

**TREATMENT PROVIDER'S
MENTAL RESIDUAL FUNCTIONAL CAPACITY ASSESSMENT**

RE: Patient:	Categories from Section 12, Part A, Listing of Impairments
SSN:	

The following is my current assessment of the patient's mental function. I have been treating the patient since _____. I most recently examined the patient on _____.

Detailed explanation of the degree of limitation for each category (A through D), as well as any other assessment information that I deem appropriate, is recorded in Section III (Functional Capacity Assessment).

A. Understanding and memory					
		No significant limitation	Moderately limited	Markedly limited	No evidence of this Limitation in this Category
1	The ability to remember locations and work-like procedures				
2	The ability to understand and remember very short and simple instructions				
3	The ability to understand and remember detailed instructions				
B. Sustained Concentration and Persistence					
4	The ability to carry out very short and simple instructions				
5	The ability to carry out detailed instructions				
6	The ability to maintain attention and concentration for extended periods				
7	The ability to perform activities within a schedule, maintain regular attendance, and be punctual within customary tolerances				
8	The ability to sustain an ordinary routine without special supervision				
9	The ability to work in coordination with or proximity of others without being distracted by them				
10	The ability to make simple work-related decisions				
11	The ability to complete a normal workday and work week without interruptions from psychologically-based symptoms and to perform at a consistent pace without unreasonable number and length of rest periods				

		No significant limitation	Moderately limited	Markedly limited	No evidence of this Limitation in this Category
C. Social Interaction					
12	The ability to interact appropriately with the general public				
13	The ability to ask simple questions or request assistance				
14	The ability to accept instructions and respond appropriately to criticism from supervisors				
15	The ability to get along with coworkers or peers without distracting them or exhibiting behavior extremes				
16	The ability to maintain socially appropriate behavior and adhere to basic standards of neatness and cleanliness				
D. Adaptation					
17	The ability to respond appropriately to changes in the work setting				
18	The ability to be aware of normal hazards and take appropriate precautions				
19	The ability to travel in unfamiliar places or use public transportation				
20	The ability to set realistic goals or make plans independently of others				

Functional capacity assessment:

After completing the foregoing summary conclusions, elaborate here to explain you summary conclusions in narrative form. Include any information which clarifies limitation or function. Please be as specific as possible.

12.02 Organic Mental Disorders

- Psychological or behavioral abnormalities associated with a dysfunction of the brain . . . as evidenced by at least one of the following.
 - 1. Disorientation as to time and place
 - 2. Memory impairment
 - 3. Perceptual or thinking disturbances
 - 4. Change in personality
 - 5. Disturbance in mood
 - 6. Emotional lability and impairment in impulse control
 - 7. Loss of measured intellectual ability of at least 15 IQ points from premorbid levels overall. **Impairment index clearly within the severely impaired range on neuropsychological testing, e.g., the Luria-Nebraska, Halstead-Reitan, etc.**

- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.03 Schizophrenia, Paranoid and Other Psychotic Disorders

- Psychotic features and deterioration that are persistent (continuous or intermittent), as evidenced by at least one of the following:
 - 1. Delusions or hallucinations
 - 2. Catatonic or other grossly disorganized behavior
 - 3. Incoherence, loosening of associations, illogical thinking, poverty of content of speech if associated with one of the following:
 - a. Blunt affect, or
 - b. Flat affect, or
 - c. Inappropriate affect
 - 4. Emotionally withdrawn and/or isolation
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.04 Affective Disorders

- Disturbance of mood, accompanied by a full or partial manic or depressive syndrome, as evidenced by at least one of the following:
 - 1. Depressive syndrome characterized by at least 4 of the following:
 - a. Anhedonia or pervasive loss of interest in almost all activities, or
 - b. Appetite disturbance with change in weight, or
 - c. Sleep disturbance, or
 - d. Psychomotor agitation or retardation, or
 - e. Decreased energy, or
 - f. Feelings of guilt or worthlessness, or
 - g. Difficulty concentrating or thinking, or
 - h. Thoughts of suicide, or
 - i. Hallucinations, delusions or paranoid thinking
 - 2. Manic syndrome characterized by at least 3 of the following:
 - a. Hyperactivity, or
 - b. Pressures of speech, or
 - c. Flight of ideas, or
 - d. Inflated self-esteem, or
 - e. Decreased need for sleep, or
 - f. Easy distractibility, or
 - g. Involvement in activities that have a high probability of painful consequences which are not recognized, or
 - 3. Bipolar syndrome with a history of episodic periods manifested by the full symptomatic picture of both manic and depressive syndromes (and currently characterized by either or both syndromes)
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.05 Mental Retardation

Significantly subaverage general intellectual functioning with deficits in adaptive functioning initially manifested during developmental period, i.e., the evidence demonstrates or supports onset of the impairment before the age of 22, with one of the following:

- 1. Mental incapacity evidenced by dependence upon others for personal needs (e.g., toileting, eating, dressing, or bathing) and inability to follow instructions such that the use of standardized measures of intellectual functioning is precluded*
 - 2. A valid verbal, performance, or full scale IQ of 59 or less*
 - 3. A valid verbal, performance, or full scale IQ of 60 through 70 and a physical or other mental impairment imposing an additional and significant work-related limitation of function*
 - 4. A valid verbal, performance, or full scale IQ of 60 through 70*
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

* NOTE: Items 1, 2, 3 and 4 correspond to listings 12.05A, 12.05B, 12.05C and 12.05D, respectively.

12.06 Anxiety-Related Disorders

- Anxiety is the predominant disturbance or anxiety experienced in the attempt to master symptoms, as evidenced by at least one of the following:
 - 1. Generalized persistent anxiety accompanied by three of the following:
 - a. Motor tension, or
 - b. Autonomic hyperactivity, or
 - c. Apprehensive expectation, or
 - d. Vigilance and scanning
 - 2. A persistent irrational fear of a specific object, activity or situation which results in a compelling desire to avoid the dreaded object, activity or situation
 - 3. Recurrent severe panic attacks manifested by a sudden unpredictable onset of intense apprehension, fear, terror, and sense of impending doom occurring on the average of at least once a week
 - 4. Recurrent obsessions or compulsions which are a source of marked distress
 - 5. Recurrent and intrusive recollections of a traumatic experience, which are a source of marked distress
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.07 Somatoform Disorders

- Physical symptoms which there are no demonstrable organic findings or known physiological mechanisms, as evidenced by at least one of the following:
 - 1. A history of multiple physical symptoms of several years duration beginning before age 30, that have caused the individual to take medicine frequently, see a physician often and alter life patterns significantly
 - 2. Persistent nonorganic disturbance of one of the following:
 - a. Vision, or
 - b. Speech, or
 - c. Hearing, or
 - d. Use of a limb, or
 - e. Movement and its control (e.g., coordination disturbances, psychogenic seizures, akinesia, dyskensia, or
 - f. Sensation (e.g., diminished or heightened)
 - 3. Unrealistic interpretation of physical signs or sensations associated with the preoccupation or belief that one has a serious disease or injury
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.08 Personality Disorders

- Inflexible and maladaptive personality traits which cause either significant impairment in social or occupational functioning of subjective distress, as evidenced by at least one of the following:
 - 1. Seclusive or autistic thinking
 - 2. Pathologically inappropriate suspiciousness or hostility
 - 3. Oddities of thought, perception, speech or behavior
 - 4. Persistent disturbances of mood or affect
 - 5. Pathological dependence, passivity, or aggressivity
 - 6. Intense and unstable interpersonal relationships and impulsive and damaging behavior
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

12.09 Substance Addiction Disorders

- Behavioral changes or physical changes associated with the regular use of substances that affect the central nervous system.

If present, evaluate under one or more of the most closely applicable listings:

- 1. Listing 12.02 Organic mental disorders*
 - 2. Listing 12.04 Affective disorders*
 - 3. Listing 12.06 Anxiety-related disorders*
 - 4. Listing 12.08 Personality disorders*
 - 5. Listing 11.14 Peripheral neuropathies*
 - 6. Listing 5.05 Liver damage*
 - 7. Listing 5.04 Gastritis*
 - 8. Listing 5.08 Pancreatitis*
 - 9. Listing 11.02 or 11.03 Seizures*
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

* Note: Items 1, 2, 3, 4, 5, 6, 7, 8 and 9 correspond to listings 12.09A, 12.09B, 12.09C, 12.09D, 12.09E, 12.09F, 12.09G, 12.09H and 12.09I, respectively. If items 1, 2, 3 or 4 are checked, only the numbered items in subsections IIA, IIC, IIE or IIG of the form need be checked. The first block under the disorder heading in those subsections should not be checked, unless the evidence substantiates the presence of the disorder separate from the substance addiction disorder.

12.10 Autistic Disorder or Other Pervasive Developmental Disorders

- Qualitative deficits in the development of reciprocal social interaction, in the development of verbal and nonverbal communication skills, and in imaginative activity. Often there is a markedly restricted repertoire of activities and interests, which are frequently stereotyped and repetitive.
 - 1. Autistic disorder, with medically documented findings of all of the following:
 - a. Qualitative deficits in reciprocal social interaction
 - b. Qualitative deficits in verbal and nonverbal communication and in imaginative activity
 - c. Markedly restricted repertoire of activities and interests
 - 2. Other pervasive developmental disorders, with medically documented findings of both of the following:
 - a. Qualitative deficits in reciprocal social interaction
 - b. Qualitative deficits in verbal and nonverbal communication and in imaginative activity
- A medically determinable impairment is present that does not precisely satisfy the diagnostic criteria above.

Disorder: _____

Pertinent symptoms, signs, and laboratory findings that substantiate the presence of this impairment:

Rating of Functional Limitations

A. "B" Criteria of the Listings

Indicate to what degree the following functional limitations (which are found in paragraph B of listings 12.02, 12.04, 12.06-12.08 and 12.10 and paragraph D of 12.05) exist as a result of the individual's mental disorder(s).

Note: Item 4 below is more than a measure of frequency and duration. See 12.00C4 and also read carefully the instructions for this section.

Functional Limitation	Degree of limitation				
	None	Mild	Moderate	Marked*	Extreme*
1. Restrictions of Activities of Daily Living	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Difficulties in Maintaining Social Functioning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Difficulties in Maintaining Concentration, Persistence or Pace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Episodes of Decompensation, Each of Extended Duration	<input type="checkbox"/>	1 or 2	3*	4 or more*	

* Degree of limitation that satisfies the functional criterion.

Social Security defines an "Episode of Decompensation" as follows:

- *Episodes of decompensation* are exacerbations or temporary increases in symptoms or signs accompanied by a loss of adaptive functioning, as manifested by difficulties in performing activities of daily living, maintaining social relationships, or maintaining concentration, persistence, or pace.
- Episodes of decompensation may be demonstrated by an exacerbation in symptoms or signs that would ordinarily require increased treatment or a less stressful situation (or a combination of the two).
- Episodes of decompensation may be inferred from medical records showing significant alteration in medication; or documentation of the need for a more structured psychological support system (e.g., hospitalizations, placement in a halfway house, or a highly structured and directing household); or other relevant information in the record about the existence, severity, and duration of the episode.

B. “C” Criteria of the Listings

1. Complete this section if 12.02 (Organic Mental), 12.03 (Schizophrenic, etc.), or 12.04 (Affective) applies and the requirements in paragraph B of the appropriate listings are not satisfied.

Note: Item 1 below is more than a measure of frequency and duration. See 12.00C4 and also read carefully the instructions for this section.

- Medically documented history of a chronic organic mental (12.02), schizophrenic, etc, (12.03) or affective (12.04) disorder of at least 2 years duration that has caused more than a minimal limitation of ability to do any basic work activity, with symptoms or signs currently attenuated by medication or psychological support, and one of the following:
 - 1. Repeated episodes of decompensation, each of extended duration
 - 2. A residual disease process that has resulted in such marginal adjustment that even a minima increase in mental demands or change in environment would be predicted to cause the individual to decompensate
 - 3. Current history of 1 or more years’ inability to function outside a highly supportive living arrangement with an indication of continued need for such an arrangement.
- Evidence does not establish the “C” Criterion

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2. Complete this section if 12.06 (Anxiety-Related) applies and the requirements in paragraph B of Lising 12.06 are not satisfied.

- Complete inability to function independently outside the area of one’s hoe
- Evidence does not establish the presence of the “C” criterion