

Considerations for Submission of SMI Evaluations

CRN is committed to making well-informed, accurate, and timely SMI Determinations, with maintaining fidelity of SMI criteria, and with collaborating with providers to make this process as transparent as possible. The points below are designed to assist providers in submitting a thorough evaluation so that this commitment can be met.

- Double check to ensure that ALL required forms are complete, signed, and dated prior to submission. Failure to do so may delay the determination
- If a behavioral health technician or other unlicensed assessor completes the evaluation, ensure that the appropriate supervisor reviews evaluation and signs off before submitting
- While an assessment is up to 6 months old, it may not reflect current symptoms and functioning, please submit a more recent assessment
 - We strongly advise you to use the behavioral health assessment created by the RHBA, as it was created to capture relevant information needed to make a determination
- Submit treatment records if you have them, including the most recent psychiatric evaluation
- It may be beneficial to extend (“pend”) the decision/determination in order to obtain additional records or to secure a face-to-face meeting or for 90 days to clarify recent substance abuse issues
 - Please attempt to provide the above options on the 3 Day Waiver form
- In order to be determined eligible for SMI benefits, the criteria, as defined by AZ DBHS, must be well documented
 - There must be at least one SMI qualifying diagnosis in which the symptoms documented are consistent with the diagnostic criteria and information in the assessment and records
 - While you may list the actual DSM-IV diagnostic criteria that the individual meets, be sure to also include specific examples of symptoms, behaviors, quotes, and provider/assessor observations
 - Include type, onset, frequency, duration, and severity. In other words, explain how the symptoms are manifested in this individual
 - Be as detailed as possible and avoid vague terms (i.e. “mood swings”)
 - If a person has an SMI qualifying diagnosis with an “NOS” specifier (i.e. Mood Disorder NOS, Psychotic Disorder NOS, etc), please explain why a more specific diagnosis has not been given and what other diagnoses the provider may need to rule out or consider
 - There must be at least one area of Functional Impairment that is due to the Qualifying Diagnosis (for at least 12 months or 6 months with an expected continued duration of another 6 months)
 - Explain how the diagnosis is directly linked to the impairment **and** how the duration criterion is met
 - If the person has additional conditions that are not SMI Qualifying Diagnoses (including but not limited to: Substance Abuse/Dependence, a head injury or TBI, Chronic Pain, a Pervasive Developmental Disorder, Mental Retardation, Eating Disorder, Antisocial Personality Disorder, Conduct Disorder, ADHD, Mood Disorder due to General Medical Condition, Adjustment Disorder, incarceration/legal issues, other stressors), then please explain how their functional impairment is primarily caused by the qualifying SMI diagnosis and not those other conditions or stressors
- If there is a history of (or current) substance abuse, explain whether there is evidence of periods of sustained sobriety and persistence of symptoms and functional impairment during those periods
 - Submit UDS results as well
- Explain the individual’s treatment history
 - What has been successful?

- Can the individual obtain services through a GMH/SA provider?
 - If so, what services does the treating provider believe the person requires that the GMH/SA provider cannot offer?
- Explain clearly the history of DTS/DTO behaviors, hospitalizations/COE/COT, and family history of mental illness
- Occasionally, providers may be asked to submit an SMI Evaluation for an individual even when the provider does not believe that SMI criteria are fully supported at that time
 - Please ensure that you document this accurately and explain the reason for the referral

We are here to help in this process; please contact us if you have any questions or need technical assistance