



Patient: Lumbar, Lenny (12345)

Date of Birth: 2/3/1977

Date of Onset: 7/1/2007

Date of Test: 10/15/2009

Referral: Dr. Smith

## California Functional Capacity Evaluation

### **Introduction:**

This report is rendered as the result of Mr. Lumbar's participation in a functional capacity evaluation (FCE) which occurred on Thursday, October 15, 2009. This FCE is based on the Dictionary of Occupational Titles-Residual Functional Capacity (DOT-California) Battery. The DOT-California consists of a battery of job related tasks from job factors defined in the Dictionary of Occupational Titles (DOT). The DOT-California battery is one of the few functional capacity evaluations that has been published in peer reviewed journals<sup>1,2</sup>. The DOT-California battery has the distinction of being published in two journals. The importance of publication in a peer reviewed journal cannot be overstated. Unlike the majority of unpublished functional capacity evaluations, the reliability and validity of the DOT-California battery has been established<sup>1,2</sup>.

### **Definitions:**

1. Dictionary of Occupational Titles (DOT) is a U.S. government publication that provides a description of occupational titles for most jobs in the United States, and establishes a strength classification for each of these occupations. These strength classifications are Sedentary, Light, Medium, Heavy, and Very Heavy.
2. Job Factors are specific job related tasks that are defined by the DOT for each occupation. These "job factors" include standing, walking, sitting, lifting, carrying, pushing, pulling, climbing, balancing, stooping, kneeling, crawling, handling, fingering, and feeling.
3. Residual Functional Capacity (RFC) is defined as "the patient's" performance potential for various activities of daily living and vocational tasks.
4. Demand Minimum Functional Capacity (DMFC) is defined as the "least" acceptable level of activity that an individual may possess before returning to work.

### **Overview:**

The California FCE is an extension of the peer reviewed MediGraph FCE. The California FCE is designed to satisfy the standards established by the State, and provide quantification of the specific areas of disability that are revealed during the MediGraph FCE. For example, limitations in crouching or stooping are functional activities that require the engagement of compound/joint muscle recruitment. A person with limited physiological ROM measurements (flexion or extension) may be capable of functional activities such as crouching by substitution or alteration of body mechanics. However, the person with limited physiological measurement may be more susceptible to re-injury. The California FCE requires the measurement of pure motions (flexion or extension), regardless of the client/patients' ability to perform functional tasks such as stooping or crouching. The California FCE also satisfies other required parameters to measure ADL (Barthel and Resumption of activities questionnaires) and co-efficient of variation testing to validate client effort.



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**Residual Functional Capacity Classifications:**

The following statements reflect the functional status of Mr. Lumbar on Thursday, October 15, 2009. All statements pertain directly to the specific criteria for each activity performed under the DOT-California guidelines. The Demand Minimum Functional Capacity classification is stated when indicated:

1. Mr. Lumbar stood for 30 minutes. His standing tolerance meets the Demand Minimum Functional Capacity requirement of standing for 30 minutes continuously.

2. Mr. Lumbar sat for 30 minutes. His sitting tolerance meets the Demand Minimum Functional Capacity requirement of sitting for 30 minutes continuously.

3. Mr. Lumbar's beats per minute prior to walking on treadmill: 56bpm

Mr. Lumbar walked for 1.0 mile. His walking tolerance meets the Demand Minimum Functional Capacity requirement of walking for one mile continuously (@ 2 mph).

4. Mr. Lumbar's has a maximum lifting capacity of 50.0 pounds from waist to shoulder.

Mr. Lumbar's has a maximum lifting capacity of 60.0 pounds from shoulder to overhead.

Mr. Lumbar has a maximum lifting capacity of 30.0 pounds. This places him into the medium category for lifting capacity (as defined by the DOT).

Mr. Lumbar has an occasional lifting capacity (0% to 33% of the workday) of 30.0 pounds. His frequent lifting capacity (34% to 66% of the workday) is 15.0 pounds. His constant lifting capacity (67% to 100% of the workday) is 6.0 pounds.

5. Mr. Lumbar has a maximum carrying capacity of 25.0 pounds. This places him into the medium category for carrying capacity (as defined by the DOT).

Mr. Lumbar has an occasional carrying capacity (0% to 33% of the workday) of 25.0 pounds. His frequent carrying capacity (34% to 66% of the workday) is 12.5 pounds. His constant carrying capacity (67% to 100% of the workday) is 5.0 pounds.

6. Mr. Lumbar has a pushing capacity of 1.0 pounds. His pushing capacity does not meet the Demand Minimum Functional Capacity requirement of 100 pounds.

7. Mr. Lumbar has a pulling capacity of 1.0 pounds. His pulling capacity does not meet the Demand Minimum Functional Capacity requirement of 80 pounds.

8. Mr. Lumbar does meet the Demand Minimal Functional Capacity requirement of standing on a narrow beam for at least 30 seconds.

9. Mr. Lumbar does not meet the Demand Minimal Functional Capacity requirement of crouching on a narrow beam for at least 30 seconds.



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10. Mr. Lumbar does meet the Demand Minimal Functional Capacity requirement of walking on a narrow beam for at least 6 feet.
11. Mr. Lumbar was able to reach for objects in all directions with both arms. His reaching ability does meet the Demand Minimum Functional Capacity requirement of reaching with the left and/or right arm.
12. Mr. Lumbar was able to climb up and down one flight of stairs. Mr. Lumbar does meet the Demand Minimum Functional Capacity requirement of climbing up and down one flight of stairs.
13. Mr. Lumbar's crouching ability does meet the Demand Minimal Functional Capacity requirement of stooping at least 75° while bending both knees.
14. Mr. Lumbar's stooping ability does not meet the Demand Minimum Functional Capacity requirement of flexing the trunk at least 75 degrees.
15. Mr. Lumbar did not meet the Demand Minimal Functional Capacity requirement of kneeling on one knee and on both knees.
16. Mr. Lumbar is unable to crawl on hands and knees, but he is able to crawl on hands and feet. He does not meet the Demand Minimum Functional Capacity requirement of crawling on hands and knees for six feet, but does meet the Demand Minimum Functional Capacity requirement of crawling on hands and feet for six feet.
17. Mr. Lumbar is able to seize an object with either hand. He meets the Demand Minimum Functional Capacity requirement of seizing an object using either hand.
18. Mr. Lumbar is able to hold an object with his left hand, but he is not able to hold an object with his right hand. He does meet the Demand Minimum Functional Capacity requirement of holding an object with the left hand, but he does not meet the Demand Minimum Functional Capacity requirement of holding an object with the right hand.
19. Mr. Lumbar is able to grasp an object with either hand. He meets the Demand Minimum Functional Capacity requirement of grasping an object using either hand.
20. Mr. Lumbar is able to turn an object with either hand. He meets the Demand Minimum Functional Capacity requirement of turning an object using either hand.
21. Mr. Lumbar is able to pick up a nut using all fingers of either hand. He meets the Demand Minimum Functional Capacity requirement of picking up a nut using all fingers of either hand.
22. Mr. Lumbar has a left hand tip pinching capacity of 4.0 pounds. His left hand tip pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 8 pounds.

Mr. Lumbar has a right hand tip pinching capacity of 4.0 pounds. His right hand tip pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 8 pounds.



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23. Mr. Lumbar has a left hand key pinching capacity of 4.0 pounds. His left hand key pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 9 pounds.

Mr. Lumbar has a right hand key pinching capacity of 4.0 pounds. His right hand key pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 9 pounds.

24. Mr. Lumbar has a left hand Palmer (3-Chuck) pinching capacity of 4.0 pounds. His left hand Palmer (3-Chuck) pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 9 pounds.

Mr. Lumbar has a right hand Palmer (3-Chuck) pinching capacity of 4.0 pounds. His right hand Palmer (3-Chuck) pinching capacity does not meet the Demand Minimum Functional Capacity requirement of 9 pounds.

25. Mr. Lumbar is able to recognize different shapes with his hands. He meets the Demand Minimum Functional Capacity requirement of tactile shape recognition without visual assistance.

26. Mr. Lumbar is able to recognize different sizes with his hands. He meets the Demand Minimum Functional Capacity requirement of tactile size recognition without visual assistance.

27. Mr. Lumbar is able to distinguish between hot and cold with his hands. He meets the Demand Minimum Functional Capacity requirement of tactile temperature recognition without visual assistance.

28. Mr. Lumbar is unable to recognize different textures with his hands. He does not meet the Demand Minimum Functional Capacity requirement of tactile texture recognition without visual assistance.

## **Report Summary**

### **Strength Category:**

The Dictionary of Occupational Titles places Mr. Lumbar's occupation as a Service Mechanic in the medium strength category. Therefore, Mr. Lumbar meets these strength requirements and may return to work as a Service Mechanic.

Based on the strength classifications as established by the Dictionary of Occupational Titles, Mr. Lumbar is capable of assuming a position in the medium strength category. His maximum lifting capacity is 30.0 pounds, and his maximum carrying capacity is 25.0 pounds. According to the Dictionary of Occupational Titles, the medium strength category is defined as having the ability to lift 20 to 50 pounds and carry 10 to 25 pounds.



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**Job Factor Restrictions:**

In order for Mr. Lumbar to successfully return to work as a Service Mechanic, the following job factor restrictions must be met:

- No pushing more than 1 pounds. (reference section 6)
- No pulling more than 1 pounds. (reference section 7)
- No balancing activities that require crouching. (reference section 9)
- No stooping. (reference section 14)
- No kneeling on both knees. (reference section 15)
- No crawling on hands and knees. (reference section 16)
- No holding of objects with the right hand. (reference section 18)
- No tip-pinching. (reference section 22)
- No key-pinching. (reference section 23)
- No Palmer-pinching. (reference section 24)
- No tactile texture discrimination. (reference section 28)

**Disability Quantificatons:**

**Mobility:**

Mr. Lumbar was unable to complete the functional mobility portion of the exam. Physiological measurement of range of motion reveals there are limitations in mobility. (Please see Test and Measures grid for further explanation.)

**Dexterity:**

Mr. Lumbar was unable to complete the functional dexterity portion of the exam. The Physiological assessment of The "Grooved Pegboard Test" reveals normal dexterity. (Please see Test and Measures grid for further explanation.)

**Tests and Measures**

Procedure / Area:	Score	Normal	Improvement	Current Deficit
<b>Range of Motion - AAOS - Left Upper Ext</b>				
Left Shoulder Flexion	150.0°	180.0°	Baseline	17%
Left Shoulder Extension	40.0°	50.0°	Baseline	20%
Left Shoulder Abduction	150.0°	180.0°	Baseline	17%
Left Shoulder Adduction	45.0°	50.0°	Baseline	10%
Left Shoulder Internal Rotation	65.0°	70.0°	Baseline	7%
Left Shoulder External Rotation	85.0°	90.0°	Baseline	6%
<b>Range of Motion - AAOS - Right Upper Ext</b>				
Right Shoulder Flexion	150.0°	180.0°	Baseline	17%
Right Shoulder Extension	45.0°	50.0°	Baseline	10%
Right Shoulder Abduction	150.0°	180.0°	Baseline	17%
Right Shoulder Adduction	40.0°	50.0°	Baseline	20%
Right Shoulder Internal Rotation	60.0°	70.0°	Baseline	14%
Right Shoulder External Rotation	80.0°	90.0°	Baseline	11%



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<b>Range of Motion - AAOS - Cervical Spine</b>				
Flexion	23.0°	45.0°	Baseline	49%
Extension	23.0°	45.0°	Baseline	49%
<b>Range of Motion - AAOS - ThoracoLumbar Spine</b>				
Flexion	23.0°	80.0°	-52%	71%
Extension	23.0°	25.0°	130%	8%
<b>Hand Held Dynamometry - Knee</b>				
Left Knee Flexion	21.3 lbs.	N/A	Baseline	N/A
Right Knee Flexion	18.0 lbs.	N/A	Baseline	N/A
Left Knee Extension	12.7 lbs.	N/A	Baseline	N/A
Right Knee Extension	18.0 lbs.	N/A	Baseline	N/A
<b>Pressure Threshold</b>				
Upper Trapezius - Left	7.0 lbs.	10.4 lbs.	Baseline	32%
Upper Trapezius - Right	7.0 lbs.	10.4 lbs.	Baseline	32%
Pectoralis - Left	7.0 lbs.	11.2 lbs.	Baseline	38%
Pectoralis - Right	7.0 lbs.	11.2 lbs.	Baseline	38%
Levator Scapula - Left	7.0 lbs.	11.5 lbs.	Baseline	39%
Levator Scapula - Right	7.0 lbs.	11.5 lbs.	Baseline	39%
Supraspinatus - Left	7.0 lbs.	13.2 lbs.	Baseline	47%
Supraspinatus - Right	7.0 lbs.	13.2 lbs.	Baseline	47%
Teres Major - Left	7.0 lbs.	13.2 lbs.	Baseline	47%
Teres Major - Right	7.0 lbs.	13.2 lbs.	Baseline	47%
Infraspinatus - Left	7.0 lbs.	15.2 lbs.	Baseline	54%
Infraspinatus - Right	7.0 lbs.	15.2 lbs.	Baseline	54%
Deltoid - Left	7.0 lbs.	16.1 lbs.	Baseline	57%
Deltoid - Right	7.0 lbs.	16.1 lbs.	Baseline	57%
Lumbar Paraspinals - Left	8.0 lbs.	17.6 lbs.	Baseline	55%
Lumbar Paraspinals - Right	6.0 lbs.	17.6 lbs.	Baseline	66%
Glute Medius - Left	6.0 lbs.	14.1 lbs.	Baseline	57%
Glute Medius - Right	7.0 lbs.	14.1 lbs.	Baseline	50%
<b>Grooved Pegboard Test</b>				
Dominant Hand Score	40 sec.	66 sec.	Baseline	No Deficit
Non Dominant Hand Score	45 sec.	70 sec.	Baseline	No Deficit
<b>Fregly And Graybiel</b>				
Tandem Stance Score	8 sec.	240 sec.	Baseline	97%
Walk on balance beam (eyes closed)	6 steps	15 steps	Baseline	60%
Stand on balance beam (eyes open)	6 sec.	180 sec.	Baseline	97%
Stand on balance beam (eyes closed)	26 sec.	180 sec.	Baseline	86%
Stand on right leg (eyes closed)	30 sec.	150 sec.	Baseline	80%
Stand on left leg (eyes closed)	30 sec.	150 sec.	Baseline	80%
Walk on floor (eyes closed)	6 steps	30 steps	Baseline	80%
<b>Oswestry Low Back Disability (Modified)</b>				
Low Back Disability	52.0%	0.0%	Baseline	52%
<b>Moberg Pick Up Test</b>				
Left Hand (eyes open) Score	10 sec.	12 sec.	Baseline	No Deficit
Right Hand (eyes open) Score	10 sec.	12 sec.	Baseline	No Deficit
Left Hand (eyes closed) Score	15 sec.	23 sec.	Baseline	No Deficit
Right Hand (eyes closed) Score	15 sec.	22 sec.	Baseline	No Deficit



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**Coefficient of Variation:**

Procedure / Area:	Coefficient of Variation
HHD - Knee - Left Knee Flexion	14%
HHD - Knee - Left Knee Extension	73%
HHD - Knee - Right Knee Flexion	0%
HHD - Knee - Right Knee Extension	0%

<b>Patient Strength Capacities</b>			
<b>Strength Category: Medium</b>			
	<b>Occasional</b>	<b>Frequent</b>	<b>Constant</b>
<b>Lifting</b>	<b>30 pounds</b>	<b>15 pounds</b>	<b>6 pounds</b>
<b>Carrying</b>	<b>25 pounds</b>	<b>13 pounds</b>	<b>5 pounds</b>

**Tom Kane, LPT**

**89898809**

**Provider:**

**License #:**

**Signature:**

**References:**

- 1) Fishbain DA, et al. Measuring residual functional capacity in chronic low back pain patients based on the Dictionary of Occupational Titles, Spine 1994;19(8)872-880.
- 2) Fishbain DA, et al. Validity of the Dictionary of Occupational Titles-Residual Functional Capacity Battery. Clinical Journal of Pain 1999;15(2):102-107.
- 3) U.S. Department of Labor, Employment and Training Administration. Dictionary of Occupational Titles, 4th edition: Supplement. Washington, DC: 1986.