws blood, leaves bruise, causes red marks, or the |

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| | child is taken to the ER or doctor for medical attention.<br>• Answer “Yes,” if the child experienced injuries in the past, but no longer does because the intervention prevents it. For example, the child no longer bruises their face because the caregiver puts a pillow between the child’s head and the floor to prevent it.<br>• Ask follow up questions to find out if the parent or caregiver has noticed a consistent trigger that occurs prior to these events? Include this information in the comments.<br>• Describe the behavior in detail. Include:<br>◦ What the child does to hurt themselves;<br>◦ How often the behavior occurs;<br>◦ Under what circumstances the behavior occurs; and<br>◦ What is done to decrease, prevent, or stop the behavior. If no intervention is needed, explain the reason for this. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 36 MONTHS

**For Ages 36 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 66. Does your child stand (balance) on one foot for about 1 second without holding onto anything? | • Answer “Yes,” if the child can balance on one foot without holding onto someone or something for at least 1 second. Include in the comments how long the child can do this. |

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| 67. Does your child walk up stairs, using only one foot on each stair? (The left foot is on one step, and the right foot is on the next.) S/he may hold onto the railing or wall. | • If the child is able to move up stairs alternating feet AND not holding onto anything, check question 66 to make sure the answers are consistent.<br>• Answer “No,” if the child is unable to use one foot on each step while going up stairs. Include how the child does move up the stairs in the comment. |
| 68. Does your child turn the pages of a book one at a time? | • If the question is answered “Yes,” check question 31, which should also be answered “Yes”.<br>• Answer “Yes,” if the child turns the pages of any type of book one at a time. Examples include, cloth, board, paper, magazine. Include what type of book in the comments. |
| 69. Does your child use simple words to describe things? (For example, dirty, pretty, big, loud, etc.) | • This question is asking if the child can use simple, descriptive words. This applies to spoken language, sign language, or any other method of communication.<br>• Answer “No,” if the child just repeats descriptive words another person uses but is not actually using the word to describe something. Include this information in the comments, clearly describing this type of behavior. |
| 70. Does your child state their own first name OR nickname? | • This question is asking if the child can state their own name or nickname. This applies to spoken language, sign language, or any other method of communication.<br>• The child does not need to state both their first name and nickname for the answer to be “Yes”.<br>• Answer “No,” if the child just repeats their first name or nickname when another person says it but is not actually associating the word with their name. |

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| | Include this information in the comments, clearly describing this type of behavior. |
| 71. Does your child follow instructions with two actions or an action and two objects? (For, example, “Bring me the crayons and the paper”, “Sit down and eat your lunch”, etc.) | • Use investigative interviewing skills to determine if the child is actually following two step instructions, rather than associating activities by habit and repetition. For example, the child is told “put on your socks and shoes” and does so because the child only puts shoes on when he has socks on. But when asked, “bring me the pen and pad of paper” the child only brings the pen and has to be told again to bring the pad of paper. |
| 72. Does your child pretend objects are something else? (For example, does your child hold a cup to their ear, pretending it is a telephone? Does s/he put a box on their head, pretending it is a hat? Does s/he use a block or small toy to stir food?) | • This question is asking if the child can pretend an object is something else, not if the child can play pretend games, such as being superheroes, playing dress-up, tea parties, or playing “mommy” or “daddy”. |
| 73. Does your child know if s/he is a boy or a girl? | This question is assessing the child’s self-awareness and knowledge of how they view themselves.<br>• If the parent is unsure, because the child is non-verbal, ask follow-up questions. For example, ask the parent if the child can point to a picture of a boy or a girl, or shake their head “yes” or “no” when asked if they are a boy or a girl.<br>• If the parent, answers by saying “Yes” because the child prefers colors or toys that are associated with the opposite gender, ask more questions to make sure the child actually understands gender. For example, ask the parent to show the child a picture of a boy, point to the picture and ask, “Are you a boy?” Show a picture of a girl, point to the picture and ask, “Or are you a girl?” |

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| 74. Does your child pull up clothing with elastic waistbands? (For example, underwear or sweatpants) | • Answer “No,” if the child needs hands-on help to initiate or complete the task. Include this information in the comments.<br>• Answer “Yes,” if the child is able to perform the task with verbal prompts. Include this information in the comments. |
| 75. Does your child suck from a straw? | • Answer “Yes,” if the child can suck from a straw even if the parent is holding the cup.<br>• Answer “Yes,” if the child can perform the task using any type of straw and include the information in the comments. |
| 76. Does your child cry, scream, or have tantrums that last for 30 minutes or longer?* | This is a Reverse Scoring question used to assess Emotional Regulation.<br>• Describe the behavior in detail. Include:<br>◦ What the child does when they have a tantrum. For example, throw themselves on the floor, scream.<br>◦ How often the behavior happens.<br>◦ How long the episodes last.<br>◦ What the triggers are, if any, that cause the tantrums.<br>◦ What is being done to decrease, prevent, or stop the behavior. If there is no intervention, explain the reason. For example, when the parent intervenes the behavior escalates.<br>◦ How the child stops the behavior. For example, falls asleep, gets distracted by something else, or parent gives the child a treat. |
| 77. Does your child act physically aggressive? (For example, hits, kicks, bites, etc)* | This is a Reverse Scoring question used to assess Emotional Regulation. |

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| | • This question is not assessing a behavior that occurs one time or on rare occasion. It is assessing repeated behaviors that go beyond normal “bad days”, “terrible twos”, sibling rivalry, or accidents.<br>• Describe the behavior in detail. Include:<br>◦ What the behavior looks like.<br>◦ Who it is directed towards.<br>◦ How often the behavior happens.<br>◦ What the triggers are, if any, that cause the behavior.<br>◦ If the behavior caused any injuries. If so, what the injuries are, and how the situation is dealt with.<br>◦ What is being done to decrease, prevent, or stop the behavior. |
| 78. Does your child have eating difficulties? (For example, eats too fast or too slowly, hoards food, overeats, refuses to eat, etc.)* | This is a Reverse Scoring question used to assess atypical behavior. Many children eat a little too fast, slow, or refuse certain foods and are considered “picky eaters”.<br>• Use investigative interviewing skills to assess if the behavior puts the child at risk or disrupts the family. Include this information in the comments.<br>• Ask if the child is being treated by a physician, nutritionist, or speech therapist because of eating difficulties. |
| 79. Does your child sometimes stare at nothing or wander with no purpose?* | This is a Reverse Scoring question used to assess Self-Management, dysregulation by disengaging with the environment, and repetitive wandering behaviors. Examples include, walking the perimeter without intention to go somewhere, or pacing.<br>• Describe the behavior in detail. Include:<br>◦ How often the behavior occurs |

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| | ◦ How long the behavior lasts.<br>◦ What is done to decrease, prevent, or stop behavior. If no intervention is needed, explain the reason for this. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 48 MONTHS

**For Ages 48 months and older**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 80. Does your child hop up and down on one foot? | • Answer “Yes,” if the child only hops up and down a few times and then falls.<br>• Answer “No,” if the child performs the task while holding on to someone or something. Include this information in the comments. |
| 81. Does your child pedal a tricycle or other three-wheeled toy at least 6 feet? | • Answer “Yes,” if the child is now riding a bike with or without training wheels.<br>• Answer “Yes,” if the child is able to pedal six feet or more but is not doing it consistently. Include this information in the comments<br>• Answer “No,” if the child moves the tricycle by using their feet, but not actually pedaling. Include this information in the comments. |
| 82. Does your child walk down stairs, using only one foot on each stair? (The left foot is on one step, and the right foot is on the next.) S/he may hold onto the railing or wall. | • Answer “No,” if the child is unable to use one foot on each stair while going down stairs, and include how they do move down stairs in the comments.<br>• Check question 67 to make sure the answers are consistent. Explain in the comments if they are different. |

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| 83. Does your child wiggle their thumb, for example when using a TV remote control or video game controller? | This question is asking about the child's functional use of their thumb. Answer "Yes," if the child is able to do other tasks that involve the thumb. For example, the child is able to use their thumb to push buttons on a tablet. |
| 84. Does your child unbutton one or more buttons, OR unfasten one or more Velcro straps? Your child may use their own clothing or a doll's clothing. | • Answer "Yes," if the child is able to unbutton buttons OR Velcro straps. They do not need to do both.<br>• Answer "Yes," if the child is only able to do one button or one Velcro strap, but not the rest. Include this information in the comments. |
| 85. Does your child use in, on, or under in phrases or sentences? (For example, "Ball go under chair," "Put it on the table," etc.) | • This question applies to spoken language, sign language, or any other method of communication.<br>• Answer "No," if the child just repeats what another person says but is not actually saying the phrase or sentence on their own. Include this information in the comments, clearly describing this type of behavior. |
| 86. Does your child say their first AND last name? | • This question applies to spoken language, sign language, or any other method of communication.<br>• Answer "Yes," if the child is asked what their name is and responds accurately.<br>• Answer "Yes," if the child does not respond when asked, but has been heard to say their first and last name in the right context. |
| 87. Does your child follow instructions in "if-then" form? (For example, "If you want to play outside, then put your things away," etc.) | • Answer "Yes," if the child only follows the instructions when it is a preferred activity, but other times does not because they are not motivated by the "if" part.<br>• The child does not need to do it all the time for the answer to be "Yes." |

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| 88. Does your child share toys or possessions when asked? | • Answer “Yes,” if the child shares, but is not happy about doing so. Include this information in the comments.<br>• Answer “Yes,” if the child only shares with certain playmates or siblings. Include this information in the comments. |
| 89. Does your child tell you the names of two or more playmates, including brothers and sisters? (Ask this question without providing help by suggesting names of playmates or friends.) | • This question applies to spoken language, sign language, or any other method of communication.<br>• Answer “Yes,” even if the child is not able to say the names accurately. An approximation of the name or nickname is ok if it is understood. |
| 90. Does your child brush their teeth? | • Answer “Yes,” if the child starts the task, for example only brushes the front teeth, or does the task but the parent brushes again because the child does not do an adequate job.<br>• Answer “No,” if the child only performs the task with hand over hand assistance. |
| 91. Does your child urinate in a toilet or potty chair? | • Answer “Yes,” if the child does urinate in a toilet or potty chair, but still has some accidents.<br>• Answer “Yes,” if the child urinates in the toilet or potty chair with prompts.<br>• Answer “Yes,” if a parent sits the child on a toilet or potty chair, and the child urinates. |
| 92. Does your child defecate in a toilet or potty chair? | • Answer “Yes,” if the child defecates in a toilet or potty chair, but still has some accidents.<br>• Answer “Yes,” if the child defecates in the toilet or potty chair with prompts.<br>• Answer “Yes,” if a parent sits the child on a toilet or potty chair, and the child defecates. |

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| 93. Does your child put on clothing that opens in the front (for example, a coat or sweater)? (Does not have to button or zip the clothing.) | • Answer “Yes,” if the child can perform the task with verbal prompts. Include this information in the comments.<br>• Answer “No,” if the child needs hands-on assistance to initiate or complete the task. |

NOTE STOP HERE IF THE CHILD IS LESS THAN 60 MONTHS

**For Ages 60 months old, but less than 72 months old**

| Question (Answer Yes or No) | Helpful Hints and Things to Consider |
|---|---|
| 94. Does your child open doors by turning doorknobs? (Includes doors that open and close with levers rather than traditional round knobs). | • Answer “Yes,” if the child is unable to reach the knobs but can open doors if picked up to reach the knob.<br>• Answer “Yes,” if the child can open doors sometimes. Include this information in the comments.<br>• Answer “No,” if the child is only able to open doors turning doorknobs with hand over hand assistance. |
| 95. Does your child identify and name most common colors (that is, red, blue, green, and yellow)? | • This question applies to spoken language, sign language, or any other method of communication.<br>• Answer “No,” if the child just repeats the names of colors when another person says them but is not actually associating the word with the color. Include this information in the comments, clearly describing this type of behavior. |
| 96. Does your child follow three-part instructions? (For example, “Brush your teeth, get dressed, and make your bed,” etc.) | • Answer “Yes,” if the child follows some three-part instructions and understands them. Include this information in the comments. |

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| | • Answer “No,” if the instructions have to be broken down and given one at a time in order for the child to follow them. Include this information in the comments. |
| 97. Does your child take turns when asked while playing games or sports? | • Answer “Yes,” if the child does this when asked. They do not have to initiate the turn taking.<br>• Answer “Yes,” if the child only takes turns when playing some games, but not others. Include this information in the comments. |
| 98. Does your child play informal group games? (For example, hide-and-seek, tag, jump rope, catch, etc.) | Answer “Yes,” if the child plays and participates in these types of games. They do not have to initiate the play, and caregivers or friends can tell them what to do. |
| 99. Does your child put shoes on correct feet? (Does not need to tie laces.) | • Answer “No,” if the child can physically perform the task, but is unable to identify which shoe goes on which foot.<br>• Answer “No,” if the child has to be told which shoe goes on which foot. |
| 100. Does your child wash their hands using soap and water? (May be reminded.) | Answer “Yes,” if the child can start or finish washing their hands, but the parent re-washes to make sure their hands are clean. Include this information in the comments. |
| 101. Does your child use the toilet by themselves? (S/he goes to the bathroom, sits on the toilet, wipes, and flushes. May be reminded.) | Answer “No,” if the child is not able to perform all parts of this task independently. Include what tasks the child in unable to perform, how they are being helped, and by whom in the comments. |

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## Updating The DD PAS

**Algorithm & Weights – Services/Treatments**

| Age Cohort | Services and Treatments | | | | | | |
|---|---|---|---|---|---|---|---|
| | Drug Reg. + Admin. | Non-B/B Ostomy Care | Tube Feeding | PT or OT | Acute Hospital Admits* | Direct Care Staff Train | Special Diet |
| Under 9 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 0.5 | 2.0 |
| 9 - 11 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 0.5 | 2.0 |
| 12 - 17 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 1.0 | 2.0 |
| 18 - 23 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 1.0 | 2.0 |
| 24 - 29 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 1.0 | 2.0 |
| 30 - 35 Mos | 1.0 | 7.0 | 7.0 | 1.0 | 1 x # | 1.0 | 2.0 |
| 36 - 47 Mos | 1.5 | 5.0 | 5.0 | 1.5 | 1 x # | 1.0 | 2.0 |
| 48 - 59 Mos | 1.5 | 5.0 | 5.0 | 1.5 | 1 x # | 1.0 | 2.0 |
| 60 Mos+ | 1.5 | 5.0 | 5.0 | 1.5 | 1 x # | 1.0 | 2.0 |

*Capped at 2 points

**Algorithm & Weights – Medical**

THIS DOCUMENT IS FOR ARCHIVE PURPOSES ONLY AND MAY NOT REFLECT CURRENT POLICY.

| Age Cohort | Medical Conditions / Medical + Developmental Combinations | | | | |
|---|---|---|---|---|---|
| | Cerebral Palsy | Epilepsy | Moderate/ Sever/Profound MR | Autism + MCHAT* | Autism + Behaviours* |
| Under 9 Mos | 5.0 | 5.0 | | | |
| 9 - 11 Mos | 5.0 | 5.0 | | | |
| 12 - 17 Mos | 5.0 | 5.0 | | | |
| 18 - 23 Mos | 5.0 | 5.0 | | 7.0 | |
| 24 - 29 Mos | 5.0 | 5.0 | | 7.0 | |
| 30 - 35 Mos | 5.0 | 5.0 | | 7.0 | 5.0 |
| 36 - 47 Mos | 5.0 | 5.0 | 15.0 | 7.0 | 10.0 |
| 48 - 59 Mos | 5.0 | 5.0 | 15.0 | 7.0 | 10.0 |
| 60 Mos+ | 5.0 | 5.0 | 15.0 | 7.0 | 10.0 |

*See explanation below

**Autism + MCHAT – 18 months and Older**

✓Diagnosis of Autism, PDD or Autism-like behaviors

✓Fails at least six of the following eight MCHAT (or MCHAT-based) milestones:

34. Does your child respond to their name when you call?
38. If you point at a toy across the room, does your child look at it?
39. Does your child ever use their index finger to point, to indicate interest in something?
40. Does your child ever bring objects over to you?

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41. Does your child ever imitate you? For example, you make a face – will your child imitate it?

42. Does your child take an interest in other children?

44. Does your child like being hugged or cuddled?

56. Does your child look at you when you talk to them?

**Autism + MCHAT – 30 to 35 Months**

✓Diagnosis of Autism, PDD or Autism-like behaviors

✓Exhibits at least three of the following four behaviors:

62. Does your child sleep at least 8 hours in a 24-hour period? (“No” response indicates presence of behavior)

63. Does your child do things over and over and can’t seem to stop? (Examples are rocking, hand flapping or spinning)

64. Does your child destroy or damage things on purpose?

65. Does your child hurt themselves on purpose?

**Autism + MCHAT – 36 Months and Older**

✓Diagnosis of Autism, PDD or Autism-like behaviors

✓Exhibits at least six out of the following eight behaviors:

62. Does your child sleep at least 8 hours in a 24-hour period?

63. Does your child do things over and over and can’t seem to stop?

64. Does your child destroy or damage things on purpose?

65. Does your child hurt themselves on purpose?

76. Does your child cry, scream or have tantrums that last for 30 minutes or longer?

77. Does your child act physically aggressive? (For example, hits, kicks, bites etc.)

78. Does your child have eating difficulties? (For example, eats too fast or too slowly, hoards food, overeats, refuses to eat etc.)

79. Does your child sometimes stare at nothing or wander with no purpose?

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## Algorithm & Weights – Developmental Milestones

| Age Cohort | 6mos+ | 8mos+ | 12mos+ | 18mos+ | 24mos+ | 30mos+ | 36mos+ | 48mos+ | 60mos+ |
|---|---|---|---|---|---|---|---|---|---|
| | 9 milestones | 19 milestones | 28 milestones | 44 milestones | 56 milestones | 65 milestones | 79 milestones | 93 milestones | 101 milestones |
| Under 9 Mos | 5.000 | | | | | | | | |
| 9 - 11 Mos | 4.100 | 4.100 | | | | | | | |
| 12 - 17 Mos | 2.900 | 2.900 | 2.900 | | | | | | |
| 18 - 23 Mos | 2.125 | 2.125 | 2.125 | 2.125 | | | | | |
| 24 - 29 Mos | 1.750 | 1.750 | 1.750 | 1.750 | 1.750 | | | | |
| 30 - 35 Mos | 1.550 | 1.550 | 1.550 | 1.550 | 1.550 | 1.550 | | | |
| 36 - 47 Mos | 1.340 | 1.340 | 1.340 | 1.340 | 1.340 | 1.340 | 1.340 | | |
| 48 - 59 Mos | 1.140 | 1.140 | 1.140 | 1.140 | 1.140 | 1.140 | 1.140 | 1.140 | |
| 60 Mos+ | 1.030 | 1.030 | 1.030 | 1.030 | 1.030 | 1.030 | 1.030 | 1.030 | 1.030 |

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# Ages 6-11

## Ages 6-11 Overview

#### Introduction

In this chapter, you will learn about completing a PAS for customers ages 6 to 11 who have a developmental disability. The sections in this chapter are:

- Motor and Independent Living Skills (ILS)
- Communication Domain
- Behavioral Domain

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# Motor and Independent Living Skills

## Motor and Independent Living Skills (ILS)

Overview

The ability or inability to perform Independent Living Skills (ILS) can be used as a practical measure when determining a person's need for long-term care services and risk of institutionalization.

The ILS include:

- Rolling and Sitting
- Crawling and Standing
- Ambulation
- Climbing Stairs or Ramps
- Wheelchair Mobility
- Dressing
- Personal Hygiene
- Bathing or Showering
- Toileting
- Level of Bladder Control
- Orientation to Settings Familiar to Individual

Things to Keep in Mind When Scoring Motor and Independent Living Skills (ILS)

- Gather information about the customer's ILS from the past year with emphasis on current performance.
- ILS may consist of several tasks. Consider ALL parts of the ILS that are relevant to the customer when scoring. Do not score just on the performance of part of the task. See the scoring section of the specific ILS for more details.
- Use investigative interviewing skills to gather enough information for the PAS.
- When it is clear that a customer needs more assistance than is received, that may be considered when scoring. This should be done conservatively, as it may be difficult to

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determine the exact amount of assistance needed. Comments must include a thorough explanation of this need and must state “scored based on need.” See examples below.

NOTE Generally, a score based on need would not be higher than a 1.

- Consider the use of a service animal in scoring when the animal has been trained to assist the customer in performing specific ILS.
- Score based on what the customer actually does, not what the customer “could do” or “might be able to do.”

NOTE See the specific ILS sections for possible exceptions when the customer does not have a physical or developmental barrier to performing the ILS.

| Term | Definition |
|---|---|
| Limited hands-on assistance | A small portion of an entire task. For example, a caregiver only washes the customer’s back during bathing. |
| Occasional hands-on assistance | When the customer needs hands-on help to complete an entire task sometimes, but not most of the time. For example, a customer needs her caregiver to pull her to a stand from bed each morning because her joints are stiff. As soon as she gets out of bed, she takes her medication and is then able to transfer independently to all other surfaces throughout the day. |
| Physical lift | When a caregiver actively bears some part of the customer’s weight during movement or activity.<br><br>NOTE This does not include steadying or guiding the customer. |
| Physical participation | The customer’s active participation, not just being passive or cooperative. This includes the ability to complete a part of the task. |
| Service animal | A dog or miniature horse that is individually trained to do work or perform tasks for the benefit of an individual with a disability. Other species of animals, whether wild or domestic, |

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| | |
|---|---|
| | trained, or untrained, are not considered service animals. |
| Supervision | When a caregiver observes the customer and is readily available to provide assistance, including verbal cues or reminders and set-up activities. |
| Typical performance | In general, means the level of skill or function the customer achieves most of the time. |

Examples

Examples only provide guidance on scoring. They do not cover every possible situation.

The following table gives examples of cooperation as compared to participation

| **Cooperation** | **Participation** |
|---|---|
| The customer raises her arms, and the caregiver threads the customer's hands and arms through shirtsleeves and pulls the shirt down. | The caregiver holds the customer's shirt so that the sleeves are easy to get to. The customer threads her arms through and tugs her shirt into place. |
| The customer turns his face toward the caregiver when asked to do so during face washing. | The customer washes his face once the caregiver prepares the washcloth and hands it to him. |
| The customer allows the caregiver to lean her to the side and place a slide board under her. | The customer leans over to her side, the caregiver places the slide board under her, and the customer slides onto the slide board. |

**Personal Hygiene – Score based on need**

The customer is a six-year-old female diagnosed with Autism and Fetal Alcohol Syndrome. She currently lives with her mother. The Department of Child Safety (DCS) is involved due to reports from neighbors that the mother often leaves the customer with her 11-year-old brother (who is also DD eligible) for "days". The neighbors also report they suspect her mother is involved with methamphetamines. The CPS worker reports the customer appears unkempt, has matted long

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hair, dirty long fingernails, and discolored teeth. The mother refused to participate in the PAS interview.

The Division of Developmental Disabilities Support Coordinator (DDD SC) reported that on her most recent visit, the customer's hair was disheveled and matted, her hands were dirty with dirt beneath her fingernails, and the amount of plaque and food particles in her teeth indicate she has not been brushing.

The customer is given a score of 1 for personal hygiene, as she appears to need more assistance than she is currently receiving.

**Bathing or Showering – Score based on need**

The customer is an 11-year-old male diagnosed with Autism and Mild Intellectual Disability. He currently lives with his mother, but CPS is involved due to reports from neighbors that the mother often leaves the customer by himself for "days." The neighbors also report they suspect his mother is involved with methamphetamines. The CPS worker reports the customer appears unkempt, extremely dirty, and has bad body odor. The customer is non-verbal, he only communicates by pointing at things he wants, so he was unable to answer questions for the PAS. The mother refused to participate in the PAS interview.

The DDD SC reported that on her most recent visit, the customer's hair was dirty and oily, and his body appeared dirty and had an unpleasant odor.

The customer is given a score of 1 for bathing or showering, as he appears to need more assistance than he is currently receiving.

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**Rolling and Sitting**

## Overview

The score for Rolling and Sitting is based on how well the customer is able to roll and sit.

## During the PAS Interview

Follow the questions in the scoring section to determine the customer's HIGHEST level of skill attained.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

## Scoring

Follow the steps below to determine the Rolling and Sitting score.

| Step | Action |
|---|---|
| 1 | Is the customer able to assume and maintain a sitting position independently?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Is the customer able to sit without support for at least five (5) minutes?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Is the customer able to maintain a sitting position with minimal support for at least five (5) minutes?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4.<br>NOTE Sitting with support includes either the physical support of another person or other types of support such as pillows or a specially made chair. |

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| | |
|---|---|
| 4 | Is the customer able to roll from front to back and back to front?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 5. |
| 5 | Is the customer only able to roll from front to back?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 6. |
| 6 | Is the customer able to roll from side to side?<br>• If YES, STOP. Give the customer a score of 5.<br>• If NO, continue to step 7. |
| 7 | Is the customer able to lift head and chest using arm support when lying on stomach?<br>• If YES, STOP. Give the customer a score of 6.<br>• If NO, continue to step 8. |
| 8 | Is the customer able to lift head when lying on stomach?<br>• If YES, STOP. Give the customer a score of 7.<br>• If NO, continue to step 9. |
| 9 | Is the customer unable to lift head when lying on stomach?<br>• If YES, STOP. Give the customer a score of 8.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Crawling and Standing**

## Overview

The score for Crawling and Standing is based on the customer's ability to crawl and stand.

## During the PAS Interview

Follow the questions in the scoring section to determine the customer's highest level of skill attained.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

## Scoring

Follow the steps below to determine the Crawling and Standing score.

| Step | Action |
|---|---|
| 1 | Is the customer able to stand well alone and balance well for at least five (5) minutes?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Is the customer able to stand unsteadily alone for at least one (1) minute?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Is the customer able stand with support for at least one (1) minute?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4.<br>NOTE "Support" includes the help of another person or mechanical support, such as holding on to furniture. |

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| | |
|---|---|
| 4 | Is the customer able to pull to a standing position?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 5. |
| 5 | Is the customer able to crawl, creep, or scoot?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 6. |
| 6 | Is the customer unable crawl, creep, or scoot?<br>• If YES, STOP. Give the customer a score of 5.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Ambulation**

## Overview

The score for ambulation is based on the customer's ability to walk. Consider the quality of the ambulation ("walks well" vs. "walks unsteadily") and the degree of independence ("walks alone" vs. "walks only with physical assistance from others"). Independent ambulation with an assistive device, such as a walker or cane, would be considered "walking alone."

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the records. If the interview is held in-person include any observed differences in the comment section.

| **Ambulation Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer ambulate? | Use open-ended questions. Ask how the customer moves around. Here are some suggestions:<br>• How well does the customer walk for normal distances?<br>• What, if any, limitations does the customer have when walking on different terrains? |
| Who is involved? | When the customer gets assistance with ambulation, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask: |

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| | |
|---|---|
| | • When does the customer need assistance; and<br>• How often is the assistance provided? |
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me what prevents the customer from walking on their own.<br>• You said that you have trouble walking when surfaces are uneven. What makes this difficult for you? |

Scoring

Follow the steps below to determine the Ambulation score.

| Step | Action |
|---|---|
| 1 | Is the customer unable to walk?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Is the customer only able to walk with physical assistance from others?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer walk alone, but is unsteady and only able to walk short distances of about 10 to 20 feet?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |

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| | |
|---|---|
| 4 | Does the customer walk alone for a short distance (10 to 20 feet), and balance well but may have difficulty transitioning from one surface to another or walking on uneven terrain? For example, the customer has difficulty going from a carpeted floor to tile or walking on landscape rock.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer walk well alone on all terrains?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Climbing Stairs or Ramps**

## Overview

The score for climbing stairs or ramps is based on the customer's ability to move up and down stairs or ramps.

## During the PAS Interview

Follow the questions in the scoring section to determine the customer's highest level of skill attained.

NOTE Rate the use of ramps, rather than stairs, when the customer uses a wheelchair or other assistive device not used on stairs.

## Scoring

Follow the steps below to determine the score for Climbing Stairs or Ramps.

| Step | Action |
|---|---|
| 1 | Does the customer independently move up and down stairs or ramps without the need for a handrail?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Does the customer independently move up and down stairs or ramps, but needs to use a handrail?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Does the customer move up and down stairs or ramps, but needs physical assistance?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |

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| | |
|---|---|
| | NOTE Physical assistance refers to assistance from another person. |
| 4 | Is the customer unable to move up or down stairs or ramps?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Wheelchair Mobility**

## Overview

The score for wheelchair mobility is based on the customer's ability to use a wheelchair. Do not score the customer's ability to transfer in and out of the wheelchair. The wheelchair can be motorized or manual. If both are used, score according to the chair used most of the time.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver and in the records. If the interview is held in-person, include any observed differences in the comment section.

| **Wheelchair Mobility Components** | **Tips to gather the correct information** |
|---|---|
| If the customer uses a wheelchair, how does the customer move about? | Use open-ended questions.<br><br>Ask how the customer moves around in a wheelchair. For example, how does the customer propel the wheelchair? |
| Who is involved? | When the customer gets assistance with wheelchair mobility, ask:<br><br>• Who provides assistance; and<br><br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask:<br><br>• When does the customer need assistance; and<br><br>• How often is the assistance provided? |

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|---|---|
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me what prevents the customer from self-propelling the wheelchair.<br>• You said that you have trouble maneuvering to your bathroom. What makes this difficult for you? |

Scoring

Follow the steps below to determine the Wheelchair Mobility score.

| Step | Action |
|---|---|
| 1 | Does the customer need total assistance from another person to move a wheelchair?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need some, but not total assistance from another person to move a wheelchair?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 3. |
| 3 | Is the customer able to move a wheelchair independently, but has difficulty steering or bumps into things?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to move a wheelchair independently, or does not use a wheelchair?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Dressing**

## Overview

The score for Dressing is based on the customer's ability to dress and undress. A customer can use adaptive clothing such as elastic waist pants, Velcro shoes, or shirts without buttons and still be considered independent.

Dressing includes putting on and removing regular pieces of clothing, such as:

- Underwear, including briefs and diapers
- Shirts
- Pants
- Shorts
- Dresses
- Socks and shoes

Dressing does not include:

- Putting on and removing leg braces, such as ankle foot orthoses (AFOs) or a freedom brace
- Matching colors
- Choosing appropriate clothing for the weather
- Laundering or ironing

NOTE When another person dresses the customer, determine if the customer needs assistance dressing due to a physical or developmental limitation or the caregiver dresses the customer for an unrelated reason.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information in the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records. If the interview is held in-person, include any observed differences in the comment section.

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| Dressing Components | Tips to gather the correct information |
|---|---|
| How does the customer get dressed and undressed? | Use open-ended questions and inquiry statements. Ask how the customer dresses and undresses. Here are some suggestions:<br>• Describe the set-up process before the customer gets dressed.<br>• How does the customer put on and remove upper body clothing?<br>• How does the customer put on and remove lower body clothing?<br>• Please describe how the customer opens fasteners (zippers, snaps, buttons, and clasps).<br>• How does the customer close fasteners?<br>• Tell me how the customer puts on and removes shoes. This includes slip on shoes, shoes that tie, and fastening Velcro straps. |
| Who is involved? | When the customer gets assistance with dressing, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask:<br>• When does the customer need assistance; and<br>• How often is the assistance provided? |
| What's the reason for any help provided? | Use statements or questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions: |

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| | |
|---|---|
| | • What difficulties, if any, does the customer have getting dressed or undressed?<br>• Tell me what prevents the customer from dressing on his own.<br>• Please tell me more about how much help the customer receives when getting dressed. |

Scoring

Follow the steps below to determine the Dressing score.

| Step | Action |
|---|---|
| 1 | Does the customer require total hands-on assistance and does NOT physically participate most of the time?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance, but CAN physically participate most of the time?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require hands-on assistance to start and complete the task? For example, help with putting arms through sleeves, legs in pants, fastening buttons or zippers.<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the task with verbal prompts, cue by touch, materials setup, or other modifications?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |

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|---|---|
| 5 | Is the customer able to complete the task independently?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definitions** |
|---|---|
| Cooperation | Actions taken by the customer that allow the caregiver to perform a task for the customer but are not an actual part of the task. For example, the customer raises his arms, and the caregiver threads the customer's hands and arms through shirtsleeves and pulls the shirt down |
| Cue by touch | Assisting the customer by touching the customer's arms, legs, feet, clothes, socks, or shoes to provide instructions for how to get dressed. |
| Physical Participation | The customer's active participation, not just being passive or cooperative. This includes the ability to complete part of a task. |

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**Personal Hygiene**

Overview

The score for Personal Hygiene is based on the customer's ability to complete grooming activities. These tasks include:

- Hair care
- Oral care
- Washing face
- Washing hands
- Nail care for fingers and toes
- Menses' care
- Use of deodorant

The customer may be able to perform some tasks better than others. Score based on the customer's ability to perform all tasks in personal hygiene and explain in comments.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Personal Hygiene Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer maintain personal hygiene? | Use open-ended questions or inquiry statements.<br><br>Ask what happens for each part of personal hygiene. Here are some suggestions:<br><br>• How does the customer's hair get combed or brushed?<br><br>• Tell me about the customer's oral hygiene routine. |

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|---|---|
| | • What steps are taken to complete shaving needs?<br>• How does the customer wash his face?<br>• How is menstrual care completed each month?<br>Make sure to get information for all grooming tasks |
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance is provided; and<br>• How the customer participates. |
| How often does it happen? | For each personal hygiene task, ask how often it is done AND how often assistance from others is provided. |
| What is the reason for any help provided? | Use inquiry statements or ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

Scoring

Follow the steps below to determine the Personal Hygiene score. Score is based on all grooming tasks that the customer requires. If the customer does not need a task done at all, do not consider it in scoring.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer require total hands-on assistance for all grooming tasks that are required and does NOT physically participate?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance for most grooming tasks that are required, but CAN physically participate?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require hands-on assistance to start or complete grooming tasks most of the time?<br>OR<br>Does the customer require hands-on assistance for some, but not most grooming tasks that are required?<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 4. |
| 4 | Is the customer able to complete most grooming tasks that are required with verbal prompts, cue by touch, or materials setup most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Is the customer able to independently complete all grooming tasks that are required most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definitions** |
|---|---|

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| | |
|---|---|
| Oral Care | Cleaning the mouth and teeth, including dentures, of food debris and dental plaque. For people without teeth or dentures, oral care includes cleaning the mouth and gums. |
| Physical Participation | The customer's active participation, not just being passive or cooperative. This includes the ability to complete a part of the task. See DD 6-11 Motor and Independent Living Skills section for examples. |
| Set-up | Scoring for set-up involves more than simply making grooming items available. Examples of set-up include: squeezing the toothpaste to the top of the tube to make it easier for the person to apply the toothpaste themselves, setting up adaptive holders and long handles for toothbrushes, hairbrushes. |

Example

The following example uses a table to help determine the score for the customer. Use this table for guidance to choose the appropriate score. The score with the majority of "X's" is the correct score.

The customer's mother reports that, with daily verbal prompts and set up, the customer washes his hands and face, puts deodorant on, and brushes his teeth. His hair is kept short, so combing is not needed. Nail care is done once monthly by his mother because when he has tried to do this, he makes himself bleed.

| | **SCORE** | | | | |
|---|---|---|---|---|---|
| **TASK** | **0** | **1** | **2** | **3** | **4** |
| Hair Care | n/a | | | | |
| Oral Care | | X | | | |
| Washing Face | | X | | | |

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| | | | | | |
|---|---|---|---|---|---|
| Washing Hands | | X | | | |
| Nail Care | | | | | X |
| Menses Care | n/a | | | | |
| Deodorant | | X | | | |

**Explanation:**

Looking at the task as a whole, the customer's needs and abilities mostly fall within a score of 1. He only needs a greater level of caregiver support to complete or finish one of the tasks (nail care). A score of 1 is appropriate here.

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**Bathing or Showering**

Overview

The score for Bathing or Showering is based on the customer's ability to complete the bathing or showering process. This process includes:

- Drawing the bath water
- Setting the temperature for a shower
- Washing, rinsing, and drying all body parts
- Shampooing hair
- Taking sponge baths for the purpose of maintaining adequate hygiene and skin integrity

Bathing or showering does not include:

- The ability to wash face and hands when not taking a bath or showering. Score under Personal Hygiene.
- The ability to transfer in and out of a tub or shower. This is not scored in the DD 6-11 tool.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Bathing or Showering Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer bathe? | Use open-ended questions or inquiry statements<br>• Ask what happens for each part of the bathing process. Here are some suggestions:<br>◦ Who turns the water on and sets the temperature?<br>◦ Describe how the customer's body and hair are being washed. |

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| | |
|---|---|
| | ◦ Who is drying the customer's body?<br>◦ Tell me about the customer's bathing routine.<br>◦ Please describe any assistive devices the customer uses, such as grab bars, shower chair or washing aides.<br>• Make sure you get all the information that is needed. |
| Who is involved? | Ask the caregiver and customer:<br>• Who provides assistance;<br>• What assistance is provided; and<br>• How does the customer participate? |
| How often does it happen? | Ask how often the customer bathes AND how often assistance from others is provided. |
| What is the reason for any help provided? | Use inquiry statements or ask questions that invite the caregiver or customer to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

Scoring

Follow the steps below to determine the Bathing or Showering score.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer require total hands-on assistance and does NOT physically participate?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance with most bathing tasks, but CAN physically participate?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require extensive verbal prompts?<br>OR<br>Does the customer require limited hands-on assistance or occasional hands-on assistance most of the time?<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 4. |
| 4 | Does the customer require verbal prompts for washing and drying?<br>OR<br>Does the customer require physical help drawing water or checking the water temperature most of the time?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 5. |
| 5 | Is the customer able to complete the activity independently most of the time, with or without assistive devices?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

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| Term | Definitions |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to assist a person to perform a particular task. Examples: grab bars, long-handled loofah, shower chair |
| Verbal prompts vs Extensive verbal prompts | Verbal prompts are similar to reminders to bathe or shower. Extensive verbal prompts give the customer step by step directions on how to bathe or shower. |

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**Toileting**

Overview

The score for Toileting is based on the customer's ability to initiate and care for bladder and bowel functions.

The following are not considered when scoring:

- The ability to transfer on and off the toilet.
- The ability to wash hands, which is scored under Personal Hygiene.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Toileting Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer initiate and care for bowel and bladder functions? | Use open-ended questions or inquiry statements.<br><br>Ask what happens during the toileting process. Here are some suggestions:<br><br>• Please describe the customer's toileting routine.<br><br>• How does the customer let someone know she needs to use the restroom? Or, if she doesn't, is she on a toileting schedule? |
| Who is involved? | Ask the caregiver or customer:<br><br>• Who provides assistance;<br><br>• What assistance is provided;<br><br>• How does the customer participate; and |

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| | |
|---|---|
| | • How often is assistance provided for toileting? |
| What's the reason for any help provided? | Ask questions that invite the caregiver or customer to tell you the reason help is needed. Here are some suggestions:<br>• What limits the customer from completing the task independently?<br>• Tell me more about the reason a toileting schedule is used. |

Scoring

Follow the steps below to determine the toileting score.

| Step | Action |
|---|---|
| 1 | Does the customer require total caregiver intervention because they neither perform nor indicate the need for toileting most of the time?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer:<br>Avoid accidents by using a toileting schedule because they do not indicate the need for toileting?<br>AND<br>Require hands-on assistance to complete or perform the task most of the time?<br>• If YES to both questions, STOP. Give the customer a score of 3.<br>• If NO to either question, continue to step 3. |
| 3 | Does the customer indicate the need for toileting, but requires hands-on assistance to complete or perform the task, such as help with fasteners, wiping, or flushing the toilet most of the time? |

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| | |
|---|---|
| | • If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the task with verbal prompts, cue by touch, or materials setup most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer toilet independently most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Cue by touch | Using physical cues given on the customer's body to support understanding of the toileting process. For example, tapping on the customer's leg before asking them to pull their pants down. |
| Verbal Prompts | Providing verbal direction on how or when to use the toilet. This includes the use of a toileting schedule. |
| Setup | Actions taken before or during the toileting process to assist the customer. Examples include, having the toilet paper ready for use, lifting the lid on the toilet seat, placing a step stool near the toilet. |

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**Level of Bladder Control**

Overview

The score for level of bladder control is based on the customer's ability to control the elimination of urine.

Consider the following when scoring:

- Evaluate the typical level of bladder control.
- Do NOT rate temporary incidents that are due to an acute illness or medication.

During the PAS Interview

Follow the questions in the scoring section to determine the customer's highest level of skill attained. Make comments to indicate if accidents occur during the day, at night, or both.

Scoring

Follow the steps below to determine the toileting score.

| Step | Action |
|---|---|
| 1 | Does the customer have complete bladder control (no more than two accidents per year)?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Does the customer have some bladder control, with accidents happening LESS than seven times per week?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Does the customer have some bladder control, but accidents happen AT LEAST seven times per week?<br>• If YES, STOP. Give the customer a score of 2. |

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| | |
|---|---|
| | • If NO, continue to step 4. |
| 4 | Does the customer have any bladder control?<br>• If NO, STOP. Give the customer a score of 3.<br>• If YES, the customer meets some scoring criteria above, go back to step 1. |

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**Orientation to Settings Familiar to Individual**

## Overview

This section is used to assess the customer's orientation to familiar settings. These settings include: the customer's home, the school the customer attends, and any other setting where the customer spends a significant amount of time (grandparents' home, church).

## During the PAS Interview

Use the questions in the scoring table below to get a clear, complete picture of the customer's ability to orient to familiar settings. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the records. If the interview is held in-person include any observed differences in the comment section.

## Scoring

Follow the steps below to determine the score for Orientation to Settings Familiar to Individual.

| Step | Action |
|---|---|
| 1 | Does the customer know the way around all areas in a familiar setting?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Does the customer know the way around some, but not all familiar settings without prompting or physical assistance? For example, the customer knows the way around the home, without prompting or physical assistance, but at school needs an aide to find the cafeteria.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Does the customer know the way from room to room in a familiar setting with prompting, but does not need physical assistance? |

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| | |
|---|---|
| | • If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer only orient from room to room in a familiar setting with physical assistance?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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# Communication  Domain

## Communication and Cognitive Domain

Introduction

In this chapter, you will learn about:

- Expressive communication
- Clarity of communication

For each section in this chapter, you will find:

- An overview of the topic;
- Any definitions needed; and
- Other helpful information.

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**Expressive Verbal Communication**

## Overview

This section is used to assess the customer's ability to communicate thoughts verbally with words or sounds. Other forms of communication will be assessed in "Clarity of Communication."

## During the PAS Interview

Use the questions in the scoring table below to get a clear, complete picture of the customer's ability to communicate thoughts verbally with words or sounds. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the records. If the interview is held in-person include any observed differences in the comment section.

## Scoring

Follow the steps below to determine the score for Expressive Verbal Communication.

| Step | Action |
|---|---|
| 1 | Is the customer able to carry on a complex or detailed conversation, including topics of interest to the customer? For example, the customer has a favorite video game that he talks about in detail.<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Is the customer only able to carry on a simple **brief** conversation, such as talking about everyday events? For example, mom asks, "How was your day at school?" The customer responds with, "It was boring." Then mom adds, "What did you have for lunch?" The customer answers, "We had hamburgers and fries."<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |

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| | |
|---|---|
| 3 | Is the customer only able to use simple two- or three-word phrases, such as "I go," "give me", or “I want juice”?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer only able to use a few simple words and associate words with appropriate objects, such as names of common objects and activities (ball, juice, dog, walk)?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 5. |
| 5 | Does the customer use a personal language or sounds to communicate very basic concepts, but does not use any words?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 6. |
| 6 | Is the customer unable to make any sounds which are used to communicate, but may be able to babble, laugh, or cry?<br>• If NO, STOP. Give the customer a score of 5.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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**Clarity of Communication**

## Overview

Clarity of communication is the customer's ability to speak in a recognizable language or use a formal symbolic substitution, such as American Sign Language. When the customer has more than one form of communication, score based on what is best understood.

## During the PAS Interview

Use open-ended questions and inquiry statements to get a clear, complete picture of the customer's ability to communicate effectively. Some suggested questions and inquiry statements are:

- What does the customer do to communicate with others?
- Please tell me more about how the customer lets you know something is needed.

Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

## Scoring

Follow the steps below to determine the score for Clarity of Communication.

| Step | Action |
|---|---|
| 1 | Does the customer use a recognizable language, non-verbal form of communication, or formal symbolic substitutions, such as writing a note or American Sign Language?<br>• If YES, continue to step 2.<br>• If NO, STOP. Give the customer a score of 4. |

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| | |
|---|---|
| 2 | Does the customer use speech or another form of communication that is ONLY understood by those who know the person well or who are trained in the alternate form of communication?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer use a non-verbal form of communication that others understand, such as writing, communication board, gestures, or pointing?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer use speech that is understood by strangers with some difficulty? For example, the customer's speech is unclear and others can only understand most of the words by paying close attention.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer speak clearly and is easily understood?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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# Behavioral  Domain

## Behavioral Domain

### Overview

This section identifies certain behaviors that may indicate the need for caregiver intervention. Scores are based on both the frequency and the level of intervention needed to control the problem behavior.

These behaviors include:

- Aggression
- Verbal or Physical Threatening
- Self-Injurious Behavior
- Running or Wandering Away
- Disruptive Behaviors

### Things to Keep in Mind When Scoring Behaviors

- Behaviors should be assessed based on the last 12 months with emphasis on current behavior.
- View the behavior in the context of the reasonable expectation of a child this age. For example, sibling teasing or arguing that does not escalate to serious threats or acts of aggression may be considered normal in a child within this age group.
- The level of the intervention has more impact than the frequency of the behavior. For example, a minor behavior such as whining may occur daily but not be a serious problem because verbal redirection is only provided in a few situations. Verbal redirection happens when out in public, but no intervention is given at home.
- Behaviors and the invention scored above a zero must be described in the comment section. If a behavior occurs but the score is zero, the details must be put in the summary.
- When more than one type of intervention is used, score based on the most common method. For example, if verbal redirection is used once or twice a week, but a chemical restraint is given daily, score based on the use of a chemical restraint.

### Definitions

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| Term | Definition |
|---|---|
| Constant | At least once a day. |
| Frequent | Weekly to every other day. |
| Intervention | Therapeutic treatment, including the use of medication, behavior modification and physical restraints to control the customer's behavior. Intervention may be formal or informal and includes actions taken by friends or family. |
| Medical Attention | Examination and treatment by a medical professional or Primary Care Provider (PCP) resulting from inappropriate behavior.<br><br>Some examples of medical attention include, but are not limited to:<br><br>• Treatment received by an emergency medical technician (EMT)<br><br>• Treatment or examination by a psychiatric hospital provider<br><br>• Examination or treatment received at a medical hospital |
| Occasional | Less than weekly. |
| Physical Interruption | Requires immediate hands-on interaction of the caregiver to stop the customer's behavior or the customer is receiving a chemical restraint specifically for the behavior. |
| Physical redirection | Using touch to redirect the customer to perform more appropriate behavior. For example, a parent takes away a dangerous object from the customer and replaces it with a safer one. |

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| | |
|---|---|
| Verbal redirection | A way of managing behavior by verbally expressing a command or request. For example, “Chairs are for sitting. No standing, please.” |

Example: Comparison of Physical interruption, Physical redirection, and Verbal redirection

Background information:

The customer is a 10-year-old male diagnosed with Autism and ADHD. The father reports when the customer starts feeling overwhelmed his body will start shaking, his fists clench, and he makes growling sounds. The father reports the customer is working with a therapist to identify coping skills that relieve stress and decrease adverse behaviors. The customer told his parents that when he is feeling overwhelmed the thing that helps the most is to go out to the backyard and “shoot hoops.” He said it also helps to eat Frito’s corn chips. He’s not sure why, “maybe because crunching on something that tastes good calms me down.”

| **Intervention** | **Example** |
|---|---|
| Physical interruption | The customer’s father reports that last week the customer was playing a video game in the living room. His two younger sisters were also in the living room playing and jumping on the couch. The father said he was in the other room and heard the customer start yelling at his sisters, “shut up and stop jumping or I am going to shut you up.” The father said he immediately stopped what he was doing to go to the living room but by the time he got there, the customer had both of his sisters pinned down on the couch. The father immediately pulled the customer off his sisters, took him by the arm to the backyard and told him to go cool off and shoot some hoops. |
| Physical redirection | The customer’s father reports that last week the customer was playing a video game in the living room. The father said he was in the living room playing a board game with his daughters and noticed that the customer was getting frustrated with the game he was playing. The customer’s body started shaking, he stated yelling “I hate this stupid game” and then started to hit himself in the head with the controller. The dad stopped what he was doing, put his hand on the customer’s shoulder, took the video controller |

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| | |
|---|---|
| | away and said, “come on let’s go outside and shoot some hoops.” |
| Verbal redirection | The customer’s father reports that last week the customer was playing a video game in the living room. The father said he was in the living room playing a board game with his daughters and noticed that the customer was getting frustrated with the game he was playing. The customer’s body started shaking, he stated yelling “I hate this stupid game” and then started to hit himself in the head with the controller. The dad was able to stop the behavior by saying, “Snack time everybody! Let’s go to the kitchen and get some Frito’s and apple juice.” |

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**Aggression**

Overview

Aggression is physically attacking another person. Some examples of aggression are:

- Throwing objects at a person
- Punching
- Biting
- Pushing
- Pinching
- Pulling hair
- Scratching

The following are not included in the score, but are included in the PAS summary:

- One-time incidents that did not result in a serious injury needing medical attention
- Self-injurious behavior
- Physically hurting a pet or animal
- Making verbal threats without any physical contact
- Destruction of property not directed towards another person

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Aggression Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|

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| | | |
|---|---|---|
| Does the behavior fit the definition of aggression | Is the behavior directed toward another person? | Ask questions or use inquiry statements such as:<br>• Describe the customer's physical attacks towards another person. What does he do?<br>• When the customer throws things "all over the place", does she ever throw these items at another person?<br>• You said she threw a bottle and broke the television. What was the target when she threw the bottle? |
| | Are there safety concerns or risks with the behavior | Ask questions such as:<br>• Does the customer put others at risk by doing this?<br>• What are the risks involved?<br>• Has he hurt another person before due to this behavior?<br>• How does this jeopardize the safety of others? |
| Determine the intensity of the intervention | How often someone intervenes, as well as the effort and physical involvement | Ask questions such as:<br>• What is done in response to this aggressive behavior?<br>• How often is the intervention used?<br>• What method of intervention is used most often?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens when this does not stop the aggression? |

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| | | |
|---|---|---|
| | | NOTE Document all information received about any interventions for aggression in the comment section. |
| Determine the frequency of the behavior | The past year | Ask questions such as:<br>• How often does the behavior occur?<br>• Did the customer's behavior cause a serious injury in the past year that required medical attention? If so, when did it happen and what type of medical attention was received.<br>• When was the last time this behavior happened? |

| Step | Action |
|---|---|
| 1 | Has the behavior caused one or more injuries that required medical attention in the last year?<br>AND<br>Does the behavior require close supervision and physical interruption?<br>• If YES to both questions, STOP. Give the customer a score of 4- Extremely Urgent Problem.<br>• If NO to either question, continue to step 2. |
| 2 | Does the behavior:<br>Occur at least once a day and require close supervision, CONSTANT verbal redirection or physical interruption, or a combination of the three interventions?<br>OR<br>Occur less than daily but requires physical interruption each time?<br>• If YES to either question, STOP. Give the customer a score of 3 – Serious Problem.<br>• If NO to both questions, continue to step 3. |

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|---|---|
| 3 | Does the behavior:<br><br>Occur weekly to every other day?<br><br>AND<br><br>Require close supervision, verbal redirection or physical redirection, or a combination of the three interventions?<br><br>• If YES to both questions, STOP. Give the customer a score of 2 – Moderate Problem.<br><br>• If NO to either question, continue to step 4. |
| 4 | Does the behavior:<br><br>Occur less than weekly?<br><br>AND<br><br>Require some additional supervision or verbal redirection in a few situations, or a combination of both?<br><br>• If YES to both questions, STOP. Give the customer a score of 1 – Minor Problem.<br><br>• If NO to either question, continue to step 5. |
| 5 | Has the aggressive behavior either:<br><br>Not been observed?<br><br>OR<br><br>Occurred, but not at a level that requires intervention?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step. |

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**Verbal or Physical Threatening**

Overview

Verbal or physical threatening is behavior in which the customer verbally or physically threatens to hurt themselves or others or break objects.

NOTE Do not include acts of physical aggression or self-injurious behavior.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Verbal or Physical Threatening Components | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the definition of verbal or physical threatening? | Is the customer making verbal or physical threats towards themself, others, or objects? | Ask questions and use inquiry statements such as:<br>• Describe what the customer says to threaten themself, others, or objects.<br>• How does the customer physically threaten others?<br>• How often do these threats cause fear or aggression in others?<br>• How do others react to the customer's threats? |
| Determine the intensity of the intervention | Consider how often someone intervenes, as well as the effort and physical involvement | Ask questions such as:<br>• What is done in response to this threatening behavior?<br>• How often is the intervention used?<br>• How does the customer respond to you doing that? |

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| | | |
|---|---|---|
| | | • How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens when this does not stop the threatening behavior?<br><br>NOTE Document all information received about any interventions for threatening behavior in the comment section. |
| Determine the frequency of the behavior | Consider the past year. | Ask questions such as:<br>• How often does the behavior happen?<br>• Did the customer's behavior cause a serious incident in the past year that resulted in aggression from another person?<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Verbal or Physical Threatening.

| Step | Action |
|---|---|
| 1 | Has the behavior caused one or more incidents in the last year that meets both of the criteria below:<br><br>Always generates fear or is likely to result in aggression from others;<br><br>AND<br><br>Requires close supervision and physical interruption.<br>• If YES to both, STOP. Give the customer a score of 4 – Extremely Urgent Problem.<br>• If NO to either, continue to step 2. |
| 2 | Does the behavior: |

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| | |
|---|---|
| | Occur at least once a day, sometimes cause fear or aggression in others, AND require close supervision, CONSTANT verbal redirection, physical interruption, or a combination of the three interventions?<br><br>OR<br><br>Occur less than daily, sometimes causes fear or aggression in others, AND requires physical interruption?<br><br>• If YES, STOP. Give the customer a score of 3 – Serious Problem.<br><br>• If NO, continue to step 3. |
| 3 | Does the behavior meet ALL the following criteria?<br><br>• Occurs weekly to every other day;<br><br>• Sometimes cause fear or aggression in others; AND<br><br>• Requires close supervision, frequent verbal redirection or physical redirection, or a combination of the three interventions?<br><br>• If YES, STOP. Give the customer a score of 2 – Moderate Problem.<br><br>• If NO, continue to step 4. |
| 4 | Does the behavior meet ALL the following criteria?<br><br>• Occurs less than weekly; AND<br><br>• Is not taken seriously, does not frighten others, or result in aggression from others; BUT<br><br>• Requires some additional supervision or verbal redirection, or a combination of both.<br><br>• If YES, STOP. Give the customer a score of 1 - Minor Problem.<br><br>• If NO, continue to step 5. |
| 5 | Has the behavior not been observed?<br><br>OR<br><br>Does the behavior occur, but not at a level that requires intervention?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step. |

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Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 4:**

The customer is an 11-year-old male diagnosed with Autism and Oppositional Defiant Disorder. The first three months of school, he was quiet and kept to himself. One morning the teacher was walking down the hallway and saw the customer yelling and screaming obscenities at three boys, throwing his books on the floor, and clenching his fists as if he was going to punch someone. The teacher explained that the customer, although only 11, is almost 6 feet tall and weighs 170 pounds. The three boys were extremely scared, and visibility shaken. The teacher said he had to immediately step in between the customer and the three boys and physically escort the customer to the principal's office. The customer now has a 1:1 aide with him at all times to prevent this behavior from happening again.

The behavior generated fear in all three boys and required physical interruption. The customer now requires close supervision when he is at school.

**Score of 3:**

The customer is an 11-year-old female who lives in a group home with 6 other females. She is diagnosed with Mild Intellectual Disability, ADHD, and Bipolar Disorder. Staff report that she is easily agitated by others in the group home and, on a daily basis, will yell and scream at them and say things like, "if you don't shut your mouth, I will shut it for you." Often the customer is in the other room when she makes this threat, but when she is in close proximity of others, they are afraid of her. The staff must stop what they are doing and ask her to calm down (occurs throughout each day), and when the customer is extremely agitated, they will take her by the arm and escort her to her room.

The behavior occurs at least once a day, sometimes causes fear in others, and requires constant verbal redirection and sometimes physical interruption.

**Score of 2:**

The customer is a 9-year-old male who lives with his parents and 2 older sisters. He is diagnosed with Autism. His mother said there are times when he threatens his sister's when they are all jumping on the trampoline. The customer gets mad when they laugh at him because he falls. He runs after them and says he is going to throw them off the trampoline at least twice a week. Sometimes the sisters are afraid because he has gotten close to them, but mostly they are not afraid because they play on the opposite side of the trampoline and are able to climb off before he can get to the other side. The mother and father report that one of them must be with him the entire time he is on the trampoline to monitor his behavior.

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The behavior occurs weekly to every other day (at least twice a week), sometimes causes fear, and requires close supervision.

**Score of 1:**

The customer is a 6-year-old female diagnosed with Mild Intellectual Disability. Approximately, three times a month, she threatens to hit her siblings and parents when they start talking when she is watching her favorite show on TV. She is verbally redirected and told “this is not appropriate behavior”. The customer stops the behavior. The parents and siblings do not take her threats seriously.

The behavior occurs less than weekly, is not taken seriously, and requires some verbal redirection.

**Score of 0:**

The customer is a 7-year-old male diagnosed with Mild Intellectual Disability. His mother reports that when he gets frustrated or upset, he kicks his legs and throws air punches at his 18-year-old sister. The behavior does not cause fear and does not require an intervention.

The behavior occurs, but not at a level requiring intervention.

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**Self-Injurious Behavior**

Overview

Self-Injurious Behavior (SIB) is repeated actions that cause physical injury to a person's own body. Some examples of SIB are:

- Biting
- Repeatedly cutting or scratching skin
- Putting inappropriate objects into ear, mouth, or nose
- Repeatedly picking at skin or sores
- Head slapping or banging

The following are not included in the score:

- Suicide attempts
- Medical non-compliance issues, such as not following medical advice
- Lifestyle choices, such as sexual activity, smoking, or drug abuse
- Scratching in response to a rash or other skin condition that causes itching

During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Put this information in the comments and always include who gave the information.

| **Self-Injurious Behavior Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|
| Does the behavior fit the description of self-injurious behavior | Does the repeated behavior cause physical harm to the body? | Ask questions or use inquiry statements such as:<br>• Describe what the customer does that causes harm to his body. |

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| | | |
|---|---|---|
| | | • How is this causing physical harm to her body? |
| Determine the intensity of the intervention | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this behavior?<br>• How often do you respond that way?<br>• How well does this intervention work?<br>• What happens when you don't respond this way?<br>• What happens when the action taken does not stop the behavior? |
| Determine the frequency of the behavior | The past year. | Ask questions such as:<br>• How often does this behavior happen?<br>• How seriously was he hurt?<br>• Has the customer needed medical attention due to this behavior? Tell me more about that.<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Self-Injurious Behavior. When the behavior and intervention don't fall into the same scoring criteria, score based on the intervention most frequently used.

| Step | Action |
|---|---|
| 1 | Does the behavior meet the following criteria?<br>Has caused one or more serious injuries in the last year requiring immediate medical attention;<br>AND |

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| | Requires close supervision and physical interruption.<br>• If YES to both questions, STOP. Give the customer a score of 4 – Extremely Urgent Problem.<br>• If NO to either question, continue to step 2 |
| 2 | Does the behavior:<br>Occur at least once a day and require close supervision, CONSTANT verbal redirection, physical interruption, or a combination of these interventions?<br>OR<br>Occur less than daily but requires physical interruption?<br>• If YES to either question, STOP. Give the customer a score of 3 – Serious Problem.<br>• If NO to both questions, continue to step 3. |
| 3 | Does the behavior:<br>Occur at least weekly but less than daily?<br>AND<br>Require close supervision, verbal redirection, physical redirection, or a combination of these interventions?<br>• If YES to both questions, STOP. Give the customer a score of 2 – Moderate Problem.<br>• If NO to either question, continue to step 4. |
| 4 | Does the behavior:<br>Occur less than weekly?<br>AND<br>Require some additional supervision, verbal redirection, or a combination of both in a few situations?<br>• If YES to either question, STOP. Give the customer a score of 1 – Minor Problem.<br>• If NO to both questions, continue to step 5. |
| 5 | Does the behavior occur, but not at a level that requires intervention? |

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| | OR<br><br>Has the behavior not occurred in the last year (including if chemically controlled)?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 4:**

The customer is an 11-year-old male diagnosed with Autism and Conduct Disorder. His mother reports that when there is a change in his routine, he becomes very angry and agitated. She said he bangs his head against the walls in the home, including a concrete wall that is in his bedroom. Two incidents in the past year resulted in hospitalization. Both times he had a concussion and needed stitches. She said she has learned what his triggers are and sometimes can stop the behavior by offering him his favorite snack to distract him. Most of the time, his parents are unable to stop the behavior and must intervene by placing him in a “bear hug” hold until he calms.

The behavior has caused immediate medical attention (two hospitalizations) in the past year and requires close supervision and physical interruption.

**Score of 3:**

The customer is a 9-year-old male diagnosed with Autism and Mild Intellectual Disability. His father reports that when the customer gets upset, he pinches himself on the arms and legs. The father reports this behavior happens at least 5 times a week. The father said that the customer pinches himself so hard he has broken the skin and left bruises, but he has not needed immediate medical attention. The father said the only thing that stops the behavior is when he or his wife intervenes and holds the customer’s arms tightly to his side until he calms down. This can take up to 30 minutes.

Although the behavior does not occur daily, the intervention is always physical interruption.

**Score of 2:**

The customer’s mother reports that the customer punches himself in the head when he is angry or upset. This happens about once a week. The behavior has caused headaches and bruising. The mother reports she or her husband talk to the customer until he calms down.

The behavior occurs weekly and requires supervision and verbal redirection.

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**Score of 1:**

The customer's mother reports that approximately once a month the customer will have a "meltdown" when doing homework that she doesn't understand. The mother said the customer will grab her hair on each side of her head with her hands. The mother said sometimes the customer just does this for a second, and mom doesn't do anything about it. But there are times when the customer has pulled her hair out in clumps. The mother said, she will calmly tell the customer that she can take a break and come back to her homework later.

The behavior occurs less than weekly and sometimes requires verbal redirection.

**Score of 0:**

The customer is a 6-year-old female diagnosed with Epilepsy. Her mother reports that approximately every other day the customer gets upset when her mom does not let her eat sweets for breakfast. The customer will cry and bang her fists on the dining room table. The mother said the customer never hurts herself, and mom ignores the behavior.

The customer acts physically aggressive but the behavior is occurring at a level that does not require intervention.

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**Running or Wandering Away**

## Overview

Running or wandering away is when someone leaves a safe area or a responsible caregiver without telling someone or getting permission, posing a safety issue.

## During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Put this information in the comments and always include who gave the information.

| **Running or Wandering Away Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|
| Does the behavior fit the description of running or wandering away? | Does the behavior cause safety issues? | Ask questions or use inquiry statements such as:<br>• Where does the customer go when he wanders away?<br>• Describe what the customer does when he runs away.<br>• How does his behavior cause a safety issue? |
| Determine the intensity of the intervention | Consider how often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this behavior?<br>• How often do you respond that way?<br>• How well does this intervention work?<br>• What happens when you do not respond this way?<br>• What happens when the action taken does not stop the behavior? |

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| Determine the frequency of the behavior | Consider the past year. | Ask questions such as:<br>• How often does this behavior happen?<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Running or Wandering Away.

| Step | Scoring |
|---|---|
| 1 | Does the behavior:<br>Occur daily and require close supervision and a locked area?<br>OR<br>Occur less than daily, but poses a very serious threat to the safety of self or others and requires close supervision and a locked area?<br>• If YES to either question, STOP. Give the customer a score of 4 – Extremely Urgent Problem.<br>• If NO to both questions, continue to step 2. |
| 2 | Does the behavior:<br>Occur daily and pose safety issues to self or others?<br>AND<br>Require close supervision and physical redirection, or physical interruption?<br>• If YES to both questions, STOP. Give the customer a score of 3 – Serious Problem.<br>• If NO to either question, continue to step 3. |
| 3 | Does the behavior:<br>Occur at least weekly but less than daily and poses minor safety issues to self and others?<br>AND |

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| | Require close supervision, physical redirection, or both?<br>• If YES to both questions, STOP. Give the customer a score of 2 – Moderate Problem.<br>• If NO to either question, continue to step 4. |
| 4 | Does the behavior:<br>Occur less than weekly and poses minor safety issues to self and others?<br>AND<br>Require some additional supervision, verbal redirection, or both?<br>• If YES to both questions, STOP. Give the customer a score of 1 – Minor Problem.<br>• If NO to either question, continue to step 5. |
| 5 | Does the behavior occur, but not at a level that requires intervention?<br>OR<br>Has the behavior not occurred in the last year (including if chemically controlled)?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Minor Safety Issues | The behavior causes a low level of concern about safety, but is not a serious threat. |
| Safety Issues | The customer has trouble sensing danger, or is unable to communicate their name, address, or phone number creating a higher level of concern. |
| Very Serious Threat | This is the highest level of safety concern, because the behavior puts the customer or |

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| | others at risk of drowning, traffic injury, exploitation, or other dangerous situations. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 4:**

The customer is an 11-year-old male diagnosed with Autism. The customer's parents report that he loves to run and explore but is not able to tell when a situation is dangerous. His parents said that the customer is "obsessed" with motorcycles. They live on a very busy street, and every day when he hears a motorcycle he will try and run out the front door. A few months ago, the customer opened the front door and ran out into oncoming traffic. When his father realized the customer was outside, he ran after him, grabbed him, picked him up, and got him out of the middle of the road. They have since placed special locks on the door that can only be opened with a remote control that the customer does not have access too. The customer still tries to open the front door every day even though the door is locked. They keep a close eye on him because he has tried to climb out the window because of the locked door.

This is an extremely urgent problem because the customer has no safety awareness and has run out into oncoming traffic, placing himself and his dad in danger. The customer requires close supervision and a locked area to maintain safety.

**Score of 3:**

The customer is an 11-year-old male diagnosed with Autism. The mother reports that the customer loves to run and explore but is not able to tell when a situation is dangerous. His mother said he is "obsessed" with finding "hidden treasures". She said that they live in a rural area on tribal lands and every day the customer wanders away from home in search of "hidden treasures". She reported their home does not have locks, and she watches him as closely as she can, but she is also caring for her elderly mother and is unable to watch him every second of the day. She said as hard as she tries, he is still able to leave the home every day and she is at wits end. She has asked others on the tribal lands to keep an eye out for him. If they see him outside the boundaries of his yard, they take him by the hand and take him back home. There have been several occasions where the members in the community have had to go search for him because he got lost and was gone for several hours.

The behavior occurs daily and poses a risk to the customer's safety due to the harsh environment, such as: lack of water, cacti, snakes. He requires close supervision and physical interruption.

**Score of 2:**

The customer is a 7-year-old male diagnosed with Autism and Mild Intellectual Disability. His mom reports that he "is obsessed with dogs, big or small." His mom reports that three to four times a week when they are at the community park he will "stop what he is doing and bolt towards any dog he sees". She said she is constantly keeping an eye on him, but "he can spot a dog from a mile away" and starts running so quickly she has to run to catch up to him, get in front of him, turn his

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body back in the direction of the playground, and tell him to go back to the playground. She said that she talks to him each time and tells him that all dogs do not like kids but talking has been ineffective up to this point.

The behavior occurs at least weekly but less than daily and poses some safety issues. He must be closely supervised and physically redirected each time.

**Score of 1:**

The customer is a 10-year-old female diagnosed with Mild Intellectual Disability. Her teacher reported that four times in the past six months the customer did not return to class from recess. The teacher said she and other staff members looked for her but didn't find her. The customer returned on her own within 15 minutes each time. The customer told them she was hiding behind a tree and didn't realize everyone went back to class. Once she realized everyone had gone back to class, she was afraid to leave the tree because she thought she would get in trouble. Her teacher talked to her about the danger of being outside by herself. A teacher's aide now checks to make sure the customer is with the class when it is time to go inside.

The behavior occurs less than weekly, raised concerns about safety but was not a serious threat. She receives some supervision to prevent the behavior.

**Score of 0:**

The customer is a 6-year-old female diagnosed with Developmental Delays and Down's Syndrome. She has never attempted to run away from home. When she attended school 16 months ago, she ran away almost every day. The customer told her parents that the "kids are really mean to me, and I run away to hide from them." When the school learned about the problem, they assigned an aid who was always with her. The customer is now homeschooled and has not run away since.

Although the behavior did happen, it happened over a year ago and no longer occurs.

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**Disruptive Behaviors**

Overview

Disruptive Behavior is inappropriate behavior that interferes with the normal activities of the customer or others. This includes, but is not limited to:

- Excessive whining, crying, or screaming
- Persistent pestering or teasing
- Constantly demanding attention
- Repetitive or stereotypic behaviors
- Excessive hyperactivity
- Temper tantrums

The following are not included in the score:

- Verbal threatening or acts of physical aggression, which are scored elsewhere
- Behavior that does not disrupt or affect anyone.
- A customer reacting reasonably to a difficult situation. For example, stress or illness.
- Crying from pain.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Disruptive Behavior Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|
| Does the behavior fit the definition of disruptive behavior | Who does the behavior disrupt? | Ask questions such as:<br>• Who is affected by this behavior? |

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| | | • When the customer does this, how does it disrupt others?<br>• Whose activities are disrupted when this happens? |
| | How is the behavior disruptive? | Ask questions such as:<br>What happens during these episodes that interferes with the normal activities of the customer or others?<br>In what way is this behavior inappropriate? |
| Determine the intensity of the intervention | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this disruptive behavior?<br>• How often is the intervention used?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens if this does not stop disruptive behavior? |
| Determine the frequency of the behavior | The last 90 days. | Ask questions such as:<br>• How often does the behavior occur?<br>• What triggers this behavior, if known? |

Scoring

Follow the steps below to determine the score for Disruptive Behavior.

| Step | Action |
|---|---|

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|---|---|
| 1 | Does the behavior occur daily and require constant intervention?<br>• If YES, STOP. Give the customer a score of 3 – Serious Problem.<br>• If NO, continue to step 2. |
| 2 | Does the behavior occur at least weekly, but less than daily and require frequent intervention?<br>• If YES, STOP. Give the customer a score of 2 – Moderate Problem.<br>• If NO, continue to step 3. |
| 3 | Does the behavior occur less than weekly and require occasional intervention?<br>• If YES, STOP. Give the customer a score of 1 – Minor Problem.<br>• If NO, continue to step 4. |
| 4 | Does the behavior occur but not at a level that requires intervention?<br>OR<br>Has the behavior not occurred in the last year (including if chemically controlled)?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Constant | At least once a day. |
| Frequent | Weekly to every other day. |

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| Occasional | Less than weekly. |

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# Ages 12 and Older

## Ages 12 and Older Overview

### Introduction

In this chapter, you will learn about completing a PAS for customers ages 12 and older who have a developmental disability. The sections in this chapter are:

- Motor and Independent Living Skills (ILS)
- Communication and Cognitive Domain
- Behavioral Domain

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# Motor and Independent Living Skills

## DD 12+ Motor and Independent Living Skills

Overview

The ability or inability to perform Independent Living Skills (ILS) can be used as a practical measure when determining a person's need for long-term care services and risk of institutionalization.

The ILS include:

- Hand Use
- Ambulation
- Wheelchair Mobility
- Transfer
- Eating and Drinking
- Dressing
- Personal Hygiene
- Bathing or Showering
- Food Preparation
- Community Mobility
- Toileting

Things to Keep in Mind When Scoring Motor and Independent Living Skills (ILS)

- Gather information about the customer's ILS from the past year with emphasis on current performance.
- ILS may consist of several tasks. Consider ALL parts of the ILS that are relevant to the customer when scoring. Do not score just on the performance of part of the task. See the scoring section of the specific ILS for more details.
- Use investigative interviewing skills to gather enough information for the PAS.
- When it is clearly evident that a customer needs more assistance than is received, that may be considered when scoring. This should be done conservatively, as it may be difficult to

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determine the exact amount of assistance needed. Comments must include a thorough explanation of this need and must state “scored based on need”. See examples below.

NOTE Generally, a score based on need would not be higher than a 1.

- Consider the use of a service animal in scoring when the animal has been trained to assist the customer in performing specific ILS.
- Score based on what the customer actually does, not what the customer “could do” or “might be able to do”.

NOTE See the specific ILS sections for possible exceptions when the customer does not have a physical or developmental barrier to performing the ILS.

Definitions

| **Term** | **Definition** |
|---|---|
| Limited hands-on assistance | A small portion of an entire task. For example, a caregiver only washes the customer’s back during bathing. |
| Occasional hands-on assistance | When the customer needs hands-on help to complete an entire task sometimes, but not most of the time. For example, a customer needs her caregiver to pull her to a stand from bed each morning because her joints are stiff. As soon as she gets out of bed, she takes her medication and is then able to transfer independently to all other surfaces throughout the day. |
| Physical lift | When a caregiver actively bears some part of the customer’s weight during movement or activity.<br><br>NOTE This does not include steadying or guiding the customer. |
| Physical participation | The customer’s active participation, not just being passive or cooperative. This includes the ability to complete a part of the task. |
| Service animal | A dog or miniature horse that is individually trained to do work or perform tasks for the benefit of an individual with a disability. Other species of animals, whether wild or domestic, |

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| | trained or untrained, are not considered service animals |
| Supervision | When a caregiver observes the customer and is readily available to provide assistance, including verbal cues or reminders and set-up activities |
| Typical performance | In general, means the level of skill or function the customer achieves most of the time. |

Examples

Important! Examples only provide guidance on scoring. They do not cover every possible situation.

The following table gives examples of cooperation as compared to participation

| **Cooperation** | **Participation** |
|---|---|
| The customer raises her arms, and the caregiver threads the customer's hands and arms through shirtsleeves and pulls the shirt down. | The caregiver holds the customer's shirt so that the sleeves are easy to get to. The customer threads her arms through and tugs her shirt into place. |
| The customer turns his face toward the caregiver when asked to do so during face washing. | The customer washes his face once the caregiver prepares the washcloth and hands it to him. |
| The customer allows the caregiver to lean her to the side and place a slide board under her. | The customer leans over to her side, the caregiver places the slide board under her, and the customer slides onto the slide board. |

Examples

<u>Personal Hygiene –score based on need</u>

An older DD customer diagnosed with Moderate Intellectual Disability lives on her own and does not have a caregiver. The customer reports she can brush her teeth, comb her hair, and wash her hands and face. The customer's DD Support Coordinator (SC) reports that the customer's mother, who was the primary caregiver, recently passed away. Adult Protective Services (APS) is involved due to reports from neighbors that the customer is unable to care for herself. SC reports that on her most recent visit, the customer's hair was disheveled and matted, her hands were dirty with dirt

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beneath long unkept fingernails, and the amount of plaque and food particles in her teeth indicate she has not been brushing. The customer is given a score of 1 for personal hygiene, as assistance does appear to be needed, but the amount and frequency is unknown.

Bathing or Showering – score based on need

The customer is a 15-year-old male diagnosed with Autism and Mild Intellectual Disability. He is being raised by his grandmother who recently suffered from a stroke. She is no longer able to assist the customer with his ILS. Before her stroke, the grandmother would wash the customer's hair four times a week after his daily bath.

The grandmother reported that his hair is very long. He refuses to get it cut and he is unable to wash it on his own. Since her stroke, his hair has become extremely dirty and greasy, and it has developed a foul smell. The customer is given a score of 1 for bathing or showering, as he needs assistance four times a week with part of this daily task.

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**Hand Use**

## Overview

Hand use is the customer's ability to use their hands. When the customer only has one hand or has the use of only one hand, score based on use of the better hand. If that is the case, it must be explained in the comments.

## During the PAS Interview

Use open-ended questions and inquiry statements to get a clear, complete picture of the customer's ability to use their hands.

Some suggested questions and inquiry statements are:

- How does the customer pick up small items, such as a Cheerio, pen or pencil?
- Please tell me more about how the customer uses his hands in daily tasks, such as using the remote control, phone, or video games.

Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

## Scoring

Follow the steps below to determine the score for Hand Use.

| Step | Action |
|---|---|
| 1 | Does the customer have any functional use of hands?<br>• If NO, STOP. Give the customer a score of 3.<br>• If YES, continue to step 2. |
| 2 | Does the customer use a raking motion or grasp with hands without using the thumb?<br>• If YES, STOP. Give the customer a score of 2. |

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|---|---|
| | • If NO, continue to step 3. |
| 3 | Does the customer use thumb and fingers of hands in opposition?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer use fingers independently of each other?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Raking motion or grasp | Using the fingers like a rake, curling the top of the fingers over the object to bring items toward them, without using the thumb. |
| Using thumbs and fingers in opposition | Moving the thumb toward the tips of the fingers, like a pinching or claw motion. |

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**Ambulation**

## Overview

The score for ambulation is based on the customer's ability to walk. Consider the quality of the ambulation ("walks well" vs. "walks unsteadily") and the degree of independence ("walks alone" vs. "walks only with physical assistance from others"). Independent ambulation with an assistive device, such as a walker or cane, would be considered "walking alone".

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

| **Ambulation Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer ambulate? | Use open-ended questions. Ask how the customer moves around. Here are some suggestions:<br>• How well does the customer walk for normal distances?<br>• What, if any, limitations does the customer have when walking on different terrains? |
| Who is involved? | When the customer gets assistance with ambulation, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask:<br>• When does the customer need assistance; and |

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|---|---|
| | • How often is the assistance provided? |
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me what prevents the customer from walking on their own.<br>• You said that you have trouble walking when surfaces are uneven. What makes this difficult for you? |

Scoring

Follow the steps below to determine the Ambulation score.

| Step | Action |
|---|---|
| 1 | Is the customer unable to walk most of the time?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Is the customer only able to walk with physical assistance from others most of the time?<br>• If YES, STOP. Give the customer a score of 3.<br>• If No, continue to step 3. |
| 3 | Does the customer walk alone, but is unsteady and only able to walk short distances of about 10 to 20 feet?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer walk alone and balance well but has difficulty transitioning from one surface to another or walking on uneven terrain? For example, the customer has difficulty going from a carpeted floor to tile or walking on landscape rock. |

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|---|---|
| | • If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer walk well alone on all terrains?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

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**Wheelchair Mobility**

## Overview

The score for wheelchair mobility is based on the customer's ability to use a wheelchair. Do not score the customer's ability to transfer in and out of the wheelchair. The wheelchair can be motorized or manual. If both are used, score according to the chair used most of the time.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

| **Wheelchair Mobility Components** | **Tips to gather the correct information** |
|---|---|
| If the customer uses a wheelchair, how does the customer move about? | Use open-ended questions.<br>• Ask how the customer moves around in a wheelchair. For example, how does the customer propel the wheelchair? |
| Who is involved? | When the customer gets assistance with wheelchair mobility, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask:<br>• When does the customer need assistance; and<br>• How often is the assistance provided? |

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|---|---|
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me what prevents the customer from self-propelling the wheelchair.<br>• You said that you have trouble getting around corners or through doorways. What makes this difficult for you? |

Scoring

Follow the steps below to determine the Wheelchair Mobility score.

| Step | Action |
|---|---|
| 1 | Does the customer need total assistance from another person to move a wheelchair?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need some, but not total assistance from another person to move a wheelchair?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Is the customer able to move a wheelchair independently, but has difficulty steering or bumps into things?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to move a wheelchair independently, or does not use a wheelchair?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

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**Transfer**

Overview

The score for Transferring is based on the customer's ability to transfer:

- In and out of a wheelchair;
- On and off the toilet;
- In and out of bed; and
- In and out of the shower or tub.

Things to Keep in Mind When Scoring for Transfer:

- Base the score on the level of assistance needed on a consistent basis;
- The need for assistive devices is not considered when scoring. The need to set up assistive devices for the customer is considered.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Transferring Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer get:<br>• In and out of a wheelchair;<br>• On and off the toilet;<br>• In and out of bed; and<br>• In and out of the shower or tub? | Use open-ended questions to ask what happens during the transferring process. Here are some suggestions:<br>• Please describe how the customer gets out of bed.<br>• Describe how the customer gets into bed.<br>• How does the customer get into the shower or tub?<br>• How does the customer get out of the wheelchair? |

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| | |
|---|---|
| | • Please describe what the customer does to get into a wheelchair. |
| Who is involved? | For each type of transfer where the customer needs help, ask the customer and caregiver about:<br>• Who provides assistance;<br>• What assistance the person provides;<br>• How the customer participates in the transfer. |
| How often does it happen? | Ask how often assistance is provided for each type of transfer. |
| What's the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me more about the limitations that prevent the customer from being able to get out of the wheelchair on his own.<br>• You said that you have trouble getting out of the tub. Please tell me what makes this difficult for you. |

Scoring

Follow the steps below to determine the Transferring score. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Does the customer rely completely on others for transfers?<br>OR<br>Is the customer bedfast?<br>• If YES to either question, STOP. Give the customer a score of 3. |

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|---|---|
| | • If NO, continue to step 2. |
| 2 | Does the customer need to be physically lifted or moved, but can physically participate most of the time? For example, the customer participates by pivoting, or sits up and swings legs over the side of the bed.<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the customer transfer with hands-on physical guidance, but does not have to be physically lifted?<br>OR<br>Does the customer need supervision or set up more than half of the time when transferring?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the activity independently, with or without assistive devices, most or all the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to help a person perform a particular task. Examples include canes, walkers, slide boards, gait belts, Hoyer lifts, and wheelchairs |
| Bedfast | Confined to a bed due to illness or injury. |
| Physical Guidance | Means physical contact that helps the customer start or complete a task but does not involve |

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|---|---|
| | bearing any of the customer's weight. Examples include:<br>• Pulling the customer up from a seated or laying position;<br>• Physically guiding the customer;<br>• Physically steadying the customer. |
| Physical Lift | Actively bearing some part of the customer's weight during movement or activity |
| Set-up | Means placing assistive devices for the customer's use and includes locking any brakes for safe transferring activity. |
| Supervision | Observing the customer and being readily available to provide assistance, including verbal cues and reminders. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 3: Total Dependence**

The customer is a 16-year-old male diagnosed with severe Cerebral Palsy. His mother reports that he is completely reliant on others for all transfers. She said that each time he is transferred she and her husband place their hands under the customer's back and legs and clasp their hands together. She reports she and her husband bear all the customer's weight.

**Score of 2: Hands-On Assistance**

The customer is a 12-year-old female diagnosed with moderate Cerebral Palsy and hemiplegia. The caregiver reports that the customer needs hands-on assistance getting in and out of bed, and on and off the toilet each time she transfers. The caregiver places her hands underneath the customer's armpits, bearing most of her weight and lifts her to a stand until the customer can hold onto her FWW. The shower is level to the floor and has grab bars installed, so the customer is able to transfer in and out independently.

**Score of 1: Physical Guidance and Supervision**

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The customer is a 14-year-old female. She is diagnosed with Epilepsy and has uncontrolled seizures, which occur at least four times a week. Her parents report that to ensure safety they supervise all of her transfers to and from the tub and on and off the toilet. Counting both to and from, her parents supervise about 8 to 12 transfers a day.

The customer's bed is soft-sided and only 24 inches off the floor. The area around the bed is free of hard objects and is padded to prevent injury. Counting both to and from bed, the customer transfers independently 2 to 4 times a day.

**Score of 0: Independent**

The customer is a 13-year-old male diagnosed with Autism. His father reports the customer is very active and "bounces off the walls all day long". Father reports that the customer is completely independent with all transfers.

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**Eating and Drinking**

Overview

The score for Eating/Drinking is based on the customer's ability to eat food and drink beverages that are served.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Eating and Drinking Components | Tips to gather the correct information |
|---|---|
| How does the customer eat and drink? | Use open-ended questions and inquiry statements. Ask what happens during the eating and drinking process. Here are some suggestions:<br>• What is the customer's method of eating? For example, is it by mouth, feeding tube, or another method?<br>• What is the customer's method of drinking?<br>• How is food set-up for the customer? For example, does the customer need help cutting food or opening containers?<br>• Describe the customer's eating routine from the time the food is plated until the completion of the meal. |
| Who is involved? | Ask the caregiver and customer:<br>• Who provides assistance;<br>• What assistance does each person provide; and<br>• How does the customer participate? |

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|---|---|
| How often does it happen? | Ask how many meals the customer eats each day AND how often assistance is provided for each meal. |
| What is the reason for any help provided? | Ask questions that invite the caregiver or customer to tell you the reason help is needed. Here are some suggestions:<br>• What difficulties does the customer have while eating or drinking, if any?<br>• Please tell me more about how much help the customer needs during each meal.<br>• Tell me about any limitations that prevent the customer from being able to cut their food and open containers. |

Scoring

Follow the steps below to determine the score for Eating and Drinking. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Does the customer get their primary nourishment through tube feeding?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Is the customer fed by another person most of the time?<br>OR<br>Is the customer unable to drink a beverage on their own most of the time, with or without assistive devices?<br>• If YES to either question, STOP. Give the customer a score of 3.<br>• If No, continue to step 3. |

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|---|---|
| 3 | Does the customer need hands-on assistance to initiate or complete the task most of the time? For example, placing the utensils in hand or hand over hand scooping.<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the task with verbal prompts, cue by touch, or materials setup most of the time? Some examples are using a plate guard, a built-up spoon, or cutting food.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Is the customer able to complete the task independently, with or without assistive utensils, most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Assistive Utensils | Utensils that are designed, made, or adapted to help a person with eating. Examples: built-up spoon, curved utensils, universal cuff utensil holder, bendable utensils, weighted utensils |
| Set-up | Actions taken before a meal to make it easier for a person to eat. Examples include: opening milk cartons, cutting food, clockwise arrangement for the visually impaired, cutting or pureeing of food. |
| Serving Food | Bringing food to a person. |
| Tube Feeding | Nutrition administered through a tube. Examples include nasogastric (NG) tube, gastrostomy (g-tube) or jejunostomy (j-tube). |

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**Dressing**

## Overview

The score for Dressing is based on the customer's ability to dress and undress. A customer can use adaptive clothing such as elastic waist pants, Velcro shoes, or shirts without buttons and still be considered independent.

Dressing includes putting on and removing regular pieces of clothing, such as:

- Underwear, including briefs and diapers
- Pants
- Shorts
- Dresses
- Socks and shoes

Dressing does not include:

- Putting on and removing leg braces, such as ankle foot orthoses (AFOs) or a freedom brace
- Matching colors
- Choosing appropriate clothing for the weather
- Laundering or ironing

NOTE When the customer is dressed by another person, determine if the customer needs assistance dressing due to a physical or developmental limitation or the caregiver dresses the customer for an unrelated reason.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information in the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

| Dressing Components | Tips to gather the correct information |
|---|---|

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|---|---|
| How does the customer get dressed and undressed? | Use open-ended questions and inquiry statements. Ask how the customer dresses and undresses. Here are some suggestions:<br>• Describe the set-up process before the customer gets dressed.<br>• How does the customer put on and remove upper body clothing?<br>• How does the customer put on and remove lower body clothing?<br>• Please describe how the customer opens fasteners (zippers, snaps, buttons, and clasps).<br>• How does the customer close fasteners?<br>• Tell me how the customer puts on and removes shoes. This includes slip on shoes, shoes that tie, and fastening Velcro straps. |
| Who is involved? | When the customer gets assistance with dressing, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |
| How often? | Ask how often assistance is provided for the customer. Ask:<br>• When does the customer need assistance; and<br>• How often is the assistance provided? |
| What's the reason for any help provided? | • Use statements or questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• What difficulties, if any, does the customer have getting dressed or undressed? |

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| | • Tell me what prevents the customer from dressing on his own.<br>• Please tell me more about how much help the customer receives when getting dressed. |

Scoring

Follow the steps below to determine the Dressing score.

| Step | Action |
|---|---|
| 1 | Does the customer require total hands-on assistance and does NOT physically participate most of the time?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance, but CAN physically participate most of the time?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require hands-on assistance to start and complete the task? For example, help with putting arms through sleeves, legs in pants, fastening buttons or zippers.<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the task with verbal prompts, cue by touch, materials setup, or other modifications?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Is the customer able to complete the task independently? |

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|---|---|
| | • If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

Definitions

| Term | Definition |
|---|---|
| Cue by touch | Assisting the customer by touching the customer's arms, legs, feet, clothes, socks, or shoes to provide instructions for how to get dressed. |

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**Personal Hygiene**

Overview

The score for Personal Hygiene is based on the customer's ability to complete grooming activities. These tasks include:

- Hair care
- Oral care
- Washing face
- Washing hands
- Shaving
- Nail care for fingers and toes
- Menses' care
- Use of deodorant

The customer may be able to perform some tasks better than others. Score based on the customer's ability to perform all tasks in personal hygiene and explain in comments.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Personal Hygiene Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer maintain personal hygiene? | Use open-ended questions or inquiry statements.<br><br>Ask what happens for each part of personal hygiene. Here are some suggestions:<br><br>• How does the customer's hair get combed or brushed? |

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|---|---|
| | • Tell me about the customer's oral hygiene routine.<br>• What steps are taken to complete shaving needs?<br>• How does the customer wash his face?<br>• How is menstrual care completed each month?<br>Make sure to get information for all grooming tasks |
| Who is involved? | Ask the customer and caregiver:<br>• Who provides assistance;<br>• What assistance is provided; and<br>• How the customer participates. |
| How often does it happen? | For each personal hygiene task, ask how often it is done AND how often assistance from others is provided. |
| What is the reason for any help provided? | Use inquiry statements or ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

Scoring

Follow the steps below to determine the Personal Hygiene score. Score is based on all grooming tasks that the customer requires. If the customer does not need a task done at all, do not consider it in scoring.

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| Step | Action |
|---|---|
| 1 | Does the customer require total hands-on assistance for all grooming tasks that are required and does NOT physically participate?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance for most grooming tasks that are required, but CAN physically participate?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require hands-on assistance to start or complete grooming tasks most of the time?<br>OR<br>Does the customer require hands-on assistance for some, but not most grooming tasks that are required?<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 4. |
| 4 | Is the customer able to complete most grooming tasks that are required with verbal prompts, cue by touch, or materials setup most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Is the customer able to independently complete all grooming tasks that are required most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

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| Term | Definitions |
|---|---|
| Oral Care | Cleaning the mouth and teeth, including dentures, of food debris and dental plaque. For people without teeth or dentures, oral care includes cleaning the mouth and gums. |
| Physical Participation | The customer's active participation, not just being passive or cooperative. This includes the ability to complete a part of the task. See DD 12+ Motor and Independent Living Skills section for examples. |
| Set-up | Scoring for set-up involves more than simply making grooming items available. Examples of set-up include: squeezing the toothpaste to the top of the tube to make it easier for the person to apply the toothpaste themselves, adding a new razor blade to a razor and cleaning up after each use, setting up adaptive holders and long handles for toothbrushes, razors, hairbrushes. |
| Shaving | To remove hair from the face, legs, or underarms by cutting it close to the skin with a razor. |

Example

The following example uses a table to help determine the score for the customer. Use this table for guidance to choose the appropriate score. The score with the majority of "X's" is the correct score.

The customer's mother reports that, with daily verbal prompts and set up, the customer washes his hands and face, puts deodorant on, and brushes his teeth. He can shave his facial hair with an electric razor, but his mother completes the task shaving the areas that he missed. His hair is kept short, so combing is not needed. Nail care is done once monthly by his mother because when he has tried to do this, he makes himself bleed.

| | **SCORE** | | | | |
|---|---|---|---|---|---|
| **TASK** | **0** | **1** | **2** | **3** | **4** |

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| | | | | | |
|---|---|---|---|---|---|
| Hair Care | n/a | | | | |
| Oral Care | | X | | | |
| Washing Face | | X | | | |
| Washing Hands | | X | | | |
| Shaving | | | X | | |
| Nail Care | | | | | X |
| Menses Care | n/a | | | | |
| Deodorant | | X | | | |

**Explanation:**

Looking at the task as a whole, the customer's needs and abilities mostly fall within a score of 1. He only needs a greater level of caregiver support to complete or finish one of the tasks (nail care). A score of 1 is appropriate here.

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**Bathing or Showering**

Overview

The score for Bathing or Showering is based on the customer's ability to complete the bathing or showering process. This process includes:

- Drawing the bath water
- Setting the temperature for a shower
- Washing, rinsing, and drying all body parts
- Shampooing hair
- Taking sponge baths for the purpose of maintaining adequate hygiene and skin integrity

Bathing or showering does not include:

- The ability to wash face and hands when not taking a bath or showering. Score under Personal Hygiene.
- The ability to transfer in and out of a tub or shower. Score under Transfer.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Bathing or Showering Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer bathe? | • Use open-ended questions or inquiry statements.<br>• Ask what happens for each part of the bathing process. Here are some suggestions:<br>◦ Who turns the water on and sets the temperature? |

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|---|---|
| | ◦ Describe how the customer's body and hair are being washed.<br>◦ Who is drying the customer's body?<br>◦ Tell me about the customer's bathing routine.<br>◦ Please describe any assistive devices the customer uses, such as grab bars, shower chair or washing aides.<br>• Make sure you get all the information that is needed. |
| Who is involved? | Ask the caregiver and customer:<br>• Who provides assistance;<br>• What assistance is provided; and<br>• How does the customer participate? |
| How often does it happen? | Ask how often the customer bathes AND how often assistance from others is provided. |
| What is the reason for any help provided? | Use inquiry statements or ask questions that invite the caregiver or customer to tell you the reason help is needed. Here are some suggestions:<br>• Please tell me the reason that you do that for him.<br>• Please describe what prevents the customer from being able to complete the task on her own. |

Scoring

Follow the steps below to determine the Bathing or Showering score.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer require total hands-on assistance and does NOT physically participate?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer require hands-on assistance, but CAN physically participate?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer require extensive verbal prompts?<br>OR<br>Does the customer require limited hands-on assistance or occasional hands-on assistance most of the time?<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 4. |
| 4 | Does the customer require verbal prompts for washing and drying?<br>OR<br>Does the customer require physical help drawing water or checking the water temperature most of the time?<br>• If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 5. |
| 5 | Is the customer able to complete the activity independently most of the time, with or without assistive devices?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|

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| | |
|---|---|
| Assistive Devices | Devices that are designed, made, or adapted to assist a person to perform a particular task. Examples: grab bars, long-handled loofah, shower chair |
| Verbal prompts vs Extensive verbal prompts | Verbal prompts are similar to reminders to bathe or shower. Extensive verbal prompts give the customer step by step directions on how to bathe or shower. |

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**Food Preparation**

Overview

The score for Food Preparation is based on the customer's ability to prepare simple meals. Examples of simple meals include:

- Sandwiches
- Hot dogs
- Cereal
- Frozen meals
- Salad
- Eggs

The following are not considered when scoring:

- Whether or not the customer prepares a balanced meal;
- Whether or not a variety of food items are prepared; or
- How the food item is cooked or heated. For example, a customer may only use the microwave and still be considered independent.

NOTE When food is prepared by another person, determine whether the customer needs assistance with food preparation due to a physical or developmental limitation or the caregiver prepares the customer's food for an unrelated reason. See **Example section below.**

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should **always** include who gave the information.

| **Components** | **Tips to gather the complete and accurate information** |
|---|---|

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| | |
|---|---|
| How does the customer prepare food? | Use open-ended questions and ask about what happens during meal preparation. Here are some ideas:<br>• How is the customer's food prepared?<br>• What type of meals is the customer preparing?<br>• Describe the customer's meal preparation routine from beginning to end. |
| Who is involved? | Ask the customer and caregiver:<br>• Who is involved in the food preparation process?<br>• What assistance does the caregiver provide? For example, the customer receives:<br>◦ Prompts on how to prepare a meal;<br>◦ Cue by touch; or<br>◦ Hands-on assistance to initiate or complete the task.<br>• How does the customer participate? |
| How often does it happen? | Ask how many meals the customer prepares each day AND how often assistance is provided for each meal. |
| What is the reason for any help provided? | Ask questions that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• What difficulties does the customer have when preparing meals, if any?<br>• Please tell me more about why meals are prepared for the customer.<br>• Tell me about any limitations that prevent the customer from being able to make simple meals on his own. |

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Scoring

Follow the steps below to determine the score for Food Preparation. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|
| 1 | Is the customer unable to prepare simple meals, even when assisted, most of the time?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 2. |
| 2 | Does the customer need hands-on assistance to prepare a simple meal most of the time?<br>• If YES, STOP. Give the customer a score of 2.<br>• If No, continue to step 3. |
| 3 | Does the customer need at least one of the following to prepare a simple meal most of the time?<br>• Verbal prompts<br>• Cue by touch, or<br>• Materials set up.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 4. |
| 4 | Does the customer prepare simple meals independently most of the time?<br>OR<br>Is the customer able to prepare simple meals independently, but most meals are prepared for the customer as part of the family meal, to ensure a balanced diet or for convenience most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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Definitions

| Term | Definition |
|---|---|
| Cue by touch | Assisting the customer by touching the customer's hands, food items, or utensils to provide instructions for how to prepare a meal. |
| Materials setup | Assisting the customer by setting up food supplies: spoon, fork, bowl, plate, food items. |
| Verbal prompts | Providing verbal direction on:<br>• Where to find food supplies;<br>• How to prepare a meal; or<br>• How to put items away and clean up after a meal.<br>NOTE This does NOT include reminders UNLESS it is a safety issue. See "**Simple Reminder vs Safety Issue**" examples below. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 3: Total Dependence**

Example 1:

The customer is a 12-year-old female diagnosed with Prader-Willi syndrome and is morbidly obese. The mother reports the customer does not prepare any meals. The mother reports the customer can make sandwiches, and heat up frozen meals in the microwave, but for her health and safety, she is not allowed access to food items". She is on a special diet prescribed by her primary care physician (PCP) and the mother prepares all meals and controls portions for each meal.

Example 2:

The caregiver reports that the customer can get some items needed for the meal out of the refrigerator every day. After that, the caregiver does the rest of the set-up, makes the food, and puts away all the items each time a meal is prepared. The customer is diagnosed with Severe Intellectual Disability. The caregiver reports the customer is only able to follow simple instructions

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like “Take the bologna out of the refrigerator. Ok, good, now please bring it to me”. The customer is not able to pour a bowl of cereal, make a sandwich, or heat up food.

**Score of 2: Hands-On Assistance**

The customer is a 12-year-old female who is diagnosed with Moderate Intellectual Disability. The mother reports that she is in the process of teaching the customer how to make simple meals including toast with jam and a peanut butter and jelly sandwich. For each meal the mother tells the customer where the food items are and asks the customer to put them on the table. For toast and jam, the customer puts bread in the toaster and mom puts her hand over the customer’s and pushes down on the lever. They wait for the toast to pop up and let it cool long enough for the customer to take the toast out and put it on a plate. Mom then puts her hand over the customer’s and, using a spoon, gets a scoop full of jam. The customer will then spread it on the toast. For peanut butter and jelly the customer will take two slices of bread out of the bag. The process is the same for the peanut butter and jelly, as it is for the jam.

**Score of 1: Able to Complete the Task with Verbal Prompts, Cue by Touch, or Materials Setup**

Example 1:

The customer is a 13-year-old male diagnosed with Cerebral Palsy and is in a wheelchair. The dad reports that the customer makes simple meals if the items are placed in front of him and the containers are opened. Dad reports that he wants the customer to be as independent as possible, so he helps the customer make breakfast and lunch every day. Once the materials are set up, the customer makes his favorite meals. For breakfast, he makes pop-tarts or Eggo waffles. For lunch, he makes a bologna and cheese sandwich with white bread and mustard or tuna salad.

Example 2:

The customer is a 14-year-old male diagnosed with Autism and ADD. The mother reports that the customer uses the microwave to heat up Hot Pockets every day for breakfast. She said he needs to be reminded what to set the timer for each time, or he will leave it in too long. On two occasions, he started a fire because he left the Hot Pocket in too long. **While the customer can heat up items in the microwave independently, a reminder to set the timer for a specific time is necessary for safety.**

Most other meals are prepared for him as part of the family meal or packed for him during the school term for convenience. If he has to put food items together, like for a sandwich, he will leave all of the remaining food items and dirty utensils on the counter.

**Score of 0: Independent**

Example 1:

Mother reports the customer does not prepare any meals. She reports the customer is able to make sandwiches and heat up frozen meals in the microwave independently. Mother also says the customer gets the food items on her own, safely uses the microwave and put things away, “but she takes so long and is so messy I just do it for her. I know I should let her be more independent but it’s so much easier this way.” The customer is able to prepare simple meals on her own, but the

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mother makes the meals because it is more convenient than taking the time to let the customer do it on her own and cleaning up after her.

Example 2:

The customer is a 12-year-old male diagnosed with Autism and ADD. The mother reports that the customer makes a bowl of cereal every morning when he wakes up. He does this on his own without assistance. She said that he is easily distracted so at least 5 times a week he will forget to put the cereal box and milk away. Mom checks the kitchen when he is done. When he forgets, she reminds him to go back and put the items away. The customer is able to make simple meals independently. Even though he gets reminders to put items away, it is not a safety issue.

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**Community Mobility**

## Overview

The score for community mobility is based on the customer's ability to move about the neighborhood or community independently. This includes accessing buildings, stores, and restaurants using any mode of transportation, such as walking, wheelchair, scooter, car, bus, taxi, or bicycle. Score based on what the customer actually does, not what they "could do" or "might be able to do".

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

| **Community Mobility Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer move about the neighborhood or community? | Use open-ended questions or inquiry statements. Ask how the customer moves around the neighborhood or community. Here are some suggestions:<br>• When the customer leaves the house, how does he get to where he is going? For example, a caregiver takes him, he rides a bike, walks, takes a bus, or drives a car.<br>• Please explain how the customer gets to school every morning. |
| Who is involved? | When the customer goes into the community or neighborhood, ask:<br>• Who provides assistance; and<br>• What assistance is provided? |

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| | |
|---|---|
| How often? | Ask how often assistance is provided for the customer. Ask:<br>• When does the customer need assistance; and<br>• How often is the assistance provided? |
| What's the reason for any help provided? | Use statements that invite the customer or caregiver to tell you the reason help is needed. Here are some suggestions:<br>• Tell me what prevents the customer from going out into the community on their own.<br>• You said that you give the customer directions on how to get to school. Please tell me more. Do you give directions every time? |

Scoring

Follow the steps in the table below to determine the Community Mobility score.

| Step | Action |
|---|---|
| 1 | Does the customer move about the neighborhood or community only when somebody is with them?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer move about the neighborhood or community with some physical assistance or someone occasionally with them?<br>• If YES, STOP. Give the customer a score of 3.<br>• If No, continue to step 3. |
| 3 | Does the customer move about the neighborhood or community independently for only simple direct trips or familiar locations, but needs instructions or directions? |

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| | |
|---|---|
| | • If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer move about the neighborhood or community independently for a complex trip (several stops, unfamiliar places, bus transfers), but needs instructions or directions?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer move about the neighborhood or community independently for complex trips without assistance most of the time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

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**Toileting**

## Overview

The score for Toileting is based on the customer's ability to initiate and care for bladder and bowel functions. The ability to transfer on and off the toilet is rated under Transfer. The ability to wash hands is rated under Personal Hygiene.

There are two parts when completing this screen, the score and the number of bladder accidents. Indicate the frequency of bladder accidents and choose daily, weekly, monthly, or yearly from the drop-down list.

## During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information. Include in comment if accidents are only at night or in special situations, such as on an outing or away from a familiar setting.

| **Toileting Components** | **Tips to gather the correct information** |
|---|---|
| How does the customer initiate and care for bowel and bladder functions? | Use open-ended questions or inquiry statements.<br><br>Ask what happens during the toileting process. Here are some suggestions:<br><br>• Please describe the customer's toileting routine.<br><br>• Tell me more about the situations the customer is in when he has a bladder accident.<br><br>• How does the customer let someone know she needs to use the restroom? Or, if she doesn't, is she on a toileting schedule? |
| Who is involved? | Ask the caregiver or customer:<br><br>• Who provides assistance;<br><br>• What assistance is provided; |

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| | |
|---|---|
| | • How does the customer participate; and<br>• How often is assistance provided for toileting? |
| What's the reason for any help provided? | Ask questions that invite the caregiver or customer to tell you the reason help is needed. Here are some suggestions:<br>• What limits the customer from completing the task independently?<br>• Tell me more about the reason a toileting schedule is used. |

Scoring

Follow the steps below to determine the toileting score.

| Step | Action |
|---|---|
| 1 | Does the customer require total caregiver intervention because they neither perform nor indicate the need for toileting most of the time?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 2. |
| 2 | Does the customer:<br>• Avoid accidents by using a toileting schedule because they do not indicate the need for toileting?<br>AND<br>• Require hands-on assistance to complete or perform the task most of the time?<br>◦ If YES to both questions, STOP. Give the customer a score of 3.<br>◦ If NO to either question, continue to step 3. |

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| | |
|---|---|
| 3 | Does the customer indicate the need for toileting, but requires hands-on assistance to complete or perform the task, such as help with fasteners, toilet paper, or flushing the toilet most of the time?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer able to complete the task with verbal prompts, cue by touch, or materials setup most of the time?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer toilet independently most of the time?<br>• If YES, STOP. Giver the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

Definitions

| **Term** | **Definitions** |
|---|---|
| Cue by touch | Using physical cues given on the customer's body to support understanding of the toileting process. For example, tapping on the customer's leg before asking them to pull their pants down. |
| Setup | Actions taken before or during the toileting process to assist the customer. Examples include having the toilet paper ready for use, lifting the lid on the toilet seat, and placing a step stool near the toilet. |
| Verbal Prompts | Providing verbal direction on how or when to use the toilet. This includes the use of a toileting schedule. |

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# Communication and Cognitive Domain

## Communication and Cognitive Domain Overview

In this chapter, you will learn about:

- Expressive verbal communication
- Clarity of communication
- Associating time with events and actions
- Remembering instructions and demonstrations

For each section in this chapter, you will find:

- An overview of the topic;
- Any definitions needed; and
- Other helpful information.

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**Expressive Verbal Communication**

## Overview

Expressive verbal communication is the customer's ability to communicate thoughts using words or sounds. Other forms of communication are addressed in the Clarity of Communication section.

## During the PAS Interview

Use the questions in the scoring table below to get a clear, complete picture of the customer's ability to use words or sounds to communicate thoughts. Include the information when entering the comment. The comment should always include who gave the information.

> NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during the interview.

## Scoring

Follow the steps below to determine the score for Expressive Verbal Communication.

| Step | Action |
|---|---|
| 1 | Does the customer make any sounds to communicate, such as babbling, crying, or laughing?<br>• If NO, STOP. Give the customer a score of 5.<br>• If YES, continue to step 2. |
| 2 | Does the customer use a personal language or sounds to communicate very basic concepts, but does not use any formal words?<br>• If YES, STOP. Give the customer a score of 4.<br>• If NO, continue to step 3. |
| 3 | Is the customer only able to use a few simple words and associate words with appropriate objects, such as names of common objects and activities (ball, juice, dog, walk)?<br>• If YES, STOP. Give the customer a score of 3. |

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| | |
|---|---|
| | • If NO, continue to step 4. |
| 4 | Is the customer only able to use simple two or three word phrases, such as "I go", "give me", or "I want juice"?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 5. |
| 5 | Is the customer only able to carry on a simple brief conversation, such as talking about everyday events? For example, mom asks, "How was your day at school?" The customer responds with, "It was boring." Then mom adds, "What did you have for lunch?" The customer answers, "We had hamburgers and fries."<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 6. |
| 6 | Is the customer able to carry on a complex or detailed conversation, including topics of interest to the customer? For example, the customer has a favorite video game that he talks about in detail.<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

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**Clarity of Communication**

## Overview

Clarity of communication is the customer's ability to speak in a recognizable language or use a formal symbolic substitution, such as American Sign Language. When the customer has more than one form of communication, score based on what is best understood.

## During the PAS Interview

Use open-ended questions and inquiry statements to get a clear, complete picture of the customer's ability to communicate effectively. Some suggested questions and inquiry statements are:

- What does the customer do to communicate with others?
- Please tell me more about how the customer lets you know something is needed.

Include the information when entering the comment. The comment should always include who gave the information.

NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during an in-person interview.

## Scoring

Follow the steps below to determine the score for Clarity of Communication.

| Step | Action |
|---|---|
| 1 | Does the customer use a recognizable language, non-verbal form of communication, or formal symbolic substitutions, such as writing a note or American Sign Language?<br>• If YES, continue to step 2.<br>• If NO, STOP. Give the customer a score of 4. |

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| | |
|---|---|
| 2 | Does the customer use speech or another form of communication that is ONLY understood by those who know the person well or who are trained in the alternate form of communication?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, continue to step 3. |
| 3 | Does the customer use a non-verbal form of communication that others understand, such as writing, communication board, gestures, or pointing?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer use speech that is understood by strangers with some difficulty? For example, the customer's speech is unclear and others can only understand most of the words by paying close attention.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 5. |
| 5 | Does the customer speak clearly and is easily understood?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above. Go back to step 1. |

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**Remembering Instructions and Demonstrations**

## Overview

The score for this section is based on the customer's ability to remember instructions or demonstrations on how to complete specific tasks.

## During the PAS Interview

Use open-ended questions and inquiry statements to get a clear, complete picture of the customer's ability to remember instructions and demonstrations. The task should be age appropriate and familiar to the customer.

Score based on the customer's ability to:

- Remember HOW to do a task.
- Complete the task with or without prompts.

When scoring, do NOT consider:

- A task that is scored in another section of the PAS, such as dressing or personal hygiene.
- Complex tasks or new tasks the customer is learning.
- Whether or not the customer remembers to DO the task.
- How long it took the customer to learn how to do the task.
- How long it takes the customer to do the task.

Include the information when entering the comment. The comment must include the tasks assessed and who gave the information. Examples of tasks are putting on lotion, doing laundry, making the bed, or taking out the trash.

## Scoring

Follow the steps below to determine the score for Remembering Instructions and Demonstrations. Refer to the example section for more information on how each score may be applied.

| Step | Action |
|---|---|

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| | |
|---|---|
| 1 | Does the customer show memory of instructions or demonstrations without prompting if they are given one time?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Does the customer show memory of instructions or demonstrations if they are given once and if prompted to recall?<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Does the customer show memory of instructions or demonstrations when they are repeated three or more times and when prompted to recall?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer show either no memory or extremely limited memory of instructions or demonstrations?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 0**

The customer has been diagnosed with Cerebral Palsy and requires others to help with her daily living skills. Her caregiver states the customer has use of right hand and fingers and is the only one who can reprogram the specialized adaptive remote control for the TV. The customer needs reminders to do the task but knows how to do it.

The score would be a 0.

**Score of 1**

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The customer was told to put lotion on her hands and arms. She was prompted once to use the lotion from the bathroom, put it into her hands, rub both hands together, then lather well until the lotion is spread over her hands and arms. When she is not reminded of the steps before she starts, she just puts lotion on her hands and does not put lotion on her arms.

The score would be a 1 because the customer shows memory of instructions if they are given once and if prompted to recall.

**Score of 2**

The customer has the chore of taking the inside recycle bin outside to the large recycle bin. The staff at the group home go over the steps to take the bin from under the sink, go outside to the large blue bin, open the lid, dump the items from the small bin into the large bin, and close the lid. The staff ask the customer to repeat back the steps. Every time this chore needs done, staff has to review the steps with him at least three times because he leaves out a step when he repeats it back. Then he can complete the task.

The score would be a 2 because the customer only remembers when instructions or demonstrations are repeated three or more times and the customer is prompted to recall.

**Score of 3**

When asked to pick up clothes and put them in the hamper, the customer tries to follow the instructions by going to his room. Once there, staff at the group home tell him to pick up the clothes on the bedroom floor. He then points to the floor but does not pick up the clothes. Even with staff breaking up the instructions and repeating them several times, the customer is still unable to complete the task. The staff end up completing the whole task for him every day.

The score would be a 3 because the customer shows no memory of instructions or demonstrations.

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**Association of Time with Events and Actions**

## Overview

This section is used to assess the customer's ability to associate time with events and actions. This section does not assess the customer's ability to tell time.

## During the PAS Interview

Use the questions in the scoring table below to get a clear, complete picture of the customer's ability to associate time with events and actions. Include the information when entering the comment. The comment should always include who gave the information.

> NOTE Document any differences between what is reported by the caregiver or in the medical records and what is observed during the interview.

## Scoring

Follow the steps below to determine the score for Association of Time with Events and Actions.

| Step | Action |
|---|---|
| 1 | Does the customer associate events with specific times? For example, the concert started at 7:45 pm.<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, continue to step 2. |
| 2 | Does the customer associate regular events with specific hours? For example, dinner is around six, bedtime is around ten.<br>• If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Does the customer associate regular events with morning, noon, or night or does not understand time but knows the sequence of daily events? For example, I go to school in the morning, have lunch in the afternoon, or go to bed at night. |

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|---|---|
| | • If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Is the customer unable to associate events and actions with time?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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## Behavioral Domain (one year)

### Behavioral Domain

Overview

This section identifies certain behaviors that may indicate the need for caregiver intervention. Scores are based on the frequency and level of intervention needed to control the problem behavior.

These behaviors include:

- Aggression
- Verbal or Physical Threatening
- Self-Injurious Behavior
- Resistiveness or Rebelliousness

Things to Keep in Mind When Scoring Behaviors

- Behaviors should be assessed based on the last 12 months with emphasis on current behavior.
- The level of the intervention has more impact than the frequency of the behavior. For example, a minor behavior such as whining may occur daily but not be a serious problem because verbal redirection is only provided in a few situations. Verbal redirection happens when out in public, but no intervention is given at home.
- Behaviors and the intervention scored above a zero must be described in the comment section. If a behavior occurs but the score is zero, the details must be put in the summary.
- When more than one type of intervention is used, score based on the most common method. For example, if verbal redirection is used once or twice a week, but a chemical restraint is given daily, score based on the use of a chemical restraint.

Definitions

| Term | Definition |
|---|---|
| Constant | At least once a day. |

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| Frequent | Weekly to every other day. |
| Intervention | Therapeutic treatment, including the use of medication, behavior modification and physical restraints to control the customer's behavior. Intervention may be formal or informal and includes actions taken by friends or family. |
| Medical attention | Examination and treatment by a medical professional or Primary Care Provider (PCP) resulting from inappropriate behavior.<br><br>Some examples of medical attention include, but are not limited to:<br><br>• Treatment received by an emergency medical technician (EMT)<br><br>• Treatment or examination by a psychiatric hospital provider<br><br>• Examination or treatment received at a medical hospital |
| Occasional | Less than weekly. |
| Physical interruption | Requires immediate hands-on interaction of the caregiver to stop the customer's behavior or the customer is receiving a chemical restraint for the behavior. See the comparison of Physical interruption, Physical redirection, and Verbal redirection below. |
| Physical redirection | Using touch to redirect the customer to perform more appropriate behavior. For example, a parent takes away a dangerous object from the customer and replaces it with a safer one. See the comparison of Physical interruption, Physical redirection, and Verbal redirection below. |
| Verbal redirection | A way of managing behavior by verbally expressing a command or request. For example, "Chairs are for sitting. No standing, please." See |

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| | |
|---|---|
| | the comparison of Physical interruption, Physical redirection, and Verbal redirection below. |

Example: Comparison of Physical interruption, Physical redirection, and Verbal redirection

Background information:

The customer is a 13-year-old male diagnosed with Autism and ADHD. The father reports when the customer starts feeling overwhelmed his body will start shaking, his fists clench, and he makes growling sounds. The father reports the customer is working with a therapist to identify coping skills that relieve stress and decrease adverse behaviors. The customer told his parents that when he is feeling overwhelmed the thing that helps the most is to go out to the backyard and “shoot hoops.” He said it also helps to eat Frito’s corn chips. He’s not sure why, “maybe because crunching on something that tastes good calms me down.”

| **Intervention** | **Example** |
|---|---|
| Physical interruption | The customer’s father reports that last week the customer was playing a video game in the living room. His two younger sisters were also in the living room playing and jumping on the couch. The father said he was in the other room and heard the customer start yelling at his sisters, “shut up and stop jumping or I am going to shut you up.” The father said he immediately stopped what he was doing to go to the living room but by the time he got there, the customer had both of his sisters pinned down on the couch. The father immediately pulled the customer off his sisters, took him by the arm to the backyard and told him to go cool off and shoot some hoops. |
| Physical redirection | The customer’s father reports that last week the customer was playing a video game in the living room. The father said he was in the living room playing a board game with his daughters and noticed that the customer was getting frustrated with the game he was playing. The customer’s body started shaking, he stated yelling “I hate this stupid game” and then started to hit himself in the head with the controller. The dad stopped what he was doing, put his hand on the customer’s shoulder, took the video controller |

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|---|---|
| | away and said, “come on let’s go outside and shoot some hoops.” |
| Verbal redirection | The customer’s father reports that last week the customer was playing a video game in the living room. The father said he was in the living room playing a board game with his daughters and noticed that the customer was getting frustrated with the game he was playing. The customer’s body started shaking, he stated yelling “I hate this stupid game” and then started to hit himself in the head with the controller. The dad was able to stop the behavior by saying, “Snack time everybody! Let’s go to the kitchen and get some Frito’s and apple juice.” |

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**Aggression**

Overview

Aggression is physically attacking another person. Some examples of aggression are:

- Throwing objects at a person
- Punching
- Biting
- Pushing
- Pinching
- Pulling hair
- Scratching

The following are not included in the score, but are included in the PAS summary:

- One-time incidents that did not result in a serious injury needing medical attention
- Self-injurious behavior
- Physically hurting a pet or animal
- Making verbal threats without any physical contact
- Destruction of property not directed towards another person

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Aggression Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|

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| | | |
|---|---|---|
| Does the behavior fit the definition of aggression | Is the behavior directed toward another person? | Ask questions or use inquiry statements such as:<br>• Describe the customer's physical attacks towards another person. What does he do?<br>• When the customer throws things "all over the place", does she ever throw these items at another person?<br>• You said she threw a bottle and broke the television. What the target was when she threw the bottle. |
| | Are there safety concerns or risks with the behavior | Ask questions such as:<br>• Does the customer put others at risk by doing this?<br>• What are the risks involved?<br>• Has he hurt another person before due to this behavior?<br>• How does this jeopardize the safety of others? |
| Determine the intensity of the intervention | How often someone intervenes, as well as the effort and physical involvement | Ask questions such as:<br>• What is done in response to this aggressive behavior?<br>• How often is the intervention used?<br>• What type of intervention is used most often?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens when this does not stop the aggression? |

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| | | NOTE Document all information received about any interventions for aggression in the comment section. |
| Determine the frequency of the behavior | The past year | Ask questions such as:<br>• How often does the behavior occur?<br>• Did the customer's behavior cause a serious injury in the past year that required medical attention? If so, when did it happen and what type of medical attention was received.<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Aggression.

| Step | Action |
|---|---|
| 1 | Has the behavior caused one or more injuries that required medical attention in the last year?<br>AND<br>Does the behavior require close supervision and physical interruption?<br>• If YES to both questions, STOP. Give the customer a score of 4 - Extremely Urgent Problem.<br>• If NO to either question, continue to step 2. |
| 2 | Does the behavior:<br>Occur at least once a day and require close supervision, CONSTANT verbal redirection or physical interruption, or a combination of the three interventions?<br>OR<br>Occur less than daily but requires physical interruption?<br>• If YES to either question, STOP. Give the customer a score of 3 - Serious Problem. |

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| | |
|---|---|
| | • If NO to both questions, continue to step 3. |
| 3 | Does the behavior:<br><br>Occur weekly to every other day?<br><br>AND<br><br>Require close supervision, verbal or physical redirection, or a combination of the three interventions?<br><br>• If YES to both questions, STOP. Give the customer a score of 2 – Moderate Problem.<br><br>• If NO to either question, continue to step 4. |
| 4 | Does the behavior:<br><br>Occur less than weekly?<br><br>AND<br><br>Require some additional supervision or verbal redirection in a few situations, or a combination of both?<br><br>• If YES to both questions, STOP. Give the customer a score of 1 – Minor Problem.<br><br>• If NO to either question, continue to step 5. |
| 5 | Has the aggressive behavior either:<br><br>Not been observed?<br><br>OR<br><br>Occurred, but not at a level that requires intervention?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step. |

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**Verbal or Physical Threatening**

Overview

Verbal or physical threatening is behavior in which the customer verbally or physically threatens to hurt themselves or others, or break objects.

Do not include acts of physical aggression or self-injurious behavior.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| Verbal or Physical Threatening Components | Factors to consider | Tips to gather the correct information |
|---|---|---|
| Does the behavior fit the definition of verbal or physical threatening? | Is the customer making verbal or physical threats towards themself, others, or objects? | Ask questions and use inquiry statements such as:<br>• Describe what the customer says to threaten themself, others, or objects.<br>• How does the customer physically threaten others?<br>• You said the customer threatened to smash the car windows with a bat. Tell me more about that incident.<br>• How often do these threats cause fear or aggression in others?<br>• How do others react to the customer's threats? |
| Determine the intensity of the intervention | How often someone intervenes, as well as the effort and physical involvement | Ask questions such as:<br>• What is done in response to this threatening behavior? |

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| | | • How often is the intervention used?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens when this does not stop the threatening behavior?<br>NOTE Document all information received about any interventions for threatening behavior in the comment section. |
| Determine the frequency of the behavior | The past year | Ask questions such as:<br>• How often does the behavior happen?<br>• Did the customer's behavior cause a serious incident in the past year that resulted in aggression from another person?<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Verbal or Physical Threatening.

| Step | Action |
|---|---|
| 1 | Has the behavior caused one or more incidents in the last year that meets both of the criteria below:<br>Always generates fear or is likely to result in aggression from others;<br>AND<br>Requires close supervision and physical interruption.<br>• If YES, STOP. Give the customer a score of 4 – Extremely Urgent Problem. |

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|---|---|
| | • If NO, continue to step 2. |
| 2 | Does the behavior:<br><br>Occur at least once a day, sometimes cause fear or aggression in others, AND require close supervision, CONSTANT verbal redirection, physical interruption, or a combination of the three interventions?<br><br>OR<br><br>Occur less than daily, sometimes causes fear or aggression in others, AND requires physical interruption?<br><br>• If YES, STOP. Give the customer a score of 3 – Serious Problem.<br><br>• If NO, continue to step 3. |
| 3 | Does the behavior meet ALL the following criteria?<br><br>• Occurs weekly to every other day;<br><br>• Sometimes cause fear or aggression in others; AND<br><br>• Requires close supervision, frequent verbal or physical redirection, or a combination of the three interventions?<br><br>• If YES, STOP. Give the customer a score of 2 – Moderate Problem.<br><br>• If NO, continue to step 4 |
| 4 | Does the behavior meet ALL the following criteria?<br><br>• Occurs less than weekly; AND<br><br>• Is not taken seriously, does not frighten others, or result in aggression from others; BUT<br><br>• Requires some additional supervision or verbal redirection, or a combination of both?<br><br>• If YES, STOP. Give the customer a score of 1 – Minor Problem.<br><br>• If NO, continue to step 5. |
| 5 | Has the behavior not been observed?<br><br>OR<br><br>Does the behavior occur, but not at a level that requires intervention? |

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| | |
|---|---|
| | • If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Examples

The following examples only provide guidance on scoring. They do not cover every possible situation.

**Score of 4:**

The customer is a 16-year-old male diagnosed with Autism and Oppositional Defiant Disorder. Once a week, he raises his fist, shakes it at his peers and yells, “I’ll beat the crap out of you.” This frightens his peers because the customer is taller and bigger than most of his peers. He also threatens and taunts his peers by saying he is going to hurt their mothers and sisters. These threats anger his peers. Three of the incidents in the last year resulted in peers attacking the customer. These incidents resulted in a black eye, broken arm, and a knocked-out tooth. Staff have had to intervene by stepping in the middle of the fights and breaking them up.

The behavior always generates fear, has resulted in aggression from others resulting in more than one serious incident, and requires physical interruption.

**Score of 3:**

The customer is a 17-year-old female who lives in a group home with 6 other females. She is diagnosed with Mild Intellectual Disability, ADHD, and Bipolar Disorder. Staff report that she is easily agitated by others in the group home and will yell and scream at them and say things like, “if you don’t shut your mouth, I will shut it for you.” Often the customer is in the other room when she makes this threat, but when she is in close proximity of others, they are afraid of her. Each day, the staff must stop what they are doing and ask her to calm down, and when the customer is extremely agitated, they will take her by the arm and escort her to her room.

The behavior occurs at least once a day, sometimes causes fear in others, and requires constant verbal redirection and sometimes physical interruption.

**Score of 2:**

The customer’s teacher reports that the customer threatens his peers by saying things like; “shut your mouth, or I’ll shut it for you!”, “I’m going to smash your face in with my boot.” The teacher reports that the customer is triggered by minor things, like someone standing too close to him. The customer is larger than most of his peers, and they are frightened by him. The teacher’s aide keeps a close eye on the customer and tells him he needs to take a time out and calm down. This happens every other day.

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The behavior occurs every other day and requires close supervision and frequent verbal and physical redirection.

**Score of 1:**

The customer's mother reports that once a month the customer raises her fists to start hitting whoever is nearby when she is angry. The behavior is not taken seriously and does not frighten others or result in aggression from others. Her parents ask her to cool down and keep a close eye on her.

The behavior occurs occasionally and requires some additional supervision and redirection.

**Score of 0:**

The customer is a 12-year-old female diagnosed with Epilepsy. Her mother reports that when the customer gets angry she shakes her fists at the rest of the family. Her siblings laugh, and her parents have to tell the siblings not to bother her.

There is no intervention for the customer, only for her siblings.

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**Self-Injurious Behavior**

Overview

Self-Injurious Behavior (SIB) is repeated actions that cause physical injury to a person's own body. Some examples of SIB are:

- Biting
- Repeatedly cutting or scratching skin
- Putting inappropriate objects into ear, mouth, or nose
- Repeatedly picking at skin or sores
- Head slapping or banging

The following are not included in the score:

- Suicide attempts
- Medical non-compliance issues, such as not following medical advice
- Lifestyle choices, such as sexual activity, smoking, or drug abuse
- Scratching in response to a rash or other skin condition

During the PAS Interview

The table below has tips for getting clear, complete information during the interview. Put this information in the comments and always include who gave the information.

| **Self-Injurious Behavior Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|
| Does the behavior fit the description of self-injurious behavior | Does the repeated behavior cause physical harm to the body? | Ask questions or use inquiry statements such as:<br>• Describe what the customer does that causes harm to his body. |

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|---|---|---|
| | | • How is this causing physical harm to her body? |
| Determine the intensity of the intervention | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What is done in response to this behavior?<br>• How often do you respond that way?<br>• How well does this intervention work?<br>• What happens when you don't respond this way?<br>• What happens when the action taken does not stop the behavior? |
| Determine the frequency of the behavior | The past year | Ask questions such as:<br>• How often does this behavior happen?<br>• How seriously was he hurt?<br>• Has the customer needed medical attention due to this behavior? Tell me more about that.<br>• When was the last time this behavior happened? |

Scoring

Follow the steps below to determine the score for Self-Injurious Behavior. When the behavior and intervention don't fall into the same scoring criteria, score based on the intervention most frequently used.

| Step | Action |
|---|---|
| 1 | Does the behavior meet the following criteria?<br><br>Has the behavior caused one or more serious injuries in the last year requiring immediate medical attention?<br><br>AND |

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|---|---|
| | Does the behavior require close supervision and physical interruption?<br>• If YES to both questions, STOP. Give the customer a score of 4 - Extremely Urgent Problem.<br>• If NO to either question, continue to step 2. |
| 2 | Does the behavior:<br>Occur at least once a day and require close supervision, CONSTANT verbal redirection, physical interruption, or a combination of these interventions?<br>OR<br>Occur less than daily but requires physical interruption?<br>• If YES to either question, STOP. Give the customer a score of 3 – Serious Problem.<br>• If NO to both questions, continue to step 3. |
| 3 | Does the behavior:<br>Occur at least weekly but less than daily?<br>AND<br>Require close supervision, verbal redirection, physical redirection, or a combination of these interventions?<br>• If YES to both questions, STOP. Give the customer a score of 2 – Moderate Problem.<br>• If NO to either question, continue to step 4. |
| 4 | Does the behavior:<br>Occur less than weekly?<br>AND<br>Require some additional supervision, verbal redirection, or a combination of both in a few situations?<br>• If YES to either question, STOP. Give the customer a score of 1 – Minor Problem.<br>• If NO to both questions, continue to step 5. |
| 5 | Does the behavior occur, but not at a level that requires intervention? |

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| | OR<br><br>Has the behavior not occurred in the last year (including if chemically controlled)?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, the customer meets some scoring criteria above, go back to step 1. |

Examples

**Score of 4:**

The customer is an 18-year-old male diagnosed with Autism and Pica. The caregiver reports that at least once a month, the customer puts objects in his ears, and eats his own feces, sand, or other household objects. This causes balance and gastrointestinal issues. The caregiver reports that if she sees the behavior when it is happening, she immediately grabs the customer's hand to stop the behavior. The caregiver reports three months ago he was hospitalized after eating glass. He must be closely supervised at all times.

The behavior has caused immediate medical attention (one hospitalization) in the past year and requires close supervision and physical interruption.

**Score of 3:**

The customer is a 12-year-old male diagnosed with Autism and Mild Intellectual Disability. His father reports that when the customer gets upset, he pinches himself on the arms and legs. The father reports this behavior happens at least five times a week. The father said that the customer pinches himself so hard he has broken the skin and left bruises, but he has not needed immediate medical attention. The father said the only thing that stops the behavior is when he or his wife intervene and hold the customer's arms tightly to his side until he calms down. This can take up to 30 minutes.

Although the behavior does not occur daily, the intervention is always physical interruption.

**Score of 2:**

The customer's mother reports that the customer punches himself in the head when he is angry or upset. This happens about once a week. The behavior has caused headaches and bruising. The mother reports she or her husband talk to the customer until he calms down.

The behavior occurs weekly and requires supervision and verbal redirection.

**Score of 1:**

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The customer's mother reports that approximately once a month the customer will have a "meltdown" when doing homework that she doesn't understand. The mother said the customer will grab her hair on each side of her head with her hands. The mother said sometimes the customer just does this for a second, and mom doesn't do anything about it. But every other month the customer has pulled her hair out in clumps. The mother said, she will calmly tell the customer that she can take a break and come back to her homework later.

The behavior occurs less than weekly and sometimes requires verbal redirection.

**Score of 0:**

The customer is a 12-year-old female diagnosed with Moderate Intellectual Disability. Her mother reports that every other day the customer gets upset when her mom does not let her eat sweets for breakfast. The customer will cry and beat her fists on her chest. The mother said the customer never hurts herself, and mom ignores the behavior.

The customer acts physically aggressive but the behavior is occurring at a level that does not require intervention.

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**Resistiveness or Rebelliousness**

Overview

Resistiveness or Rebelliousness are inappropriately stubborn and uncooperative behaviors, which include:

- Passive or obvious behaviors
- Obstinance
- Unwillingness to participate in self-care or take necessary medications

The following are not included in the score:

- Difficulties with processing information (customers who are slow to respond)
- Reasonable acts of self-advocacy
- Verbal threats
- Physical aggression
- Self-injurious behavior

NOTE Comments must include the specific behaviors and the intervention required.

During the PAS Interview

The following table includes tips for getting clear, complete information during the interview. Include the information when entering the comment. The comment should always include who gave the information.

| **Resistiveness or Rebelliousness Components** | **Factors to consider** | **Tips to gather the correct information** |
|---|---|---|
| Does the behavior fit the definition of resistiveness or rebelliousness? | Is the behavior inappropriately stubborn and uncooperative? | Ask questions such as:<br>• What does the customer not want to do?<br>• What is the reason the customer does not want to do that activity? |

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| | | • Is it reasonable for the customer to not want to do the activity?<br>• How is this behavior inappropriate?<br>• What does the customer do that shows she is being uncooperative or stubborn?<br>• Is the customer able to follow directions or advocate for himself? |
| Determine the intensity of the intervention. | How often the intervention is needed, and how much time and effort the intervention takes. | Ask questions such as:<br>• What do you do when the customer resists?<br>• How often do you have to do that?<br>• How does the customer respond to you doing that?<br>• How well does the intervention work?<br>• What happens if you do not intervene?<br>• What happens if the intervention does not work? |
| Determine the frequency of the behavior | Consider the past year. | Ask questions such as:<br>• How often, if know, does the behavior occur?<br>• Who is affected?<br>• What triggers the behavior, if known? |

Scoring

Follow the steps below to determine the score for Resistiveness or Rebelliousness

| Step | Frequency |
|---|---|
| 1 | Does the behavior meet the following criteria? |

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|---|---|
| | • Occurs at least once daily; AND<br>• Requires constant attention, prompting, physical redirection, or a combination of these interventions.<br>If YES, STOP. Give the customer a score of 3 – Serious Problem.<br>If NO, continue to step 2. |
| 2 | Does the behavior meet the following criteria?<br>• Occurs at least weekly but less than daily; AND<br>• Requires frequent attention, prompting, physical redirection, or a combination of these intervention<br>If YES, STOP. Give the customer a score of 2 – Moderate Problem.<br>If NO, continue to step 3. |
| 3 | Does the behavior meet the following criteria?<br>• Occur less than weekly; AND<br>• Requires occasional attention, prompting, or verbal redirection.<br>If YES, STOP. Give the customer a score of 1 – Minor Problem.<br>If NO, continue to step 4. |
| 4 | Does the behavior not occur or occurs at a level not requiring intervention?<br>• If YES, STOP. Give the customer a score of 0.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

Definitions

| **Term** | **Definition** |
|---|---|
| Self-advocacy | Speaking up for oneself and one's views or interests |

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# Medical Assessment

## Medical Assessment

#### Introduction

In this chapter, you will learn about:

- Medical conditions
- Medications
- Services/Treatments

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# Medical Conditions

## Medical Conditions Battery

### Overview

This section is used to record the diagnoses and medical conditions that impact the customer's current:

- Developmental or Independent Living Skills (ILS) status
- Cognitive status
- Mood and behavior status
- Medical treatments
- Need for an Intermediate Care Facility (ICF) level of care
- Risk of death

The medical conditions categories are:

- Cerebral Palsy
- Epilepsy or Seizure Disorder
- Intellectual or Cognitive Disability
- Autism Spectrum Disorder
- Attention Deficit Disorder (ADD)
- Other Neurological, Congenital, or Developmental Conditions
- Hematologic
- Cardiovascular
- Musculoskeletal
- Respiratory
- Genito/Urinary
- Eyes, Ears, Nose, and Throat (EENT)
- Metabolic

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- Skin Conditions
- Psychiatric

**Things to Keep in Mind When Adding a Medical Condition in HEAplus:**

- Review each category of medical conditions listed in HEAplus to ensure that no significant diagnoses are left out.
- Do not add inactive or historical diagnoses here. Add the information in the Summary if needed.
- If a specific diagnosis is not found in HEAplus but is related to or similar to one of the listed medical conditions, select the listed condition and note the specific diagnosis in the comments. For example, if the diagnosis is Muscular Dystrophy, select Genetic Anomalies and note that the customer has Muscular Dystrophy in the comments.
- It is very important to carefully evaluate and document any condition that may relate to Cognitive or Intellectual Disability, Cerebral Palsy, Epilepsy or Seizure Disorder, or Autism since these conditions affect the PAS score.
- Select up to three major diagnoses. Major diagnoses are those that require the most resources and significantly impact the need for long-term care. In some cases, there may be only one or two major diagnoses. One of the major diagnoses must be the DD qualifying diagnoses. DD qualifying diagnoses include: Cerebral Palsy, Epilepsy or Seizure Disorder, Autism, Intellectual Cognitive Disorder, and Developmental Delay if the customer is younger than six years of age.
- Verify diagnoses and medical conditions with medical documentation from the provider or electronic health record sources. Do NOT use verbal verification unless records were requested from all sources and all attempts have been unsuccessful.
- Medical records MUST be requested for every PAS type - initials, reassessments, private request, posthumous, and prior quarter PAS.

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# Cerebral Palsy

## Overview

Cerebral Palsy is a condition that affects a person's ability to move and maintain balance and posture. It is marked by impaired muscle coordination or other disabilities, typically caused by damage to the brain before or at birth. Cerebral Palsy is the most common motor disability in children.

## Definitions

| Conditions in HEAplus | Definition | Related Conditions |
|---|---|---|
| Diplegia | Paralysis of corresponding limbs on both sides of the body. For example, paralysis of both arms or both legs. | |
| Hemiplegia | Paralysis on one side of the body. For example, the left arm and left leg. | |
| Quadriplegia | Paralysis of all four limbs. | • Infantile Quadriparesis<br>• Tetraplegia |
| Paraplegia | Paralysis of the legs and lower body. | |
| Cerebral Palsy Type Not Specified | Any type of Cerebral Palsy not described above. | • Ataxic<br>• Athetoid<br>• Congenital<br>• Infantile |

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| | | |
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| | | • Monoplegia<br>• Spastic |

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# Epilepsy or Seizure Disorder

## Overview

Epilepsy, also known as Seizure Disorder, is a chronic disorder of the brain characterized by the tendency to have recurrent seizures.

## Definitions

| Conditions listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Seizure Disorder Non-convulsive | A seizure causing an altered mental status rather than convulsions. | • Absence<br>• Akinetic<br>• Atonic<br>• Drop seizures<br>• Minor<br>• Petit Mal |
| Seizure Disorder Generalized Convulsive | A seizure that occurs in both halves of the brain at the same time. | • Clonic<br>• Febrile seizures<br>• Grand Mal<br>• Infantile spasms<br>• Major<br>• Myoclonic<br>• Tonic<br>• Tonic-clonic |
| Epilepsy | A neurological disorder marked by sudden recurrent episodes of | • Complex-partial |

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| | sensory disturbance, loss of consciousness, or convulsions, associated with abnormal electrical activity in the brain. | • Epilepsia<br>• Jacksonian<br>• Landau-Kleffner Syndrome<br>• Partialis Continual<br>• Psychomotor<br>• Simple Partial<br>• Temporal Lobe |

**Documentation**

Include all the following information in the Comments:

- The type of each seizure;
- The frequency of each type; and
- The date of the last seizure. Use an approximate date when the exact date is unknown.

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# Intellectual or Cognitive Disability

## Overview

Intellectual Disability, also known as Cognitive Disability, is a condition in which a person has certain limitations in intellectual functions like communicating, taking care of themselves, and social skills. Children with these limitations develop more slowly than other children. This disability originates before the age of 18.

## Level of Intellectual Cognitive Disability

Every effort must be made to identify the level of the customer's Intellectual Disability from the medical records. The customer's most current evaluation with test results relating to IQ must be used. An IQ by itself cannot be used to determine a diagnosis.

In some cases, the DDD qualifying diagnosis will be outdated, and the most recent evaluation should be used to determine the customer's level of Intellectual Cognitive Disability. For example, the documented disability in FOCUS is Mild Intellectual Disability (mild ID), however this diagnosis was established in 2016. A more recent evaluation was conducted in 2021, and the customer was diagnosed with Moderate Intellectual Disability (moderate ID). Moderate ID would be scored as a Major Diagnosis.

Include comments with the title and date of the evaluation, the clinician making the diagnosis, and the Full-Scale Intelligence Quotient, if available.

| Level of Intellectual Cognitive Disability listed in HEAplus | IQ Level | Description or Associated Medical Terminology |
|---|---|---|
| Mild Intellectual Cognitive Disability | 50-55 to approximately 70 | Educable Mentally Handicapped (EMH) |
| Moderate Intellectual Cognitive Disability | 35-40 to 50-55 | Trainable Mentally Handicapped (TMH) |
| Severe Intellectual Cognitive Disability | 20-34 to 35-40 | |
| Profound Intellectual Cognitive Disability | Below 20-25 | |

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| | | |
|---|---|---|
| Intellectual Cognitive Disability Type Not Specified | | Level is not specified in the records reviewed. |

**What to do when records list a range instead of level of Intellectual Disability**

When there is conflicting information in the records, the diagnosis must be reviewed by a Benefits and Eligibility Manager to determine if there is enough information to indicate a level of intellectual disability. In most cases, there should be a psychological evaluation with the diagnosis indicated. If the records do not specify a level but instead state a range, for example mild to moderate, choose the lower level of disability. Include in comments that the medical records indicated mild to moderate. See the table below.

| **When the diagnosis is…** | **Enter in HEAplus as…** |
|---|---|
| Mild to moderate | Mild Intellectual Cognitive Disability |
| Moderate to severe | Moderate Intellectual Cognitive Disability |
| Severe to profound | Severe Intellectual Cognitive Disability |

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# Autism Spectrum Disorder (ASD)

#### Overview

Autism Spectrum Disorder (ASD) is listed and described in the definition sections below.

#### Definitions

| Conditions listed in HEAplus | Definition |
|---|---|
| Autism Spectrum Disorder (ASD) | ASD is a neurological and developmental condition that affects how the brain works and develops. People with ASD may have trouble with social interactions and communication and may do certain actions over and over. It is called a “spectrum disorder” because it can look very different from person to person – some people have mild challenges, while others have more serious ones. Medical professionals use the Diagnostic and Statistical Manual of Mental Disorders (DSM-5) to explain ASD. It usually starts in childhood and lasts a lifetime. ASD can make everyday life harder than what’s normal for someone’s age and surroundings.<br><br>There are 3 levels of ASD:<br>• Level 1: Requiring support<br>• Level 2: Requiring substantial support<br>• Level 3: Requiring very substantial support |

#### Definitions To Keep in Mind

| Term | Definition |
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| Asperger's Disorder | Medical professionals do not use this term anymore. Asperger's Disorder is now referred to as ASD which includes various conditions that affect average development, particularly in social and communication skills. Asperger's Disorder is a neurodevelopmental disorder characterized by significant difficulties in social interaction, communication skills, and the presence of restricted or repetitive behaviors. |
| Childhood Disintegrative Disorder | Also called Heller's syndrome, is a rare type of autism that medical professionals don't fully understand. Children with this condition grow and learn normally for at least two years. Then, they suddenly lose skills they had before, like talking, playing with others, or using their hands and body. |
| Pervasive Developmental Disorder (PDD) | Medical professionals do not use this term anymore. PDD is now referred to as ASD which includes various conditions that affect average development, particularly in social and communication skills. PDD refers to a group of neurodevelopmental disorders characterized by significant difficulties in social interaction, communication skills, and the presence of restricted or repetitive behaviors. |

**What is Needed to Score Autism Spectrum Disorder (ASD) as a Major Medical Condition**

An autism diagnosis must be made by a trained professional, like a psychiatrist, neurologist, licensed psychologist, nurse practitioner, or doctor who specializes in child development. The doctor or specialist will complete and submit a diagnostic evaluation regarding the individual. The evaluation will include the presence of diagnostic criteria for autism and the presence of the required number of symptoms of autism, based on current guidelines established by the American Psychiatric Association.

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# Attention-Deficit Hyperactivity Disorder (ADHD)

## Overview

Attention-Deficit Hyperactivity Disorder (ADHD) is one of the most common neurodevelopmental disorders of childhood. Symptoms include poor concentration, hyperactivity, and impulsivity. ADHD conditions in HEAplus are listed and defined in the definitions section.

## Definitions

| Conditions listed in HEAplus | Definition |
|---|---|
| ADD with Hyperactivity | A chronic brain disorder that includes a combination of persistent problems, such as difficulty paying attention, hyperactivity, and impulsive behavior |
| ADD without Hyperactivity | A chronic brain disorder with an ongoing pattern of inattention triggered by the environment. |

| Term | Definition |
|---|---|
| Neurodevelopmental disorders | Complex conditions characterized by impairments in cognition, communication, behavior, or motor skills resulting from abnormal brain development. Examples include ADD and Autism spectrum disorder (ASD). |

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# Other Neurological, Congenital, or Developmental Conditions

## Overview

Neurological conditions are disorders of the brain or nervous system. Congenital conditions are disorders existing at or present at birth. Developmental disorders are impairments in physical, cognitive, language, or behavioral development. These conditions are listed and described in the definitions table below.

## Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Prematurity | A baby born before 37 weeks of pregnancy | There are sub-categories of preterm birth, based on gestational age:<br>• Extremely preterm (less than 28 weeks)<br>• Very preterm (28 to 32 weeks)<br>• Moderate to late preterm (32 to 37 weeks) |
| Fetal Alcohol Syndrome | A congenital condition caused by excessive consumption of alcohol by the mother during pregnancy, characterized by retardation of mental development and of physical growth, particularly of the skull and face of an infant. | |
| Developmental Delays | Delays in which a customer has not gained the developmental skills compared to others of the same age. | • Failure to thrive<br>• Language delays and disorders<br>• Mixed receptive and expressive language delays and disorders |

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| | | • Specific language impairment (SLI)<br>• Speech and Language Delays |
| Hydrocephaly | A build-up of fluid in the cavities deep within the brain, which can cause brain damage. | Types of Hydrocephalies<br>• Communicating<br>• Noncommunicating<br>• Obstructive<br>• Dandy-Walker Syndrome<br>• Hydranencephaly |
| Macrocephaly | A term used when a child's head circumference is 97% larger than other children of the same age and sex. | |
| Microcephaly | A condition in which a baby's head is significantly smaller than expected, often due to abnormal brain development. | • Hydromicrocephaly<br>• Microencephaly |
| Meningitis | Inflammation of brain and spinal cord membranes, typically caused by an infection. | |
| Encephalopathy | A broad term for any brain disease that alters brain function or structure. Causes include infection, tumor, and stroke. | Types of Encephalopathy<br>• Hepatic<br>• Metabolic<br>• Uremic<br>• Encephalomalacia<br>• Wernicke's Encephalopathy |

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| Spina Bifida | A congenital defect of the spine in which part of the spinal cord and its meninges are exposed through a gap in the backbone. It can cause paralysis of the lower limbs, and intellectual disabilities that range from mild to severe.<br><br>NOTE Spina Bifida, with and without Hydrocephalus, is also listed under Musculoskeletal in HEAplus. | • Hydro meningocele<br>• Hydro myelocele<br>• Meningocele<br>• Meningomyelocele<br>• Myelocele<br>• Myelomeningocele Myelocystocele Rachischisis<br>• Spina Bifida Aperta<br>• Spina Bifida Occulta<br>• Syringomyelocele |
| Genetic Anomalies | Inherited medical conditions caused by a DNA abnormality. | • Angelman’s Syndrome (Happy Puppet)<br>• Chromosome Deletion Syndrome<br>• Cri-Du Chat Syndrome<br>• Cystic Fibrosis<br>• Duchenne’s Muscular Dystrophy<br>• Edward’s Syndrome<br>• Fragile X Syndrome<br>• Holt-Oram Syndrome<br>• Klinefelter’s Syndrome<br>• Muscular Dystrophy |
| Down’s Syndrome | A genetic chromosome 21 disorder causing a wide range of developmental delays and physical disabilities. | |

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| Congenital Anomalies | Commonly referred to as birth defects. They are abnormalities of body structure or function conditions that occur before birth and are present at birth. | Types of Congenital Anomalies<br>• Cleft lip and palate<br>• Clubfoot<br>• Heart defects<br>• Neural tube defects |
| Near Drowning | Occurs when a person's body is cut off from oxygen and almost died from not being able to breathe under water. | |
| Head Trauma | Damage to the brain, skull, or scalp caused by injury. The type of head trauma depends on the kind of injury, the part of the head damaged, and how severe the damage is. | • Cerebral Contusion<br>• Closed Head Injury (CHI)<br>• Concussion<br>• Skull Fracture<br>• Traumatic Brain Injury (TBI) |
| Dementia | A general term for memory loss, language, problem-solving and other thinking abilities that are severe enough to interfere with daily living. | |
| Organic Brain Syndrome | An outdated term that is now referred to as Neurocognitive Disorders, which are a group of conditions that lead to impaired mental function. | |
| Huntington's Chorea | An inherited condition where nerve cells in the | Huntington's Disease |

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| | brain break down over time. | |
| Age related cognitive decline | A condition caused by the loss of brain matter due to aging. | |
| Hydrocephalus Obstructive | A buildup of fluid deep within the brain that can cause brain damage. | |
| Organic Mental Disorder | Decrease in brain function caused by injury, disease, chemical or hormonal abnormalities, exposure to toxins or abnormal changes associated with aging. | |
| Non-traumatic intracranial hemorrhage | Bleeding within the brain tissue that is not caused by a physical injury. | |
| Tourette's Syndrome | A disorder causing repetitive movements or unwanted sounds that cannot be easily controlled. Examples include repeated eye blinking, shrugging, or blurting out unusual sounds or offensive words. | |
| Idiopathic Orofacial Dystonia | A disorder causing involuntary muscle contractions of the face, jaw, and tongue that interfere with opening and closing the mouth and may affect chewing and speech. | |

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| Migraine | A type of headache. Symptoms include pain, nausea, vomiting, and sensitivity to light and sound. | |
| Neurofibromatosis | A disorder of the nervous system causing tumors to grow on nerves. | |
| Spasms | A sudden involuntary contraction of a muscle, a group of muscles, or a hollow organ like the bladder. | |
| Ataxia | A lack of muscle coordination when a voluntary movement is attempted. It affects motions that require muscles to work together, like walking, picking up an object, and swallowing. | Types of Ataxia include:<br>• Cerebellum Ataxia<br>• Sensory Ataxia<br>• Vestibular Ataxia |
| Coma | A state of prolonged unconsciousness. Some causes include traumatic head injury, stroke, brain tumor, or an underlying illness, such as diabetes or an infection. | |
| Convulsion | This is covered under Epilepsy. | |
| Aphasia | Loss of ability to speak, write, or understand both verbal and written language. It is caused by damage to the part | Types of Aphasia include:<br>• Broca’s Aphasia |

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| | of the brain that controls language expression and comprehension. | • Wernicke's Aphasia<br>• Global Aphasia |
| Dysphasia | A partial loss of ability to speak, write and understand both verbal and written language | |
| Generalized Pain | Unpleasant sensations indicating potential or actual physical damage felt all over or throughout the body. | • Fibromyalgia<br>• Reflex sympathetic dystrophy syndrome<br>• Complex regional pain syndrome |
| Convulsion, N.O.S. (Seizure) | This is covered under epilepsy. | |
| Tremor | Involuntary shaking or movement, ranging from slight to severe, commonly affecting hands, legs, face, head, or vocal cords. | |

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## Hematologic

### Overview

Hematologic conditions are disorders of the blood and blood-forming organs. Oncologic conditions are disorders relating to tumors, malignant or benign. These conditions are listed and defined in the definitions section below.

| Conditions listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Anemia | A condition marked by a lack of healthy red blood cells to carry enough oxygen to the body's tissues. Symptoms include feeling tired and weak. | • Anemia of chronic disease<br>• B12 or Folic Acid deficiency<br>• Hemolytic anemias<br>• Iron deficiency<br>• Neutropenia<br>• Pernicious<br>• Sickle cell<br>• Thrombocytopenia |
| Human Immunodeficiency Virus (HIV) | A virus that attacks the body's immune system. There is currently no cure. | • HIV-1<br>• HIV-2 |
| Acquired Immune Deficiency Syndrome (AIDS) | A disease caused by HIV with an increased risk for developing certain cancers and infections due to a weakened immune system. | • AIDS – Related Complex (ARC) |
| Cytomegalovirus (CMV) | A type of herpesvirus that can cause damage to various body systems in people with | • Congenital CMV Infection |

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| | weakened immune systems and newborns. | |
| Leukemia | Cancer of blood-forming tissues, including the bone marrow and the lymphatic system. | • Acute leukemia<br>• Chronic leukemia<br>• Myelodysplastic Syndrome (MDS) |
| Hepatitis | Inflammation of the liver which happens when tissues of the body are injured or infected. | • Hepatitis A<br>• Hepatitis B<br>• Hepatitis C<br>• Hepatitis D<br>• Hepatitis E |
| Edema | Swelling caused by injury or inflammation. It can affect a small area or the entire body | Types of edema include:<br>• Peripheral edema<br>• Pedal edema<br>• Lymphedema<br>• Pulmonary edema<br>• Cerebral edema<br>• Macular edema<br>NOTE The type of edema diagnosed must be documented in the comment section. |

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# Cardiovascular

## Overview

Cardiovascular conditions are disorders of the heart and blood vessels. The cardiovascular conditions in HEAplus are listed in the definitions section.

## Definitions

| Condition listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Congestive Heart Failure (CHF) | A weakness of the heart that leads to buildup of fluid in the lungs and surrounding body tissues. | • Heart Failure<br>• Pulmonary Edema |
| Hypertension (HTN) | Also called high blood pressure. A condition in which the force of the blood against the artery walls is high enough long-term that it may cause health problems, such as heart disease. | • Arterial Hypertension<br>• Cor Pulmonale<br>• Essential Hypertension<br>• Pulmonary Hypertension<br>• Renovascular Hypertension |
| Congenital Anomalies of Heart | A problem with the structure of the heart that develops before birth. It is one of the most common types of birth defects.<br><br>The defects can involve the walls of the heart, the valves of the heart, and the arteries and veins near the heart. | • Atrial Septal Defect (ASD)<br>• Coarctation of the Aorta<br>• Congenital Heart Disease (CHD)<br>• Patent Ductus Arteriosus (PDA)<br>• Peripheral Pulmonary Stenosis<br>• Pulmonary Valve Stenosis<br>• Tetralogy Of Fallot |

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| | | • Ventricular Septal Defect (VSD) |
| Cardiac Murmurs | Sounds, such as whooshing or swishing, made by rapid, choppy (turbulent) blood flow through the heart. The sounds can be heard with a stethoscope. | |
| Rheumatic Heart Disease | A condition in which the heart valves have been permanently damaged by rheumatic fever. The heart valve damage may start shortly after untreated or under-treated streptococcal infection such as strep throat or scarlet fever. | Sydenham's Chorea (St. Vitus Dance) |
| Hypotension | Blood pressure that is below the normal for an individual. This means the heart, brain, and other parts of the body do not get enough blood. | • Orthostatic Hypotension<br>• Postural Hypotension<br>• Postprandial Hypotension<br>• Neurally Mediated Hypotension<br>• Multiple System Atrophy with Orthostatic Hypotension |
| Syncope | Fainting or passing out caused by a temporary drop in the amount of blood that flows to the brain. | • Vasovagal Syncope<br>• Neurocardiogenic Syncope |

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**Musculoskeletal**

#### Overview

Musculoskeletal conditions are related to muscles, bones, and connective tissue. These conditions are described in the table below:

| Conditions listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Arthritis | Inflammation or degeneration of joints. A joint is where two bones meet. There are more than 100 different types of arthritis. | • Ankylosing Spondylitis<br>• Fibro myositis<br>• Gout<br>• Infectious Arthritis<br>• Lupus<br>• Myelopathy<br>• Psoriatic Arthritis<br>• Reiter's Syndrome<br>• Rheumatoid Arthritis (RA)<br>• Scleroderma |
| Fracture | A complete or partial break of the bone. When the broken bone punctures the skin, it is an "open" or compound fracture. | |
| Contracture | A permanent tightening of the muscles, tendons, skin, and nearby tissues that causes the joints to shorten and become very stiff. | |

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| Scoliosis | An abnormal lateral curvature of the spine. It is most often diagnosed in childhood or early adolescence. | |
| Kyphoscoliosis | An abnormal curve of the spine on two planes: the coronal plane, or side to side, and the sagittal plane, or back to front. | |
| Lordosis | Excessive inward curvature of the spine. | |
| Paralysis | The loss of the ability to move, and sometimes feeling in part or most of the body. Paralysis typically occurs because of illness, poison, or injury. | • Hemiplegia – paralysis on one side of the body<br>• Paraplegia – paralysis of the legs and lower body<br>• Quadriplegia – paralysis of all four limbs; tetraplegia |
| Spina Bifida with Hydrocephalus | A birth defect in which part of the spinal cord is exposed through a gap in the backbone. It can cause paralysis of the lower limbs, and cognitive impairment. Hydrocephalus is a condition in which fluid accumulates in the brain. | |
| Spina Bifida without Hydrocephalus | A birth defect in which part of the spinal cord is exposed through a gap in the backbone. It can cause paralysis of the lower limbs, and cognitive impairment. | |

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| Osteomyelitis | An inflammation of the fatty tissues of the bone. It is caused by an infection of the bone or joint. | |
| Disorder of Muscle | Any unspecified disorder of the muscle not related to other musculoskeletal conditions. | |
| Abnormalities of gait and mobility | A deviation from standard or typical gait and mobility for an average person. This may be due to injuries, vision or inner ear problems, illness, or problems with the legs and feet, to name a few. | |
| Arthrogryposis | A term used to describe a variety of conditions involving multiple joint contractures. | Arthrogryposis multiplex congenita (AMC) |
| Multiplex Congenita | See Arthrogryposis. | |
| Weakness | Decrease in muscle strength | |

**Definitions**

| Term | Definition |
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| Paralysis | The complete loss of motor function, where the customer is unable to move the affected body region in any capacity. The paralyzed muscle groups will not contract or fire, and even a flicker of activation is unable to be seen. This typically occurs because of damage to the brain, spinal cord, or nerves, each of which helps initiate movement by relaying messages to the muscles. |
| Paresis | A condition that causes weakness in an area of the body, like an arm or leg. While this condition can make an area of the body difficult or fatiguing to move, there is still some motor function present. |

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## Respiratory

### Overview

Respiratory conditions are related to the act of breathing and involve the nose, trachea, lungs, and air passages. Respiratory conditions are listed and described in the definitions section below.

### Definitions

| Conditions listed in HEAplus | Definition | Related Conditions |
|---|---|---|
| Asthma | Spasms in the bronchi of the lungs, making it hard to breathe. Asthma usually results from an allergic reaction. | • Bronchial Asthma<br>• Reactive Airway Disease (RAD) |
| Bronchitis | An infection of the main airways of the lungs, causing them to become irritated and inflamed. | • Chronic Bronchitis<br>• Bronchiolitis |
| Pneumonia | An infection of the air sacs of the lungs. | Types of pneumonia include:<br>• Aspiration Pneumonia<br>• Bacterial Pneumonia<br>• Bronchopneumonia<br>• Interstitial Pneumonia<br>• Lobar Pneumonia<br>• Pneumocystis Carinii Pneumonia (PCP)<br>• Segmental Pneumonia |

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| | | • Viral Pneumonia |
| Respiratory Distress Syndrome (RDS) | A common breathing disorder caused by not having enough surfactant in the lungs that affects newborns. RDS occurs most often in babies born before their due date, usually before 28 weeks of pregnancy. Less often, RDS can affect full-term newborns. | |
| Bronchopulmonary Dysplasia | A chronic respiratory disease that most often occurs in low-weight or premature infants who have received supplemental oxygen or have spent long periods of time on a breathing machine (mechanical ventilation), such as infants who have acute respiratory distress syndrome. It can also occur in older infants who experience abnormal lung development or some infants that have had an infection before birth (antenatal infection) or placental abnormalities (such as preeclampsia). | • Neonatal Chronic Lung Disease |
| Cystic Fibrosis | A disorder that damages your lungs, digestive tract, and other organs. It is an inherited disease caused by a defective gene that can be passed from generation to generation. Cystic fibrosis affects the cells | |

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| | that produce mucus, sweat and digestive juices. | |
| Reactive Airway Disease | A term used to refer to respiratory conditions in which the bronchial tubes in the lungs overreact to an irritant, triggering wheezing and shortness of breath. | |
| Tracheomalacia | Occurs when the cartilage in the windpipe, or trachea, has not developed properly or was damaged, so instead of being rigid, the walls of the trachea are floppy or flaccid. The cartilage cannot keep the windpipe open, making breathing difficult — especially when breathing out (exhaling). | |
| Congenital Pulmonary Problems | Lumps made of abnormal lung tissue or improper tissue development inside the lungs. These conditions often are discovered before a baby is born by ultrasound exam. | • Congenital pulmonary airway malformation (CPAM)<br>• Congenital lobar emphysema<br>• Sequestration |
| Coccidiomycosis (Valley Fever) | A fungal disease of the lungs and other tissues, typically found in the warmer, arid regions of America. | |
| Allergic Rhinitis | An allergic response to specific allergens. Pollen is the most | • Hay Fever |

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| | common allergen in allergic rhinitis. | |
| Allergies | A condition in which the immune system reacts abnormally to a foreign substance. | |
| Fibrosis, Pulmonary | A disease that causes damage and scarring of the lung tissue. This thickens the tissue and makes it more difficult for the lungs to work. | |
| Respiratory Syncytial Virus (RSV) | A common respiratory virus that usually causes mild, cold-like symptoms. RSV can be serious, especially for infants and older adults. | |

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# Genitourinary

## Overview

Genitourinary conditions are disorders related to the genitals and urinary system including the kidneys. Genitourinary conditions are listed and described in the definitions section below.

## Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Urinary Tract Infection (UTI) | An infection in any part of the urinary system, including the kidneys, ureters, bladder, and urethra. | • Cystitis<br>• Hydronephrosis<br>• Pyelonephritis<br>• Urosepsis |

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## Gastrointestinal

### Overview

Gastrointestinal conditions are related to the stomach, intestines, esophagus, liver, gall bladder and pancreas. These conditions are listed and described in the definitions section below.

### Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Constipation | A condition in which a person has fewer than three bowel movements a week and stools are difficult to pass. | Obstipation |
| Ulcers | Sores on the lining of the stomach, small intestine, or esophagus. | • Duodenal ulcer<br>• Gastric ulcer<br>• Gastritis<br>• Gastro-Intestinal Bleed (GI Bleed)<br>• Peptic ulcer disease (PUD) |
| Hernia | An organ or fatty tissue has pushed through a weak spot in the surrounding muscle or connective tissue that normally contains it | • Hiatal hernia<br>• Inguinal hernia<br>• Umbilical hernia |
| Esophagitis | Inflammation that may damage tissues of the esophagus, the muscular tube that | |

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| | delivers food from the mouth to the stomach. | |
| Gastroesophageal Reflux | A digestive disorder that affects the ring of muscle between the esophagus and the stomach. Gastroesophageal Reflux occurs when stomach acid frequently flows back into the esophagus irritating the lining. | GERD |
| Aneurysm | A bulge in a blood vessel caused by a weakness in the blood vessel wall, usually where it branches. As blood passes through the weakened blood vessel, the blood pressure causes a small area to bulge outwards like a balloon. | |
| Abdominal Aortic Aneurysm | A potentially life-threatening condition. It's a bulge in the main artery that supplies blood to the belly, pelvis, and legs. The aneurysm is a weak spot in the blood vessel wall, at risk for rupturing and causing a hemorrhage. | |
| Abdominal Pain | Pain anywhere between the chest and groin. | |
| Dysphagia with Aphagia | A disorder characterized by difficulty in swallowing | |

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| | with the inability to swallow. | |

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# EENT

#### Overview

EENT conditions are related to the eyes, ears, nose, and throat (EENT). EENT conditions are listed and described in the definitions section below.

#### Definitions

| Conditions listed in HEAplus | Definitions | Associated and Related Conditions |
|---|---|---|
| Blindness | A lack of vision or a loss of vision that cannot be corrected with glasses or contact lenses. Blindness may be partial or complete. Partial blindness is very limited vision in one or both eyes. Complete blindness means a person has no vision and cannot see light. | Legally blind |
| Cataract | A cloudy area in the lens of the eye that leads to a decrease in vision. | |
| Hearing Deficit | Total or partial inability to hear sounds. | • Auditory Processing Disorder (APD)<br>• Deafness<br>• Hearing Impairment |
| Ear Infection | An ear infection is a bacterial or viral infection of the middle ear. This infection causes inflammation | |

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| | and the buildup of fluid within the internal spaces of the ear. | |
| Exotropia | A type of eye misalignment, where one eye deviates outward. The deviation may be constant or intermittent, and the deviating eye may always be one eye or may alternate between the two eyes. | |
| Strabismus | Misalignment of the eyes, causing one eye to deviate inward toward the nose while the other eye remains focused. | • Hypertropia<br>• Crossed eyes |
| Nystagmus | An involuntary rhythmic side-to-side, up and down, or circular motion of the eyes that occurs with a variety of conditions. | |
| Glaucoma | A condition of increased pressure within the eyeball, causing gradual loss of sight. | |
| Dizziness and Giddiness | A feeling of being unbalanced and lightheaded. | |
| Vertigo | A sensation of being off balance that may cause a person to feel like they or the environment around them is moving or spinning. | |

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# Metabolic

## Overview

Metabolic conditions are related to physical and chemical changes in the body, including endocrine disorders and electrolyte imbalances. Metabolic conditions are listed and described in the Definitions section below.

## Definitions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Hypothyroidism | A condition in which the thyroid gland does not produce enough of certain crucial hormones. | • Hashimoto's Disease<br>• Myxedema |
| Hyperthyroidism | A condition in which the thyroid gland produces too much of the hormone thyroxine. | Graves' Disease (Toxic Diffuse Goiter) |
| Diabetes Mellitus Type I | A genetic condition that often shows up early in life, in which a person's body attacks the cells in the pancreas resulting in the inability to make any insulin.<br>NOTE Include the customer's A1C results and document blood sugar measurements including frequency, range, and who performs the testing in the comments. | • Diabetic nephropathy<br>• Diabetic neuropathy<br>• Diabetic retinopathy |
| Diabetes Mellitus Type II | A condition in which the body does not use insulin the way it should, resulting in high blood sugar levels.<br>NOTE Include the customer's A1C results and document blood sugar measurements including frequency, range, and who performs the testing in the comments. | |

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|---|---|---|
| Pituitary Problem | A condition in which the pituitary gland makes too much or too little of one of your hormones that affect growth and the functions of other glands in the body. | Diabetes Insipidus |
| Hepatitis | Inflammation of the liver. | |
| Weight Loss | A reduction of the total body mass, due to a loss of fluid, body fat or lean mass, like bone, muscle, and connective tissue. | Cachexia |
| Obesity | An excessive amount of body fat. | |
| Cushing’s Syndrome | A disorder in which the body makes too much cortisol over a long period of time. | |

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# Skin Conditions

## Overview

Skin conditions are diseases and disorders related to the skin on any parts of the body. The conditions in this part of the PAS are described in the section below.

## Skin Conditions

| Condition listed in HEAplus | Definition | Associated and Related Conditions |
|---|---|---|
| Decubitus | An open wound on the skin over a bony part of the body, caused by immobility and prolonged pressure. | • Bed Sore<br>• Diabetic Ulcer<br>• Peripheral Lesion<br>• Pressure Sore<br>• Stasis Ulcer<br>• Trophic Ulcer |
| Acne | A skin condition that occurs when hair follicles become plugged with oil and dead skin cells. It causes whiteheads, blackheads, or pimples. | |
| Zoster without complications | A blistering, painful rash caused by the virus that remains in the nerve cells after a person has had chickenpox. | Shingles |
| Methicillin Resistant Staph Aureus (MRSA) | A highly contagious infection caused by staphylococcus | Hospital Acquired MRSA (HA-MRSA) |

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| | bacteria that is resistant to commonly used antibiotics. | |
| Bacterial Infection | An illness or injury caused by harmful bacteria on or inside any area of the body. | |

#### Documenting Skin Conditions

Use the comments section to describe the skin condition. For Decubitus, include the following information:

- Location;
- Stage; and
- Approximate size.

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## Psychiatric

#### Overview

Psychiatric conditions are disorders that affect mood, thinking, and behavior.

A non-psychiatric medical condition or developmental disability that impacts the need for long-term care is needed to qualify for ALTCS eligibility.

Psychiatric conditions include:

| Psychiatric Conditions listed in HEAplus | Associated and Related Conditions |
|---|---|
| Major Depression | • Major Depressive Disorder<br>• Clinical Depression<br>• Dysthymic Disorder |
| Bipolar Disorder | • Manic-Depressive Disorder<br>• Mood Disorder |
| Schizophrenia | Types of Schizophrenia are:<br>• Catatonic<br>• Hebephrenic<br>• Paranoid<br>• Simple<br>• Schizoaffective Disorder<br>• Undifferentiated |
| Behavior Disorder | • Impulse Control Disorder<br>• Obsessive Compulsive Disorder (OCD) |

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| Conduct Disorder | • Intermittent Explosive Disorder<br>• Oppositional Defiant Disorder |
| Alcohol Abuse | Alcohol Dependence |
| Drug Abuse | • Illegal substances<br>• Prescription medications |
| Anxiety | • Generalized Anxiety Disorder<br>• Panic Disorder |
| Disorientation | Altered mental status |
| Obsessive Compulsive Disorder (OCD) | Types of OCD are:<br>• Contamination<br>• Perfection<br>• Doubt/harm<br>• Forbidden thoughts |
| Psychosis | Types of Psychosis are:<br>• Hallucinations<br>• Delusions<br>• Disorganized thinking and speech |
| Non-psychotic mental disorder | • Post-traumatic stress disorder (PTSD)<br>• Neurosis |
| Failure to Thrive (FTT) | • Pediatric Failure to Thrive<br>• Geriatric Failure to Thrive |

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# Medications

## Medications

#### Overview

The Medications page is used to gather information about the medications currently taken by the customer. Consider the following when getting information about medications:

- When the customer is in a facility, review the physician's order list for current medications and treatments.
- When the PAS interview is telephonic or virtual, ask the customer to provide a list of their medications in advance, or have them available during the interview to read the labels from the prescription containers.
- When the PAS interview is in the customer's home, ask to see prescription containers and copy the information from the labels.

#### Completing the Medications Page

Enter all medications the customer currently takes. This includes medications the customer has taken in the last 30 days but has stopped taking and nonprescription medication.

Enter the following information for each medication:

- Name of medication or treatment;
- Select how often the medication or treatment is taken from the drop-down list;
- Enter the medication dosage;
- Select the route of medication from the drop-down list;
- Enter details in the comments section about what the medication or treatment is prescribed for, and how long it will be taken, if known.

NOTE If there is any difference between the prescribed dosage or frequency and what the customer actually takes, include the details in the comments.

When the customer does not take any medications, select "No Medications added" and save.

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# Services and Treatments

## Services and Treatments

#### Overview

This section is used to record services and treatments the customer is currently getting or needs but is not getting.

The service and treatment categories are:

- Injections/IV
- Medications/Monitoring
- Dressings
- Feedings
- Bladder/Bowel
- Respiratory
- Therapies
- Rehabilitative Nursing
- Other Services and Treatments

#### Things to Keep in Mind When Adding Services and Treatments in HEAplus

- Use information from the interview, medical records, and contact with health providers to select the services and treatments the customer currently gets or needs but is not getting.
- Select the button next to Receives or Needs for each service or treatment entered.
- When Receives is selected a Frequency of Service also needs to be selected. Select one of the following frequencies:
    - Continuous. Select this option when an ongoing service or treatment lasts several hours or more. For example, oxygen used every night for eight hours is considered continuous.
    - Daily. Select this option when the service or treatment happens more than three times a week, up to several times a day.

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    - Weekly. Select this option when the service or treatment happens at least once a week, up to three times a week.
    - Monthly. Select this option when the service or treatment happens at least once a month, but less than weekly.

- When Need is selected, explain the need for the service or treatment in comments. When the customer's file shows that a physician ordered a service or treatment, but is not currently being received, document the reason the customer is not getting the service or treatment. Some examples are:
    - The customer's doctor prescribed oxygen, but the customer refuses to use it because they "don't need it". Add an explanation of the need and the reason it is not received in the comment section.
    - The customer's doctor prescribed oxygen, but the customer cannot afford the coinsurance for the treatment on his own. Add an explanation of the need and the reason it is not received in the comment section.
- Include ongoing services or treatments that are intermittent. For example, the customer uses a small volume nebulizer (SVN) when needed.
- Recently discontinued services or treatments can be mentioned in the PAS Summary if they are significant.
- Services and treatments may be provided by professionals, nonprofessional caregivers, by the customer, or others as appropriate.
- Include comments explaining the frequency of treatments to help identify the severity of the condition. For example, the customer has dialysis treatment three times a week, and each treatment takes 4 hours.

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## Injections/IV

#### Overview

This section is used to record injection or IV treatments the customer is currently receiving. The treatments are listed as:

- Intravenous Infusion Therapy; and
- Intramuscular/Subcutaneous Injections.

Include all the following information in the comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the customer receives insulin injections from the mother every evening before bed due to diabetes.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Intravenous Infusion Therapy | Inserting a needle directly into a vein to inject a fluid substance into the body. Also referred to as IV Therapy. Includes intravenous infusions and blood transfusions. |
| Intramuscular Injections | Use of a hypodermic syringe to inject a fluid substance into the muscle. For example, Epinephrine injections for severe allergic reactions. |

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|---|---|
| Subcutaneous Injections | Use of a hypodermic syringe to inject a fluid substance beneath the skin. For example, Insulin injections to treat high blood sugar due to diabetes. |

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## Medications/Monitoring

### Overview

Medications and monitoring include the following:

- Drug regulation; and
- Drug administration.

| Medications/Monitoring listed in HEAplus | Definition |
|---|---|
| Drug Regulation | Drug regulation is close evaluation, monitoring and adjustment of medications to ensure they are working effectively and safely. Examples of drug regulation include:<br>• Periodic lab tests, such as blood work to check the cholesterol for a customer on cholesterol lowering medication.<br>• Adjusting the medication dose or schedule based on test results or symptoms. For example, adjusting the insulin dosage based on a sliding scale or not giving the customer Lanoxin if his pulse is below 60.<br>• Close supervision or observation to evaluate adverse reactions, interactions, or immediate response to a drug. For example, watching for a response to chemical restraints or medication prescribed for behavior control.<br>NOTE Drug regulation is not routine monitoring or adjusting of medications that is normally and safely done by a nonprofessional. For example, a customer takes Tylenol for her knee pain because aspirin upsets her stomach. |
| Drug Administration | Drug administration is giving or applying medication to treat an illness or condition. This |

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| | includes prescribed and non-prescribed medication, as well as self-administration. |

#### Documentation

Include the following information in the comments when known or available:

- What medication is being regulated?
- Who is regulating or administering the medication?

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# Dressings

## Overview

Dressings include the following:

- Decubitus Care;
- Wound care; and
- Non-Bladder/Bowel Ostomy care.

| Treatment list in HEAplus | Definition and descriptions |
|---|---|
| Decubitus Care | Care provided to a damaged area of the skin (decubitus ulcer) caused by constant pressure on the area for a long time.<br><br>Examples of dressings for Decubitus include:<br>• Putting medicine, like ointment or Betadine, on the ulcer.<br>• Covering the ulcer with protective material, like a bandage or Duoderm.<br>• Applying heat treatment to the ulcer to aid the healing process.<br>• Removing dead or infected skin tissue to help the ulcer heal, also known as debridement.<br><br>NOTE Skin care for ulcers includes preventive measures ordered by a physician for a customer with a history of chronic skin breakdowns that are likely to recur. |
| Wound Care | Care provided when the customer has a wound requiring wound care on an ongoing basis. Injuries and conditions that may need wound care include: |

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| | • Injuries resulting in an open wound;<br>• Surgical incisions;<br>• The catheter site for Total Parenteral Nutrition (TPN);<br>• A porta-catheter site;<br>• An intravenous or infusion site;<br>• Peritoneal dialysis site; and<br>• Any stoma or opening in the skin, not covered above, that needs more than routine care.<br><br>NOTE Do not select wound care when the wound has healed or the skin opening no longer needs more than routine care on the date of the PAS. Wound care does not apply when the skin is intact. For example, there is no wound care when the customer only has a rash or dermatitis.<br><br><u>Examples of wound care</u><br><br>There are many types of wound care. The following are just a few examples:<br>• Applying medicated solutions or ointments;<br>• Covering with gauze or bandages to help protect the wound; and<br>• Dialysis shunt observation. |
| Non-Bladder/Bowel Ostomy Care | Care provided when the customer has a stoma or artificial opening that is not for the bowel or bladder. Ostomy care includes irrigation, cleaning, and bandaging. The most common example of a non-bladder or non-bowel ostomy is a feeding tube, such as a J-tube, G-tube, or PEG-tube. |

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**Definitions**

| Term | Definition |
|---|---|
| Dialysis shunt observation | Physical and clinical evaluation of the dialysis shunt to maintain vascular access and identify complications. This may also be referred to as monitoring and surveillance of vascular access for dialysis. Observation includes:<br>• Visual inspection for signs of bleeding, bruising, swelling, or infection;<br>• Palpation for evidence of stenosis or thrombosis;<br>• Listening with a stethoscope to identify any changes in the vascular sounds;<br>• Clinical tests, like color flow doppler, static venous pressure, on-line clearance/access flow tests. |

**Documentation**

Include all the following information in the comments:

- A description of the care the customer gets;
- The person providing the care;
- How often the customer gets the care; and
- The reason the care is needed.

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# Feedings

#### Overview

This section is used to record feeding treatments the customer is currently receiving. The two types of feedings that services and treatments are provided for are:

- Parenteral Feeding/Total Parenteral Nutrition (TPN)
- Tube Feeding

#### Definitions

| Treatment list in HEAPlus | Definition |
|---|---|
| Parenteral Feeding/Total Parenteral Nutrition (TPN) | Delivers nutrition intravenously, bypassing the usual process of eating and digestion. |
| Tube Feeding | Delivers nutrition through a tube directly into the gastrointestinal (GI) tract. Common feeding tubes are nasogastric (NG tube), gastrostomy (G-Tube), and jejunostomy (J-Tube). |

#### Documentation

Include all the following information in the Comments:

- The type of feeding the customer gets;
- The person administering the feeding;
- How often the customer gets the feeding; and
- The reason the feeding is administered using this method.

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## Bladder/Bowel

#### Overview

This section is used to record bladder and bowel treatments the customer is currently receiving. The three types of Bladder and Bowel treatments are:

- Catheter Care
- Ostomy Care
- Bowel Dilation

#### Definitions

| Treatment list in HEAplus | Definition |
|---|---|
| Catheter Care | The regular cleaning of urinary catheters and the genital area, emptying and changing draining bags, and disinfecting catheter supplies that are designed to be used more than once.<br>A urinary catheter is a tube placed in the body to drain and collect urine from the bladder. Urinary catheter types include:<br>• Condom;<br>• Indwelling; and<br>• Intermittent self-catheter |
| Ostomy Care | Maintaining the health of an artificial opening or stoma to the bowel or bladder, which includes cleaning the area around the stoma, changing the stoma ring, and changing the ostomy bag.<br>An ostomy is a surgical procedure that creates an opening, called a stoma, from the bowel or bladder to the outside of the body for the passage of urine or stool. |

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| Bowel Dilation | The expansion of the anal opening to allow or help stool passage, which includes the use of suppositories. |

#### Documentation

Include all the following information in the Comments:

- A description of the care the customer gets;
- The person providing the care;
- How often the customer gets the care; and
- The reason the care is needed.

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## Respiratory

#### Overview

This section is used to record respiratory treatments the customer is currently receiving. Respiratory treatments are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Suctioning | Using a tube attached to a machine to remove mucous from the lungs when a customer is unable to do so on their own. |
| Oxygen (O2) therapy | The use of oxygen as a medical treatment, also known as supplemental oxygen. Oxygen can be given a few ways including nasal cannula, face mask, and inside a hyperbaric chamber. The rate of liter flow or percentage of oxygen should be included in the comment. |
| Small Volume Nebulizer (SVN) | A device for converting medication in liquid form into a mist or fine spray which is inhaled through a mask to treat the respiratory system. |
| Ventilator | A device that mechanically assists the patient's respiration, doing part or all the work the body would normally do. For specific guidance on what documentation to obtain and what to include in the comment section, see Documentation for Ventilator below. |
| Tracheostomy (Trach) Care | Suctioning and cleaning parts of the trach tube and skin. This helps prevent a clogged tube and decreases the risk for infection. |

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| Postural Drainage | Positioning so that gravity will allow drainage from nasal passages, airways and sinuses. Drainage is usually stimulated by percussion to the lung areas. |
| Apnea Monitor | A monitoring device which sounds an alarm when respiration or heart rate goes above or below preset parameters. Comments should include usage, such as continuously or at night only. |

#### Documentation

Include all the following information in the Comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the customer gets suctioning therapy, which is administered by a parent, two times daily, due to mucus from pneumonia.

#### Documentation for Ventilator

1. Obtain records from Respiratory Therapy which contain information on the ventilator usage such as hours per day and settings.

2. Include the following ventilator information in the comment section:

- Hours per day, and
- Settings (Rate, Tidal Volume, and Oxygen Concentration)

3. When Ventilator is checked, "Ventilator Dependent" will appear in the pre-populated section on the PAS Summary page.

NOTE There may be times when a customer uses a ventilator but is not considered “Ventilator Dependent”. Ventilator dependent means the customer is on a ventilator at least six hours a day for 30 consecutive days. The six hours do not need to be consecutive. If a customer does not meet these criteria add a sentence to the beginning of the PAS Summary

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that clearly states that the customer uses a ventilator, but does not fit the ALTCS definition of Ventilator Dependent.

**Definitions Associated with Ventilator**

| Term | Definition |
|---|---|
| Bi-level Positive Airway Pressure (BiPAP) | A device that applies air flow at a higher pressure when a person breathes in than when the person breathes out. A BiPAP is considered a ventilator when the device has a third breath rate setting.<br>Select CPAP when the customer uses BiPAP machine that does not have a set back-up rate. For example, the rates are set as IPAP 15, EPAP 6.<br>Select Ventilator when the BiPAP has all three breath settings. |
| Continuous Positive Airway Pressure (CPAP) | A device that applies air flow at a constant pressure throughout the respiratory cycle.<br>CPAP is never considered a ventilator since no mechanical assistance is provided for inhalation. |
| Expiratory Positive Airway Pressure (EPAP) | The set rate of pressure while exhaling. |
| Inspiratory Positive Airway Pressure (IPAP) | The set rate of pressure while inhaling. |
| Respiratory Flow Sheet | Also known as a Ventilator Flow Sheet. This sheet is used to record ventilator treatment details, including rate, volume, oxygen concentration, and other information. |
| Tidal volume | The amount of air going in and out in one breathing cycle. |
| Ventilator | A device that mechanically assists the patient's respiration, doing part or all of the work the body would normally do. |

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| Ventilator dependent | The customer is on a ventilator at least six hours a day for 30 consecutive days (the six hours do not need to be consecutive), because they are unable to breathe well enough to maintain normal levels of oxygen and carbon dioxide in the blood |
| Ventilator rate | The number of breaths per minute (BPM) delivered by the ventilator. It can be a range or a set number. |

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## Therapies

#### Overview

This section is used to record therapy services the customer is currently receiving by or under the direction of a registered therapist. Therapy services are listed and described in the definitions section below.

#### Definitions

| Therapy listed in HEAplus | Definition |
|---|---|
| Physical | Therapy to help improve or maintain physical function. Some examples of physical therapy include:<br>• Hydrotherapy;<br>• Exercises and stretches; and<br>• Training on how to use assistive devices. |
| Occupational | Therapy to help customers engage in activities of daily life, such as self-care skills, education, and social interaction. Some examples of occupational therapy include:<br>• Habilitation services;<br>• Fine motor skill development;<br>• Community and work reintegration training;<br>• Developing of cognitive skills;<br>• Self-care training;<br>• Home management training; and<br>• Wheelchair management. |

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| Speech | Therapy to help regain or improve speech, language, swallowing, and cognitive function. Some examples of speech therapy include:<br>• Physical exercises to strengthen the muscles used in speech and eating;<br>• Speech drills to improve clarity; and<br>• Sound production practice to improve articulation. |
| Respiratory | Treatment provided to restore, maintain, and improve respiratory function. Some examples of respiratory therapy include:<br>• Using a CPAP, which may or may not be under the direction of a respiratory therapist; and<br>• Using a Bi-PAP under the direction of a respiratory therapist. |
| Alcohol and Drug Treatment | Medical, chemical, or psychological treatment aimed at customers with substance-use disorders. Treatment can include self-help groups. |
| Vocational Rehabilitation | Services provided to customers with disabilities to support entering or returning to work by developing or improving job-related skills. |
| Individual and Group Therapy | Treatment of mental health problems by talking with a psychiatrist, psychologist, or other mental health provider. The therapy may be provided individually or in groups. |
| Behavior Modification Program | A specific program developed to address and redirect the customer's inappropriate behavior under the direction of a psychologist or mental health professional. The program must include written record keeping of behavioral incidents and progress. |

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| Term | Definition |
| --- | --- |
| Hydrotherapy | The use of water to relieve discomfort and promote physical well-being. |

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# Rehabilitative Nursing

#### Overview

This section is used to record rehabilitative nursing services the customer is receiving.

Rehabilitative nursing is a professional nursing service that sets up a therapeutic plan of care that is:

- Problem oriented;
- Tailored to the customer; and
- Has measurable goals.

Rehabilitative nursing does NOT include:

- Watching or monitoring the customer, unless it is part of a teaching or training program; or
- Activity or exercise done for recreation or general health purposes.

Rehabilitative nursing services are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Teaching or Training Program | A nursing service to teach a customer or caregiver how to care for a medical need. Examples of teaching or training programs include:<br>• Ostomy care;<br>• Tube feeding;<br>• Postural drainage;<br>• Chest percussion; |

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| | • Diet planning, including Prader-Willi food precautions;<br>• Use of prosthesis; and<br>• Self-administering medication. |
| Bowel/Bladder Retraining | A formal method of reestablishing regular evacuation or urination. Bowel and bladder retraining does not include routine or initial toilet training in children. |
| Turning and Positioning | Moving, turning, or repositioning a customer who cannot move on their own. This improves circulation, prevents skin ulcers, and prevents shortening and hardening of muscles, tendons, or other tissue. |
| Range of Motion | An exercise moving a specific joint or body part to:<br>• Maintain and increase joint mobility;<br>• Prevent shortening and hardening of muscles, tendons, or other tissue;<br>• Increase circulation; and<br>• Relieve discomfort. |
| Other Rehabilitative Nursing | Services directed by a nurse or therapist that help a customer regain health or strength. Examples of these services include:<br>• Therapy to improve the customer's ability to walk independently;<br>• Therapy to improve the customer's ability to eat;<br>• Deep breathing exercises; or<br>• Splinting a joint or body part. |

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**Documentation**

Include all the following information in the comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

For example, the nurse turns and repositions the customer in his hospital bed every 2 hours to prevent pressure ulcers.

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## Other Services and Treatments

#### Overview

This section is used to record other services and treatments the customer is either currently receiving or needs, but is not receiving yet. Other services and treatments are listed and described in the definitions section below.

#### Definitions

| Treatment listed in HEAplus | Definition |
|---|---|
| Peritoneal Dialysis (PD) | A way to remove waste products from the blood when the kidneys are not able to do an adequate job. During PD, a cleansing fluid is added to the belly through a tube. The lining of the belly acts as a filter and the fluid pulls waste and extra fluid from the blood. After a set period, the fluid with the waste products is drawn out of the belly into a drainage bag. PD can be done at home, work, or when traveling.<br><br>There are two kinds of peritoneal dialysis:<br><br>• Continuous Ambulatory PD (CAPD)<br><br>• Automated PD (APD) |
| Hemodialysis (HD) | A procedure used to clean the blood by drawing it from a blood vessel into a dialysis machine, which filters out waste and extra fluid. Then the blood is returned to the body through a blood vessel. |
| Chemotherapy/Radiation | Chemical or x-ray agents that have a specific and toxic effect on cancerous cells. |
| Restraints | Devices and medications that limit or restrict movement to protect a customer from injury. These are also known as mechanical and chemical restraints. |

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| | |
|---|---|
| | Mechanical restraints: Physical devices or barriers that restrict normal access to one's body or immediate environment and protect from injury. For example:<br>• Vests;<br>• Seat belt;<br>• Geri chair with lap tray; or<br>• A locked room or area.<br>NOTE Bed and chair alarms, wander guards, and self-removable seat belts are not restraints. Side rails are not restraints unless the intention is to prevent the customer voluntarily getting out of bed.<br>Chemical restraints: Prescribed medication used to stop or reduce behaviors that could cause physical harm to self or others, like combativeness, constant pacing, and self-mutilation.<br>NOTE To be considered a chemical restraint, the medication must be prescribed specifically to control or stop the harmful behavior. |
| Fluid Intake/Output | Measuring and monitoring the amount of fluids the customer takes in, puts out, or both.<br>Fluid intake includes fluids taken by mouth, as well as fluids given by IV or tube feeding.<br>Fluid output includes vomit and urine, including catheter output. Remember that not every customer with a catheter is being monitored for fluid intake/output.<br>NOTE Fluid intake/output does not include routine recording of dietary intake percentages or supplements. |
| Other | Other therapies prescribed for a specific problem. For example:<br>• Hospice; |

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| | |
|---|---|
| | • Sitz bath;<br>• TED hose;<br>• TENS unit for pain;<br>• Special mattress<br>• Whirlpool (if used for reasons other than physical therapy or decubiti care, it should be noted here) |

**Documentation**

Include all the following information in the Comments:

- The treatment the customer gets;
- The person giving the treatment;
- How often the customer gets the treatment; and
- The reason the treatment is given.

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# Medical Stability

## Medical Stability

#### Overview

This section is used to record:

- Hospitalizations over the past year;
- Caregiver training;
- Special diet; and
- Sensory function.

#### Completing the Medical Stability Page

See the table below for best practices completing the questions on this page.

| For | Then |
|---|---|
| Number of acute hospitalizations over the past year | Enter the number in the space provided. Include actual or approximate dates and the reasons for the hospitalizations in the PAS summary.<br><br>This does not include ER visits, but these may be mentioned in the Summary. Do not include birth for an infant unless the hospitalization continued due to the child's medical problems. |
| Currently requires direct care staff or caregiver trained in special health care procedures | Select "Yes" when the customer needs direct care staff or caregiver to be trained in special health care procedures that are normally performed or monitored by licensed staff, such as an RN or a Therapist. Otherwise, select "No."<br><br>Use the comments box to list any procedure and who is trained.<br><br>Include training for procedures that are intermittent, such as seasonal SVN treatments. Do not include personal care that does not |

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| | |
|---|---|
| | require special training, such as routine help with ADLs or applying a simple brace. Do not include training for procedures the customer no longer needs. |
| Currently requires special diet planned by dietitian, nutritionist, or nurse | Select “Yes” when the customer requires a special diet ordered by a physician or planned by a dietician, nutritionist, or nurse. Otherwise, select “No.”<br><br>Use the comments box to list the type of diet and a description of specific diet needs. For example:<br><br>• Consistency needs, such as needing the food to be soft or pureed;<br><br>• Level of nutrients, such as an 1,800 calorie per day diabetic diet;<br><br>• Amount of fluids, such as 1,500 ml per day for a person on a fluid restricted diet;<br><br>• Number of meals per day; or<br><br>• Food limitations, such as no wheat or dairy products.<br><br>Formula for tube feedings is included, but formula for infants and young children by bottle or sippy cup is not included. |

**Sensory Function**

| For | Then |
|---|---|
| Hearing | Enter the score based on the customer’s ability to receive sounds, not the ability to comprehend the sound. If there is impairment in one ear and not the other, score based on the overall ability to hear. If an assistive device is used, hearing should be rated while using the device. |

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| | |
|---|---|
| | Use the comments box to state who reported the information and what was reported. |
| Vision | Enter the score based on the customer's ability to perceive objects visually. Evaluate the customer's ability to see objects both close and at a distance in adequate lighting, using any visual aids, such as glasses or a magnifying glass. If the customer is blind in one eye and not the other, score based on the overall ability to see. Do not consider any medical conditions or eye diseases that do not affect the ability to see.<br><br>Use the comments box to state who reported the information and what was reported. |

#### Scoring for Sensory Function

The scoring for sensory function has two sections:

- Hearing; and
- Vision

### Hearing

Follow the steps below to determine the Hearing score.

| Step | Action |
|---|---|
| 1 | Is the customer able to hear all normal conversational speech, including when using the telephone, watching television, and participating in group activities?<br><br>OR<br><br>Are you unable to assess the customer's ability?<br><br>• If YES to either question, STOP. Give the customer a score of 0.<br><br>• If NO to both questions, continue to step 2. |
| 2 | Does the customer have difficulty hearing when not in a quiet surrounding? |

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| | |
|---|---|
| | • If YES, STOP. Give the customer a score of 1.<br>• If NO, continue to step 3. |
| 3 | Is the customer hearing-deficient, but able to hear when the speaker adjusts their tone and speaks distinctly?<br>OR<br>Can the customer only hear when the speaker's face is clearly visible?<br>• If YES to either question, STOP. Give the customer a score of 2.<br>• If NO to both questions, continue to step 3. |
| 4 | Does the customer not hear at all or only hear some sounds and often fail to respond even when the speaker adjusts tone, speaks clearly, and faces the customer?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

**Vision**

Follow the steps below to determine the vision score.

| Step | Action |
|---|---|
| 1 | Is the customer able to see adequately?<br>OR<br>Are you unable to assess the customer's ability?<br>• If YES to either question, STOP. Give the customer a score of 0.<br>• If NO to both questions, continue to step 2. |
| 2 | Does the customer have difficulty with focus at close range but can see large print and obstacles, but not details?<br>OR<br>Does the customer have monocular vision? |

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| | |
|---|---|
| | • If YES to either question, STOP. Give the customer a score of 1.<br>• If NO to both questions, continue to step 3. |
| 3 | Does the customer have very poor focus at close range, is unable to see large print, or have a limited field of vision, such as tunnel vision or central vision loss?<br>• If YES, STOP. Give the customer a score of 2.<br>• If NO, continue to step 4. |
| 4 | Does the customer only see light, shapes, colors, or have no vision at all?<br>• If YES, STOP. Give the customer a score of 3.<br>• If NO, the customer meets some scoring criteria above, go back to step 1. |

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# PAS Summary and Evaluation

## PAS Summary and Evaluation

#### Introduction

In this chapter, you will learn about:

- FCPI Service Summary
- PAS Summary
- Person Contact Detail
- PAS Scoring
- PAS Status
- PAS Completion

For each section in this chapter, you will find:

- An overview of the topic
- Definitions
- Other helpful information

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# FCPI Service Summary

### Overview

A certain amount of resources may be set aside and not counted toward a customer with a Community Spouse. This is called the Community Spouse Resource Deduction (CSRD). See Community Spouse Resource Budgeting for more information.

When a CSRD needs to be calculated, the customer's the first continuous period of institutionalization (FCPI) must be determined. When the customer was not in a medical institution for all 30 days of the FCPI, a PAS Assessor determines the FCPI.

### Establishing the FCPI

Follow the steps below to establish the FCPI and complete the FCPI Service Summary Screen.

| Step | Action |
|---|---|
| 1 | Review the FCPI Service Summary screen and any medical records and notes in the case file about services the customer received. Verify any services that have not been verified yet. |
| 2 | Did the customer receive HCBS services that are not listed on the FCPI Service Summary?<br>• If YES, add the services with start and end dates, frequency, and service details then add your name and the date before saving the entries. Continue to step 3.<br>NOTE You may need to contact the service provider and document the information provided during the contact and by whom.<br>• If NO, continue to step 3. |
| 3 | Determine whether the customer got services for 30 consecutive days that prevented institutionalization based on:<br>• The types of services received;<br>• The start and end dates for the services;<br>• The frequency of the services;<br>• The details of what assistance was provided for each ADL; and |

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|---|---|
| | • Any other information available from the records or the service provider that indicate the level of the care provided or needed.<br><br>NOTE HCBS services must be formal, paid services. |
| 4 | Did the customer receive HCBS services, services in a medical institution, or a combination of both for 30 consecutive days?<br><br>• If YES, answer “Yes” to “Services for 30 consecutive days?”<br><br>• If NO, answer “No” to “Services for 30 consecutive days?”<br><br>Continue to step 5. |
| 5 | Use your professional judgment to determine if the HCBS services provided a level of care that prevented the customer from needing to be placed in an institution.<br><br>• If YES, answer “Yes” to “Did Home and Community Based Services (HCBS) prevent institutionalization?”<br><br>• If NO, answer “No” to “Did Home and Community Based Services (HCBS) prevent institutionalization?” |
| 6 | Were the answers to the questions in steps 4 and 5 both “Yes”?<br><br>• If YES, enter the month and year the 30-day period began. When the customer had more than one 30-consecutive date period that meets the criteria. Enter the earliest period in the FCPI date field.<br><br>• If NO, leave the field blank. There is no FCPI. |
| 7 | Click Next or Save to close the battery.<br><br>NOTE If this is an CSRA-Only request, it will be removed from the task list once the completed. When the application includes a PAS request, it will stay on the task list until the PAS is completed. |

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# PAS Summary

#### Overview

The PAS Summary gives an overview of the customer's medical conditions, functioning and needs. It should not include opinions about eligibility, placement, or need for institutionalization.

#### Things that must be included in the PAS Summary

Include the following items:

| Factor | What to include |
|---|---|
| Introduction | • Names of any people that gave information during the PAS interview<br>• Any corrections to Medicare or other insurance information<br>• Reason for applying or reapplying<br>• Explain any change in DD status or result of applications to DD<br>• Any discrepancies between the PAS and medical records or prior PAS records<br>• How the interview was completed: by telephone or in person |
| Living situation and living arrangement | • Where the customer is living<br>• Who the customer is living with<br>• Any custody issues or other concerns from providers or caregivers<br>NOTE When the PAS is conducted in person, include observations noted during the interview. |

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| | |
|---|---|
| Hospitalizations and ER visits | • Date of each incident<br>• Reason for ER visit or hospitalization |
| Medical conditions | A brief description of the customer's current major medical conditions and related problems |
| Emerging patterns of behavior and Independent Living Skills (ILS) | **Under six months old**<br>Describe emerging patterns of behavior: feeding, sleeping, muscle function, vision, hearing, social.<br>**Six months to five years old**<br>A brief overview of customer's milestones and any concerns.<br>**6-11 and 12+ tools**<br>• A summary of the customer's ILS performance and any assistance provided; and<br>• An overview of any scores based on need and the reason. |
| Continence | A description of the customer's level of bowel and bladder continence. |
| Communication and sensory status | Describe:<br>• Vision and hearing ability;<br>• Communication ability, including any devices used;<br>• Speech clarity and how easily the customer is understood |
| Caregiver training | Describe any caregiver training including who, when, and what. |
| Behaviors | • A description of the customer's behaviors, including any reported behaviors that were not scored. |

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| | |
|---|---|
| | • Any interventions provided for the behaviors. |
| Services and support | • Any formal services received such as Meals on Wheels.<br>• A description of informal services or support provided by relatives, neighbors, or friends.<br>• Any services or treatments under “Other” in the Services/Treatments battery.<br>• Any history with the Department of Developmental Disabilities or Adult Protective Services.<br>• Any services or treatments recommended that the customer is not receiving. |
| Social determinants of health (SDOH) | A description of how the SDOH impacts the customer’s health or functioning.<br><br>NOTE See the Definition section for more details about documenting SDOH information.<br><br>Examples of SDOH include:<br>• Housing and utilities<br>• Access to enough food or healthy food<br>• Transportation<br>• Safety<br>• Financial strain<br>• Education<br><br>NOTE Document that the referral resource list was given to the customer. If the customer asked about or was given information about specific resources, include that information in the summary. |

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|---|---|
| Other necessary information | • Statements made by the customer or caregiver about the services they want.<br>• A statement that a description of the ALTCS program requirements for nursing facility (NF) level of care was provided.<br>NOTE Do NOT include statements that reflect personal opinions, judgments, or biases. |

**Definitions**

| Term | Definition |
|---|---|
| Social determinants of health (SDOH) | Conditions in the places where people live, learn, work, and play that affect a wide range of health, functioning, and quality-of-life outcomes and risks.<br>There are five key areas of SDOH:<br>• Economic stability<br>• Education<br>• Social and community connection and support<br>• Health and health care<br>• Neighborhood and environment<br>Resources that enhance quality of life also influence health outcomes. Examples include safe and affordable housing, access to education, public safety, availability of healthy foods, local emergency and health services, and environments free of harmful toxins.<br>Adverse conditions or a lack of the resources noted above can impact a person's health and functioning, as well as risk of institutionalization. |

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| | |
|---|---|
| | NOTE Reviewing SDOH is NOT part of the PAS interview. If an impact or risk due to a SDOH comes up during the interview or is observed during an in-person interview, include it in the PAS summary. |

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# Person Contact Detail

#### Overview

This screen is used to enter contact information for people who contributed information for the customer's PAS. Personal contacts may include, but are not limited to:

- Family members;
- RNs;
- CNAs;
- Teachers or school staff;
- Physicians;
- Caregivers; and
- Case managers.

If medical records or diagnoses are received from other specialists, these contacts should also be included.

#### Completing the Person Contact Detail Screen

Click on the "Add Personal Contacts" link to add a contact. Use the table below to complete the Person Contact screen. After completing the Person Contact screen, click Save and Add Another to add an additional contact or Save if there is not another contact to add.

| Field Name | Enter... |
|---|---|
| Contact Name | Name of the person |
| Type | Select from the drop-down list:<br>• Physician;<br>• Case Manager;<br>• Caregiver; or<br>• Other. |

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|---|---|
| Relationship<br><br>(This field is only shown when the type selected is Caregiver.) | Select from the drop-down list:<br><br>• Alien Sponsor;<br>• Aunt;<br>• Brother;<br>• CNA;<br>• Cousin (first);<br>• Daughter;<br>• Ex-Spouse;<br>• Father;<br>• Foster Child;<br>• Foster Parent;<br>• Grandchild;<br>• Granddaughter;<br>• Grandparent;<br>• Grandson;<br>• Legal Permanent Guardian;<br>• Mother;<br>• Nephew;<br>• Niece;<br>• Not Related;<br>• Other Related;<br>• RN;<br>• Sister;<br>• Son;<br>• Spouse;<br>• Stepchild; |

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| | |
|---|---|
| | • Stepfather;<br>• Stepmother; or<br>• Uncle. |
| Phone | Phone number and extension where the person can be reached. |
| Comments | Additional information can be provided here. These comments are not shown on the Person Contact Detail screen. If a comment is entered, it will only be visible by clicking the “edit” icon. |

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# PAS Scoring

**Overview**

Most of the information on this screen is automatically populated by the system. To qualify by score initially, the total score must be 40 or higher.

NOTE At reassessment a customer who scores at least 30 but less than 40 qualifies by score for the ALTCS Transitional program.

The PAS Scoring screen includes the information shown in the table below:

| Section | Description |
|---|---|
| Functional score summary | For each functional score there are columns for the following information:<br>• Category - The category of each group of functional scores;<br>• Rating – The score entered by the PAS Assessor;<br>• Weight – The factor that is multiplied by the Rating; and<br>• Score – The weighted final score for the function. |
| Medical score summary | For each medical condition or medical service and treatment that is scored there are columns for the following information:<br>• Category - The category of the medical condition;<br>• Rating – “0” or “1” based on whether or not the customer has a scored medical condition or receives a scored service or treatment;<br>• Weight – The factor that is multiplied by the Rating; and |

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| | |
|---|---|
| | • Score – The weighted final score for the medical condition, service, or treatment.<br><br>NOTE For DD 0-5 PAS tool, the medical score summary is broken down into three sections, Medical Conditions, Medical Stability and Services and Treatment. |
| Total PAS score | The sum of the functional scores plus the sum of the medical scores. |
| Next Assessment | A dropdown field used to set a reassessment date in six months, one year, or two years. |
| Completed and Reopen dates | HEAplus automatically populates these date fields based on actions taken. |
| Eligibility | HEAplus automatically populates with “Eligible” or “Ineligible” based on the PAS score. |
| Physician Review | Click on this field to bring up the Physician Review (PR) screen.<br><br>NOTE When there is a red asterisk after “Physician’s Review”, a PR is mandatory. For more information about sending the PAS for PR see Physician Review. |
| Override | This section is only used by PAS Policy for an Administrative Review. |
| Special Status | This field is automatically populated by HEAplus when information is entered in the PAS that the customer is ventilator dependent or is on the ALTCS Transitional program.<br><br>**Important!**<br><br>“Acute” displays when the customer is in the hospital and no discharge date was entered in HEAplus. A date MUST be entered before completing the PAS. |

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| | |
|---|---|
| | Check for updated information on the discharge date. Go to the DD/EPD Information screen and enter the discharge date when known. When not known, enter the date of the PAS in the “Discharge Date” field. |
| Were sufficient medical records received | Selecting “yes”, “no”, or leaving this question blank depends on several factors. Follow the agencies Standard Work Processes (SWPs) |

| **Term** | **Definition** |
|---|---|
| Sufficient medical records | Medical records that assist in supporting the overall PAS score. See Medical Records for examples of useful records |

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# PAS Status

#### Overview

The fields on this screen are automatically populated by the system. The PAS Status screen includes the following information:

- PAS Type
- PAS Date
- PAS Tool
- DD Status
- Functional Score
- Medical Score
- Total Score
- PAS Status
- Special Status – This field will be blank except as described below:
    - “Ventilator” displays when the customer is on a ventilator.
    - “Acute” displays when the customer is in the hospital and no discharge date was entered in HEAplus. Before processing, check for updated information on the anticipated discharge date. Go to the DD/EPD Information screen and enter the discharge date when known. When not known, enter the date of the PAS in the “Discharge Date” field.
    - “Transitional” displays when the customer is on ALTCS Transitional.
- Physicians Review Date
- Physicians Review Date Sent
- Override’s Review Date Sent
- Override’s Review Date

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# PAS Completion

#### Overview

It is important to review the information entered before completing the PAS. Review the information to make sure:

- It is entered correctly;
- The scores are correct, and the comments clearly support the score;
- The summary gives a clear description of the PAS;
- The physical address and living arrangement are current and correct.

NOTE For PAS reassessments, verify the current address and living arrangement. If this is different from what is displaying in HEAplus, contact the Benefits and Eligibility Specialist (BES) to update the demographics.

The documents and comments must support the scores given. When information appears to conflict between sources, comments must explain which sources were used to determine scores and why.

The PAS, with all comments and documents, is the legal basis for ALTCS medical eligibility decisions. Information from the PAS is shared with the ALTCS Health Plan and may be shared with federal and state auditors, the customer, the Office of Administrative Hearings, and when authorized, with other parties.

#### Things to keep in mind when completing a PAS

- When a customer scores eligible but is experiencing an acute episode or condition that may improve, set a one-year reassessment date.
- When information is inconsistent or questionable and the difference cannot be resolved by other information in the case file or from the caregiver, discuss the PAS with a BEM before closing it.

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# Physician Review

### Overview

A Physician Review (PR) may be requested when the final PAS score may not accurately reflect the customer's need for an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF-IID) or Nursing Facility (NF) when applicable. A Benefits and Eligibility Manager (BEM) must review the PAS and records before requesting a PR to make sure the PR process is necessary.

There are situations when a PAS Analyst Review Consultant (PARC) can complete an eligibility review. Both Physician and PARC reviews are completed on the Physician Review screen in HEAplus.

> NOTE See Eligibility Review for guidance on when a PR is mandatory or a PARC review is appropriate. See below for PRs that are not mandatory.

### Physician Reviews that are NOT mandatory

A PR can be requested when the assessor and BEM agree that the customer appears to be at immediate risk of institutionalization. Some examples of PRs that can be requested, but are not mandatory, include customers who:

- Do not meet the threshold score but the assessor thinks the individual may be at risk of institutionalization;
- Meet the threshold score on an initial ALTCS application and is already a member of an AHCCCS health plan and appears to need less than 90 days of convalescent care;
- Have atypical circumstances, such as: traumatic brain injuries, HIV/AIDS, specialized treatments, e.g., halo brace, body cast, any cases requiring extensive and complex medical care;
- Appeal an ineligible PAS decision;
- Receive services that include extensive and complex medical care.

### Physician Review Information

The Physician Review screen is completed by both the assessor and the reviewer. After the assessor completes their portion of the screen, the PAS is sent to the reviewer's work management list. The reviewer completes their portion of the screen. When finished, it is sent back to the assessor or BEM in HEAplus. The Assessor and BEM review the decision prior to completing the PAS.

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Medical records should be reviewed by the assessor and BEM and scanned into the document storage system BEFORE requesting a PR.

Use the information in the table to complete the Physician Review screen based on your role.

| Field Name | Completed By | Field Information |
|---|---|---|
| Requested Date | Assessor | Date the case is sent for review. |
| Review Date | Physician or PARC | Date the physician completes the review. |
| Name of Doctor/PARC | Physician or PARC | Name of the reviewer from the drop-down list. |
| Physician's Decision | Physician or PARC | Eligible or Ineligible from the drop-down list.<br><br>NOTE For PAS Reassessments, Transitional is also in the drop-down list. |
| Reason | Physician or PARC | When ineligible, the appropriate reason from the drop-down list. |
| Requestor's Comments | Assessor | A brief explanation of why the PAS is being sent for PR. Information must be factual and objective.<br><br>NOTE If medical records are NOT available, make a note in this section. |
| Physician's Comments | Physician or PARC | The reviewer's name and title, the decision, and a summary of the factors used to make the decision, which may include:<br><br>• A summary of significant medical conditions;<br><br>• How the medical conditions impact the physical and mental functioning;<br><br>• The reviewer's opinion of the customer's chance of recovery or maintenance of health without ALTCS intervention; |

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|---|---|---|
| | | • The reviewer's opinion of the severity of the customer's medical condition and the likelihood of the condition worsening or significantly impairing mental or physical function in the next few months. |

**Medical Records**

The assessor provides the reviewer with current medical records, if available and relevant to the customer's condition. The medical records should clarify the current medical condition and functional needs of the customer.

- Medical records may include:
- Multidisciplinary Evaluation Team (MET) Report;
- History and Physical;
- Discharge summary for hospitalizations;
- Consultations by specialists. For example, psychology, psychiatry, neurology, or developmental pediatric reports;
- Therapy notes;
- Nursing notes that address a specific incident or condition;
- SIGNIFICANT test results such as laboratory results. For example, HgA1C for diabetics, viral titers, T-cell or CD4 counts for customer's diagnosed with AIDS, EEG, EKG or MRI results;
- Physician Progress Notes relating to current conditions or need for long-term care;
- Individualized Family Service Plan (IFSP);
- DDD Planning documents;
- Individualized Education Program (IEP);
- Specialized treatment plan and progress notes (e.g., from vocational or behavioral programs).

NOTE For PAS reassessments, when the ALTCS Health Plan reports the customer's overall functioning has improved, medical records also include the ALTCS Health Plan's two most recent long-term care assessments.

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# Reassessments

## PAS Reassessments

#### Overview

PAS reassessments are required on certain cases to determine if a customer still meets the PAS eligibility criteria for ALTCS.

#### Reasons for PAS Reassessments

- A customer is older than six years of age and does not have a DD qualifying diagnosis.
- A reassessment may be completed at any time for the following reasons:
    - A routine audit of the PAS assessment reveals a question regarding the eligibility decision;
    - A review by Administration or an ALTCS physician consultant determines the member may not have a continuing need for long-term care services; or
    - An ALTCS Health Plan, case manager, nursing facility, or other party requests a review that reveals a question regarding continuing eligibility.
- A reassessment can be scheduled at six months when the customer has the potential to improve and will no longer need long-term care services. These can be requested by:
    - A Physician Consultant;
    - PAS Analyst Review Consultant (PARC) reviewer; or
    - PAS Assessor, after discussing with a supervisor.

#### Things to keep in mind when completing a PAS Reassessment:

- Verify the current address and living arrangement. If this is different from what is displaying in HEAplus, contact the Benefits and Eligibility Specialist (BES) to update the demographics.
- When a customer scores eligible but is experiencing an acute episode or condition that may improve, set a one-year reassessment date.
- A change in score or condition must be explained in the comment section or the summary.
- Include a complete description of the customer’s current functional and medical status.

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- Review the PAS records and the prior PAS before conducting a reassessment.
- Contact the DDD Support Coordinator prior to completing a reassessment. Discuss potential ineligibility and obtain the last two Long-Term Care (LTC) quarterly assessments.
- A Physician Review must be requested for an ALTCS customer who resides in a nursing facility and meets the score for Transitional but not full ALTCS eligibility.
- Prior to completing a reassessment for a customer who scores into the Transitional Program (MA1010) and resides in a nursing facility, the case manager should be consulted regarding discharge planning.
- On the DD/EPD Information screen in HEAplus, the following fields do not need to be completed:
    - Currently Hospitalized/rehab;
    - Imminent discharge from acute care facility; and
    - Discharge Date.

**Reviewing Reassessment Decision Letters**

The PAS Assessor must review the reassessment letter for accuracy before it is sent. Review the letter in HEAplus using the table below as a guide:

| What to verify | Where it is found |
|---|---|
| The letter is addressed to the customer or representative | • Case Summary screen under Customer Contact Information; or<br>• The most recent Application Summary. |
| The mailing address is complete and correct | • Case Summary screen under Customer Contact Information; or<br>• The most recent Application Summary. |
| Only one language is used on the letter, and it is the customer's or representative's preferred language | • Case Summary screen under Customer Contact Information; or |

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| | • Information Belongs To page, View Application link, Budget Group page, under Person Applying. |
| Effective date | • For approval effective dates, see MA1309C.<br>• For change effective dates, see MA1501C.<br>• When coverage is stopping, see MA1503. |
| Legal basis for the decision, including:<br>• Denial reason or reason benefits are stopping;<br>• Law and regulation citations. | On the letter in the decision block and under the letter section “Legal Authorities for This Decision”. |
| Appeal rights and Appeal Request Form | On the letter, under “What if You Do Not Agree with our Decision?” The Appeal Request form should be a separate page. |
| PAS Scoring page (only for adverse actions) | The PAS Scoring page is the last page of the letter. |