

Form Approved  
OMB No. 0920-0573  
Expiration Date: XX/XX/XXXX

## **National HIV Surveillance System (NHSS)**

Attachment 3a.

### **Adult HIV Confidential Case Report Form**

Public reporting burden of this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC/ATSDR Information Collection Review Office, 1600 Clifton Road NE, MS D-74, Atlanta, Georgia 30329; ATTN: PRA (0920-0573).

**Patient Identification (record all dates as mm/dd/yyyy)**

*First Name		*Middle Name		*Last Name		Last Name Soundex			
Alternate Name Type (ex: Alias, Married)			*First Name		*Middle Name		*Last Name		
Address Type <input type="checkbox"/> Residential <input type="checkbox"/> Bad Address <input type="checkbox"/> Correctional Facility <input type="checkbox"/> Foster Home <input type="checkbox"/> Homeless <input type="checkbox"/> Postal <input type="checkbox"/> Shelter <input type="checkbox"/> Temporary				*Current Address, Street				Address Date ____/____/____	
*Phone ( ) _____		City		County		State/Country		*ZIP Code	
*Medical Record Number				*Other ID Type				* Number	

U.S. Department of Health  
& Human Services**Adult HIV Confidential Case Report Form**  
(Patients ≥13 Years of Age at Time of Diagnosis) \* Information NOT transmitted to CDCCenters for Disease Control  
and Prevention**Health Department Use Only (record all dates as mm/dd/yyyy)**

Form approved OMB no. 0920-0573 Exp. XX/XX/XXXX

Date Received at Health Department ____/____/____		eHARS Document UID _____		State Number _____	
Reporting Health Dept - City/County			City/County Number		
Document Source _____		Surveillance Method <input type="checkbox"/> Active <input type="checkbox"/> Passive <input type="checkbox"/> Follow up <input type="checkbox"/> Reabstraction <input type="checkbox"/> Unknown			
Did this report initiate a new case investigation? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		Report Medium <input type="checkbox"/> 1-Field Visit <input type="checkbox"/> 2-Mailed <input type="checkbox"/> 3-Faxed <input type="checkbox"/> 4-Phone <input type="checkbox"/> 5-Electronic Transfer <input type="checkbox"/> 6-CD/Disk			

**Facility Providing Information (record all dates as mm/dd/yyyy)**

Facility Name				*Phone ( ) _____					
*Street Address									
City		County		State/Country		* ZIP Code			
Facility Type		<i>Inpatient:</i> <input type="checkbox"/> Hospital <input type="checkbox"/> Other, specify _____		<i>Outpatient:</i> <input type="checkbox"/> Private Physician's Office <input type="checkbox"/> Adult HIV Clinic <input type="checkbox"/> Other, specify _____		<i>Screening, Diagnostic, Referral:</i> <i>Agency:</i> <input type="checkbox"/> CTS <input type="checkbox"/> STD Clinic <input type="checkbox"/> Other, specify _____		<i>Other Facility:</i> <input type="checkbox"/> Emergency Room <input type="checkbox"/> Laboratory <input type="checkbox"/> Corrections <input type="checkbox"/> Unknown <input type="checkbox"/> Other, specify _____	
Date Form Completed ____/____/____			*Person Completing Form			*Phone ( ) _____			

**Patient Demographics (record all dates as mm/dd/yyyy)**

Sex assigned at Birth <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Unknown		Country of Birth <input type="checkbox"/> US <input type="checkbox"/> Other/US Dependency (please specify) _____			
Date of Birth ____/____/____			Alias Date of Birth ____/____/____		
Vital Status <input type="checkbox"/> 1-Alive <input type="checkbox"/> 2-Dead		Date of Death ____/____/____		State of Death _____	
Current Gender Identity <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender Male-to-Female (MTF) <input type="checkbox"/> Transgender Female-to-Male (FTM) <input type="checkbox"/> Unknown <input type="checkbox"/> Additional gender identity (specify) _____					
Ethnicity <input type="checkbox"/> Hispanic/Latino <input type="checkbox"/> Not Hispanic/Latino <input type="checkbox"/> Unknown				Expanded Ethnicity _____	
Race (check all that apply) <input type="checkbox"/> American Indian/Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black/African American <input type="checkbox"/> Native Hawaiian/Other Pacific Islander <input type="checkbox"/> White <input type="checkbox"/> Unknown				Expanded Race _____	

**Residence at Diagnosis (add additional addresses in Comments) (record all dates as mm/dd/yyyy)**

Address Type (Check all that apply to address below) <input type="checkbox"/> Residence at HIV diagnosis <input type="checkbox"/> Residence at AIDS diagnosis <input type="checkbox"/> Check if SAME as Current Address				
*Street Address			Address Date ____/____/____	
City		County	State/Country	*ZIP Code

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## STATE/LOCAL USE ONLY

\*Provider Name (Last, First, M.I.)

\_\_\_\_\_ \*Phone (     ) \_\_\_\_\_

Hospital/Facility

\_\_\_\_\_

**Facility of Diagnosis (add additional facilities in Comments)**Diagnosis Type (Check all that apply to facility below)    HIV    AIDS    Check if SAME as Facility Providing Information

Facility Name

\*Phone (     ) \_\_\_\_\_

\*Street Address

City

County

State/Country

\*ZIP Code

Facility Type   Inpatient:    Hospital   Outpatient:    Private Physician's Office   Screening, Diagnostic, Referral Agency:   Other Facility:    Emergency Room  
 Other, specify \_\_\_\_\_    Adult HIV Clinic    CTS    STD Clinic    Laboratory    Corrections    Unknown  
 Other, specify \_\_\_\_\_    Other, specify \_\_\_\_\_    Other, specify \_\_\_\_\_

\*Provider Name

\*Provider Phone (     ) \_\_\_\_\_

Specialty

**Patient History (respond to all questions) (record all dates as mm/dd/yyyy)    Pediatric risk (please enter in Comments)**

After 1977 and before the earliest known diagnosis of HIV infection, this patient had:

Sex with male    Yes    No    UnknownSex with female    Yes    No    UnknownInjected non-prescription drugs    Yes    No    Unknown

Received clotting factor for hemophilia/coagulation disorder   Specify clotting factor: \_\_\_\_\_  
Date received (mm/dd/yyyy): \_\_\_/\_\_\_/\_\_\_\_\_    Yes    No    Unknown

**HETEROSEXUAL relations with any of the following:**HETEROSEXUAL contact with intravenous/injection drug user    Yes    No    UnknownHETEROSEXUAL contact with bisexual male    Yes    No    UnknownHETEROSEXUAL contact with person with hemophilia/coagulation disorder with documented HIV infection    Yes    No    UnknownHETEROSEXUAL contact with transfusion recipient with documented HIV infection    Yes    No    UnknownHETEROSEXUAL contact with transplant recipient with documented HIV infection    Yes    No    UnknownHETEROSEXUAL contact with person with documented HIV infection, risk not specified    Yes    No    UnknownReceived transfusion of blood/blood components (other than clotting factor) (document reason in Comments)    Yes    No    Unknown

First date received \_\_\_/\_\_\_/\_\_\_\_\_   Last date received \_\_\_/\_\_\_/\_\_\_\_\_

Received transplant of tissue/organs or artificial insemination    Yes    No    UnknownWorked in a healthcare or clinical laboratory setting    Yes    No    Unknown

If occupational exposure is being investigated or considered as primary mode of exposure, specify occupation and setting:

\_\_\_\_\_

Other documented risk (please include detail in Comments)    Yes    No    Unknown

This report to the Centers for Disease Control and Prevention (CDC) is authorized by law (Sections 304 and 306 of the Public Health Service Act, 42 USC 242b and 242k). Response in this case is voluntary for federal government purposes, but may be mandatory under state and local statutes. Your cooperation is necessary for the understanding and control of HIV. Information in CDC's National HIV Surveillance System that would permit identification of any individual on whom a record is maintained, is collected with a guarantee that it will be held in confidence, will be used only for the purposes stated in the assurance on file at the local health department, and will not otherwise be disclosed or released without the consent of the individual in accordance with Section 308(d) of the Public Health Service Act (42 USC 242m).

**Laboratory Data (record additional tests and tests not specified below in Comments) (record all dates as mm/dd/yyyy)**

**HIV Immunoassays (Non-differentiating)**

**TEST 1:**  HIV-1 IA  HIV-1/2 IA  HIV-1/2 Ag/Ab  HIV-1 WB  HIV-1 IFA  HIV-2 IA  HIV-2 WB

Test Brand Name/Manufacturer: \_\_\_\_\_

**RESULT:**  Positive/Reactive  Negative/Nonreactive  Indeterminate **Collection Date:** \_\_\_/\_\_\_/\_\_\_  Rapid Test (check if rapid)

**TEST 2:**  HIV-1 IA  HIV-1/2 IA  HIV-1/2 Ag/Ab  HIV-1 WB  HIV-1 IFA  HIV-2 IA  HIV-2 WB

Test Brand Name/Manufacturer: \_\_\_\_\_

**RESULT:**  Positive/Reactive  Negative/Nonreactive  Indeterminate **Collection Date:** \_\_\_/\_\_\_/\_\_\_  Rapid Test (check if rapid)

**HIV Immunoassays (Differentiating)**

HIV-1/2 Type-differentiating (Differentiates between HIV-1 Ab and HIV-2 Ab)

Test Brand Name/Manufacturer: \_\_\_\_\_

**RESULT:**  HIV-1  HIV-2  Both (undifferentiated)  Neither (negative)  Indeterminate  
**Collection Date:** \_\_\_/\_\_\_/\_\_\_  Rapid Test (check if rapid)

HIV-1/2 Ag/Ab-differentiating (Differentiates between HIV Ag and HIV Ab)

Test Brand Name/Manufacturer: \_\_\_\_\_

**RESULT:**  Ag reactive  Ab reactive  Both (Ag and Ab reactive)  Neither (negative)  Invalid/Indeterminate  
**Collection Date:** \_\_\_/\_\_\_/\_\_\_  Rapid Test (check if rapid)

HIV-1/2 Ag/Ab and Type-differentiating (Differentiates among HIV-1 Ag, HIV-1 Ab, HIV-2 Ab)

Test Brand Name/Manufacturer: \_\_\_\_\_

**RESULT\*:** **HIV-1 Ag**  Reactive  Nonreactive  Not Reported **HIV-Ab**  HIV-1 Reactive  HIV-2 Reactive  Both Reactive, Undifferentiated  Both Nonreactive  
**Collection Date:** \_\_\_/\_\_\_/\_\_\_ \*Select one result for HIV-1 Ag *and* one result for HIV Ab

**HIV Detection Tests (Qualitative)**

**TEST:**  HIV-1 RNA/DNA NAAT (Qual)  HIV-1 Culture  HIV-2 RNA/DNA NAAT (Qual)  HIV-2 Culture

**RESULT:**  Positive/Reactive  Negative/Nonreactive  Indeterminate **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**HIV Detection Tests (Quantitative viral load) Note: Include earliest test at or after diagnosis**

**TEST 1:**  HIV-1 RNA/DNA NAAT (Quantitative viral load)  HIV-2 RNA/DNA NAAT (Quantitative viral load)

**RESULT:**  Detectable  Undetectable **Copies/mL:** \_\_\_\_\_ **Log:** \_\_\_\_\_ **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**TEST 2:**  HIV-1 RNA/DNA NAAT (Quantitative viral load)  HIV-2 RNA/DNA NAAT (Quantitative viral load)

**RESULT:**  Detectable  Undetectable **Copies/mL:** \_\_\_\_\_ **Log:** \_\_\_\_\_ **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**Immunologic Tests (CD4 count and percentage)**

**CD4 at or closest to diagnosis: CD4 count:** \_\_\_\_\_ cells/ $\mu$ L **CD4 percentage:** \_\_\_% **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**First CD4 result <200 cells/ $\mu$ L or <14%: CD4 count:** \_\_\_\_\_ cells/ $\mu$ L **CD4 percentage:** \_\_\_% **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**Other CD4 result: CD4 count:** \_\_\_\_\_ cells/ $\mu$ L **CD4 percentage:** \_\_\_% **Collection Date:** \_\_\_/\_\_\_/\_\_\_

**Documentation of Tests**

Did documented laboratory test results meet approved HIV diagnostic algorithm criteria?  Yes  No  Unknown

If YES, provide specimen collection date of earliest positive test for this algorithm: \_\_\_/\_\_\_/\_\_\_

Complete the above only if none of the following was positive: HIV-1 Western blot, IFA, culture, viral load, or qualitative NAAT [RNA or DNA]

If HIV laboratory tests were not documented, is HIV diagnosis documented by a physician?  Yes  No  Unknown

If YES, provide date of diagnosis: \_\_\_/\_\_\_/\_\_\_

Date of last documented negative HIV test (before HIV diagnosis date): \_\_\_/\_\_\_/\_\_\_ Specify type of test: \_\_\_\_\_

**Clinical (record all dates as mm/dd/yyyy)**

Diagnosis	Dx Date	Diagnosis	Dx Date	Diagnosis	Dx Date
Candidiasis, bronchi, trachea, or lungs		Herpes simplex: chronic ulcers (>1 mo. duration), bronchitis, pneumonitis, or esophagitis		M. tuberculosis, pulmonary†	
Candidiasis, esophageal		Histoplasmosis, disseminated or extrapulmonary		M. tuberculosis, disseminated or extrapulmonary†	
Carcinoma, invasive cervical		Isosporiasis, chronic intestinal (>1 mo. duration)		Mycobacterium, of other/identified species, disseminated or extrapulmonary	
Coccidioidomycosis, disseminated or extrapulmonary		Kaposi's sarcoma		Pneumocystis pneumonia	
Cryptococcosis, extrapulmonary		Lymphoma, Burkitt's (or equivalent)		Pneumonia, recurrent, in 12 mo. period	
Cryptosporidiosis, chronic intestinal (>1 mo. duration)		Lymphoma, immunoblastic (or equivalent)		Progressive multifocal leukoencephalopathy	
Cytomegalovirus disease (other than in liver, spleen, or nodes)		Lymphoma, primary in brain		Salmonella septicemia, recurrent	
Cytomegalovirus retinitis (with loss of vision)		Mycobacterium avium complex or M. kansasii, disseminated or extrapulmonary		Toxoplasmosis of brain, onset at >1 mo. of age	
HIV encephalopathy				Wasting syndrome due to HIV	

†If TB selected above, indicate RVCT Case Number:

**Treatment/Services Referrals (record all dates as mm/dd/yyyy)**

Has this patient been informed of his/her HIV infection? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		This patient's partners will be notified about their HIV exposure and counseled by: <input type="checkbox"/> 1-Health Dept <input type="checkbox"/> 2-Physician/Provider <input type="checkbox"/> 3-Patient <input type="checkbox"/> 9-Unknown	
<b>For Female Patient</b>			
This patient is receiving or has been referred for gynecological or obstetrical services: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		Is this patient currently pregnant? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	Has this patient delivered live-born infants? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
<b>For Children of Patient</b> (record most recent birth in these boxes; record additional or multiple births in Comments)			
*Child's Name		Child's Last Name Soundex	Child's Date of Birth ____/____/____
*Child's Coded ID		Child's State Number	
Facility Name of Birth (if child was born at home, enter "home birth")			*Phone ( ) _____
Facility Type	<i>Inpatient:</i> <input type="checkbox"/> Hospital <input type="checkbox"/> Other, specify _____	<i>Outpatient:</i> <input type="checkbox"/> Other, specify _____	<i>Other Facility:</i> <input type="checkbox"/> Emergency Room <input type="checkbox"/> Corrections <input type="checkbox"/> Unknown <input type="checkbox"/> Other, specify _____
			*ZIP Code
*Street Address		City	County
		State/Country	

**HIV Antiretroviral Use History (record all dates as mm/dd/yyyy)**

Main source of antiretroviral (ARV) use information (select one): <input type="checkbox"/> Patient Interview <input type="checkbox"/> Medical Record Review <input type="checkbox"/> Provider Report <input type="checkbox"/> NHM&E <input type="checkbox"/> Other			Date patient reported information ____/____/____
Ever taken any ARVs? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			
If yes, reason for ARV use (select all that apply):			
<input type="checkbox"/> HIV Tx	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____
<input type="checkbox"/> PrEP	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____
<input type="checkbox"/> PEP	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____
<input type="checkbox"/> PMTCT	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____
<input type="checkbox"/> HBV Tx	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____
<input type="checkbox"/> Other _____	ARV medications: _____	Date began: ____/____/____	Date of last use: ____/____/____

**HIV Testing History (record all dates as mm/dd/yyyy)**

Main source of testing history information (select one): <input type="checkbox"/> Patient Interview <input type="checkbox"/> Medical Record Review <input type="checkbox"/> Provider Report <input type="checkbox"/> NHM&E <input type="checkbox"/> Other			Date patient reported information ____/____/____
Ever had previous positive HIV test? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			Date of first positive HIV test ____/____/____
Ever had a negative HIV test? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			Date of last negative HIV test (If date is from a lab test with test type, enter in Lab Data section) ____/____/____
Number of negative HIV tests within 24 months before first positive test # _____ <input type="checkbox"/> Unknown			

**Comments**

**\*Local/Optional Fields**