

# Table of Contents

## **CHAPTER 1. OVERVIEW: MENTAL CAPACITY AND THE PROFESSIONAL'S ASSESSMENT ROLE**

- § 1:1 Purposes of this book
- § 1:2 The confused and demented client
- § 1:3 The lawyer's assessment dilemma
- § 1:4 The lawyer's duty to assess competency
- § 1:5 —Ethics rules adopted by the ABA and the ACTEC
- § 1:6 —The Model Code of Professional Responsibility
- § 1:7 —The Model Rules of Professional Conduct
- § 1:8 —ACTEC Commentaries on Model Rules of Professional Conduct
- § 1:9 Pros and cons of making an assessment
- § 1:10 Avoiding legal malpractice
- § 1:11 Definition of incapacitated person
- § 1:12 Guardianship: Protecting the incapacitated person
- § 1:13 Conservatorship: "The protected person"
- § 1:14 Permanent vs. transient capacity or incapacity
- § 1:15 —Definition of an incompetent person
- § 1:16 Seeking judicial protection for the incompetent client
- § 1:17 Dementia and the common medical causes of incapacity

## **CHAPTER 2. LEGAL AND MEDICAL ANALYSIS OF CAPACITY**

- § 2:1 Legal capacity defined and distinguished
- § 2:2 Testamentary capacity
- § 2:3 —Specific vs. general competency to execute a will
- § 2:4 —Variations in requirements for testamentary capacity
- § 2:5 —Effect of an inordinate or unusual disposition
- § 2:6 —Effect of pending conservatorship/guardianship at time of execution on testamentary capacity
- § 2:7 —Distinguishing insane delusion from lack of testamentary or contractual capacity
- § 2:8 —Conclusions regarding testamentary capacity
- § 2:9 Donative capacity
- § 2:10 Contractual capacity
- § 2:11 Decisional capacity
- § 2:12 Informed consent capacity
- § 2:13 Trust capacity

## **CHAPTER 3. CONTESTING OR DEFENDING CAPACITY**

- § 3:1 General analysis of the invalidation contest based on the theory of lack of capacity or undue influence
- § 3:2 Burden of proof
- § 3:3 Presumptions
- § 3:4 Witnesses
- § 3:5 —Lay witnesses
- § 3:6 —Expert witnesses
- § 3:7 —Suggestions for the organization and presentation of expert testimony of the proponent or contestant of the transaction
- § 3:8 Selected issues on contesting capacity
- § 3:9 —Disinterment to establish testamentary capacity
- § 3:10 Undue influence
- § 3:11 —Distinguishing mental deficiency from mental incapacity
- § 3:12 —Effect of a pending guardianship or conservatorship proceeding
- § 3:13 —Prior dispositive provisions
- § 3:14 —Independent correspondence or written materials
- § 3:15 Conclusion

## **CHAPTER 4. PLANNING FOR INCAPACITY**

- § 4:1 Overview on planning for incapacity
- § 4:2 Advance directives
- § 4:3 —Timing on execution of advance directives
- § 4:4 —Living will
- § 4:5 —Durable power of attorney
- § 4:6 —Statutory “consensus” decision making
- § 4:7 Suggestions on documenting and assessing a client’s capacity
- § 4:8 —Scheduling the time of transaction/execution
- § 4:9 —Referral to a physician trained in assessment of mental capacity
- § 4:10 —One-on-one conferences with the client
- § 4:11 —Documentation and more documentation
- § 4:12 —The effect of medications on capacity
- § 4:13 —The educated and informed witness
- § 4:14 —Consider audio or videotaping the Contemplated Act
- § 4:15 —Going slow
- § 4:16 —Safeguards to avoid allegations of undue influence

## **CHAPTER 5. ASSESSMENT OF CAPACITY**

- § 5:1 Assessment of legal capacity
- § 5:2 Introduction to the legal capacity questionnaire
- § 5:3 The legal capacity questionnaire
- § 5:4 Properties of the legal capacity questionnaire

## TABLE OF CONTENTS

- § 5:5 Interpretation of score ranges for the legal capacity questionnaire
- § 5:6 Case studies of the legal capacity questionnaire

## **CHAPTER 6. THE BRAIN: RELATIONSHIP OF STRUCTURE AND FUNCTION**

- § 6:1 Introduction
- § 6:2 The cellular constituents of the brain
- § 6:3 The synapse
- § 6:4 Neurotransmitters
- § 6:5 Neural plasticity and learning
- § 6:6 Topography of the brain
- § 6:7 Central and peripheral nervous systems
- § 6:8 The meninges
- § 6:9 The brainstem and the cranial nerves
- § 6:10 Disorders resulting from injury to the brainstem
- § 6:11 The diencephalon
- § 6:12 The cerebellum
- § 6:13 The basal ganglia
- § 6:14 The limbic system
- § 6:15 The ventricular system
- § 6:16 The cerebral cortex: Cell types and layers
- § 6:17 Cerebral cortex: Basic topography
- § 6:18 Cerebral cortex: Localization of function
- § 6:19 Cortical areas concerned with movement
- § 6:20 Cortical areas concerned with physical sensation (somatosensory areas)
- § 6:21 Cortical areas concerned with vision
- § 6:22 Cortical areas concerned with speech and language
- § 6:23 Cortical areas concerned with the executive functions
- § 6:24 Cortical areas concerned with higher cognitive abilities
- § 6:25 Somatotopic representation in the brain—"Mapping"
- § 6:26 Basic dynamics of the brain
- § 6:27 The corpus callosum/cerebral commissures
- § 6:28 The brain's blood supply
- § 6:29 Hierarchical organization of biological systems
- § 6:30 The brain is a modular, distributed system of networks
- § 6:31 The brain is a self-organizing dynamical system
- § 6:32 Reductionism and materialism
- § 6:33 The organism and its context
- § 6:34 The human organism and its activity are processes
- § 6:35 Behavior has a modular, distributed quality
- § 6:36 The modularity of motor functioning

## **CHAPTER 7. MEDICAL ASSESSMENT OF MENTAL CAPACITY**

- § 7:1 Introduction to the effects of brain injury
- § 7:2 Focal vs. generalized signs and symptoms

- § 7:3 Emotional, perceptual, cognitive, behavioral, and personality change
- § 7:4 Sequelae most likely to affect legal capacity
- § 7:5 The clinical neurologic examination
- § 7:6 Mental status examination
- § 7:7 Cognitive and neuropsychologic examination
- § 7:8 Areas of cognitive assessment
- § 7:9 Structural brain imaging: CT and MRI
- § 7:10 Metabolic brain imaging: PET, SPECT, and functional MRI
- § 7:11 Electroencephalography
- § 7:12 Angiography
- § 7:13 Lumbar puncture
- § 7:14 Recovery from brain damage

## **CHAPTER 8. DISEASES AND DISORDERS AFFECTING THE BRAIN**

- § 8:1 Head trauma
- § 8:2 Progressive neurologic diseases of young and middle adulthood
- § 8:3 Epilepsy
- § 8:4 Infectious diseases
- § 8:5 The brain and normal aging
- § 8:6 Sensory changes in normal aging
- § 8:7 Brain disorders secondary to medical illness
- § 8:8 Diabetes mellitus, chronic obstructive pulmonary disease, hypertension, endocrine disorders, and autoimmune disease
- § 8:9 Iatrogenic disorders among the elderly
- § 8:10 Brain tumors
- § 8:11 Alcoholism
- § 8:12 Cerebrovascular disease
- § 8:13 Alzheimer's disease and related disorders
- § 8:14 Delirium and potentially reversible dementias
- § 8:15 Psychiatric disorders

## **CHAPTER 9. TREATMENT OF ORGANIC BRAIN DAMAGE**

- § 9:1 General considerations
- § 9:2 Psychoactive medications
- § 9:3 Thyroid hormone
- § 9:4 Vitamin B<sub>12</sub> (cobalamine)
- § 9:5 Anticoagulant therapy
- § 9:6 Psychiatric care
- § 9:7 Oxygen
- § 9:8 Newer drugs for alzheimer's disease
- § 9:9 Electroconvulsive therapy (ECT)
- § 9:10 Iatrogenic dementia

TABLE OF CONTENTS

§ 9:11 Summary and discussion

**APPENDICES**

- Appendix A. State-by-State Case Law on Presumptions and Burdens of Proof Regarding Mental Capacity
- Appendix B. State-by-State Case Law Criteria for Testamentary Capacity
- Appendix C. State-by-State Case Law Criteria for Donative Capacity
- Appendix D. State-by-State Case Law Criteria for Contractual Capacity
- Appendix E. State-by-State Case Law for Undue Influence

**Bibliography**

**Table of Cases**

**Index**