

# Referral for Applied Behavior Analysis

**This resource is provided as a guide and courtesy only. Providers are not required to use this resource, the included checklists, sample treatment plan, or the sample treatment plan update.**

As part of the Comprehensive Autism Care Demonstration, TRICARE requires a complete referral for Applied Behavior Analysis (ABA) that includes a definitive diagnosis of ASD from an approved ASD diagnosing provider (Primary Care Manager (PCM)) or specialized ASD diagnosing provider, to include a validated assessment tool and results submitted to the contractor. The DSM criteria must be documented in the DSM-5 diagnostic checklist. The complete referral must be submitted and approved prior to the commencement of ABA services.

This instruction outlines the minimum documentation criteria required for the initial and reauthorization requests for ABA services submitted to Humana Military. Providers are not required to use this form; however failure to provide necessary clinical information may result in delays, terminations of authorized care, and denials for pended claims. For complete guidance, please reference *TRICARE Operations Manual, Chapter 18, Section 4*.

Patient name: \_\_\_\_\_

DOB (mm-dd-yyyy): \_\_\_\_\_ DoD benefit #: \_\_\_\_\_

Referring provider: \_\_\_\_\_

Tax ID/NPI: \_\_\_\_\_

ASD diagnosis including symptom severity level:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Medical/Psychological co-morbidities: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Initial ASD diagnosis date: \_\_\_\_\_

**Note:** If the beneficiary was first diagnosed with ASD at age eight years or older a specialized ASD diagnosing provider evaluation is required.

If patient is dependent of service member, is he/she registered in Extended Care Health Option (ECHO)?  Yes  No

Service(s) requested:

Units	Frequency (per day/ week/month)	CPT code	Description
		97151	Includes behavior identification assessment and treatment plan, to include 1 one unit for each completed outcome measures. Outcome measures include the PDDBI, PSI/SIPA, Vineland-3 and SRS-2.

**Note:** Please review the *TRICARE Operations Manual* and the CPT Code crosswalk for any maximum units billed or frequency limitations.

# Clinical diagnosis: DSM-5 diagnostic checklist

Patient name: \_\_\_\_\_ DOB: \_\_\_\_\_ Sponsor ID: \_\_\_\_\_

DSM-5 criteria	Autism Spectrum Disorder		
<b>Note:</b> If the individual has a well-established DSM-IV diagnosis of autistic disorder, Asperger's disorder, or PDD-NOS, please check this box. Complete the below checklist to reclassify the previous diagnosis to Autism Spectrum Disorder.	<input type="checkbox"/>		
<b>A. Persistent deficits in social communication and social interaction across multiple contexts, as manifested by the following, currently or by history (all 3 must be met):</b>	<b>Present</b>	<b>Not present</b>	
1. Deficits in social-emotional reciprocity, ranging, for example, from abnormal social approach and failure of normal back-and-forth conversation; to reduced sharing of interests, emotions, or affect; to failure to initiate or respond to social interactions.	<input type="checkbox"/>	<input type="checkbox"/>	
2. Deficits in nonverbal communicative behaviors used for social interaction, ranging, for example, from poorly integrated verbal and nonverbal communication; to abnormalities in eye contact and body language or deficits in understanding and use of gestures; to a total lack of facial expressions and nonverbal communication.	<input type="checkbox"/>	<input type="checkbox"/>	
3. Deficits in developing, maintaining, and understanding relationships, ranging, for example, from difficulties adjusting behavior to suit various social contexts; to difficulties in sharing imaginative play or in making friends; to absence of interest in peers.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Social communication domain severity rating (check one)[see DSM-5 page 52 for severity description]:</b> (1) Requires support (2) Substantial support (3) Very substantial support	(1) <input type="checkbox"/>	(2) <input type="checkbox"/>	(3) <input type="checkbox"/>
<b>B. Restricted, repetitive patterns of behavior, interests, or activities as manifested by at least two of the following, currently or by history:</b>	<b>Present</b>	<b>Not present</b>	
1. Stereotyped or repetitive motor movements, use of objects, or speech (e.g., simple motor stereotypies, lining up toys or flipping objects, echolalia, idiosyncratic phrases).	<input type="checkbox"/>	<input type="checkbox"/>	
2. Insistence on sameness, inflexible adherence to routines, or ritualized patterns of verbal or nonverbal behavior (e.g., extreme distress at small changes, difficulties with transitions, rigid thinking patterns, greeting rituals, need to take same route or eat same food every day).	<input type="checkbox"/>	<input type="checkbox"/>	
3. Highly restricted, fixated interests that are abnormal in intensity or focus (e.g., strong attachment to or preoccupation with unusual objects, excessively circumscribed or perseverative interests).	<input type="checkbox"/>	<input type="checkbox"/>	
4. Hyper- or hyporeactivity to sensory input or unusual interest in sensory aspects of the environment (e.g., apparent indifference to pain/temperature, adverse response to specific sounds or textures, excessive smelling or touching of objects, visual fascination with lights or movement).	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Restricted, repetitive behaviors domain severity rating (check one)[see DSM-5 page 52 for severity description]:</b> (1) Requires support (2) Substantial support (3) Very substantial support	(1) <input type="checkbox"/>	(2) <input type="checkbox"/>	(3) <input type="checkbox"/>
	<b>Yes</b>	<b>No</b>	
C. Symptoms must be present in the early developmental period (but may not become fully manifest until social demands exceed limited capacities, or may be masked by learned strategies later in life).	<input type="checkbox"/>	<input type="checkbox"/>	
D. Symptoms cause clinically significant impairment in social, occupational, or other important areas of current functioning.	<input type="checkbox"/>	<input type="checkbox"/>	
E. These disturbances are not better explained by intellectual disability or global developmental delay.	<input type="checkbox"/>	<input type="checkbox"/>	

# Clinical diagnosis: DSM-5 diagnostic checklist

DSM-5 criteria		
Autism Spectrum Disorder criteria met?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
With or without intellectual impairment?	With <input type="checkbox"/>	Without <input type="checkbox"/>
With or without language impairment?	With <input type="checkbox"/>	Without <input type="checkbox"/>

Known comorbid conditions (medical/genetic/neurodevelopmental diagnosis; mental/behavioral diagnosis; other)

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Date of diagnosis: \_\_\_\_\_

Provider name: \_\_\_\_\_

Provider credentials: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

How to submit: Civilian providers and military hospitals or clinics should submit via provider self-service at [HumanaMilitary.com](http://HumanaMilitary.com) or fax to (877) 378-2316.



# Autism Care Demonstration (ACD) diagnostic assessment definitive diagnosis referring provider attestation

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This attestation is specific to TRICARE East Region beneficiaries enrolled in the Autism Care Demonstration (ACD) prior to Oct. 1, 2021. Only TRICARE-authorized Autism Spectrum Disorder (ASD)-diagnosing or referring providers may complete this form. Applied Behavior Analysis (ABA) providers are not permitted to complete this attestation or the DSM-5 Diagnostic Criteria Checklist.

## Step 1

I am the:

- Referring provider (referred the beneficiary for existing ABA services or will refer for renewing ABA services)  
 ASD-diagnosing provider currently managing the beneficiary's care

Name: \_\_\_\_\_

Phone #: \_\_\_\_\_ NPI: \_\_\_\_\_

Civilian or military clinic name: \_\_\_\_\_

TRICARE-authorized Primary Care Manager (PCM):

- Pediatric family medicine  Pediatric physician  Pediatric or family nurse practitioner

TRICARE-authorized specialty ASD-diagnosing provider, board-certified or board-eligible in:

- Developmental behavioral pediatrics  Neurodevelopmental pediatrics  Child neurology  
 Child psychiatry  Doctor of Nursing Practice (DNP)  Doctoral-level licensed clinical psychologist

**Note:** DNPs credentialed as developmental pediatric providers must have dual American Nurses Credentialing Center (ANCC) board certifications - either a pediatric NP or family NP; and (Family or Child/Adolescent) Psychiatric Mental Health Nurse Practitioner (PMHNP) or a (Child/Adolescent) Psychiatric and Mental Health Clinical Nurse Specialist (PMHCNS).

Beneficiary/Patient name: \_\_\_\_\_

Beneficiary/Patient date of birth: \_\_\_\_\_

Validated assessment tool completed:

- Screening Tool for Autism in Toddlers and Young Children (STAT)  Autism Diagnostic Observation Schedule (ADOS)  
 Autism Diagnostic Interview (ADI)  Childhood Autism Rating Scale (CARS)  Gilliam Autism Rating Scale (GARS)

**Note:** A parent questionnaire alone is not sufficient for diagnostic documentation.

Date validated assessment tool completed: \_\_\_\_\_

Comment box:

## STEP 2

Please complete the DSM-5 Diagnostic Checklist on page two. TRICARE requires a completed DSM-5 Diagnostic Checklist for beneficiaries who entered into the Autism Care Demonstration prior to Oct. 1, 2021 at their next referral cycle and each two-year referral renewal. Your completion of this checklist in advance will help ensure this requirement is met.

