OUTLINE AND DESCRIPTION OF RELEVANT TESTS & MEASURES

The Wechsler Adult Intelligence Scales – The Wechsler Adult Intelligence Scales, including the Wechsler Adult Intelligence Scale - 3 (WAIS-3) and the Wechsler Adult Intelligence Scale - 4 (WAIS-4), have played a critical role in our thinking about intelligence, are one of the most frequently used measures in neuropsychological batteries, are considered a core instrument that provides information about the overall level of intellectual functioning as well as the presence and/or absence of significant intellectual disability, and provide clues to altered functioning.

The WAIS-3 and the WAIS-4 provide a number of specific index scores, which are summarised below:

• Full Scale IQ (FSIQ) – provides a measure of overall or general cognitive and intellectual ability.
• The Verbal Comprehension Index (VCI) – provides a measure of verbal expressive, verbal comprehension, and verbal reasoning abilities. It is useful in an overall assessment of language functioning and of the capacity to make sense of and communicate through language.
• The Perceptual Organisation Index (POI) – provides an indication of an individual’s non-verbal reasoning, spatial processing, attentiveness to detail, and visual-motor integration/constructional skills. It is a measure of the ability to effectively apply logic, reasoning, and problem solving abilities to situations that do not necessarily rely on verbal abilities.
• The Working Memory Index (WMI) – provides information regarding an individual’s ability to hold verbal and aurally presented information temporarily in memory for the purpose of using that information to perform a specific task. Working memory (ie. a higher level attentional ability) is an important prerequisite of many cognitive abilities in that inadequate working memory skills will likely affect an individual’s ability to perform other mental operations efficiently.
• The Processing Speed Index (PSI) – provides a measure of an individual’s ability to process simple or routine visual information quickly and efficiently and to perform tasks based on that information.

The Wechsler Memory Scales – The Wechsler Memory Scales, including the Wechsler Memory Scale – 3rd Edition (WMS-3) and the Wechsler Memory Scale – 4th Edition (WMS-4)

are considered to rank first among tests of memory functioning in neuropsychological evaluations. The WMS-3 and the WMS-4 provide eight primary index scores that include:

- **The Auditory Immediate Index (AII)** – provides an indication of an individual’s ability to encode and store novel verbal information that has been orally presented and to retrieve that same information from memory after a brief (immediate) interval.

- **The Visual Immediate Index (VII)** – provides an indication of an individual’s ability to encode and store novel visual information and to retrieve that same information from memory after a brief (Immediate) interval.

- **The Immediate Memory Index (IMI)** – provides an indication of an individual’s overall ability to encode and store novel information, including both verbal and visual information, and to retrieve that information from memory after a brief (immediate) interval.

- **The Auditory Delayed Index (ADI)** – provides an indication of an individual’s ability to retain novel verbal information in memory and to retrieve that same information from memory after a long (delayed) interval. The difference between an individual’s immediate and delayed memory capabilities is an indication of the amount of previously learnt information retained after an interval of time. Substantially lower delayed memory performance, relative to immediate memory capabilities, suggests a rapid rate of forgetting and/or retrieval difficulties.

- **The Visual Delayed Index (VDI)** – provides an indication of an individual’s ability to retain novel visual information in memory and to retrieve that same information from memory after a long (delayed) interval.

- **The Auditory Recognition Delayed Index (ARDI)** – provides an indication of an individual’s ability to remember via recognition auditory information after a long (delayed) interval.

- **The General Memory Index (GMI)** – provides an indication of an individual’s overall delayed memory capacity.

- **The Working Memory Index** – provides an indication of an individual’s ability to remember and manipulate both visually and orally presented information in short-term memory storage.

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The Rey Auditory Verbal Learning Test (RAVLT) – The RAVLT is a widely used test requiring memory for a list of unrelated words presented aurally. It is sensitive to neurological impairment, laterality of brain damage, and memory deficits in a variety of patient groups, and provides useful information regarding potential exaggeration or embellishment of memory complaints.

The Benton Visual Retention Test – 5th Revision (BVRT-5) – The BVRT-5 is a task requiring concentration and memory for a series of geometric designs that also provides useful information regarding visual perception and visuo-constructive abilities. It provides both an Expected Number Correct score and an Error Score that reliably predict cognitive impairment.

The Wisconsin Card Sorting Test (WCST) – The WCST is considered a measure of executive functioning in that it requires strategic planning, organised searching, the ability to use environmental feedback to shift cognitive set, goal-oriented behaviour, and the ability to modulate impulsive responding. It is the most commonly used measure to assess complaints of executive dysfunction, bearing in mind that executive functions are somewhat separable and that different executive functions contribute differently to various complex executive tasks (Miyake, Emerson et al., 2000; Miyake, Friedman et al., 2000).

The Controlled Word Association Test (COWAT) – The COWAT is a widely used word generation task that evaluates spontaneous production of words under restricted search conditions, and is sensitive to cerebral impairment, particularly of the frontal lobes.

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The Rey-Osterrieth Complex Figure Test (RCFT) – The RCFT\textsuperscript{15} is a widely used test\textsuperscript{16} that permits assessment of a variety of cognitive processes including planning, organizational skills, and problem-solving strategies, as well as perceptual motor and episodic memory functions.

The Trail Making Test (TMT) – The TMT\textsuperscript{17} is a widely used measure of attention, visual scanning, visuo-motor speed, and mental flexibility.

The Boston Naming Test – 2 (BNT-2) – The BNT-2 is a widely used test of confrontation naming ability\textsuperscript{18}.

The Peabody Picture Vocabulary Test – 3\textsuperscript{rd} Edition (PPVT-3) – The PPVT-3 is designed to assess receptive vocabulary, or listening comprehension for the spoken word (in standard English), and is one of the oldest and most commonly used standardised tests (Stockman, 2000).

The Barona and Chastain Demographic Formula (BCDF) – The BCDF is a widely used method that allows for the estimation of premorbid intellectual abilities based upon factors such as level of education and previous job status\textsuperscript{19}.

The National Adult Reading Test-2\textsuperscript{nd} Edition (NART-2) – The NART-2 is also a frequently used method for estimating premorbid intelligence that involves a task that is relatively resistant to acquired cognitive dysfunction\textsuperscript{20}.

The Test of Memory Malingering (TOMM) – The TOMM is a symptom validity test, a commonly used paradigm for assessing the validity of concentration and memory complaints,\textsuperscript{21} that involves a systematic method for discriminating between credible and non-credible complaints of concentration and/or memory impairment, and is particularly sensitive to malingered impairment as even severely brain damaged patients would be expected to perform well on this task\textsuperscript{22}. It possesses sufficient validity to meet the Daubert criteria for admissibility of scientific evidence in the courtroom\textsuperscript{23} and provides estimates of effort on neuropsychological testing that take into account genuine neuro-cognitive disturbance\textsuperscript{24}.

age, level of education, language and cultural background, depression, even in severe forms, anxiety, psychosis, medical conditions affecting energy levels, and level of pain.

**The Word Memory Test (WMT)** – The WMT is also a symptom validity test that is commonly used to assess the validity of memory complaints through the immediate and delayed recognition of twenty semantically linked word-pairs. As with the TOMM, the WMT has the appearance of being more difficult than is actually the case, with even severely brain impaired individuals performing well on this task. Moreover, as with the TOMM, the WMT has a strong research and normative basis that satisfies the Daubert criteria for admissibility of scientific evidence in the courtroom and provides estimates of effort on neuropsychological testing that take into account genuine neuro-cognitive disturbance, age, intelligence and educational level, gender, mood disorders, such as depression, anxiety, medical conditions affecting energy levels, and elevated levels of pain.

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NEUROPSYCHOLOGICAL/PSYCHOMETRIC TEST SCORE CRITERIA

Zurich Active defines cognitive impairment based on the severity levels indicated below:

<table>
<thead>
<tr>
<th>Defined term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Severe cognitive impairment</td>
<td>Total and permanent deterioration or loss of cognitive capacity supported by neuropsychometric testing* with test scores of below average reading in all of the following domains:</td>
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<tr>
<td></td>
<td>• Intelligence</td>
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<td></td>
<td>• Attention</td>
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<td>• Memory</td>
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<td>• Language</td>
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<td></td>
<td>• Visuo-spatial</td>
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<tr>
<td></td>
<td>• Executive functioning</td>
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<tr>
<td>Moderate cognitive impairment</td>
<td>Total and permanent deterioration or loss of cognitive capacity supported by neuropsychometric testing* with test scores of below average reading in at least 4 of the following domains:</td>
</tr>
<tr>
<td></td>
<td>• Intelligence</td>
</tr>
<tr>
<td></td>
<td>• Attention</td>
</tr>
<tr>
<td></td>
<td>• Memory</td>
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<td></td>
<td>• Language</td>
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<tr>
<td></td>
<td>• Visuo-spatial</td>
</tr>
<tr>
<td></td>
<td>• Executive functioning</td>
</tr>
<tr>
<td>Mild cognitive impairment</td>
<td>Total and permanent deterioration or loss of cognitive capacity supported by neuropsychometric testing* with test scores of below average reading in at least 2 of the following domains:</td>
</tr>
<tr>
<td></td>
<td>• Intelligence</td>
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<td></td>
<td>• Attention</td>
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<td>• Memory</td>
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<td>• Language</td>
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<td>• Visuo-spatial</td>
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<tr>
<td></td>
<td>• Executive functioning</td>
</tr>
</tbody>
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Where permanency is defined as irreversible and present for a minimum of 6 months and expected to show no improvement or reversibility, whilst on optimal therapy, if appropriate.

Deterioration of functioning would need to be evidenced by higher estimates of premorbid function as demonstrated by higher than below average scores on the BCDF and NART-2.

**Intelligence** – For the purpose of this definition, below average intelligence shall be defined as a WAIS-3/WAIS-4 FSIQ age-corrected Scale Score of 75 or below, allowing for a percentile rank equivalent of 5% of the population or less.

**Attention** – For the purpose of this definition below average attention shall be defined as an age-corrected WMI score of 75 or below, allowing for a percentile rank equivalent of 5% of the population or less, on both the WAIS-3/WAIS-4 and WMS-3/WMS-4, as well as at least one of the following:

- An Expected Number Correct score of 4 or less and/or an Error Score of 8 on the BVRT-5.
- A raw score of 4 or less on both Trial 1 and Trial 6 of the RAVLT.
- A raw score that is below the 10th percentile for age and level of education for Part B of the TMT and below the 20th percentile on Part A.

**Memory** – For the purpose of this definition, below average memory functioning shall be defined as a below average IMI and/or GMI score on the WMS-3/WMS-4 which is equal to a age-corrected Scale Score of 75 or below, as well as at least one of the following:

- An Expected Number Correct score of 4 or less and/or an Error Score of 8 on the BVRT-5.
- A Trial 1 - 5 Total Score and/or a Delayed Recall Score on the RAVLT that is at least 1.5 standard deviation points below the mean (average) for the individual’s age, using Schmidt’s widely used norms (Schmidt, 1996; Strauss et al., 2006, page 786).
- A CFR 3 minute recall score that is at least 1.5 standard deviation points below the mean (average) for the individual’s age.

**Language** – For the purpose of this definition, below average language functioning, assuming that English is the primary language of the individual, shall be defined as a WAIS-3/WAIS-4 VCI age-corrected Scale Score of 75 or below, allowing for a percentile rank equivalent of 5% of the population or less, and/or a BNT Total Number Correct score that is at least 1.5 Standard deviation points below the mean (average) for the individual’s age, and/or A PPVT-3 age determined standard score equivalent of 75 or below.

**Visuo-spatial** – For the purpose of this definition, below average visuo-spatial functioning shall be defined as a WAIS-3/WAIS-4 POI age-corrected Scale Score of 75 or below, allowing for a percentile rank equivalent of 5% of the population or less as well as at least one of the following:

- A WAIS-3/WAIS-4 PSI age-corrected Scale Score of 75 or below.
- An Expected Number Correct score of 4 or less and/or an Error Score of 8 on the BVRT-5.
- RCFT copy score that is at least 1.5 standard deviation points below the mean (average) for the individual’s age.
Executive Functioning – For the purpose of this definition, below average executive functioning shall be defined as a “Number of Categories Completed” score and/or a “Failure to Maintain Set” score that is below the 16th percentile for the individual’s age on the WCST and/or at least two of the following:

- A “Perseverative Responses” score on the WCST that is at or below the 5th percentile for the individual’s age.
- A CFR copy raw score that is below the 10th percentile for the individual’s age.
- A COWAT Total score that is below the 10th percentile for the individual’s age and level of education.
- A raw score that is below the 10th percentile for age and level of education for Part B of the TMT and/or below the 10th percentile on Part A.

Exclusionary criteria include:

- A raw score of 18 or below on Trial 1 of the TOMM and/or a raw score of 44 or below on either Trial 2 or the Retention Trial of the TOMM.
- 82.5% correct or below on any one of the IR, DR, or Consistency Scores of the WMT.
- At least two/three of the following:
  - A WMS-3 Rarely Missed Index (RMI) score of 136 or more.
  - A WMS-3 Faces 1 subtest raw score of 30 or less.
  - Failure to recall the first three words of the list on all learning trials of the RAVLT.
  - A WAIS-3/WAIS-4 Digit Span subtest standard score that is 5 or more standard score points below the Vocabulary subtest score.
  - A “Failure to Maintain Set” score on the WCST of 3 or more.
  - Documented scores and/or behaviour that do not make clinical sense.