

First Name: \_\_\_\_\_ Middle Initial: \_\_\_\_\_ Last Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Phone: \_\_\_\_\_

Social Security #: \_\_\_\_\_ Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_

Marital Status: ☐ M ☐ S ☐ W ☐ D Gender: ☐ Male ☐ Female

Payment Method: ☐ Medicare # \_\_\_\_\_ ☐ Self Pay ☐ Medicaid Pending ☐ Medicaid #: \_\_\_\_\_

Current Living Situation: ☐ NF ☐ Hospital ☐ Homeless ☐ Home with Family ☐ Home alone ☐ Group home  
☐ Other \_\_\_\_\_

Current Location: \_\_\_\_\_ Admission Date: \_\_\_\_\_ ☐ N/A

☐ Medical Facility ☐ Psychiatric Facility ☐ Nursing Facility ☐ Hospital ED ☐ Community ☐ Other: \_\_\_\_\_

Location Street Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Admitting Nursing Facility: \_\_\_\_\_ Date Admitting: \_\_\_\_/\_\_\_\_/\_\_\_\_

Admitting Nursing Facility Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Review Type: ☐ Preadmission ☐ Status Change ☐ Conclusion of a Time Limited Approval

## Section I: MENTAL ILLNESS

<p><b>1. Does the individual have any of the following Major Mental Illnesses (MMI)?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Suspected: One or more of the following diagnoses is suspected (check all that apply)</p> <p><input type="checkbox"/> Yes: (check all that apply)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Schizophrenia</li> <li><input type="checkbox"/> Schizoaffective Disorder</li> <li><input type="checkbox"/> Major Depression</li> <li><input type="checkbox"/> Psychotic/Delusional Disorder</li> <li><input type="checkbox"/> Bipolar Disorder (manic depression)</li> <li><input type="checkbox"/> Paranoid Disorder</li> </ul>	<p><b>2. Does the individual have any of the following mental disorders?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Suspected: One or more of the following diagnoses is suspected (check all that apply)</p> <p><input type="checkbox"/> Yes: (check all that apply)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Personality Disorder</li> <li><input type="checkbox"/> Anxiety Disorder</li> <li><input type="checkbox"/> Panic Disorder</li> <li><input type="checkbox"/> Depression (mild or situational)</li> </ul>	<p><b>3.a Does the individual have a diagnosis of a mental disorder that is not listed in #1 or #2? (do not list dementia here)</b></p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (if yes, list diagnosis(es) below):</p> <p><input type="checkbox"/> Diagnosis 1: _____</p> <p><input type="checkbox"/> Diagnosis 2: _____</p> <p><b>3.b. Does the individual have a substance related disorder?</b></p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes (if yes, complete remaining questions in this section)</p> <p><b>b.1 List substance related diagnosis(es)</b></p> <p>Diagnosis _____ Diagnosis _____</p> <p>Diagnosis _____ Diagnosis _____</p> <p><b>b.2 Is NF need associated with this diagnosis?</b></p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p><b>b.3 When did the most recent substance use occur?</b></p> <p><input type="checkbox"/> Less than 7 days <input type="checkbox"/> 7-14 days <input type="checkbox"/> 15-30 days</p> <p><input type="checkbox"/> 31 days-3 months <input type="checkbox"/> 4-6 months <input type="checkbox"/> 7-12 months</p> <p><input type="checkbox"/> Greater than 12 months <input type="checkbox"/> Unknown</p>
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## Section II: SYMPTOMS

<p><b>4. Interpersonal—Currently or in the past, has the individual exhibited interpersonal symptoms or behaviors [not due to a medical condition]?:</b> <input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Serious difficulty interacting with others</p> <p><input type="checkbox"/> Altercations, evictions, or unstable employment</p> <p><input type="checkbox"/> Frequently isolated or avoided others or exhibited signs suggesting severe anxiety or fear of strangers</p> <p>If yes, how recent:</p> <p><input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months</p> <p><input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years</p> <p><input type="checkbox"/> Greater than 5 years</p>	<p><b>5. Concentration/Task related symptoms—Currently or in the past, has the individual exhibited any of the following symptoms or behaviors [not due to a medical condition]?</b></p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Serious difficulty completing tasks that she/he should be capable of completing</p> <p><input type="checkbox"/> Required assistance with tasks for which s/he should be capable</p> <p><input type="checkbox"/> Substantial errors with tasks in which she/he completes</p> <p>If yes, how recent:</p> <p><input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months</p> <p><input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years</p> <p><input type="checkbox"/> Greater than 5 years</p>
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**Adaptation to change—Currently or in the past, has the individual exhibited any symptoms in #6, 7, or 8 related to adapting to change?** ☐ No (proceed to Section III) ☐ Yes (complete 6-8)

Last Name _____		First Name _____	DOB _____
6. <input type="checkbox"/> Self-injurious or self-mutilation <input type="checkbox"/> Suicidal talk <input type="checkbox"/> History of suicide attempt or gesture <input type="checkbox"/> Physical violence <input type="checkbox"/> Physical threats (with potential for harm)	7. <input type="checkbox"/> Severe appetite disturbance <input type="checkbox"/> Hallucinations or delusions <input type="checkbox"/> Serious loss of interest in things <input type="checkbox"/> Excessive tearfulness <input type="checkbox"/> Excessive irritability <input type="checkbox"/> Physical threats (no potential for harm)	8. <input type="checkbox"/> Other major mental health symptoms (this may include recent symptoms that have emerged or worsened as a result of recent life changes as well as ongoing symptoms. Describe Symptoms: _____)	
If yes, how recent: <input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months <input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years <input type="checkbox"/> Greater than 5 years	If yes, how recent: <input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months <input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years <input type="checkbox"/> Greater than 5 years	If yes, how recent: <input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months <input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years <input type="checkbox"/> Greater than 5 years	

<b>Section III: HISTORY OF PSYCHIATRIC TREATMENT</b>	
9. Currently or in the past, has the individual received any of the following mental health services? <input type="checkbox"/> No <input type="checkbox"/> Yes (the individual has received the following service[s]): <input type="checkbox"/> Inpatient psychiatric hospitalization (if yes, provide date: _____) <input type="checkbox"/> Partial hospitalization/day treatment (if yes, provide date: _____) <input type="checkbox"/> Residential treatment (if yes, provide date: _____) <input type="checkbox"/> Other: _____ (if yes, provide date: _____)  If yes, how recent: <input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months <input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years <input type="checkbox"/> Greater than 5 years	10. Currently or in the past, has the individual experienced significant life disruption because of mental health symptoms? <input type="checkbox"/> No <input type="checkbox"/> Yes (check all that apply): <input type="checkbox"/> Legal intervention due to mental health symptoms (date: _____) <input type="checkbox"/> Housing change because of mental illness (date: _____) <input type="checkbox"/> Suicide attempt or ideation (date[s] _____) <input type="checkbox"/> Current Homelessness <input type="checkbox"/> Homelessness within the past 6 months but not current <input type="checkbox"/> Other: _____ (date: _____) If yes, how recent: <input type="checkbox"/> Current or within past 30 Days <input type="checkbox"/> 2-6 months <input type="checkbox"/> 7-12 months <input type="checkbox"/> 13-24 months <input type="checkbox"/> 25 months-5 years <input type="checkbox"/> Greater than 5 years
11. Has the individual had a recent psychiatric/behavioral evaluation? <input type="checkbox"/> No <input type="checkbox"/> Yes (date: _____)	

<b>Section IV: DEMENTIA</b>	
12. Does the individual have a primary diagnosis of dementia or Alzheimer's disease? <input type="checkbox"/> No (proceed to 14) <input type="checkbox"/> Yes <input type="checkbox"/> No, the individual has dementia but it is not primary (proceed to 14)	13. If yes to #12, is corroborative testing or other information available to verify the presence or progression of the dementia? <input type="checkbox"/> No <input type="checkbox"/> Yes (check all that apply): <input type="checkbox"/> Dementia work up <input type="checkbox"/> Comprehensive Mental Status Exam <input type="checkbox"/> Other (specify): _____

<b>Section V: PSYCHOTROPIC MEDICATIONS</b>			
14. Has the individual been prescribed psychoactive (mental health) medications now or within the past 6 months? <input type="checkbox"/> No <input type="checkbox"/> Yes (list below) [use separate sheet if necessary]			
Medication	Dosage MG/Day	Diagnosis	Discontinued
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

<b>VI: INTELLECTUAL &amp; DEVELOPMENTAL DISABILITIES</b>	
15. Does the individual have a diagnosis of intellectual disability (ID)? <input type="checkbox"/> No <input type="checkbox"/> Yes	16. Does the individual have presenting evidence of ID that has not been diagnosed? <input type="checkbox"/> No <input type="checkbox"/> Yes
17. Is there evidence of a cognitive or developmental impairment that occurred prior to age 18? <input type="checkbox"/> No <input type="checkbox"/> Yes	18. Has the individual ever received services from an agency that serves people with ID? <input type="checkbox"/> No <input type="checkbox"/> Yes Agency: _____

Last Name

First Name

DOB

**19. Does the individual have a diagnosis which affects intellectual or adaptive functioning?**

☐ No ☐ Yes – (Specify)

☐ Autism ☐ Epilepsy ☐ Blindness

☐ Cerebral Palsy

☐ Closed Head Injury ☐ Deaf

☐ Other: \_\_\_\_\_

**21. If yes to #19, did this condition develop prior to age 22?** ☐ No ☐ Yes

**20. Are there substantial functional limitations in any of the following?** ☐ No ☐ Yes (Specify)

☐ Mobility ☐ Self-Care

☐ Self-Direction ☐ Learning

☐ Understanding/Use of Language

☐ Capacity for living independently

**VII: EXEMPTION AND CATEGORICAL DECISIONS (SECTION VII APPLIES ONLY TO PERSONS WITH KNOWN OR SUSPECTED MI AND/OR ID/RC)**

(with the exception of Provisional Emergency, Maximus must approve use of categories and exemptions prior to admission)

**22. \*Does the admission meet criteria for 30 day Exempted Hospital Discharge?** ☐ No ☐ Yes, meets all the following criteria:

- Admission to NF directly from hospital after receiving acute medical care
- Need for NF is required for the condition treated in the hospital; Specify diagnosis(es) \_\_\_\_\_

- The attending physician has certified prior to NF admission the individual will require less than 30 calendar days of NF services
- There is no current risk to self or others and behaviors/symptoms are stable

\*The NF must update the Level I and complete a NF Level of Care screens at such time that it appears the individual's stay will exceed 30 days. Screens must be updated by or before the 30<sup>th</sup> calendar day.

**23. \*\*Does the admission meet criteria for provision emergency or provisional delirium?** ☐ No ☐ Yes, meets the following criteria:

- ☐ **Provisional Emergency:** The individual has been identified as having a Level II condition, there is an urgent need for NF services due to the individual's medical needs (excludes need associated with psychiatric conditions alone), lower level of care is not available and/or appropriate, and the authorization was provided by an appropriate state employee or authorized designee (Ombudsman, Protective Services Worker, DSS, DDS, or the entity assigned by DSS to approve/authorize categorical decisions). The admitting NF must notify Maximus, via submission of this form, within one business day of the individual's admission under this category.
- The admitting NF must submit a LOC form to Maximus for review
- The admission must be initiated by an authorized entity. Identify name and contact information of authorized entity.
- There is no current risk to self or others and behaviors/symptoms are stable

Authorized Entity Name \_\_\_\_\_ Phone \_\_\_\_\_ Address \_\_\_\_\_

City \_\_\_\_\_ Zip \_\_\_\_\_

- ☐ **Provisional Delirium:** presence of delirium precluded the ability to make accurate diagnosis and records supporting the dementia state must accompany this screen).

\*\*The NF must update the Level I and NF Level of Care screen by or before the 7<sup>th</sup> calendar day if the individual is expected to remain in the NF.

**24. Does the individual meet the following criteria for Respite admission for up to 30 calendar days:**

☐ No ☐ Yes, meets the following criteria:

**\*Respite:**

- The individual requires respite care for up to 30 calendar days to provide relief to the family or caregiver
- The referral source must submit a Level of Care (LOC) form which must be approved by Maximus before the admission can occur
- There is no current risk to self or others and behaviors/symptoms are stable

\*The NF must update the Level I and NF Level of Care screens at such time that it appears the individual's stay will exceed 30 days. Screens must be update by or before the 30<sup>th</sup> calendar day.

**25. Does the individual meet the following criteria for convalescent care for up to 60 calendar days:** ☐ No

☐ Yes, meets the following criteria:

**\*Convalescent care:**

- Admission to NF directly from hospital after receiving acute medical care
- Need for NF is required for the condition treated in the hospital; Specify diagnosis(es) \_\_\_\_\_

The attending physician has certified prior to NF admission the individual will require less than 60 calendar days of NF services

- There is no current risk to self or others and behaviors/symptoms are stable

\*The NF must update the Level I and complete a NF Level of Care screens at such time that it appears the individual's stay will exceed 60 days. Screens must be updated by or before the 60<sup>th</sup> calendar day.

26. \*\*\* Does the individual meet one of the following criteria for categorical NF approval as a result of terminal state or severe illness?:

☐ No

☐ Yes, meets the following criteria:

☐ **Terminal Illness:**

▪ Prognosis if life expectancy of  $\leq$  6 months (records supporting the terminal state must accompany this screen)

▪ There is no current risk to self or others and behaviors/symptoms are stable

☐ **Severe Illness:**

▪ Coma, ventilator dependent, brain-stem functioning, progressed ALS, progressed Huntington's, etc. so severe that the individual would be unable to participate in a program of specialized care associated with his/her MI and/or ID/RC. (Documentation of the individual's medical status must accompany this screen.)

▪ There is no current risk to self or others and behaviors/symptoms are stable

\*\*\*The NF must update the Level I and NF Level of Care screens if the individual's medical state improves to the extent that s/he could potentially benefit from a program of services to address his/her MI and/or ID/RC needs.

Section VIII: Guardianship & Physician Information (Required only for individuals with known or suspected Level II conditions)

27. Does the individual have a legal representative/guardian?

☐ No legal representative/Conservator/guardian.

☐ Yes, information is below:

Legal Representative Last Name\_\_\_\_\_ First Name\_\_\_\_\_

Phone:\_\_\_\_\_

Street\_\_\_\_\_ City\_\_\_\_\_ State\_\_\_\_\_ Zip\_\_\_\_\_

28. Primary Physician's Name:\_\_\_\_\_ Phone:\_\_\_\_\_ Fax:\_\_\_\_\_

Street\_\_\_\_\_ City\_\_\_\_\_ State\_\_\_\_\_ Zip\_\_\_\_\_

Section IX: REFERRAL SOURCE SIGNATURE: *By entering my name and credentials, I attest that I am the person who completed this form. I understand that CT DSS considers knowingly submitting inaccurate, incomplete, or misleading LOC information to be Medicaid fraud.*

Print Name:	Signature:	Date:     /     /
Agency/Facility:	Phone:	Fax:

Maximus Use Only: Reviewer Individualized Service Recommendations (applies if categorical approval [#22-25] was issued.

☐ Evaluate psychopharmacologic medications

☐ Training in ADLs

☐ Other (specify) \_\_\_\_\_

☐ Supportive counseling

☐ Explore/prepare for lower level of care

☐ Training in self-health care \_\_\_\_\_

☐ Medication education

☐ management

☐ Obtain prior behavioral health records \_\_\_\_\_

☐ Foreign language services

☐ to clarify need

☐ No recommendations at this time

The outcome will be reflected on the computerized screen.