

**ASSESSING ADULT PROTECTIVE  
SERVICES CLIENTS'  
DECISION-MAKING CAPACITY**

**PARTICIPANT MANUAL**



**MODULE 17**

**This training is a product of National Center on Elder Abuse (NCEA), which is funded, in part, by the U.S. Administration on Aging under Grant # 90-AM-2792. The project was developed by the National Adult Protective Services Association (NAPSA), and its contractor, the REFT Institute, Inc.**

The National Center on Elder Abuse (NCEA) provides elder abuse information to professionals and the public; offers technical assistance and training to elder abuse agencies and related professionals; identifies promising practices; conducts short-term elder abuse research; and assists with elder abuse program and policy development. NCEA's website and clearinghouse contain many resources and publications to help achieve these goals.

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

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## The National Center on Elder Abuse The Source for Information and Assistance on Elder Abuse

The Center is administered by the U.S. Administration on Aging. During the development of this product, the National Association of State Units on Aging served as the lead agency for the Center, funded by grant No. 90-AP-2144 from the U.S. Administration on Aging. Under this grant, the NCEA consisted of a consortium of five partner organizations:

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## COURSE OUTLINE

Content	Total Time	Activities	Slides/handouts
<b>Welcome and Introductions</b>	20 min.	Lecture/introduction	Slides 1- 5 <i>Optional:</i> Handout #1 Appendix: APS Core Competencies
<b>Overview &amp; Key terms of capacity assessment</b>	25 min.	Lecture Discussion	Slides 6-14
<b>Factors affecting capacity</b>	45 min.	Lecture Large group activity	Slide 15-24 Handout #2-6
<b>BREAK</b>	15 min.		
<b>Case Study Activity #1</b>	30 min.	Small group activity	Slides 25 Handouts: Case studies 1-5
<b>Capacity Assessment Domains &amp; Tools (lunch break)</b>	75 min. + 60 min lunch	Lecture Discussion	Slide 26-41 Handouts: #7-12
<b>Capacity Screening Skills</b>	30 min.	Lecture Discussion	Slides 42-44 Handout #13
<b>Case Study Activity #2</b>	30 min.	Small group activity	Slide 45 Handouts: Case studies 1-5
<b>BREAK</b>	15 min.		
<b>Cross cultural interviewing &amp; Assisted Capacity</b>	15 min.	Lecture Discussion	Slides 47-53 Handout #14
<b>Case Study Activity #3</b>	45 min.	Small group activity Large group discussions	Slide 54 Handouts: Case studies 1-5
<b>Closing</b>	15 min.	Q & A, <i>Optional:</i> Post-test, answers, and evaluation	Slide 55 <i>Optional:</i> Handouts #15-17
<b>TOTAL TIME</b>	<b>7 hrs.</b>		

## TRAINING GOAL AND OBJECTIVES



**Goal:** The purpose of this workshop is to assist Adult Protective Services professionals in identifying the factors that affect their clients' decisional capacity, and to identify when to seek a professional evaluation.

**Objectives:** Upon completion of this training session, participants will be better able to:

1. Define autonomy, capacity, and incapacity.
2. Describe factors that may influence client capacity.
3. Describe signs and symptoms that indicate capacity issues.
4. Identify key questions and approaches used to screen client capacity, including working with special populations.
5. Identify implications for case planning as a result of a finding of limited capacity.

# PRESENTATION



# WELCOME AND INTRODUCTIONS



**TIME ALLOTTED: 20 minutes**

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◆ **WELCOME**

◆ **GUIDELINES:**

- There will be two 15-minute breaks and an hour for lunch today.
- Use the restrooms whenever you need to do so. The restrooms are located at . .
- Please turn off your cell phones for the duration of the training. If you must make or receive a call, please leave the training room and return as quickly as possible. Check the course outline to see what you have missed.
- The slides marked with an \* have notes on them at the back of this guide.

◆ **PARTICIPANT INTRODUCTIONS:**

*Ask participants to:*

- make a brief self-introduction including name, job title, organization
- respond, in 1 or 2 sentences, to the following question:



*What are your challenges when trying to determine capacity or to decide when it is time to call in the experts?*

***Optional Handout #1 on the next page.***

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## HANDOUT #1: Pre-test

Test # \_\_\_\_\_

1. How does an APS assessment of capacity differ from a professional capacity evaluation?
  2. \_\_\_True False: “Incapacity” is a medical term meaning a person’s inability to make decisions.
  3. Autonomy involves all of the following except one (please circle the incorrect option):
    - a) The person’s rights
    - b) The person’s choices
    - c) The person’s responsibilities
    - d) The person’s capacity
  4. Once a person is judged incapacitated, he/she may lose the right to: (Circle correct answer[s].)
    - a) Make decisions regarding medical care
    - b) Have a guardian appointed by the court
    - c) Have a conservator appointed by the court
    - d) Enter into contract agreements
    - e) Chose his/her place of residence
  5. List 4 factors that may influence the decision-making capacity of an adult.
    - a)
    - b)
    - c)
    - d)
  6. What are the four (4) standards used when assessing a person’s capacity?
    - a)
    - b)
    - c)
    - e)
  7. List one strength and one limitation of a standardized capacity assessment tool, such as the Folstein Mini-mental Status Examination.
  8. List 3 questions that could be asked of the client when assessing his or her capacity.
    - a)
    - b)
    - c)
  9. List two special accommodations that are necessary when assessing the capacity of: a person with a disability (such as a hearing impairment), or who speaks no English, or who is non-verbal.
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## SLIDE 2

This training is a product of the National Center on Elder Abuse (NCEA), which is funded in part by the U.S. Administration on Aging under Grant # 90-AM-2792. The project was developed by the National Adult Protective Services Association (NAPSA), and its contractor, the REFT Institute, Inc.

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## SLIDE 3

NATIONAL ADULT PROTECTIVE SERVICES ASSOCIATION

- NAPSA is the only national organization which represents APS professionals, programs and clients
- NAPSA is the National Voice of APS
- NAPSA is a partner in the National Center on Elder Abuse
- NAPSA has members in all 50 states
- <http://www.napsa-now.org/>



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## SLIDE 4

### SEE APPENDIX FOR LIST

APS CORE COMPETENCIES

- 23 NAPSA Core Competencies were identified and developed into trainings for APS staff.
- This module is #17: *Assessing APS Clients' Decision-Making Capacity.*

For more information about APS Core Trainings, visit <http://www.napsa-now.org/resource-center/training/core-aps-competencies/>

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 5

**TRAINING GOAL**

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To assist Adult Protective Services professionals in identifying the factors that affect clients' decisional capacity and to know when and how to seek a professional evaluation.

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## SLIDE 6

**LEARNING OBJECTIVES**

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- Define autonomy, capacity, and incapacity.
- Describe factors that may influence client capacity.
- Describe signs and symptoms that indicate capacity issues.
- Identify key questions and approaches used to screen client capacity, including working with special populations.
- Identify implications for case planning as a result of a finding of limited capacity.

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# OVERVIEW & KEY TERMS OF CAPACITY ASSESSMENT



**TIME ALLOTTED: 25 minutes**

## SLIDE 7

WHAT IS AUTONOMY?

- ▶ Autonomy is the highest principle in legal, psychological and medical issues.
- ▶ “Autonomy” means the right to make one’s own decisions.



Source: Kemp 2005

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## SLIDE 8

WHAT IS DECISIONAL CAPACITY?

Decisional capacity is the ability to adequately process information in order to make a decision based on that information.

Source: Kemp 2005

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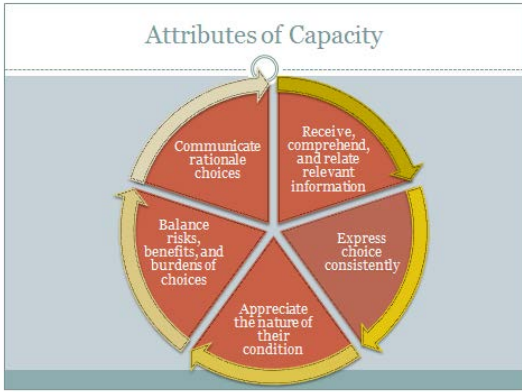
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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 9



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## SLIDE 10

**CAPACITY MAY VARY...**

- ▶ As a result of physical or mental stress.
- ▶ According to the complexity of the decision.
- ▶ From day to day.
- ▶ From morning to evening.

Source: Kemp 2005



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## SLIDE 11

**CAPACITY EVALUATION**

A complete capacity evaluation usually includes:

- A physical examination
- A neurological examination
- Short and long term memory assessment
- Assessment of executive function
- Exam for existing psychological disorders
- Diagnosis of any existing addictive syndromes.

Source: Oklahoma APS 2005

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## SLIDE 12

**WHAT IS INCAPACITY?**

- ▶ The inability to receive and evaluate information
- ▶ Or to make or communicate decisions so that an individual is unable to meet essential requirements for:
  - ▶ physical health
  - ▶ safety
  - ▶ or self-care
- ▶ Even with appropriate technological assistance.

Source: American Bar Association 1997, 1998

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## SLIDE 13

**INCAPACITY**

- ▶ Legal incapacity is a judgment about one's legal rights and responsibilities.
  - ▶ May be partial or complete.
  - ▶ Must be supported by evidence over time.
  - ▶ Must result in substantial harm.
- ▶ Clinical incapacity is a judgment about one's functional abilities.

Source: Quinn, 2005

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## SLIDE 14

**JUDGMENT OF INCAPACITY**

- ▶ The client may lose the right to:
  - ▶ make decisions about medical treatment and personal care
  - ▶ marry
  - ▶ enter into contracts
  - ▶ testify in court
  - ▶ participate in research
  - ▶ choose where to live



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## SLIDE 15

ASSESSING INCAPACITY

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- Age, eccentricity, poverty or medical diagnosis **alone** do not justify a finding of incapacity
- Can be influenced by **medical conditions** such as:
  - medication and medication interactions, sensory deficits, substance abuse, mental illness
- Can be influenced by **situational factors** such as:
  - substance abuse, depression, social setting, nutrition

Source: Quinn 2005

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## FACTORS AFFECTING CAPACITY



**TIME ALLOTTED: 45 minutes**


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### SLIDE 16

Medical Conditions

These medical conditions can impact cognition:

- Dehydration
- Congestive heart failure
- Chronic lung disease
- Urinary tract infection
- Diabetes
- Mini-stroke



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## ASSESSING CAPACITY – PARTICIPANT GUIDE

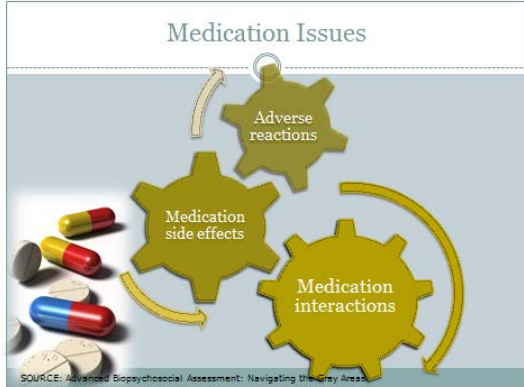
### HANDOUT #2: Factors Affecting Decisional Impairment in APS Clients

<b>Chronic Pain</b>	May become the focus of attention and inhibit the ability to listen. A recent study found a relationship between untreated pain and increased depression among the elderly.
<b>Dehydration</b>	Can cause altered mental status, agitation or lethargy, lightheadedness and confusion. Speech difficulty, sunken eyes, weakness and lethargy are often attributed to other conditions. Chronic and acute-medical conditions, malnutrition and severe hot and humid weather can all cause dehydration.
<b>Delirium</b>	An acute, <u>reversible</u> disorder. It occurs suddenly, over a short period of time and fluctuates during the day. It may be caused by existing cognitive impairment, severe physical illness, stroke, Parkinson's disease or dehydration, and can be aggravated by acute pain. Symptoms include changes in the way the patient uses information and makes decisions, inability to focus, and uncharacteristic behavior. The patient reports feeling "mixed up."
<b>Dementia</b>	Involves a significant, persistent decline in functioning over a period of time. Depending on the type of dementia, the patient may lose memory as well as some or all of cognitive functions such as language, motor activities, ability to recognize familiar stimuli, and/or executive functioning. Accurate diagnosis requires a detailed history as well as physical and neurological examinations. Some dementias are reversible.
<b>Depression</b>	The patient reports feeling sadness, emptiness, detachment, loss of interest in usual activities, sleep disturbances, and/or weight loss. Speech is slowed, diminished or repetitive. Patient may show anxiety or panic. Condition persists for more than two weeks and is not related to situational loss.
<b>Disease</b>	Thyroid, diabetes, cancer, Parkinson's, heart disease, stroke and AIDS may cause diminished capacity as the diseases progress.
<b>Grief</b>	Intense grief reaction may result in temporary confusion, dependency, exhaustion and inability to make decisions.
<b>Hearing/Vision Loss</b>	Can mimic or exacerbate cognitive impairment. Communication difficulties due to sensory or physical impairments are often mistaken for confusion.
<b>Low Blood Pressure</b>	Can be due to medication error, causing dizziness, weakness and falling which could result in head injury.
<b>Low IQ</b>	May affect patient's understanding of choices, risks and benefits.
<b>Malnutrition</b>	Protein energy malnutrition and low levels of vitamin D lead to weakness, diminished ability to provide self-care and ultimately to decreased cognition.
<b>Medication Mismanagement</b>	Drug interactions and adverse reactions are common and can be serious. May be due to patient's visual or cognitive impairment, inability to afford prescriptions, or functional illiteracy. Medication misuse frequently causes mental impairment. Antibiotics and cardiovascular drugs are the most frequent causes of adverse effects.
<b>Physically Ill</b>	May result in electrolyte imbalances that cause confusion and prevent rational decision making.
<b>Psychosis</b>	Difficult to detect. Symptoms include delusions, hallucination, agitation.
<b>Substance Abuse</b>	Older adults become inebriated with lower levels of alcohol consumption—leads to malnutrition and alcohol dementia. Also, alcohol intake in conjunction with certain medications can have a greater impact on older individuals than younger individuals.
<b>Stress/Anxiety</b>	Anxiety disorder is more prevalent than depression among the elderly. Older women are more at risk than men. May be the result of family violence or Post Traumatic Stress Disorder.
<b>Traumatic Brain Injury</b>	May be the result of physical abuse or a fall. Falls are the most common injury in the elderly due to weakness, environmental hazards, dizziness, alcohol, medications or stroke. A patient with sudden changes in mental status after a fall may have subdural hematoma.
<b>Urinary Tract Infection</b>	Most common infection in the elderly. Can present as acute change in cognitive status. May result in delirium.

Source: Otto.2007

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## SLIDE 17



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## SLIDE 18

**ACTIVITY: Differentiating the 3 D's**

Question 1	Question 2	Question 3
What are the indicators that client may have a mental status problem?	Does the client appear to have dementia, delirium or depression?	What more information do you need and how would you get it?

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #3 – 3 D's CASE STUDIES

### Case Study #1 – Rosemary Cellini

Mrs. Cellini, age 83, was referred to APS because she was found outside mumbling to herself. When her neighbor approached her, she quieted down but didn't make any sense. She appeared to have lost weight as well. The neighbor stated that she talked to Mrs. Cellini last week when she returned from a brief hospitalization and she seemed ok at that time. Now, Mrs. Cellini doesn't even recognize her own house.

When you visit, she appears confused and disoriented. She is quite thin and has a bruise on her forehead, but cannot explain what happened. She talks about her mother and how she just went to the store and how much she loves her. (You had heard from the neighbor that client's mother lived in Italy and died 10 years before). It is difficult to follow her conversation as she often stops in mid-sentence and she seems distracted. The house is in good repair but is untidy.

There is very little food in the refrigerator and there is about a week's worth of dirty clothing on the floors. Mrs. Cellini has current medication in her house for hypertension and diabetes.

1. What are the indicators that client may have a mental status problem?
2. Does the client appear to have dementia, delirium or depression?
3. What more information do you need and how would you get it?

### Case Study #2 - Proful Dixit

Mr. Dixit, age 77, was referred to APS by the Health Department because they had received complaints about the environmental conditions in the home which have deteriorated over the last year. Although there were some minor violations, the concern was the client who was found dirty and disheveled. The officer stated that Mr. Dixit seemed embarrassed and nervous. When the officer told him about the violations, he seemed not to understand what the issues were, but smiled and said his son would take care of everything.

When you visit, Mr. Dixit greets you pleasantly but does not volunteer information. The house appears to be in the same condition as described by the Health Officer. Mr. Dixit is surrounded by newspapers, magazines, and take-out food containers. His clothing is urine stained, but he does not appear to notice it.

There are several cats in the home. He seems to have difficulty understanding what you are saying, but nods his head politely. Mr. Dixit has medication for arthritis, high cholesterol and Parkinson's.

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1. What are the indicators that client may have a mental status problem?
2. Does the client appear to have dementia, delirium or depression?
3. What more information do you need and how would you get it?

### **Case Study #3 – Mary Jo Jackson**

Mrs. Jackson, age 73, was referred to APS after the police did a welfare check requested by Mrs. Jackson's daughter who lives out of state. Initially, Mrs. Jackson failed to answer the door for the police. Then, she appeared to be confused about why the police were there and refused any assistance.

When you visit, Mrs. Jackson is appears to have difficulty focusing on your conversation. You have to repeat your questions as she often doesn't respond immediately and then seems to have lost the thread of the conversation. When you ask Mrs. Jackson about her family, Mrs. Jackson seems uninterested in discussing her past or her daughter's current concerns. She says she'll call her daughter "later", when she feels up to it. The house is in reasonable repair but is very untidy.

There is little food in the home and the client appears unconcerned getting more food in. She asks to you leave because she doesn't feel up to answering questions.

1. What are the indicators that client may have a mental status problem?
2. Does the client appear to have dementia, delirium or depression?
3. What more information do you need and how would you get it?

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 19

The 3 D's



- Dementia
- Delirium
- Depression

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## SLIDE 20

Dementia Defined

- It is a descriptive term for a collection of symptoms that can be caused by a number of disorders that affect the brain. It includes a memory deficit *plus* a deficit in at least one other cognitive domain.
- Final common behavioral pathway” for many diseases/ etiologies that affect the brain



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## HANDOUT #4

### Appendix G. Medical Conditions Affecting Capacity<sup>3</sup>

**Dementia** is a general term for a medical condition characterized by a loss of memory and functioning. Primary degenerative dementias are those with disease processes that result in a deteriorating course, including Alzheimer’s disease, Lewy Body Dementia, and Frontal Dementia (each associated with a type of abnormal brain cell).

Condition	Etiology	Symptoms	Treatability
Alcoholic Dementia	A fairly common form of dementia, caused by long-term abuse of alcohol, usually for 20 years or more. Alcohol is a neurotoxin that passes the blood-brain barrier.	Memory loss, problem-solving difficulty, and impairments in visuospatial function are commonly found in patients with alcohol dementia.	Alcohol dementia is partially reversible, if there is long-term sobriety—cessation of use. There is evidence to suggest that some damaged brain tissue may regenerate following extended sobriety, leading to modest improvements in thinking and function.
Alzheimer’s disease (“AD”)	Most common type of dementia, caused by a progressive brain disease involving protein deposits in brain and disruption of neurotransmitter systems.	Initial short-term memory loss, followed by problems in language and communication, orientation to time and place, everyday problem solving, and eventually recognition of people and everyday objects. In the early stages, an individual may retain some decisional and functional abilities.	Progressive and irreversible, resulting ultimately in a terminal state. Medications may improve symptoms and cause a temporary brightening of function in the earlier stages.
Bipolar Disorder or Manic Depression	A psychiatric illness characterized by alternating periods of mania and depression.	May affect functional and decisional abilities in the manic stage or when the depressed stage is severe.	Can be treated with medications, but requires a strong commitment to treatment on the part of the individual. Varies over time; periodic re-evaluation is needed.

<sup>3</sup> This list is meant to define terms **as used in this** book, and is not meant to define terms more universally. The glossary uses definitions from the *Diagnostic and Statistical Manual of Mental Disorders*, where available, and where not, definitions are based on the consensus of the working group.

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Condition	Source	Symptoms	Treatability
Coma	A state of temporary or permanent unconsciousness.	Minimally responsive or unresponsive, unable to communicate decisions and needs a substitute decision maker.	Often temporary; regular re-evaluation required.
Delirium	A temporary confusional state with a wide variety of causes, such as dehydration, poor nutrition, multiple medication use, medication reaction, anesthesia, metabolic imbalances, and infections.	Substantially impaired attention and significant decisional and functional impairments across many domains. May be difficult to distinguish from the confusion and inattention characteristic of dementia.	Often temporary and reversible. If untreated may proceed to a dementia. It is important to rule out delirium before diagnosing dementia. To do so, a good understanding of the history and course of functional decline, as well as a full medical work-up, are necessary.
Frontal or Frontotemporal Dementia  (Pick's disease is one example)	Broad category of dementia caused by brain diseases or small strokes that affect the frontal lobes of the brain.	Problems with personality and behavior are often the first changes, followed by problems in organization, judgment, insight, motivation, and the ability to engage in goal-oriented behavior.	Early in their disease, patients may have areas of retained functional ability, but as disease progresses they can rapidly lose all decisional capacity.
Jacob-Creutzfeldt Disease	A rare type of progressive dementia affecting humans that is related to "mad cow" disease.	The disease usually has a rapid course, with death occurring within two years of initial symptoms. These include fatigue, mental slowing, depression, bizarre ideations, confusion, and motor disturbances, including muscular jerking, leading finally to a vegetative state and death.	There is no treatment currently and the disease is relentlessly progressive.

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Condition	Source	Symptoms	Treatability
Diffuse Lewy Body Dementia (DLB)	A type of dementia on the Parkinson disease spectrum.	DLB involves mental changes that precede or co-occur with motor changes. Visual hallucinations are common, as are fluctuations in mental capacity.	This disease is progressive and there are no known treatments. Parkinson medications are often of limited use.
Major Depression	A very common psychiatric illness.	Sad or disinterested mood, poor appetite, energy, sleep, and concentration, feelings of hopelessness, helplessness, and suicidality. In severe cases, poor hygiene, hallucinations, delusions, and impaired decisional and functional abilities.	Treatable and reversible, although in some resistant cases electroconvulsive therapy (ECT) is needed.
Developmental Disorders (“DD”), including Mental Retardation (“MR”)	Brain-related conditions that begin at birth or childhood (before age 18) and continue throughout adult life. MR concerns low-level intellectual functioning with functional deficits that can be found across many kinds of DD, including autism, Down syndrome, and cerebral palsy.	Functioning tends to be stable over time but lower than normal peers. MR is most commonly mild. Some conditions such as Down syndrome may develop a supervening dementia later in life, causing decline in already limited decisional and functional abilities.	Not reversible, but everyday functioning can be improved with a wide range of supports, interventions, and less restrictive alternatives. Individuals with DD have a wide range of decisional and functional abilities and, thus, require careful assessment by skilled clinicians.
Parkinson’s Disease (PD)	Progressive brain disease that initially affects motor function, but in many cases proceeds to dementia.	PD presents initially with problems with tremors and physical movement, followed by problems with expression and thinking, and leading sometimes to dementia after a number of years.	PD is progressive, but motor symptoms can be treated for many years. Eventually, medications become ineffective and most physical and mental capacities are lost. Evaluation of capacity must avoid confusion of physical for cognitive impairment.

Assessment of Older Adults with Diminished Capacity: A Handbook for Psychologists  
 ©American Bar Association Commission on Law and Aging – American Psychological Association



## ASSESSING CAPACITY – PARTICIPANT GUIDE


<b>Condition</b>	<b>Source</b>	<b>Symptoms</b>	<b>Treatability</b>
Persistent Vegetative State (PSV)	A state of minimal or no responsiveness following emergence from coma.	Patient is mute and immobile with an absence of all higher mental activity. Cannot communicate decisions and requires a substitute decision maker for all areas.	Cases of PSV usually lead to death within a year's time.
Schizophrenia	A chronic brain-based psychiatric illness	Hallucinations and delusions; poor judgment, insight, planning, personal hygiene, interpersonal skills. May range from mild to severe. Impact on functional and decisional abilities is variable.	Many symptoms can be successfully treated with medication. Capacity loss may occur when patients go off their medications.
Stroke or Cerebral Vascular Accident ("CVA")	A significant bleeding in the brain, or a blockage of oxygen to the brain.	May affect just one part of the brain, so individuals should be carefully assessed to determine their functional and decisional abilities.	Some level of recovery and improved function over the first year; thus a temporary guardianship might be considered if the stroke is recent.
Traumatic Brain Injury ("TBI")	A blow to the head that usually involves loss of consciousness.	Individuals with mild and moderate TBI may appear superficially the same as before the accident, but have persisting problems with motivation, judgment, and organization. Those with severe TBI may have profound problems with everyday functioning.	Usually show recovery of thinking and functional abilities over the first year; thus a temporary guardianship should be considered if the injury is recent.
Vascular Cognitive Impairment	Multiple infarcts that cause cognitive impairment	Functional strengths and weaknesses may vary, depending on the extent and location of the strokes.	May remain stable over time if underlying cerebrovascular or heart disease is successfully managed.
Vascular Dementia ("VaD")	Multiple strokes that accumulate and cause dementia.	Functional strengths and weaknesses may vary, depending on the extent and location of the strokes.	May worsen if cerebrovascular disease continues to cause progressive impairment.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 21

**Irreversible Dementias**

- Alzheimer's Disease
- Vascular Dementia
- Parkinson's Disease
- Frontal-Temporal Dementia
- Dementia with Lewy Bodies
- Alcohol-related Dementia



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 22

**Causes of Reversible Dementias**

- D**rugs, dehydration, depression
- E**lectrolyte imbalances, emotional disorders
- M**etabolic disorders
- E**ndocrine disorders
- N**utritional Deficiencies
- T**rauma, tumor
- I**nfections (urinary tract)
- A**cute illness, arteriosclerosis complications
- S**eizures, strokes, sensory deprivation

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 23

**Delirium**

- Disturbance in alertness, consciousness, perception, and thinking
- Sudden onset
- Caused by infection, dehydration, changes in chemical balance, head trauma, post surgical recovery
- Medical emergency
- Treatable and reversible



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #5

### Confusion Assessment Method (CAM)

(Adapted from Inouye et al., 1990)

Patient's Name: \_\_\_\_\_ Date: \_\_\_\_\_

**Instructions:** Assess the following factors.

#### Acute Onset

1. Is there evidence of an acute change in mental status from the patient's baseline?  
 YES       NO       UNCERTAIN       NOT APPLICABLE

#### Inattention

(The questions listed under this topic are repeated for each topic where applicable.)

- 2A. Did the patient have difficulty focusing attention (for example, being easily distractible or having difficulty keeping track of what was being said)?

Not present at any time during interview  
 Present at some time during interview, but in mild form  
 Present at some time during interview, in marked form  
 Uncertain

- 2B. (If present or abnormal) Did this behavior fluctuate during the interview (that is, tend to come and go or increase and decrease in severity)?

YES       NO       UNCERTAIN       NOT APPLICABLE

- 2C. (If present or abnormal) Please describe this behavior.

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#### Disorganized Thinking

3. Was the patient's thinking disorganized or incoherent, such as rambling or irrelevant conversation, unclear or illogical flow of ideas, or unpredictable, switching from subject to subject?

YES       NO       UNCERTAIN       NOT APPLICABLE

#### Altered Level of Consciousness

4. Overall, how would you rate this patient's level of consciousness?

Alert (*normal*)  
 Vigilant (*hyperalert, overly sensitive to environmental stimuli, startled very easily*)  
 Lethargic (*drowsy, easily aroused*)  
 Stupor (*difficult to arouse*)  
 Coma (*unarousable*)  
 Uncertain

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Disorientation

5. Was the patient disoriented at any time during the interview, such as thinking that he or she was somewhere other than the hospital, using the wrong bed, or misjudging the time of day?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## Memory Impairment

6. Did the patient demonstrate any memory problems during the interview, such as inability to remember events in the hospital or difficulty remembering instructions?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## Perceptual Disturbances

7. Did the patient have any evidence of perceptual disturbances, such as hallucinations, illusions, or misinterpretations (for example, thinking something was moving when it was not)?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## Psychomotor Agitation

- 8A. At any time during the interview, did the patient have an unusually increased level of motor activity, such as restlessness, picking at bedclothes, tapping fingers, or making frequent, sudden changes in position?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## Psychomotor Retardation

- 8B. At any time during the interview, did the patient have an unusually decreased level of motor activity, such as sluggishness, staring into space, staying in one position for a long time, or moving very slowly?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## Altered Sleep-Wake Cycle

9. Did the patient have evidence of disturbance of the sleep-wake cycle, such as excessive daytime sleepiness with insomnia at night?
- YES       NO       UNCERTAIN       NOT APPLICABLE

## **Scoring:**

For a diagnosis of delirium by CAM, the patient must display:

1. Presence of acute onset and fluctuating discourse
- AND
2. Inattention
- AND EITHER
3. Disorganized thinking
- OR
4. Altered level of consciousness

## **Source:**

Inouye SK, van Dyck CH, Alessi CA, Balkin S, Siegel AP, Horwitz RI. Clarifying confusion: the confusion assessment method. A new method for detection of delirium. *Ann Intern Med.* 1990;113(12):941-948.

## ASSESSING CAPACITY – PARTICIPANT GUIDE

### Confusion Assessment Method (CAM) Diagnostic Algorithm

#### Feature 1: Acute Onset and Fluctuating Course

This feature is usually obtained from a family member or nurse and is shown by positive responses to the following questions: Is there evidence of an acute change in mental status from the patient's baseline? Did the (abnormal) behavior fluctuate during the day; that is, did it tend to come and go, or increase and decrease in severity?

#### Feature 2: Inattention

This feature is shown by a positive response to the following question: Did the patient have difficulty focusing attention; for example, being easily distractible, or having difficulty keeping track of what was being said?

#### Feature 3: Disorganized Thinking

This feature is shown by a positive response to the following question: Was the patient's thinking disorganized or incoherent, such as rambling or irrelevant conversation, unclear or illogical flow of ideas, or unpredictable switching from subject to subject?

#### Feature 4: Altered Level of Consciousness

This feature is shown by any answer other than "alert" to the following question: Overall, how would you rate this patient's level of consciousness? (alert [normal], vigilant [hyperalert], lethargic [drowsy, easily aroused], stupor [difficult to arouse], or coma [unarousable])

#### **Source:**


Inouye SK, van Dyck CH, Alessi CA, Balkin S, Siegel AP, Horwitz RI. Clarifying confusion: the confusion assessment method. A new method for detection of delirium. *Ann Intern Med.* 1990;113(12):941-948.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 24

Symptoms of Depression  
Yesavage & Brink, GDS, MOOD SCALE

- Sleep Disturbance
- Loss of Energy/ Libido
- Change in Appetite/ Weight
- Psychomotor Retardation/ Agitation
- Poor Concentration/ Attention



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 25

Symptoms of Depression  
Yesavage & Brink, GDS, MOOD SCALE

- Anhedonia - Loss of Interest in Usual Activities
- Somatic Complaints
- Dysphoria - Flat Affect
- Sense of Hopelessness/ Worthlessness
- Suicidal Ideation



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #6

### GERIATRIC DEPRESSION SCALE

#### (Short Form)

Choose the best answer for how you have felt over the past week:

1. Are you basically satisfied with your life? YES / **NO**
2. Have you dropped many of your activities and interests? **YES** / NO
3. Do you feel that your life is empty? **YES** / NO
4. Do you often get bored? **YES** / NO
5. Are you in good spirits most of the time? YES / **NO**
6. Are you afraid that something bad is going to happen to you? **YES** / NO
7. Do you feel happy most of the time? YES / **NO**
8. Do you often feel helpless? **YES** / NO
9. Do you prefer to stay at home, rather than going out and doing new things?  
**YES** / NO
10. Do you feel you have more problems with memory than most? **YES** / NO
11. Do you think it is wonderful to be alive now? YES / **NO**
12. Do you feel pretty worthless the way you are now? **YES** / NO
13. Do you feel full of energy? YES / **NO**
14. Do you feel that your situation is hopeless? **YES** / NO
15. Do you think that most people are better off than you are? **YES** / NO

Answers in bold indicate depression. Although differing sensitivities and specificities have been obtained across studies, for clinical purposes a score >5 points is suggestive of depression and should warrant a follow-up interview. Scores >10 are almost always depression.

(Sheikh & Yesavage, 1986)

# CASE STUDY ACTIVITY #1: ASSESSING DECISIONAL CAPACITY




**TIME ALLOTTED: 30 minutes**

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## SLIDE 26

CASE STUDY ACTIVITY –  
ASSESSING DECISIONAL CAPACITY

- › Participants are divided into small groups. Each group will be provided with a case example.
- › The task of group members is to find out as much information about their case as they can by questioning the group leader.



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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #1: Anna Kovacs** **Small Group Information**

Group Task: Your leader has information about Mrs. Anna Kovacs. Your task, during the first 20 minutes, is to obtain as much information as possible about Anna that will help you understand more about her and what factors may be affecting her decisional capacity in this situation.

In the last 5 minutes, your leader will provide you with any remaining relevant information about the client that has not been uncovered.

Using this sheet, ask one member of your group to fill in the information you know about this client based upon the leader's answers to the group. Discuss how these factors might affect Anna's decisional capacity.

Reason for referral to APS: Possible self-neglect of Anna Kovacs, an 82 year old widow who lives alone.

Referral made by: Visiting Nurse

Psycho-social Factors Affecting Capacity:

Physical Factors Affecting Capacity:

Environmental Factors Affecting Capacity:

Client's Prognosis:

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #2: Juan Garcia Small Group Information**

Group task: Your leader has information about Juan. Your task during the first 20 minutes, is to obtain as much information as possible about Juan that will help you understand more about him and what factors may be affecting his decisional capacity in this situation.

In the last 5 minutes, your leader will provide you with any remaining relevant information about the client that has not been uncovered.

Using this sheet, ask one member of your group to fill in the information you know about this client based upon the leader's answers to the group. Discuss how these factors might affect Juan's decisional capacity.

Reason for referral to APS: Need for assessment to determine capacity to give informed consent for medical treatment.

Referral made by: Staff at residential health care facility

Psycho-social factors affecting capacity:

Physical factors affecting capacity:

Environmental factors affecting capacity:

Client's prognosis:

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #3: Mark Hudson Small Group Information**

Group Task: Your leader has information about Mark Hudson. Your task, during the first 20 minutes, is to obtain as much information as possible about Mark that will help you understand more about him and what factors may be affecting his decisional capacity in this situation. In the last 5 minutes, your leader will provide you with any remaining relevant information about the client that has not been uncovered.

Using this sheet, ask one member of your group to fill in the information you know about this client based upon the leader's answers to the group. Discuss how these factors might affect Mark's decisional capacity.

Reason for referral to APS: Possible self-neglect

Referral made by: Mark Hudson's daughter

Psycho-social Factors Affecting Capacity:

Physical Factors Affecting Capacity:

Environmental Factors Affecting Capacity:

Client's Prognosis:

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #4: Rob and Wilma Benson** **Small Group Information**

Group Task: Your leader has information about Mr. and Mrs. Benson. Your task, during the first 20 minutes, is to obtain as much information as possible about both of them that will help you understand what factors may be affecting their decisional capacity in this situation. In the last 5 minutes, your Leader will provide you with any relevant remaining information about the client that has not been uncovered.

Using this sheet, ask one member of your group to fill in the information you know about these clients based on the leader's answers to the group. Discuss how these factors might affect Rob and Wilma's decisional capacity.

Reason for referral to APS: Possible financial exploitation

Referral made by: A concerned neighbor

Psycho-social Factors Affecting Capacity:

Physical Factors Affecting Capacity:

Environmental Factors Affecting Capacity:

Client's Prognosis:

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #5: Sharon Delay Small Group Information**

Group Task: Your leader has information about Sharon. Your task, for the first 20 minutes, is to obtain as much information as possible about Sharon that will help you understand more about her and what factors may be affecting her decisional capacity in this situation. In the last 5 minutes, your leader will provide you with any relevant remaining information about the client that has not been uncovered.

Using this sheet, ask one member of your group to fill in the information you know about this client based upon the leader's answers to the group. Discuss how these factors might affect Sharon's decisional capacity.

Reason for referral to APS: Possible sexual abuse

Referral made by: Group home staff person

Psycho-social Factors Affecting Capacity:

Physical Factors Affecting Capacity:

Environmental Factors Affecting Capacity:

Client's Prognosis:

# CAPACITY ASSESSMENT: DOMAINS & TOOLS



**TIME ALLOTTED: 75 min + 60 min Lunch**

## SLIDE 27

Components of Capacity Assessment

- The client understands relevant information.  
• Question: Do you know that you have a serious cut on your leg?
- The quality of the client's thinking process.  
• Question: How can you get treatment for your wound?
- The client is able to demonstrate and communicate a choice.  
• Question: Do you want to get treatment for your wound?
- The client appreciates the nature of his/her own situation.  
• Question: What will happen if you don't get your wound treated?

Source: Kemp 2005

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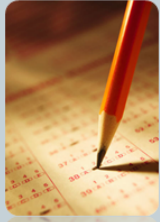
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## SLIDE 28

Assessment Scales and Tools

- Advantages and disadvantages
- When/how to use
- Types of assessment tools
  - Cognitive
    - Folstein Mini-Mental State Exam
    - St. Louis University Mental Status Exam (SLUMS)
    - Montreal Cognitive Assessment (MoCA)
    - Clock Drawing Test
    - Paradise-2



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 29

Cognitive Domains

- Orientation
- Attention
- Memory
- Language
- Visual-Spatial Organization
- Executive Functioning



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 30

Cognitive Domains: Orientation

- Useful because standard.
- Mostly tests recent and longer-term memory
- Response is also influenced by level of alertness, attentiveness, and language capabilities.
- If there has been a precipitous change in orientation, this could signal a critical medical condition such as delirium.
- **Screens:** MMSE, MoCA, SLUMS

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 31

Cognitive Domains: Attention

- Nonspecific abnormalities that can occur in
  - Focal brain lesions,
  - Diffuse abnormalities such as dementia or encephalitis, and in behavioral or mood disorders.
  - Impaired attention is also one of the hallmarks of delirium.
- **Screens:** MMSE-registration, serial 7s; digit repetition; MoCA-digits, letter vigilance; Trails A etc.

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# SLIDE 32 ASSESSING CAPACITY – PARTICIPANT GUIDE

Cognitive Domains: Memory

- **Immediate memory:** recall of a memory trace after an interval of a few seconds, as in repetition of a series of digits.
- **Recent memory:** ability to learn new material and to retrieve that material after an interval of minutes, hours or days. (e.g. word lists)
- **Remote memory:** recall of events that occurred prior to the onset of the recent memory defect. Note: this cannot be reliably tested unless you have verifiable information.
- **Screens:** MMSE- registration, 3-item delayed recall; MoCA- registration, 3-item delayed recall etc.

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 33

Cognitive Domains: Language

- **Verbal Fluency.** Refers to the ability to produce spontaneous speech fluently without undue word-finding pauses or failures in word searching. Normal speech requires verbal fluency in the production of responses and the formulation of spontaneous conversational speech.
- **Comprehension-** Commands (MMSE fold paper; SLUMS paragraph etc.), general ability to follow directions on exams
- **Naming-** MMSE watch, pen; MoCA camel etc.
- **Repetition-** MMSE sentences
- **Reading/Writing-** MMSE write a sentence

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 34

Cognitive Domains: Visual-Spatial Organization

- Very sensitive to brain dysfunction- can pick up mild delirium and otherwise silent lesions.
- In a person's history, listen for getting lost in previously familiar environments, difficulty estimating distance or difficulty orienting objects to complete a task.
- A sensitive indicator of delirium and can occur in any dementia syndrome; it often occurs early in the course of Alzheimer's disease.
- **Screens:** Clock drawing; Clox; overlapping pentagons, etc.

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 35

**Cognitive Domains: Executive Functioning**

- Constellation of cognitive skills necessary for complex goal-directed behavior and adaptation to a range of environmental changes and demands.
- Includes planning strategies to accomplish tasks, implementing and adjusting strategies, monitoring performance, recognizing patterns, and appreciating time sequences.
- Deficits associated with disruptive behaviors and self-care limitations among patients with Alzheimer’s disease.
- **Screens:** Clock drawing; Clox; verbal fluency tasks (category and letter); EXIT-25

SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 36

**MMSE (Mini Mental State Exam)**


**Advantages**

- Well-known
- Huge normative data with age and education norms
- Translations for all languages we need
- Correct administration directions printed
- Quick, easy

**Disadvantages**

- Copyright issues
- Low ceiling, misses mild cognitive impairment
- Often incorrectly administered and interpreted

*“Spell world Backwards”*



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 37

**SLUMS**  
(St. Louis University Mental Status Examination)


**Advantages**

- Free
- Simple Directions/Administration
- Good coverage of domains
- Integrates clock drawing
- Has education corrected norms

**Disadvantages**

- Language translations in development
- Some stimuli very small,
- Would require staff-retraining
- Outside providers less familiar

*“Draw a clock”*



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #7

### Saint Louis University Mental Status (SLUMS) Examination

1. What day of the week is it? (1 point for the right answer)
2. What is the year? (1 point)
3. What state are we in? (1 point)
4. Please remember these five objects. I will ask you what they are later: apple, pen, tie, house, car. (No points yet)
5. You have \$100 and you go to the store and buy a dozen apples for \$3 and a tricycle for \$20.
  - o How much did you spend? (1 point)
  - o How much do you have left? (2 points)
6. Please name as many animals as you can in one minute. (No point for naming 0-4; 1 point for naming 5-9; 2 points for naming 10-14; and 3 points for naming 15 or more.)
7. What were the five objects I asked you to remember? (1 point for each object remembered.)
8. I am going to say a series of numbers and I would like you to give them to me backwards. For example, if I say 42, you would say 24.
  - o 87 (0 points)
  - o 649 (1 point)
  - o 8537 (1 point)
9. (Draw circle.) This circle represents a clock face. Please put in the hour markers and the time at ten minutes to eleven o'clock.
  - o (2 points for hour markers labeled correctly)
  - o (2 points for correct time)
10. (Show a triangle, a square and a rectangle.) Please place an X in the triangle. (1 point)
11. Which of those objects is the largest? (1 point)
12. I am going to tell you a story. Please listen carefully because afterward, I'm going to ask you some questions about it.

Jill was a very successful stockbroker. She made a lot of money in the stock market. She then met Jack, a devastatingly handsome man. She married him and had three children. They lived in Chicago. She then stopped working and stayed at home to bring up her children. When they were teenagers, she went back to work. She and Jack lived happily ever after.

- o What was the female's name? (2 points)
- o When did she go back to work? (2 points)
- o What work did she do? (2 points)
- o What state did she live in? (2 points)
- o

**SCORING:** High school education: Normal: 27-30; Mild neurocognitive disorder: 21-26; Dementia: 1-20.  
Less than high school education: Normal: 25-30; Mild neurocognitive disorder: 20-24; Dementia: 1-19.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 38

MoCA (Montreal Cognitive Assessment)


**Advantages**

- Free
- Translations in many languages
- More sensitive than MMSE
- Interest in tool increasing

**Disadvantages**

- Takes longer than MMSE
- More complicated to administer than MMSE
- Some directions not printed on form
- No clear age and education norms
- Relatively small normative data
- Some stimuli very small
- Outside providers less familiar

*"Name the animals"*



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #8

MONTREAL COGNITIVE ASSESSMENT (MOCA)

NAME :  
Education :  
Sex :

Date of birth :  
DATE :

VISUOSPATIAL / EXECUTIVE							POINTS															
		Copy cube	Draw CLOCK (Ten past eleven) (3 points)																			
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MEMORY	Read list of words, subject must repeat them. Do 2 trials, even if 1st trial is successful. Do a recall after 5 minutes.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td></td> <td style="text-align: center;">FACE</td> <td style="text-align: center;">VELVET</td> <td style="text-align: center;">CHURCH</td> <td style="text-align: center;">DAISY</td> <td style="text-align: center;">RED</td> </tr> <tr> <td style="text-align: center;">1st trial</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">2nd trial</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>		FACE	VELVET	CHURCH	DAISY	RED	1st trial						2nd trial						No points	
	FACE	VELVET	CHURCH	DAISY	RED																	
1st trial																						
2nd trial																						
ATTENTION	Read list of digits (1 digit/ sec). Subject has to repeat them in the forward order [ ] 2 1 8 5 4 Subject has to repeat them in the backward order [ ] 7 4 2	Read list of letters. The subject must tap with his hand at each letter A. No points if ≥ 2 errors [ ] FBACMNAAJKLBAFAKDEAAAJAMOF AAB	Serial 7 subtraction starting at 100 [ ] 93 [ ] 86 [ ] 79 [ ] 72 [ ] 65 4 or 5 correct subtractions: <b>3 pts</b> , 2 or 3 correct: <b>2 pts</b> , 1 correct: <b>1 pt</b> , 0 correct: <b>0 pt</b>	___/2 ___/1 ___/3																		
LANGUAGE	Repeat : I only know that John is the one to help today. [ ] The cat always hid under the couch when dogs were in the room. [ ]					___/2																
Fluency / Name maximum number of words in one minute that begin with the letter F [ ] ____ (N ≥ 11 words)					___/1																	
ABSTRACTION	Similarity between e.g. banana - orange = fruit [ ] train - bicycle [ ] watch - ruler					___/2																
DELAYED RECALL	Has to recall words WITH NO CUE	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">FACE</td> <td style="text-align: center;">VELVET</td> <td style="text-align: center;">CHURCH</td> <td style="text-align: center;">DAISY</td> <td style="text-align: center;">RED</td> </tr> <tr> <td style="text-align: center;">[ ]</td> <td style="text-align: center;">[ ]</td> <td style="text-align: center;">[ ]</td> <td style="text-align: center;">[ ]</td> <td style="text-align: center;">[ ]</td> </tr> </table>	FACE	VELVET	CHURCH	DAISY	RED	[ ]	[ ]	[ ]	[ ]	[ ]	Points for UNCUED recall only	___/5								
FACE	VELVET	CHURCH	DAISY	RED																		
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Optional	Category cue																					
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© Z.Nasreddine MD Version 7.1 <a href="http://www.mocatest.org">www.mocatest.org</a> Normal ≥ 26 / 30		<b>TOTAL</b>			___/30																	
Administered by: _____		Add 1 point if ≤ 12 yr edu																				

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Montreal Cognitive Assessment (MoCA)

### Administration and Scoring Instructions

The Montreal Cognitive Assessment (MoCA) was designed as a rapid screening instrument for mild cognitive dysfunction. It assesses different cognitive domains: attention and concentration, executive functions, memory, language, visuoconstructional skills, conceptual thinking, calculations, and orientation. Time to administer the MoCA is approximately 10 minutes. The total possible score is 30 points; a score of 26 or above is considered normal.

1. **Alternating Trail Making:**

**Administration:** The examiner instructs the subject: *"Please draw a line, going from a number to a letter in ascending order. Begin here [point to (1)] and draw a line from 1 then to A then to 2 and so on. End here [point to (E)]."*

**Scoring:** Allocate one point if the subject successfully draws the following pattern: 1 –A- 2- B- 3- C- 4- D- 5- E, without drawing any lines that cross. Any error that is not immediately self-corrected earns a score of 0.

2. **Visuoconstructional Skills (Cube):**

**Administration:** The examiner gives the following instructions, pointing to the cube: *"Copy this drawing as accurately as you can, in the space below".*

**Scoring:** One point is allocated for a correctly executed drawing.

- Drawing must be three-dimensional
- All lines are drawn
- No line is added
- Lines are relatively parallel and their length is similar (rectangular prisms are accepted)

A point is not assigned if any of the above-criteria are not met.

3. **Visuoconstructional Skills (Clock):**

**Administration:** Indicate the right third of the space and give the following instructions: *"Draw a clock. Put in all the numbers and set the time to 10 after 11".*

**Scoring:** One point is allocated for each of the following three criteria:

- Contour (1 pt.): the clock face must be a circle with only minor distortion acceptable (e.g., slight imperfection on closing the circle);
- Numbers (1 pt.): all clock numbers must be present with no additional numbers; numbers must be in the correct order and placed in the approximate quadrants on the clock face; Roman numerals are acceptable; numbers can be placed outside the circle contour;
- Hands (1 pt.): there must be two hands jointly indicating the correct time; the hour hand must be clearly shorter than the minute hand; hands must be centred within the clock face with their junction close to the clock centre.

A point is not assigned for a given element if any of the above-criteria are not met.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

4. **Naming:**

**Administration:** Beginning on the left, point to each figure and say: *“Tell me the name of this animal”*.

**Scoring:** One point each is given for the following responses: (1) camel or dromedary, (2) lion, (3) rhinoceros or rhino.

5. **Memory:**

**Administration:** The examiner reads a list of 5 words at a rate of one per second, giving the following instructions: *“This is a memory test. I am going to read a list of words that you will have to remember now and later on. Listen carefully. When I am through, tell me as many words as you can remember. It doesn’t matter in what order you say them”*. Mark a check in the allocated space for each word the subject produces on this first trial. When the subject indicates that (s)he has finished (has recalled all words), or can recall no more words, read the list a second time with the following instructions: *“I am going to read the same list for a second time. Try to remember and tell me as many words as you can, including words you said the first time.”* Put a check in the allocated space for each word the subject recalls after the second trial.

At the end of the second trial, inform the subject that (s)he will be asked to recall these words again by saying, *“I will ask you to recall those words again at the end of the test.”*

**Scoring:** No points are given for Trials One and Two.

6. **Attention:**

**Forward Digit Span: Administration:** Give the following instruction: *“I am going to say some numbers and when I am through, repeat them to me exactly as I said them”*. Read the five number sequence at a rate of one digit per second.

**Backward Digit Span: Administration:** Give the following instruction: *“Now I am going to say some more numbers, but when I am through you must repeat them to me in the backwards order.”* Read the three number sequence at a rate of one digit per second.

**Scoring:** Allocate one point for each sequence correctly repeated, (*N.B.:* the correct response for the backwards trial is 2-4-7).

**Vigilance: Administration:** The examiner reads the list of letters at a rate of one per second, after giving the following instruction: *“I am going to read a sequence of letters. Every time I say the letter A, tap your hand once. If I say a different letter, do not tap your hand”*.

**Scoring:** Give one point if there is zero to one errors (an error is a tap on a wrong letter or a failure to tap on letter A).

# ASSESSING CAPACITY – PARTICIPANT GUIDE

**Serial 7s: Administration:** The examiner gives the following instruction: “Now, I will ask you to count by subtracting seven from 100, and then, keep subtracting seven from your answer until I tell you to stop.” Give this instruction twice if necessary.

**Scoring:** This item is scored out of 3 points. Give no (0) points for no correct subtractions, 1 point for one correction subtraction, 2 points for two-to-three correct subtractions, and 3 points if the participant successfully makes four or five correct subtractions. Count each correct subtraction of 7 beginning at 100. Each subtraction is evaluated independently; that is, if the participant responds with an incorrect number but continues to correctly subtract 7 from it, give a point for each correct subtraction. For example, a participant may respond “92 – 85 – 78 – 71 – 64” where the “92” is incorrect, but all subsequent numbers are subtracted correctly. This is one error and the item would be given a score of 3.

7. **Sentence repetition:**

**Administration:** The examiner gives the following instructions: “I am going to read you a sentence. Repeat it after me, exactly as I say it [pause]: *I only know that John is the one to help today.*” Following the response, say: “Now I am going to read you another sentence. Repeat it after me, exactly as I say it [pause]: *The cat always hid under the couch when dogs were in the room.*”

**Scoring:** Allocate 1 point for each sentence correctly repeated. Repetition must be exact. Be alert for errors that are omissions (e.g., omitting “only”, “always”) and substitutions/additions (e.g., “John is the one who helped today;” substituting “hides” for “hid”, altering plurals, etc.).

8. **Verbal fluency:**

**Administration:** The examiner gives the following instruction: “Tell me as many words as you can think of that begin with a certain letter of the alphabet that I will tell you in a moment. You can say any kind of word you want, except for proper nouns (like Bob or Boston), numbers, or words that begin with the same sound but have a different suffix, for example, love, lover, loving. I will tell you to stop after one minute. Are you ready? [Pause] Now, tell me as many words as you can think of that begin with the letter F. [time for 60 sec]. Stop.”

**Scoring:** Allocate one point if the subject generates 11 words or more in 60 sec. Record the subject’s response in the bottom or side margins.

9. **Abstraction:**

**Administration:** The examiner asks the subject to explain what each pair of words has in common, starting with the example: “Tell me how an orange and a banana are alike”. If the subject answers in a concrete manner, then say only one additional time: “Tell me another way in which those items are alike”. If the subject does not give the appropriate response (*fruit*), say, “Yes, and they are also both fruit.” Do not give any additional instructions or clarification.

After the practice trial, say: “Now, tell me how a train and a bicycle are alike”. Following the response, administer the second trial, saying: “Now tell me how a ruler and a watch are alike”. Do not give any additional instructions or prompts.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

**Scoring:** Only the last two item pairs are scored. Give 1 point to each item pair correctly answered. The following responses are acceptable:

Train-bicycle = means of transportation, means of travelling, you take trips in both;

Ruler-watch = measuring instruments, used to measure.

The following responses are **not** acceptable: Train-bicycle = they have wheels; Ruler-watch = they have numbers.

## 10. **Delayed recall:**

**Administration:** The examiner gives the following instruction: “I read some words to you earlier, which I asked you to remember. Tell me as many of those words as you can remember. Make a check mark (✓) for each of the words correctly recalled spontaneously without any cues, in the allocated space.

**Scoring:** Allocate 1 point for each word recalled freely without any cues.

### **Optional:**

Following the delayed free recall trial, prompt the subject with the semantic category cue provided below for any word not recalled. Make a check mark (✓) in the allocated space if the subject remembered the word with the help of a category or multiple-choice cue. Prompt all non-recalled words in this manner. If the subject does not recall the word after the category cue, give him/her a multiple choice trial, using the following example instruction, “Which of the following words do you think it was, NOSE, FACE, or HAND?”

Use the following category and/or multiple-choice cues for each word, when appropriate:

FACE: category cue: part of the body multiple choice: nose, face, hand

VELVET: category cue: type of fabric multiple choice: denim, cotton, velvet

CHURCH: category cue: type of building multiple choice: church, school, hospital

DAISY: category cue: type of flower multiple choice: rose, daisy, tulip

RED: category cue: a colour multiple choice: red, blue, green

**Scoring:** No points are allocated for words recalled with a cue. A cue is used for clinical information purposes only and can give the test interpreter additional information about the type of memory disorder. For memory deficits due to retrieval failures, performance can be improved with a cue. For memory deficits due to encoding failures, performance does not improve with a cue.

## 11. **Orientation:**

**Administration:** The examiner gives the following instructions: “Tell me the date today”. If the subject does not give a complete answer, then prompt accordingly by saying: “Tell me the [year, month, exact date, and day of the week].” Then say: “Now, tell me the name of this place, and which city it is in.”

**Scoring:** Give one point for each item correctly answered. The subject must tell the exact date and the exact place (name of hospital, clinic, office). No points are allocated if subject makes an error of one day for the day and date.

**TOTAL SCORE:** Sum all subscores listed on the right-hand side. Add one point for an individual who has 12 years or fewer of formal education, for a possible maximum of 30 points. A final total score of 26 and above is considered normal.



# ASSESSING CAPACITY – PARTICIPANT GUIDE

Monday, October 5th, 2009

<b>MoCA scores</b>			
	Normal Controls (NC)	Mild Cognitive Impairment (MCI)	Alzheimer's Disease (AD)
Number of subjects	90	94	93
<b>MoCA average score</b>	<b>27.4</b>	<b>22.1</b>	<b>16.2</b>
MoCA standard deviation	2.2	3.1	4.8
MoCA score range	25.2 - 29.6	19.0 – 25.2	21.0 – 11.4
<b>Suggested cut-off score</b>	<b>≥26</b>	<b>&lt;26</b>	<b>&lt;26<sup>ψ</sup></b>
<p><b>ψ Although the average MoCA score for the AD group is much lower than the MCI group, there is overlap between them. The suggested MoCA cut-off score is thus the same for both. The distinction between AD and MCI is mostly dependent on the presence of associated functional impairment and not on a specific score on the MoCA test.</b></p>			

<b>Sensitivity and Specificity (%) MoCA and MMSE</b>			
Cut-off	≥ 26	< 26	< 26
Group	Normal Controls	Mild Cognitive Impairment	Alzheimer Disease
(n)	(90)	(94)	(93)
<b>MoCA</b>	<b>87</b>	<b>90</b>	<b>100</b>
MMSE	100	18	78

## ASSESSING CAPACITY – PARTICIPANT GUIDE

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### MoCA Items Average scores

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	NC		MCI		AD	
	AVG	SD	AVG	SD	AVG	SD
Trails	<b>0.87</b>	0.34	<b>0.56</b>	0.50	<b>0.27</b>	0.45
Cube	<b>0.71</b>	0.46	<b>0.46</b>	0.50	<b>0.25</b>	0.43
Clock	<b>2.65</b>	0.65	<b>2.16</b>	0.82	<b>1.56</b>	0.98
Naming	<b>2.88</b>	0.36	<b>2.64</b>	0.58	<b>2.19</b>	0.82
Memory	<b>3.73</b>	1.27	<b>1.17</b>	1.47	<b>0.52</b>	1.03
Digit span	<b>1.82</b>	0.44	<b>1.83</b>	0.43	<b>1.49</b>	0.62
Letter A	<b>0.97</b>	0.18	<b>0.93</b>	0.26	<b>0.67</b>	0.47
Serial 7	<b>2.89</b>	0.41	<b>2.65</b>	0.65	<b>1.82</b>	1.12
Sentence rep	<b>1.83</b>	0.37	<b>1.49</b>	0.71	<b>1.37</b>	0.80
Fluency F	<b>0.87</b>	0.34	<b>0.71</b>	0.45	<b>0.32</b>	0.47
Abstraction	<b>1.83</b>	0.43	<b>1.43</b>	0.68	<b>0.99</b>	0.80
Orientation	<b>5.99</b>	0.11	<b>5.52</b>	0.84	<b>3.92</b>	1.73
<b>Total*</b>	<b>27.37</b>	2.20	<b>22.12</b>	3.11	<b>16.16</b>	4.81

SD=Standard Deviation. AVG=Average

\*Total is adjusted for education

[Nasreddine et al. J Am Geriatr Soc 53:695–699, 2005.](#)


# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 39

**Clock Drawing**

Draw a clock and set the hands to show 10 minutes past 11.

Copy this clock below.



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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## SLIDE 40

**Clock Drawing: Free Condition**



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #9 - Clock Drawing Test

This is a simple test that can be used as a part of a neurological test or as a screening tool for Alzheimer's and other types of dementia.

The person undergoing testing is asked to:

1. Draw a clock
2. Put in all the numbers
3. Set the hands at ten past eleven.

Scoring system for Clock Drawing test (CDT)

There are a number of scoring systems for this test. The Alzheimer's disease cooperative scoring system is based on a score of five points:

- 1 point for the clock circle
- 1 point for all the numbers being in the correct order
- 1 point for the numbers being in the proper special order
- 1 point for the two hands of the clock
- 1 point for the correct time.

A normal score is four or five points.

Test results

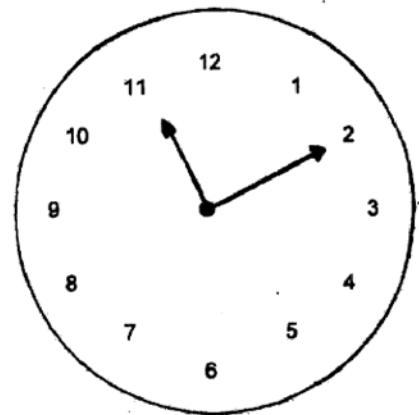
The test can provide information about general cognitive and adaptive functioning such as memory, how people are able to process information and vision. A normal clock drawing almost always predicts that a person's cognitive abilities are within normal limits.

The Clock Drawing Test does offer specific clues about the area of change or damage.

Research varies on the ability of the Clock Drawing test to differentiate between, for example, vascular dementia and Alzheimer's disease.

**Draw a clock and set the hands to show 10 minutes past 11.**

**Copy this clock below.**



# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 41

PARADISE-2

- Questions on 16 behaviors and cognitive functions
- May be used by non-medical professionals
- Questions correspond to brain functions.
- Interpretation is subjective.

Source: Blum 2006

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #10: PARADISE-2 Model of Mental Capacity

Past behavior	Pertinent parties
Abstract concepts	Alertness
Remember information	Responsibilities
Alternatives – considered	Attention
Delusions	Decision making abilities
Illness	Impact
Strategic thinking	Significance
Emotional factors	Express desires

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### Questions to Consider

1. How does the current behavior compare with past behavior?
2. Did the person understand the abstract concepts (ex. what is a will, avoiding detection and capture)?
3. Are there concerns about memory?
4. Are/were alternatives known and considered?
5. Were the decisions free from delusions?
6. What were the effects of co-existing illness, medications, toxic substances, etc.?
7. Did the person engage in or display strategic thinking and analysis?
8. What were the relevant emotional factors affecting the decision, if any?
9. Did the person know the pertinent parties?
10. Were there concerns about the person's degree of alertness (i.e. consciousness) or attention when information was presented, or when executing the decision?
11. Did the person know his/her responsibilities and the responsibilities of the other involved parties?
12. Did the person have difficulty making or maintaining decisions?
13. Did the person understand the impact of the decision (i.e. the likely objective outcome) or behavior?
14. What is the significance of the decision (i.e. the subjective evaluation of the likely outcome)?
15. Did the person have difficulties expressing desires?

Source: Blum. 2002-2006.

Bennett Blum, MD gave permission for NAPSA to use this tool in Module #17 on 10/19/07

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT # 11: PARADISE-2: Summary of Use

PARADISE-2 is a review of 16 behaviors and cognitive functions. Each component is described in lay terms, and so may be assessed by non-medical professionals; however, each also corresponds to well-known brain functions. The 16 components are listed below:

### **PARADISE-2 Protocol of Functional Mental Capacity**

<b>P</b> ast behavior	<b>P</b> ertinent parties
<b>A</b> bstract concepts	<b>A</b> lertness - problems
<b>R</b> emember information	<b>R</b> esponsibilities
<b>A</b> lternatives – considered	<b>A</b> ttention - problems
<b>D</b> elusions	<b>D</b> ecision making abilities
<b>I</b> llness	<b>I</b> mpact
<b>S</b> trategic thinking	<b>S</b> ignificance
<b>E</b> motional factors	<b>E</b> xpress desires

Evaluation is performed for each decision, or period of time, in question. After obtaining information from sources (ideally, from multiple sources), list which of these abilities fall under the headings “clear impairment,” “no impairment,” “conflicting information,” or “insufficient information.” When completed, PARADISE-2 provides a detailed behavioral description that clarifies matters in legal settings, and may be used to guide further medical evaluation. This analysis requires significantly more information and time than is usually available in outpatient settings; however, US and international courts have found this method to be of greater assistance than traditional medical assessments.

PARADISE-2 is used internationally, and is the partial basis for new international legal precedent and standard for evaluating certain types of competency.

Source: Blum. 2002,2005,2006

Bennett Blum, MD gave permission for NAPSA to use this tool in Module #17 on 10/19/07

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 42

Clinical Professionals Qualified to Evaluate Capacity

- ▶ Geriatricians, geriatric psychiatrists
- ▶ Neurologists
- ▶ Neuropsychologists
- ▶ Nurses
- ▶ Occupational therapists
- ▶ Physicians
- ▶ Psychiatrists
- ▶ Psychologists
- ▶ Licensed social workers

Source: American Bar Association & American Psychological Association 2005

Slide 42

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #12: Clinical Professionals

A clinician is a general term for a healthcare professional who works with patients. A wide range of clinicians may bring expertise to the capacity evaluation process. *The information provided on this page is meant to highlight some of the strengths that varied professionals may bring to the capacity evaluation practice. It is not meant to define or limit the absolute, necessary, or full scope of practice for these professionals, but rather to highlight some potential strengths each discipline may bring to the capacity evaluation process.*

**Geriatricians, Geriatric Psychiatrists, or Geropsychologists**, practitioners with specialized training in aging, are experienced in considering the multiple medical, social, and psychological factors that may impact an older adult's functioning. A geriatric assessment team is comprised of multiple disciplines, each with advanced training in syndromes of aging.

**Neurologists**, M.D.'s with specialized training in brain function, may address how specific neurological conditions (e.g., dementia) are affecting the individual and his/her capacity.

**Neuropsychologists**, psychologists with specialized training in cognitive testing, may address relationships between neurological conditions, cognitive tests results, and an individual's functional abilities.

**Nurses** have medical expertise and some, such as visiting nurses in Area Agencies on Aging, may have in-depth information on how a person's medical condition is impacting functioning in the home. Geriatric nurse practitioners are advanced practice nurses with additional credentials to assess and treat the medical problems of aging.

**Occupational Therapists** are professionals with advanced degrees specializing in the assessment of an individual's functioning on everyday tasks, such as eating, meal preparation, bill paying, cleaning, and shopping.

**Physicians**, (primary care clinicians or internists) can provide a summary of the individual's major medical conditions. In some cases, the physician may have provided care to the individual over many years and can provide a historical perspective on the individual's functioning (although this cannot be assumed).

**Psychiatrists**, M.D.'s with specialized training in mental health, may address how specific psychiatric conditions (e.g., schizophrenia) and related emotional/mental systems may be affecting the individual and his/her capacity. Geropsychiatrists receive additional training in problems of aging; forensic psychiatrists receive additional training in mental health and the law.

**Psychologists**, clinicians with advanced training in behavioral health, may utilize standardized testing and in-depth assessment, useful when the judge wants detailed information about areas of cognitive or behavioral strengths or weaknesses. Geropsychologists receive additional training in problems of aging; forensic psychologists receive additional training in mental health and the law.

**Licensed social workers**, are trained to consider the multiple determinants on an individual's social functioning, and are often knowledgeable about a wide range of social and community services that may assist the individual.

Source: American Bar Association Commission on Law and Aging and American Psychological Association, 2005.

# CAPACITY SCREENING SKILLS



**TIME ALLOTTED: 30 minutes**

**SLIDE 43**

Capacity Assessment Skills

- Do your homework:  
know your client
  - Educational level
  - Language issues
  - Cultural factors
- Set the stage
- Join with client
- Be prepared for responses



SOURCE: Advanced Biopsychosocial Assessment: Navigating the Grey Areas

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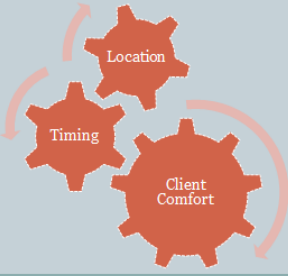
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**SLIDE 44**

Considerations



Source: Quinn 2005

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 45

Framing the Questions

- ▶ Assessing the client's ability to:
  - ▶ Understand and follow instructions;
  - ▶ Understand risks and benefits;
  - ▶ Make and execute a plan.
- ▶ Ask questions that focus on:
  - ▶ The client's understanding of relevant information.
  - ▶ The quality of the client's thinking process.
  - ▶ The client's ability to demonstrate and communicate a choice.
  - ▶ The client's understanding of his/her own situation.



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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT # 13: Framing the Questions

### **BEFORE YOU ASK:**

- ◆ Collect as much collateral information as possible about the client.
- ◆ Make sure the client is in a comfortable, safe setting.
- ◆ Know the limits of your own expertise.
- ◆ Develop questions that encourage the client to talk about the specific (alleged) situation.
- ◆ During your time with the client, assess the client's ability to:
  - Understand and follow instructions.
  - Understand risks and benefits.
  - Make and execute a plan.

### **SETTING THE SCENE FOR THE INTERVIEW:**

- ◆ Conduct the interview in a quiet, private location.
- ◆ Make sure that the client is not facing towards a glaring light.
- ◆ Make sure that your (the interviewer's) face is well lit.
- ◆ Take time at the beginning and end of the interview to make social conversation before asking difficult questions.
- ◆ Don't rush the interview.
- ◆ Check frequently to make sure that the client is comfortable. Does he/she need a glass of water? Is the room warm/cool enough? Is he/she getting tired?

### **DO NOT:**

- ◆ Assume that a person with physical disabilities, including one who is non-verbal, lacks mental capacity.
- ◆ Ask questions that can be answered "Yes" or "No" such as
  - "Are you OK"
  - "Do you understand?"
- ◆ Ask long, complicated questions. (Instead, start general and move to specifics, one step at a time, using short sentences).
- ◆ Put words in the client's mouth. For example,
  - "I guess you were pretty scared".
  - "So you would call '911' if there was a problem?".

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **WHEN ASKING QUESTIONS, DO:**

- ◆ Conduct multiple interviews at different times of the day and in different circumstances, if possible. Some clients function poorly at certain times of the day.
- ◆ Use communication aides—special equipment or adaptive devices, as necessary
- ◆ Speak slowly and clearly.
- ◆ Use the native language of the client, and the style of speaking that is understandable to the client.
- ◆ Ask only one question at a time.
- ◆ Ask open-ended questions
- ◆ Consider using techniques to assist the client's capacity, "for example", using hand gestures or drawings.
- ◆ Provide the client with examples of choices that others have made in similar situations.
- ◆ Ask for clarification and/or more information.
- ◆ Let the client know gently but clearly when you are about to ask a difficult question.
- ◆ Give the client plenty of time to answer. Don't be afraid of periods of silence.
- ◆ Reassure the client if he/she appears anxious about answering.
- ◆ Keep your tone of voice steady. Try not to react emotionally, no matter what you hear.
- ◆ Reflect back what the client is telling you (Use "active listening").

## **USEFUL QUESTIONS TO FOCUS ON THE CLIENT'S UNDERSTANDING OF RELEVANT INFORMATION:**

- ◆ Can you tell me why I am here today?
- ◆ What are those pills for?
- ◆ How often do you take them?
- ◆ What kind of food are you supposed to eat because of your diabetes?
- ◆ When did you eat your last meal?
- ◆ What did you have to eat?
- ◆ Who fixed your meal?
- ◆ What is your doctor's name?
- ◆ Who pays your bills?

If # 1 means no pain, # 3 means some pain and # 5 means that your pain is unbearable, tell me how much pain you are having right now .

1 \_\_\_\_\_ 3 \_\_\_\_\_ 5

- ◆ What does it mean when you have sex with someone?
  - Are there rules about having sex?
  - Please repeat the question I just asked you.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **USEFUL QUESTIONS TO FOCUS ON THE QUALITY OF THE CLIENT'S THINKING PROCESS:**

- ◆ What would you do if your monthly check didn't arrive?
- ◆ What would you do if you fell and could not get up?
- ◆ What would you do if you had a fire in your kitchen?
- ◆ What would you do if you had a serious medical emergency, such as severe chest pain?
- ◆ What would you do if someone wanted to have sex with you?

## **USEFUL QUESTIONS TO FOCUS ON THE CLIENT'S ABILITY TO DEMONSTRATE AND COMMUNICATE A CHOICE:**

- ◆ If you were unable to live by yourself, where you would want to live?
- ◆ If you only had enough money to buy medicine for yourself or food for your cats, what would you do?
- ◆ How involved do you want your family to be in taking care of you?
- ◆ Do you have to have sex with someone if he/she asks you?

## **USEFUL QUESTIONS TO FOCUS ON THE CLIENT'S UNDERSTANDING OF HIS/HER OWN SITUATION:**

- ◆ What do you think will happen if you do nothing to change your present situation?
- ◆ What are your choices right now?
- ◆ Why are you making this choice?
- ◆ What do you think will happen if you make a decision to.....?

# CASE STUDY ACTIVITY #2: INTERVIEWING



**TIME ALLOTTED: 30 minutes**

**SLIDE 46**

CASE STUDY ACTIVITY –  
INTERVIEW QUESTIONS

Using the previous case examples, small groups will develop appropriate questions to evaluate the clients' decisional capacity



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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #1: Anna Kovacs - Small Group Information for Framing the Questions

### Role Preparation (10 minutes)

Divide the small group into two subgroups: the client's group and the APS Worker's group. Ask for a volunteer from the client's group to play the role of Anna, and a volunteer from the APS Worker's group to play the interviewer role. The remaining members of each subgroup will help prepare the role players by discussing the questions listed below under "Guidelines" for each of the subgroups.

#### ◆ Guidelines for APS Worker group:

1. Develop a strategy to establish rapport with Anna so she will feel comfortable with your questions.
2. Develop questions to elicit information on Anna's understanding of relevant information.
3. Develop questions that will help you assess the quality of Anna's thinking process. How might you assess her ability to understand and follow instructions? To make and execute a plan?
4. Develop questions that will demonstrate Anna's ability to identify and communicate a choice. Include questions to reveal her understanding of the risks and benefits of a choice.
5. Develop questions you would ask to assess Anna's understanding of her situation.

#### ◆ Guidelines for the client group:

1. Discuss your perceptions of what Anna might be experiencing emotionally, physically, cognitively.
2. Translate your thoughts into a likely "Anna" role; propose responses, questions and reactions that the role player will be able to use.

### Interview (10 minutes)

Both subgroups will observe the interview between Anna and the APS worker, silently.

### Debriefing (10 minutes)

Ask one member of the group to take notes on the debriefing discussion.

Following the interview, use the questions below for discussion within the reunited small group:

1. Based on her answers, do you believe that Anna understands relevant information?
2. Based on her answers, do you believe that Anna's thinking process is clear enough to understand and follow instructions and to make and execute a plan?
3. Based on her answers, do you believe that Anna is able to demonstrate and communicate a choice? Can she identify the risks and benefits of her choice?
4. Based on her answers to these questions, do you have enough information to determine whether or not Anna should be referred for a professional capacity evaluation?
5. Would you use a standardized test to assess Anna's capacity? If so, which test would you use? Why would you use this test? How would you use the test?
6. What additional information would you need?



# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #2: Juan Garcia - Small Group Information for Framing the Questions

### Role Preparation (10 minutes)

Divide the small group into two subgroups: the client's group and the APS Worker's group. Ask for a volunteer from the client's group to play the role of Juan, and a volunteer from the evaluator's group to play the interviewer role. The remaining members of each subgroup will help prepare the role players by discussing the questions listed below under "Guidelines" for each of the subgroups.

#### ◆ Guidelines for APS Worker group to use:

1. Develop a strategy to establish rapport with Juan so he will feel comfortable with your questions?
2. Develop questions to elicit information on Juan's understanding of relevant information.
3. Develop questions that will help you assess the quality of Juan's thinking process. How might you assess his ability to understand and follow instructions? To make and execute a plan?
4. Develop questions that will demonstrate Juan's ability to identify and communicate a choice. Include questions to reveal his understanding of the risks and benefits of a choice.
5. Develop questions you would ask to assess Juan's understanding of his situation.

#### ◆ Guidelines for the client group to use:

1. Discuss your perceptions of what Juan might be experiencing emotionally, physically, cognitively.
2. Translate your thoughts into a likely "Juan" role; propose responses, questions and reactions that the role player will be able to use.

### Interview (10 minutes)

Both subgroups will observe the interview between Juan and the APS worker, silently.

### Debriefing (10 minutes)

One member of the group takes notes on the debriefing discussion.

Use the following questions for discussion within the reunited small group; following the interview:

1. Based on his answers, do you believe that Juan understands relevant information?
2. Based on his answers, do you believe that Juan's thinking process is clear enough to understand and follow instructions and to make and execute a plan?
3. Based on his answers, do you believe that Juan is able to demonstrate and communicate a choice? Can he identify the risks and benefits of his choice?
4. Based on his answers to these questions, do you have enough information to determine whether or not Juan should be referred for a professional capacity evaluation?
5. Would you use a standardized test to assess Juan's capacity? If so, which test would you use? Why would you use this test? How would you use the test.
6. What additional information would you need?

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #3: Mark Hudson - Small Group Information for Framing the Questions

### Role Preparation (10 minutes)

Divide the small group into two subgroups: the client's group and the APS Worker's group. Ask for a volunteer from the client's group to play the role of Mark and a volunteer from the evaluator's group to play the interviewer role. The remaining members of each subgroup will help prepare the role players by discussing the questions listed below under "Guidelines" for each of the subgroups.

#### ◆ Guidelines for APS Worker group to use:

1. How would you establish rapport with Mark so he will feel comfortable with your questions?
2. Develop questions to elicit information on Mark's understanding of relevant information.
3. Develop questions that will help you assess the quality of Mark's thinking process. How might you assess his ability to understand and follow instructions? To make and execute a plan?
4. Develop questions that will demonstrate Mark's ability to identify and communicate a choice. Include questions to reveal his understanding of the risks and benefits of a choice.
5. Develop questions you would ask to assess Mark's understanding of his situation.

#### ◆ Guidelines for the client group to use:

1. Discuss your perceptions of what Mark might be experiencing emotionally, physically, cognitively.
2. Translate your thoughts into a likely "Mark" role; propose responses, questions and reactions that the role player will be able to use.

### Interview (10 minutes)

Both subgroups will observe the interview between Mark and the APS worker, silently.

### Debriefing (10 minutes)

Ask one member of the group to take notes on the debriefing discussion.

Use the following questions for discussion within the reunited small group; following the interview:

1. Based on his answers, do you believe that Mark understands relevant information?
2. Based on his answers, do you believe that Mark's thinking process is clear enough to understand and follow instructions and to make and execute a plan?
3. Based on his answers, do you believe that Mark is able to demonstrate and communicate a choice? Can he identify the risks and benefits of his choice?
4. Based on his answers to these questions, do you have enough information to determine whether or not Mark should be referred for a professional capacity evaluation?
5. Would you use a standardized test to assess Mark's capacity? If so, which test would you use? Why would you use this test? How would you use the test?
6. What additional information would you need?

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #4: Rob/Wilma Benson - Small Group Info for Framing the Questions

### Interview and Role Preparation (10 minutes)

Divide the small group into two subgroups: the client's group and the APS Worker's group. Ask for two volunteers from the client's group. One will play the role of Wilma, and the other will play the role of Rob. Ask for one or two volunteers from the APS Worker's group to play the interviewer role(s). The remaining members of each subgroup will help prepare the role players by discussing the questions listed below under "Guidelines" for each of the subgroups.

#### ◆ Guidelines for APS Worker group to use:

1. First, decide whether you would talk to them separately or jointly. If you decide to do it separately, you will need a second volunteer interviewer and you will need to conduct the interviews at the same time, with half of your sub-group observing each interview.
2. How would you establish rapport with Rob and Wilma so they will feel comfortable with your questions?
3. Develop questions to elicit information on their understanding of relevant information.
4. Develop questions that will help you assess the quality of both Rob's and Wilma's thinking processes. How might you assess each of their abilities to understand and follow instructions? To make and execute a plan?
5. Develop questions that will demonstrate their ability to identify and communicate a choice. Include questions that will reveal their understanding of the risks and benefits of a choice.
6. Develop questions you would ask to assess the Bensons' understanding of their situation.

#### ◆ Guidelines for the client group to use:

1. Discuss your perceptions of what Rob and Wilma each might be experiencing emotionally, physically, cognitively.
2. Translate your thoughts into likely roles for Rob and Wilma; propose responses, questions and reactions that the role players will be able to use.

### Interview (10 minutes)

Both subgroups will observe the interview( s) between the clients and the APS Worker(s), silently.

### Debriefing (10 minutes):

After the interview(s), use the following questions for discussion within the re-united small group:

1. Based on their answers, do you believe that Rob and Wilma understand relevant information?
2. Based on their answers, do you believe their thinking process is clear enough to understand and follow instructions and to make and execute a plan?
3. Based on their answers, do you believe the Bensons are able to demonstrate and communicate a choice? Can they identify the risks and benefits of their choices?
4. Based on Rob's and Wilma's answers to these questions, do you have enough information to determine whether either of them should be referred for a professional capacity evaluation?
5. Would you use a standardized test to assess Rob's or Wilma's capacity? If so, which test would you use? Why would you use this test? How would you use the test?
6. What additional information would you need?

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #5: Sharon Delay - Small Group Information for Framing the Questions

Group Leader's Task: Use Handout #3: Group Leader Instructions.

### Role Preparation (10 minutes)

Divide the small group into two subgroups: the client's group and the APS Worker's group. Ask for a volunteer from the client's group to play the role of Sharon, and a volunteer from the evaluator's group to play the interviewer role. The remaining members of each subgroup will help prepare the role players by discussing the questions listed below under "Guidelines" for each of the subgroups.

◆ Guidelines for APS Worker group to use:

1. How would you establish rapport with Sharon so she will feel comfortable with your questions?
2. Develop questions to elicit information on Sharon's understanding of relevant information.
3. Develop questions that will help you assess the quality of Sharon's thinking process. How might you assess her ability to understand and follow instructions? To make and execute a plan?
4. Develop questions that will demonstrate Sharon's ability to identify and communicate a choice. Include questions that will reveal her understanding of the risks and benefits of a choice.
5. Develop questions you would ask to assess her understanding of her situation.

◆ Guidelines for the client group to use:

1. Discuss your perceptions of what Sharon might be experiencing emotionally, physically, cognitively.
2. Translate your thoughts into a likely "Sharon" role; propose responses, questions and reactions that the role player will be able to use.

### Interview (10 minutes):

Both subgroups will observe the interview between Sharon and the APS Worker, silently.

### Debriefing (10 minutes):

Ask one member of the group to take notes on the debriefing discussion.

After the interview, use the following questions for discussion within the whole small group:

1. Based on her answers, do you believe that Sharon understands relevant information?
2. Based on her answers, do you believe that Sharon's thinking process is clear enough to understand and follow instructions and to make and execute a plan?
3. Based on her answers, do you believe that Sharon is able to demonstrate and communicate a choice? Can she identify the risks and benefits of her choice?
4. Based on her answers to these questions, do you have enough information to determine whether or not Sharon should be referred for a professional capacity evaluation?
5. Would you use a standardized test to assess Sharon's capacity? If so, which test would you use? Why would you use this test? How would you use the test?

# CROSS CULTURAL INTERVIEWING & ASSISTED CAPACITY



**TIME ALLOTTED: 15 minutes**

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**SLIDE 47**

**CULTURAL AWARENESS**

- Openness to learning about other persons' beliefs, attitudes, values and customs.
- Awareness of cultures of physically and mentally challenged persons, of persons from other ethnic groups, and countries.



Source: Lodwick 2007

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**SLIDE 48**

**CULTURALLY SKILLED INTERVIEWING**



**Builds rapport**

**Helps get valid information**

**Establishes context for accurate analysis**

Source: Texas Department of Family and Protective Services 2004

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 49

Cross Cultural Interviewing Skills

- › Learn as much as you can beforehand about cultural beliefs that affect:
  - › Values
  - › Attitudes
  - › Customs
  - › Faith/religious beliefs
  - › Family structure
  - › Marriage
  - › Roles



Source: Texas Department of Family and Protective Services 2004

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## SLIDE 50

Cross Cultural Interviewing Skills

- Be aware that strangers are perceived as “outsiders”.
- Take time to establish rapport.
- Speak clearly, avoid idioms and slang.
- Mirror the interviewee in tone of voice, eye contact, directness of speech.
- Be respectful.

Source: Texas Department of Family and Protective Services 2004

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## SLIDE 51

Using Interpreters

- › Never rely on the perpetrator or a family member to act as the interpreter.
- › Always use independent interpreters.
- › When using an interpreter, direct all communication to the victim.



Source: Ramsey-Klawnsnik 2005

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## SLIDE 52

Non-Verbal Clients

- ▶ Ask simple “yes” or “no” questions.
- ▶ Ask the client to:
  - ▶ squeeze your hand, or
  - ▶ blink his/her eyes.



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## SLIDE 53

Assisted Capacity Interviewing Skills

- ▶ When a client appears to lack full decisional capacity, it may be possible to assist their decision-making by:
  - ▶ Treating medical problems
  - ▶ Providing information
  - ▶ Manipulating the environment
  - ▶ Providing encouragement and support



Source: Kapp 1990

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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## HANDOUT #14: Violence Against People with Disabilities

Abuse against people with disabilities is a serious problem that we all must acknowledge, including health care providers, disability agencies, abuse investigators, domestic violence and sexual advocates, police, criminal justice personnel, crime victims' advocates, and personal attendants.

- ◆ People with disabilities experience common forms of violence and abuse, including physical and sexual assault, financial exploitation and verbal abuse.
- ◆ People with disabilities also face unique forms of abuse, such as neglect, refusal to provide essential care, manipulation of medications, and withholding or destruction of equipment. These forms of abuse can be life threatening by causing health deterioration or leaving people with disabilities unable to get away or call for help.
- ◆ Compared to nondisabled people, people with disabilities are more vulnerable to abuse by health providers and personal assistants or caregivers, who may be family members, friends or formal providers.
- ◆ People with disabilities often face barriers to stopping or preventing abuse, including: lack of knowledge of abuse resources, social isolation; lack of emergency back-up support needed to get away from a caregiver who is the perpetrator; fear of being institutionalized or losing their children if they acknowledge being victimized, and cognitive or physical inaccessibility of domestic violence services.
- ◆ It is critical to screen people with disabilities. This requires asking questions about all of these forms of abuse and being sensitive to the unique risks and barriers individuals with disabilities may face in managing the problem.

For example, ask the person if anyone has refused or neglected to help them with an important personal need, such as using the bathroom, eating or drinking. If they say "yes", ask if the abuser is someone the person with a disability depends on for care and if there is a back-up caregiver. Consider what are the potential risks involved in the situation? And how are these risks linked to the disabilities experienced by the person?

- ◆ Many people with disabilities are afraid that if they disclose abuse, they won't be believed or that professionals will take control rather than supporting them to deal with the abuse.

It is very important to validate that the abuse is wrong and the victims / survivors shouldn't have to live with it. Reassure the survivor that you will support them as they decide the best way to manage the problem. Help them identify their strengths and the resources they need.

- ◆ Creating a work / advocacy environment that is accessible and one that illustrates positive messages about disability may make people with disabilities more comfortable about disclosing abuse.



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Use appropriate language and structure the physical environment so people with disabilities can use it.

For example, use people-first language, such as “person with a physical or cognitive disability” rather than “handicapped, wheelchair bound or retarded”. Make sure your waiting room, restroom, exam tables and diagnostic equipment are accessible and your forms can be understood by people with learning or cognitive disabilities.

- ◆ Many states mandate reporting some forms of suspected abuse against people with developmental or mental health disabilities and/or dependent adults to protective services agencies. Find out your state’s mandatory reporting requirements and be sure to let people with disabilities know that you are a mandatory reporter.

For example, you might say, “I am required by law to report suspicion of abuse against women with disabilities to the [Adult Protective Services] agency. However, if you tell me about abuse, I’ll let you know if I have to report it and invite you to be involved in any way you want.”

- ◆ Find out what disability and domestic violence community resources are available for referral regarding abuse.

The Centers for Independent Living, ARCs, developmental disability, disability and aging agencies, or domestic violence / crisis lines in your area may be available to assist or to provide referral information.

Source: Arthur and Oschwald. 2006

# CASE STUDY ACTIVITY #3: CASE PLANNING



**TIME ALLOTTED: 45 minutes**

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SLIDE 54

CASE STUDY ACTIVITY –  
CASE PLANNING

- › Using the previous cases examples, the small groups will develop a next step for each case, based on the client capacity assessments.
- › These next steps will be presented to the large group for discussion.



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# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #1: Anna Kovacs - Small Group Next Step in Case Planning**

### Task 1: Small Groups review -20 minutes

Review the results of your assessment of Anna that was developed in small group discussion Active Learning #1. Based on that assessment, discuss what should be the next step in the case planning process.

### Task 2: Large Group: Sharing - 25 minutes

Give a brief report to the large group, including:

- ◆ basic background information on Anna,
  
  
  
  
  
  
  
  
  
  
- ◆ the result of your assessment of Anna's capacity to make decisions regarding her health care,
  
  
  
  
  
  
  
  
  
  
- ◆ the next step in the case planning process.





# ASSESSING CAPACITY – PARTICIPANT GUIDE

## Case Study #4: Rob & Wilma Benson - Small Group Next Step in Case Planning

### Task 1: Small Group review 20 minutes

Review the results of your assessment of Mr. and Mrs. Benson that were developed in the small group discussion Active Learning #3. Based on that assessment, discuss what should be the next step in the case planning process.

### Task 2: Large Group 25 minutes

Give a brief report to the large group, including:

- ♦ basic background information on Rob and Wilma,
  
  
  
  
  
  
  
  
  
  
- ♦ the results of your assessment of Mark's capacity to make decisions regarding their living situation, emotional well being, health care and financial planning,
  
  
  
  
  
  
  
  
  
  
- ♦ the next step in the case planning process.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

## **Case Study #5: Sharon Delay - Small Group Next Step in Case Planning**

### Task 1: Small Group review 20 minutes

In your small group, review the results of your evaluation of Sharon that was developed in the small group discussion Active Learning #2. Based on that evaluation, discuss what should be the next step in the case planning process.

### Task 2: Large Group sharing 25 minutes

Give a brief report to the large group, including:

- ◆ basic background information on Sharon,
  
  
  
  
  
  
  
  
  
  
  
  
  
- ◆ the result of your evaluation of Sharon’s capacity to make decisions regarding her health care,
  
  
  
  
  
  
  
  
  
  
  
  
  
- ◆ the next step in the case planning process.

# CLOSING



**TIME ALLOTTED: 15 Minutes**

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## SLIDE 55

Closing

- Reflections
- Questions
- Evaluations
- Resources
  - NCEA: [www.ncea.aoa.gov](http://www.ncea.aoa.gov)
  - NAPSA: [www.napsa-now.org/](http://www.napsa-now.org/)

Thank you!



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# ASSESSING CAPACITY – PARTICIPANT GUIDE

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**HANDOUT #15: Post-test****Test # \_\_\_\_\_**

1. How does an APS assessment of capacity differ from a professional capacity evaluation?
2. \_\_\_ True False: “Incapacity” is a medical term meaning a person’s inability to make decisions.
3. Autonomy involves all of the following except one (please circle the incorrect option):
  - a) The person’s rights
  - b) The person’s choices
  - c) The person’s responsibilities
  - d) The person’s capacity
4. Once a person is judged incapacitated, he/she may lose the right to: (Circle correct answer[s].)
  - f) Make decisions regarding medical care
  - g) Have a guardian appointed by the court
  - h) Have a conservator appointed by the court
  - i) Enter into contract agreements
  - j) Chose his/her place of residence
5. List 4 factors that may influence the decision-making capacity of an adult.
  - a)
  - b)
  - c)
  - d)
6. What are the four (4) standards used when assessing a person’s capacity?
  - a)
  - b)
  - c)
  - e)
7. List one strength and one limitation of a standardized capacity assessment tool, such as the Folstein Mini-mental Status Examination.
8. List 3 questions that could be asked of the client when assessing his or her capacity.
  - a)
  - b)
  - c)
9. List two special accommodations that are necessary when assessing the capacity of: a person with a disability (such as a hearing impairment), or who speaks no English, or who is non-verbal.

# ASSESSING CAPACITY – PARTICIPANT GUIDE

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## HANDOUT #16: Post-test Answers

Test # \_\_\_\_\_

1. What is the difference between an APS assessment of capacity and a professional capacity evaluation?

**APS caseworkers are able to assess clients' situations and how they are functioning in their environment.**

**A professional capacity evaluation includes full physical and neurological examinations, short and long-term memory assessment, diagnoses of any existing psychological disorders and/or addictive syndromes.**

2. True or False (circle one) "Incapacity" is a medical term meaning a person's inability to make decisions.

**False. Incapacity is a legal term.**

3. Autonomy involves all of the following except one (please circle the incorrect option):

- a) The person's rights                      c) The person's responsibilities  
b) The person's choices                    d) The person's capacity

**d) The person's capacity**

4. Once a person is judged incapacitated, he/she may lose the right to: (Circle correct answer[s].)

- a) Have an operation  
b) Sign a lease  
c) Make a will  
d) Marry

**All of the above**

5. List 4 factors that may influence the decision-making capacity of an adult.

- a)  
b)  
c)  
d)

**Select any 4 from Handout #2 - Factors Affecting Capacity**

## ASSESSING CAPACITY – PARTICIPANT GUIDE

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6. What are the four (4) components used when assessing a person's capacity?
- a) **Can the client understand relevant information?**
  - b) **What is the quality of the client's thinking process?**
  - c) **Is the client able to demonstrate and communicate a choice?**
  - e) **Does the client appreciate the nature of his/her own situation?**
7. List strength and a limitation of a standardized capacity assessment tool, such as the Folstein Mini-mental Status Examination.

**The Folstein MMSE is easy to administer, but does not address the client's decision making skills for specific tasks.**

8. List 3 questions that could be asked of the client when assessing his or her capacity.
- a)
  - b)
  - c)

**Use questions from Handout #13 - Framing the Questions, or others that elicit similar information.**

9. List two special accommodations that are necessary when assessing the capacity of: a person with a disability (such as a hearing impairment), or who speaks no English, or who is non-verbal.

**Chose a comfortable quiet place where you will not be interrupted.**

**Use a professional interpreter.**

# ASSESSING CAPACITY – PARTICIPANT GUIDE

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## HANDOUT #17: Module 17 Evaluation

1=Unacceptable 2=Poor 3=Average 4=Above Average 5=Outstanding

*(Please circle the number that reflects your evaluation of this workshop)*

1. To what extent were your professional objectives for this workshop satisfied?  
1.            2.            3.            4.            5.
2. To what extent did the written materials contribute to your learning experience?  
1.            2.            3.            4.            5.
3. To what extent did the Power Point materials contribute to your learning experience?  
1.            2.            3.            4.            5.
4. To what extent was the presenter effective in conveying the information?  
1.            2.            3.            4.            5.
5. To what extent did the interactive exercises contribute to your learning experience?  
1.            2.            3.            4.            5.
6. To what extent did the training contain significant intellectual or practical content?  
1.            2.            3.            4.            5.
7. To what extent did the environment contribute to your learning experience?  
1.            2.            3.            4.            5.
8. I would recommend this instructor for future training events?

Yes:

No:

9. Additional comments

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## APPENDIX

### CORE COMPETENCIES FOR APS WORKERS November 2005

#### MODULE 1: APS OVERVIEW

##### Background Information

- Y History of APS
- Y National issues in APS
- Y Federal legislation
- Y Federal and state funding
- Y Grants
- Y Training opportunities
- Y History and role of NAPSA APS

##### Worker Satisfaction

- Y Care and support for APS workers
- Y Professional development APS

##### Clients

- Y APS client target populations
- Y Essential needs of dependent adults
- Y APS eligibility criteria
- Y Client benefits and entitlements APS

##### Legal Framework

- Y Federal Statutes
- Y State statutes and legal definitions
- Y State policies and standards
- Y Roles and responsibilities of APS workers

#### MODULE 2: APS VALUES AND ETHICS

##### Guiding APS Principles and Values

- Y Balance safety concerns and right to self-determination
- Y Treat people with honesty, care and respect
- Y Retention of civil and constitutional rights
- Y Assumed decision-making capacity unless a court adjudicates otherwise
- Y The right to be safe
- Y The right to accept or refuse services

##### APS Promising Practices Guidelines

- Y Practice self awareness and professional use of self
- Y Understand importance and support appropriate casework relationship
- Y Act as client advocate
- Y Avoid imposing personal values

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- Y Seek informed consent
- Y Respect confidentiality
- Y Recognize individual differences
- Y Focus on client strengths and empowerment
- Y Involve the vulnerable adult in the service plan
- Y Maximizes the vulnerable adult's independence and self-determination
- Y Use the least restrictive services first
- Y Use family and informal support systems as possible
- Y Maintain clear and appropriate professional boundaries
- Y Avoid inadequate or inappropriate intervention
- Y Practice conflict resolution vs. confrontation
- Y Seek supervision and expert collaboration
- Y Provide integrated care management
- Y Don't abandon clients who are difficult or unlikable
- Y Prevent further abuse, exploitation and neglect

## Understanding Diversity

- Y Cultural competence
- Y Communicating cultural values
- Y Ageism awareness
- Y Disabilities awareness

## **MODULE 3: AGENCY STANDARDS and PROCEDURES**

### Agency Organizational and Administrative Structure

- Y Organizational/institutional environment or culture
- Y APS services/duties
- Y Specialized APS units, e.g. for homeless, after-hours, hospital liaison Regulations

### and Policies

- Y Protocols for client emergency needs
- Y Protocols and procedures for facility investigations
- Y Protocols for translation, signing for the hearing impaired, communication services
- Y Arrangements for culturally appropriate services
- Y What to do when the client can't be located

### Managing APS Caseloads

- Y Workload standards
- Y Timeframes for response
- Y Caseload size
- Y Time management
- Y Effects of secondary trauma
- Y Burnout and stress management
- Y Coping strategies and staying resilient

### Financial Management

- Y Fiduciary responsibility

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Y Agency forms and instructions

## MODULE 4: THE AGING PROCESS

### Facts on Aging

Y Demographics Y  
Healthy aging Y  
Life expectancy  
Y Social issues and aging  
Y Health care (AIDS and other communicable/infectious diseases)  
Y Role of family support for the elderly Stages

### of Adult Development

Y Impact of loss of independence  
Y Impact of poor health, illness, mental illness on client's well-being  
Y Social/psychological/behavioral changes  
Y Effects of aging process on client's ability to care for self  
Y Public perception of the elderly and ageism

## MODULE 5: PHYSICAL AND DEVELOPMENTAL DISABILITIES

### Overview of Disabilities

Y Types of disabilities  
Y Definitions – federal/state  
Y Common misconceptions

### Effects of Disabilities

Y Effects of disabilities on client's functioning  
Y Impacts of disability on caregiver and/or family

## MODULE 6: MENTAL HEALTH ISSUES

### Common Emotional Difficulties

Y Coping with one's own aging process  
Y Issues of separation/loss/grieving Types of

### Mental Illness

Y Depression/manic depression (bipolar disorder)  
Y Delirium/dementia  
Y Schizophrenia, hallucinations and delusions  
Y Personality disorder  
Y Obsessive compulsive disorder  
Y Suicidal ideations/suicide

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## MODULE 7: SUBSTANCE ABUSE

### Types of Substance Abuse Issues

- Y Alcoholism
- Y Drugs

- Y Pharmacology
- Y Injuries and illness resulting from substance abuse

### Medications

- Y Misuse of medications
- Y Medication side effects
- Y Medication drugdependency

## MODULE 8: DYNAMICS OF ABUSIVE RELATIONSHIPS

### Predominant Types of Abuse/Neglect/Exploitation (ANE)

- Y Self-neglect
- Y Neglect by caregiver Y
- Financial exploitation Y
- Physical abuse
- Y Sexual abuse

### Theories of Abuse

- Y Power and control
- Y Cycle of violence
- Y Victim/perpetrator dependency
- Y Exchange theory
- Y Caregiver stress
- Y Neglect due to pathologies of aging
- Y Emotional and verbal abuse dynamics

### Characteristics of Victims and Perpetrators

- Y Victim/perpetrator dependency
- Y Victim/perpetrator mental health issues
- Y Abusive, neglectful, or exploitive caregivers
- Y Undue influence
- Y Psychology of perpetrators
- Y Dysfunctional families
- Y Abuse of elders living in domestic situations
- Y Abuse of elders living in institutions Domestic

### Violence

- Y Domestic violence and elder/adult abuse
- Y Dynamics of power and control
- Y Why victims don't leave their abusers

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## MODULE 9: PROFESSIONAL COMMUNICATION SKILLS

### Types of Interviews

- Y With victims
- Y With perpetrators
- Y With collateral contacts

Y With family/groups Interviewing

### Skills

- Y Trust and relationship building
- Y Engagement techniques
- Y Open-ended questioning
- Y Listening/reflection of content and feeling
- Y Responding to disclosures
- Y Showing empathy/compassion
- Y Acknowledging religious/cultural beliefs

### Handling Special Situations

- Y Dealing with resistance and hostility
- Y Mediation, negotiation, conflict management

### Working with Special Populations

- Y Cultural dynamics
- Y People with mental illness
- Y People with physical disabilities
- Y People with developmental disabilities

### Communicating with Special Populations

- Y Cognitively, hearing, or visually impaired people
- Y Non-verbal clients
- Y Limited-English speaking clients
- Y Use of interpreters Communicating

### with Other Professionals

- Y Health care professionals
- Y Law enforcement Y
- Legal professionals Y
- Victim advocates

## MODULE 10: SELF-NEGLECT

### Overview of Self-Neglect

- Y Types of self-neglect
- Y Statistics on self-neglect
- Y Indicators of self neglect

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- Y Assessing level of risk
- Y Environmental safety assessment Theories of

## Self-Neglect

- Y Cultural/social aspects of self-neglect
- Y Capacity evaluation
- Y Hoarding behavior
- Y Community attitudes towards self-neglect

## Causes of Self-Neglect

- Y Societal causes for self-neglect
- Y Individual causes for self-neglect Preventing

## Self-Neglect

## **MODULE 11: CAREGIVER OR PERPETRATOR NEGLECT**

### Overview of Caregiver or Perpetrator Neglect

- Y Types of caregiver neglect (unintended, intended, criminal)
- Y Statistics on caregiver neglect Y
- Indicators of caregiver neglect Y
- Assessing level of victim risk

### Theories of Caregiver Neglect

- Y Caregiver role: voluntary or involuntary
- Y Exchange theory
- Y Personality/behavior of the caregiver
- Y Personality/behavior of the patient Causes

### of Caregiver Neglect

- Y Cultural/social aspects of caregiver neglect
- Y Individual causes of caregiver neglect (burden of care, co-dependency, caregivers with mental illness, physical impairments or substance abuse)

### Preventing Caregiver Neglect

## **MODULE 12: FINANCIAL EXPLOITATION**

### Overview of Financial Exploitation

- Y Types of financial exploitation
- Y Statistics on financial exploitation
- Y Indicators of financial exploitation
- Y Assessing client's financial situation
- Y Assessing level of risk
- Y Assessing undue influence

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## Theories of Financial Exploitation

Y Cultural/social aspects of financial exploitation Causes of

## Financial Exploitation

Y Societal causes of financial exploitation

Y Individual causes of financial exploitation

## Preventing Financial Exploitation

## **MODULE 13: PHYSICAL ABUSE**

### Overview of Physical Abuse

Y Types of physical abuse

Y Statistics on physical abuse

Y Domestic violence indicators

Y Medical indicators of abuse and neglect

Y Assessing level of risk

Y Lethality indicators

### Theories of Physical Abuse

Y Dynamics of physical abuse

Y Cultural/social aspects of physical abuse

Y Homicide/suicide

### Causes of Physical Abuse

Y Societal causes of physical abuse

Y Individual causes of physical abuse

### Preventing Physical Abuse

## **MODULE 14: SEXUAL ABUSE**

### Overview of Sexual Abuse

Y Types of sexual abuse

Y Statistics on sexual abuse Y

Indicators of sexual abuse Y

Assessing level of risk

### Causes of Sexual Abuse

Y Societal causes of sexual abuse

Y Individual causes of sexual abuse Preventing

### Sexual Abuse

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## MODULE 15: APS CASE DOCUMENTATION/REPORT WRITING

### Importance of Case Documentation

- Y Proper case documentation for substantiation of ANE
- Y Identifying data to include in case records

### Documentation Overview

- Y Gathering of facts/chains of evidence
- Y Clear, concise and objective documentation
- Y Updating chronological records to monitor client progress
- Y Required forms and instructions
- Y Tracking/recording guidelines
- Y Monitoring services by other agencies
- Y Best practice tips

### Documentation Equipment Skills

- Y Cameras
- Y Videos
- Y Tape recorders
- Y Computers
- Y Body maps

### Confidentiality of Records

- Y Client permission to share information
- Y Legal issues (e.g. subpoena of records)

### Report Writing Skills

## MODULE 16: INTAKE PROCESS

### Preparing for the Initial Client Visit

- Y Does report meet statutory requirements?
- Y Being inclusive--screen in, not out
- Y Reporter's expectations
- Y Reviewing prior client records
- Y Identifying collateral contacts

### APS Worker Safety

- Y Safety planning for worker
- Y Assessing for violent or psychotic behavior
- Y Assessing for hazardous materials (drugs, communicable diseases, firearms)
- Y Neighborhood safety concerns
- Y Dangerous animals
- Y Location of interview
- Y Working with difficult people



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- Y Non-violent crisis intervention
- Y De-escalating potentially dangerous situations
- Y When to contact law enforcement and how to request assistance
- Y Emergency communications—cell phones
- Y Communicable and Infectious Diseases

## Investigation: Initial Client Contact

- Y Gaining access
- Y “Who sent you” issues
- Y Establishing rapport at the door
- Y Strategies for dealing with refusal of access by client or to client
- Y Interviewing the suspected abuser
- Y Assessing validity of reports of ANE
- Y Developing safety plans with/for clients Intake

## Documentation

## **MODULE 17: INVESTIGATION: CLIENT CAPACITY**

### Initial Capacity Assessment

- Y Interviewing the suspected abuser
- Y Assessing validity of reports of ANE
- Y Developing safety plans with/for clients
- Y Intake documentation Capacity

### Assessment

- Y When and how to refer client for professional capacity evaluation
- Y Interpreting and using assessment information
- Y Client’s strengths and social supports
- Y Ability to conduct activities of daily living
- Y Level and type of care needed Client’s

### Ability to Make Informed Decisions

- Y Cultural influences on client’s decision-making
- Y Community standards
- Y Past history of making decisions
- Y Concept of “negotiated consent”

## **MODULE 18: INVESTIGATION: RISK ASSESSMENT**

### Overview of Risk Assessment

- Y Indicators of immediate risk of ANE
- Y Lethality indicators
- Y Emergency medical or psychiatric situations
- Y Impact of illness/disability on client’s ability to protect him/herself

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- Y Environmental hazards
- Y What to do when client refuses services Risk

## Assessment of Caregiver

- Y Mental Illness
- Y Substance Abuse
- Y Emotional/financial dependence on victim
- Y Suicidal ideation

## **MODULE 19: VOLUNTARY CASE PLANNING and INTERVENTION PROCESS**

### Overview of Voluntary Case Planning and Intervention

- Y Mutual assessment of needs/goal setting
- Y Supportive counseling
- Y Policies and procedures for response

### Types of APS Service Provision

- Y Accessing benefits and entitlements
- Y Safety planning for client
  
- Y Assuring basic needs are met (e.g. food, heat, transportation)
- Y Arranging for shelter and transition housing as necessary
- Y Providing information/referrals
- Y Linking clients and families with respite services and support groups
- Y Assisting clients discharged from hospitals, psychiatric wards and disability centers
- Y Providing emergency services or finding/developing emergency resources
- Y Managing client finances as necessary
- Y Providing respite care
- Y Mediation
- Y Caregiver training

### Case Planning and Intervention

- Y Goal setting with clients
- Y Defining intervention strategies/response timeframes
- Y Finding and procuring resources
- Y Promoting coordinated/joint case planning and service delivery
- Y Arranging for culturally appropriate services
- Y Case documentation
- Y Reassessment/follow-up Preventing

### ANE

- Y Consumer education

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## MODULE 20: INVOLUNTARY CASE PLANNING and INTERVENTION PROCESS

### Overview of Involuntary Case Planning and Intervention

- Y Policies and procedures for response
- Y Legal standards for involuntary intervention
- Y Promoting coordinated/joint case planning and service delivery Case

### Planning for Involuntary Services

- Y Arranging for culturally appropriate services
- Y Goal setting with family/care provider
- Y Defining intervention strategies/response timeframes
- Y Finding and procuring resources

### APS Interventions

- Y Providing services for caregiver
- Y Respite care
- Y Caregiver training
- Y Providing information/referrals
- Y Assuring basic client needs are met Y
- Accessing benefits and entitlements Y
- Safety planning for client
- Y Coordinating involuntary medical care
- Y Arranging for shelter and transition housing
- Y Coordinating involuntary mental health/substance abuse treatment Y
- Linking clients and families with respite services and support groups Y

Providing emergency services

- Y Assisting clients discharged from hospitals, psychiatric and development centers
- Y Managing client finances as necessary
- Y Documentation
- Y Reassessment/follow-up Guardianships

### and Conservatorships

- Y Statutory definitions
- Y Guardianship process
- Y Competency/incompetency criteria Y
- Probate conservatorship process Y
- Private conservatorship process

## MODULE 21: COLLABORATION and RESOURCES

### Overview of Collaboration and Resources

- Y Benefits of working as a team
- Y Roles of various professionals in resolution of ANE Local and

### Regional Networks and Community-Based Services

- Y Roles and responsibilities of community resources

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- Y Interagency protocols for referrals and service delivery
- Y Local resources contact information Inter-

## Agency Relationships and Collaboration

- Y Multidisciplinary review teams
- Y Fatality review teams
- Y Community advisory groups
- Y State and local coalitions
- Y Public awareness campaigns
- Y Documentation of services and outcomes
- Y Abuse prevention activities

## Community Outreach

- Y Public education
- Y Working with the media
- Y Abuse prevention activities

## Service Integration with Related Agencies

- Y State Units on Aging
- Y Department of Children and Family Services/Social Services
- Y Domestic violence resources
- Y Victim advocates
- Y Regulatory agencies

## Health and Mental Health

- Y Medical Clinics/Hospitals
- Y Department of Mental Health
  
- Y Mental Health/ Counseling Agencies
- Y Medicaid/Medicare
- Y Agency in charge of Developmental Disabilities Law

## Enforcement

- Y Police/Sheriff's Department
- Y State Patrol
- Y FBI
- Y Medicaid Fraud
- Y Office of Attorney General
- Y Probation/parole

## Legal Resources

- Y Office of District Attorney
- Y Department of Consumer Affairs
- Y OAA legal service providers
- Y Private attorneys

## Emergency Resources

- Y Homeless shelters

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- Y Domestic Violence Shelters
- Y Group homes
- Y Residential Health Care Facilities
- Y Boarding Homes
- Y Food pantries
- Y Church organizations
- Y Developing emergency resources when none exist

## Financial

- Y Social Security
- Y Banking institutions
- Y Securities firms
- Y Food stamps Other

## Resources

- Y Long-term care ombudsmen
- Y Immigration Services
- Y Clergy
- Y Universities and community colleges
- Y National organizations

## **MODULE 22: LEGAL ISSUES and LAW ENFORCEMENT**

### Overview of Legal Issues and Law Enforcement

- Y Role of criminal justice system
- Y State criminal codes
- Y Regulations and policies Legal

### Tools

- Y Legal rights of adult clients
- Y Court ordered mediation
- Y Restorative justice
- Y Writing affidavits and petitions
- Y Mandatory reporting
- Y Filing emergency protective/restraining orders
- Y Legal resources for dependent adults
- Y Victims/witness programs
- Y Substitute decision-making on behalf of client
- Y Living wills, health care proxies, do not resuscitate (DNR) orders
- Y Collecting, preserving and analyzing evidence

### Working with Law Enforcement and the Judicial System

- Y Differences in APS, law enforcement, and legal institutional cultures
- Y Caseworkers' role in the legal process
- Y Requesting law enforcement assistance
- Y Conducting joint investigations/interviews with law enforcement
- Y Subpoena of case records

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## Preparing for Court

- Y Case documentation
- Y Initiating court procedures
- Y Assisting victims with court procedures Y
- Legal representation for APS workers Y
- Guidelines for presenting testimony
- Y Responding to cross-examination
- Y Writing court reports

## **MODULE 23: CASE CLOSURE**

### Overview of Case Closure

- Y Reasons for case closure
- Y Issues of grief and loss for client and worker
- Y Client's end of life decision-making process
- Y Carrying out client's end of life wishes (funeral arrangements, client's estate disposition)

### Case Termination

- Y Closure for client and worker
- Y Service delivery evaluation
- Y Summary case recording and case documentation
- Y How could abuse, exploitation and neglect have been prevented?