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POLICY: 1106, Pre-Admission Screening and Resident Review (PASRR)

1. PURPOSE:

To establish guidelines for the use of the Pre-Admission Screening and Resident Review (PASRR) for all persons being admitted to Medicaid certified nursing facilities (NFs).

2. TERMS:

Definitions for terms are located online at <http://www.azdhs.gov/bhs/definitions/index.php>. The following terms are referenced in this section:

Mental Retardation (MR)¹

Nursing Facility (NF)

Resident Review

Serious Mental Illness

Specialized Services (pertaining to a Serious Mental Illness)

3. PROCEDURES:

a. The PASRR screening consists of a two-stage identification and evaluation process and is conducted to assure appropriate placement and treatment for those identified with Serious Mental Illness (SMI) and/or Mental Retardation (MR).

i PASRR Level I screenings are used to determine whether the person has any diagnosis or other presenting evidence that suggests the potential presence of SMI and/or MR.

ii PASRR Level II evaluations are used to confirm whether the person indeed has SMI and/or MR. If the person is determined to have SMI and/or MR, this stage of the evaluation process determines whether the person requires the level of services in a NF and/or specialized services (inpatient/hospital psychiatric treatment).

b. Medicaid certified NFs must provide PASRR Level I screening, or verify that screening has been conducted, in order to identify SMI and/or MR prior to initial admission of persons to a nursing facility bed that is Medicaid certified or dually certified for Medicaid/Medicare.

c. PASRR Level I screenings

i See [AHCCCS Medical Policy Manual \(AMPM\) Exhibit 1220-1, PASRR Level I Screening Document and instructions](#).

ii PASRR Level I screenings can be performed by the following professionals:
(1) Arizona Long Term Care System (ALTCS) Pre-Admission Screening (PAS) assessors, or case managers;
(2) Hospital discharge planners;
(3) Nurses;
(4) Social workers; or
(5) Other NF staff who have been trained to conduct the Level I PASRR screening and make Level II PASRR referrals.

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- iii ALTCS PAS assessors or case managers may conduct Level I PASRR screenings, but it is the ultimate responsibility of the facility where the member is located to ensure that the Level I and Level II PASRR is completed prior to the member being admitted into the receiving NF.
 - iv A PASRR Level I screening is not required for readmission of persons who were hospitalized and are returning to the NF, or for inter-facility transfers from another NF, if there has not been a significant change in their mental condition. The PASRR Level I screening form and PASRR Level II evaluation must accompany the readmitted or transferred person.
 - v A PASRR Level I screening is required if a person is being admitted to a NF for a convalescent period, or respite care, not to exceed 30 days. If later it is determined that the admission will last longer than 30 days, a new PASRR Level I screening is required. The PASRR Level II evaluation must be done within 40 calendar days of the admission date.
- d. Upon completion of a PASRR Level I screening, documents are forwarded to the PASRR Coordinator within the ADHS/DBHS Bureau of Quality Management Operations. If necessary, referrals for a PASRR Level II evaluation to determine if a person has a SMI diagnosis (See [Policy Attachment 106.1, Serious Mental Illness \(SMI\) Qualifying Diagnosis](#)) are forwarded to the ADHS/DBHS Office of the Medical Director. Alternatively, referrals for a PASRR Level II evaluation are forwarded to the Arizona Department of Economic Security/Division of Developmental Disabilities (ADES/DDD) PASRR Coordinator to determine if a person has Intellectual Disability (formerly known as mental retardation). For dually diagnosed persons (both SMI and MR), referrals for a PASRR Level II evaluation are forwarded to both ADES/DDD and ADHS/DBHS.
- e. When a PASRR Level I screening is received by ADHS/DBHS, the PASRR Coordinator reviews it and, if needed, consults with the ADHS/DBHS Medical Director or designee (must be a Board-eligible or Board-certified psychiatrist and have an unrestricted, active license to practice medicine in Arizona) to determine if a PASRR Level II evaluation is necessary. If it is determined that a PASRR Level II evaluation should be conducted, the PASRR coordinator must:
- i Forward copies of the PASRR Level I screening and any other documentation to the RBHA; and
 - ii Send a letter to the person/legal representative that contains notification of the requirement to undergo a Level II PASRR evaluation.
- f. RBHAs must develop an administrative process for conducting PASRR Level II evaluations and must ensure that:
- i If the person is awaiting discharge from a hospital, the evaluation should be completed within 3 working days and all PASRR Level II evaluations must be completed within 5 working days of receipt of the PASRR Level I screening; and,

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- ii The criteria used to make the decision about appropriate placement are not affected by the availability of placement alternatives.
- g. The PASRR Level II evaluation includes the following criteria:
 - i The evaluation report must include the components of the PASRR Level II Form ([Policy Form 1106.2, Level 2 PASRR Psychiatric Evaluation](#));
 - ii The evaluation must be performed by a physician who is a Board-eligible or Board-certified psychiatrist and has an unrestricted, active license to practice medicine in Arizona;
 - iii The evaluation can only be performed by a psychiatrist who is independent of and not directly responsible for any aspect of the care or treatment of the person being evaluated;
 - iv The evaluation and notices must be adapted to the cultural background, language, ethnic origin, and means of communication used by the individual being evaluated;
 - v The evaluation must involve the individual being evaluated, the individual's legal representative, if one has been designated under state law, and the individual's family, if available and if the individual or the legal representative agrees to family participation;
 - vi Evaluators may use relevant evaluative data, obtained prior to initiation of preadmission screening or resident reviews, if the data are considered valid and accurate and reflect the current functional status of the individual. However, in the case of individualized evaluations, to supplement and verify the currency and accuracy of existing data, the State's PASRR program may need to gather additional information necessary to assess proper placement and treatment.
 - vii The evaluation report must include the PASRR Invoice ([Policy Form 1106.3](#)).
- h. The ADHS/DBHS Medical Director or designee reviews all evaluations and makes final Level II placement determinations prior to the proposed/current placement.
- i. ADHS/DBHS must provide copies of the completed PASRR Level II evaluation to the referring agency, Arizona Health Care Cost Containment System, Division of Health Care Management (AHCCCS/DHCM) PASRR Coordinator, facility, primary care provider, and person/legal representative.
- j. Cease process and documentation
 - i If at any time in the PASRR process it is determined that the person does not have a SMI, or has a principal/primary diagnosis identified as an exemption in the Level I screening, the evaluator must cease the PASRR process of screening and evaluation and document such activity.
- k. ADHS/DBHS reviews each person determined to have a SMI on an annual basis, or when a significant change in the resident's physical or mental condition has been noted

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in order to ensure the continued appropriateness of nursing home level of care and the provision of appropriate behavioral health services.

- I. ADHS/DBHS shall report monthly to AHCCCS concerning the number and disposition of residents (1) not requiring nursing facility services, but requiring specialized services for SMI, (2) residents not requiring nursing facility services or specialized services for SMI, and (3) any appeals activities and dispositions of appeal cases.
- m. Per [42 C.F.R. 483.118\(b\)\(1 and 2\)](#), ADHS/DBHS will work with the facility to arrange for the safe and orderly discharge of the resident. The facility in accordance with [42 C.F.R.483.12\(a\)](#) will prepare and orient the resident for discharge.
- n. Per [42 C.F.R. 483.118 \(c\) \(i-iv\)](#), ADHS/DBHS will work with the facility to provide an alternative disposition plan for any residents who require specialized services and who have continuously resided in a NF for at least 30 months prior to the determination as defined in [42 C.F.R. 483.120](#). ADHS/DBHS, in consultation with the resident's family or legal representative and caregivers, offer the resident the choice of remaining in the facility or of receiving services in an alternative appropriate setting.
- o. The ADHS//DBHS Level II PASRR evaluation form includes the recommendations of services for lesser intensity by the evaluating Psychiatrist as per [42 C.F.R.483.120,128\(h\)\(i\) \(4 and 5\)](#).
- p. The ADHS/DBHS Medical Director or designee (must be a Board-eligible or Board-certified psychiatrist and have an unrestricted, active license to practice medicine in Arizona) will determine if the person requires nursing facility level of care and if specialized services are needed based on individualized evaluations or advance group determinations in accordance with [42 C.F.R. § 483.130-134](#). Individual evaluations or advance group determinations may be made for the following circumstances:
 - i The person has been diagnosed with a terminal illness; or
 - ii Severe physical illness results in a level of impairment so severe that the person could not benefit from specialized services. The person will be reassessed when notified by the nursing facility of an improvement in their condition; and
 - iii Other conditions as listed in [42 C.F.R. § 483.130-134](#).
- q. Appeal and notice process specific to PASRR evaluations
 - i ADHS/DBHS shall send a written notice no later than three (3) working days following a PASRR determination in the context of either a preadmission screening or resident review that adversely affects a Title XIX/XXI eligible person.
 - ii Appeals shall be processed, consistent with the requirements in [Policy 1801, Title XIX/XXI Notice and Appeal Requirements](#), and [Policy 1804, Notice and Appeal Requirements \(SMI and Non-SMI/Non-Title XIX/XXI\)](#).

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- iii The RBHA must provide ADHS/DBHS with any requested information, and to make available witnesses necessary to assist with the defense of the decision on appeal, in the event that a person appeals the determination of the PASRR evaluation.

- r. Retention
 - i RBHAs must retain case records for all Level II evaluations for a period of 6 years in accordance with [A.R.S. § 12-2297](#).
 - ii RBHAs must permit authorized ADHS/DBHS personnel reasonable access to files containing the reports received and developed.

- s. Training
 - i Training will be provided to psychiatrists and any other medical professionals that conduct Level II evaluations as needed.

4. REFERENCES:

[42 C.F.R. § 483.100-138](#)

[A.R.S. § 12-2294](#)

[A.R.S. § 12-2297](#)

[9 A.A.C. 34 Article 2](#)

[AHCCCS Medical Policy Manual, Chapter 1200](#)

[Policy 106, Serious Mental Illness Determination](#)

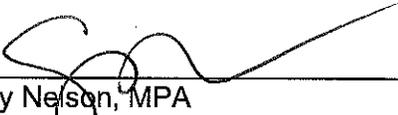
[Policy 1801, Title XIX/XXI Notice and Appeal Requirements](#)

[Policy 1804, Notice and Appeal Requirements \(SMI and Non-SMI/Non-Title XIX/XXI\)](#)

[American Association on Intellectual and Developmental Disabilities](#)

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