

# Technical Guidance for HIV Surveillance Programs

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## Adult HIV Confidential Case Report Form

HIV Incidence and Case Surveillance Branch  
Atlanta, Georgia

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# Instructions for Completion

## Purpose of Case Report Form

The Adult HIV Confidential Case Report (CDC 50.42A) form (ACRF) is designed to collect information that promotes understanding of HIV infection morbidity and mortality among patients **greater than or equal to 13 years of age** at time of diagnosis. This form reflects data that are required to be collected and some that are recommended or optional. This guidance applies to all HIV infection data collection even if state or local surveillance programs use a different form or medium for HIV case surveillance. See Appendix for further guidance.

## The Case Report Form in the Context of Document-Based Surveillance

Unlike case-based data management, document-based data management allows all documents to be stored and retained electronically in their original formats. Instead of completing one form for a reported case, fill out the applicable part of the form for each data source contributing information to that HIV case.

## Patients for Whom Form is Indicated

- Each person, greater than or equal to 13 years of age, who meets the HIV infection or stage 3 (AIDS) case definition (available at <http://wwwn.cdc.gov/nndss/conditions/hiv-infection/>).
- Each person with HIV infection progressing from an earlier or unknown stage to stage 3 (AIDS) diagnosis.
- Each person with HIV infection who has been reported but for whom updated information is available such as new CD4 tests, viral load tests, or drug resistance tests (genotypic) reported from a medical provider, additional risk factor information, updated current address information, or a change in vital status.

If the data are collected electronically and can be imported, recording the information on a hardcopy form is not necessary.

## Definition of Variable Designators

- **Required:** Variables that are required to meet the case definitions of HIV or AIDS, to identify and track cases, and to do meaningful statistical analysis and evaluation.
- **Recommended:** Variables useful for analysis and surveillance programs are encouraged to collect.
- **Optional:** Variables that should be collected if readily available.
- **System generated:** Variables where the value is generated by the Centers for Disease Control and Prevention (CDC)-supplied software.

## Disposition of Form

- The completed form is for state or local health agency use and is not to be sent to CDC. The Pacific Islands are the only jurisdictions that send forms to CDC for data entry and all patient identifiers must be removed before they are sent.
- Data obtained from these forms are entered into standardized computer software provided by the Division of HIV/AIDS Prevention, National Center for HIV, Viral Hepatitis, STD, and TB Prevention, CDC, and then transferred without identifiers to CDC by encrypted electronic transfer via a secure data network.

## 1. Patient Identification

### 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
*Medical Record Number		*Other ID Type	*Number

\*Information NOT transmitted to CDC

- Patient identifier information is for state and local health department use only and is not transmitted to CDC if marked with an \* on the form.
- 1.1 FIRST NAME (**Required**, applies to health department & health care providers)
    - Enter patient's first name.
  - 1.2 MIDDLE NAME (**Optional**, applies to health department & health care providers)
    - Enter patient's middle name.
  - 1.3 LAST NAME (**Required**, applies to health department & health care providers)
    - Enter patient's last name.
  - 1.4 LAST NAME SOUNDEX (**System generated**)
    - After patient name is entered into CDC-supplied software, the software automatically generates this variable by using the patient's last name. After the code is generated, health department staff should fill this field on the form.
    - This variable is a phonetic, alphanumeric code calculated by converting a surname into an index letter and a three-digit code. The index letter is the first letter of the surname. The *eHARS Technical Reference Guide* describes exactly how the Last Name Soundex is created. You can access the *eHARS Technical Reference Guide* through SharePoint: <https://cdcpartners.sharepoint.com/sites/NCHHSTP/HICSB/default.aspx>
  - 1.5 ALTERNATE NAME TYPE (**Optional**, applies to health department & health care providers)
    - If available, write in the alternate name type (such as Alias, Married).
  - 1.6 ALTERNATE FIRST NAME (**Optional**, applies to health department & health care providers)
    - Enter patient's alternate first name.
  - 1.7 ALTERNATE MIDDLE NAME (**Optional**, applies to health department & health care providers)
    - Enter patient's alternate middle name.
  - 1.8 ALTERNATE LAST NAME (**Optional**, applies to health department & health care providers)
    - Enter patient's alternate last name.
  - 1.9 ADDRESS TYPE (**Required**, applies to health department & health care providers)
    - Select one of the address types for the patient's current address.
  - 1.10 CURRENT ADDRESS, STREET (**Required**, applies to health department & health care providers)
    - Enter the patient's current street address.
  - 1.11 ADDRESS DATE (**Required**, applies to health department & health care providers)
    - Enter the earliest date that the patient was known to be residing at the current address

specified in 1.10. If the patient has resided at an address more than once (and has evidence that they resided elsewhere in between), the address date captured should be the earliest date that the patient moved to the address in the most recent instance.

- You may enter the most recent date the patient was known to be residing at the address in the Comments section.
- Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).

1.12 PHONE (**Required** if patient has a telephone, applies to health department & health care providers)

- Enter patient’s primary area code and telephone number associated with the current address specified in 1.10.

1.13 CITY (**Required**, applies to health department & health care providers)

- Enter patient’s current city.

1.14 COUNTY (**Required**, applies to health department & health care providers)

- Enter patient’s current county.

1.15 STATE/COUNTRY (**Required**, applies to health department & health care providers)

- Enter patient’s current state and country name.

1.16 ZIP CODE (**Required**, applies to health department & health care providers)

- Enter patient’s current zip code.

1.17 MEDICAL RECORD NUMBER (**Optional**, applies to health department & health care providers)

- Enter medical record number of the patient if available.
- This field may be left blank unless patient was hospitalized as an inpatient or treated as an outpatient in a hospital, community health center, or health department clinic.
- If the patient has more than one medical record number, enter the number of the primary record that has HIV infection or stage 3 (AIDS) documentation. Additional numbers can be noted in the Comments section annotating which facility is associated with which record number.

1.18–1.19 OTHER ID TYPE and NUMBER (**Optional**, applies to health department & health care providers)

- Enter any additional patient identifier type (such as social security number) and the number of the other identifier. For a list of ID types, please reference the *eHARS Technical Reference Guide*.

## 2. Health Department Use Only

### Health Department Use Only (record all dates as mm/dd/yyyy)

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	

2.1 DATE RECEIVED AT HEALTH DEPARTMENT (**Recommended**, applies to health department)

- Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).

2.2 eHARS DOCUMENT UID (**System generated**)

- Enter UID after CDC-supplied software generates this variable.

- 2.3 STATE NUMBER (**Required**, applies to health department)
- Enter the assigned state number.
  - Each patient must have a unique state number throughout the course of HIV infection in each state/jurisdiction where they are reported. If the patient was a pediatric “Seroreverter” and was later infected with HIV, the patient must be given two different state numbers; one associated with the “Seroreverter” and another associated with the HIV infection diagnosis. Refer to Appendix 4.1.4 in the file *Pediatric HIV Confidential Case Report Form and Perinatal HIV Exposure Reporting Form* for the definition of a pediatric “Seroreverter”. Jurisdictions must use the “Same as” field on the duplicate review tab in eHARS to link the two cases. Enter the state number associated with diagnosed HIV infection on the case report form.
  - Assigned numbers **must not** be reused, even if the case is later deleted.
  - This variable is used, along with the state of report, to uniquely identify cases reported to CDC and to merge the state datasets without duplication.
- 2.4 REPORTING HEALTH DEPARTMENT -CITY/COUNTY (**Required**, applies to health department)
- Enter name of city and county of the health department that receives the report from providers of surveillance data.
- 2.5 CITY/COUNTY NUMBER (**Optional**, applies to health department)
- Enter the assigned city/county number.
  - Each patient must have a unique city/county number throughout the course of HIV infection assigned by the separately funded city in which they are reported. If the city/county number is the primary identifier and the patient was a pediatric “Seroreverter” and was later infected with HIV, the patient must be given two different city/county numbers; one associated with the “Seroreverter” and another associated with the HIV infection diagnosis. Refer to Appendix 4.1.4 in the file *Pediatric HIV Confidential Case Report Form and Perinatal HIV Exposure Reporting Form* for the definition of a pediatric “Seroreverter”. If the city/county number is the primary identifier, the jurisdiction must use the “Same as” field on the duplicate review tab in eHARS to link the two cases. Enter the city/county number associated with diagnosed HIV infection on the case report form.
  - Assigned numbers **must not** be reused, even if the case is later deleted.
- 2.6 DOCUMENT SOURCE (**Required**, applies to health department)
- Enter the code for the document source that provided the information for this report (formerly report source).
  - To clearly identify multiple data sources for a given HIV case (all stages), use a separate case report form for each source.
  - Refer to the *eHARS Technical Reference Guide* for a list of the allowable document source codes.
- 2.7 SURVEILLANCE METHOD (**Required**, applies to health department)
- Enter the method the case report was ascertained.
  - For definitions of active, passive, follow up, re-abstraction refer to the file *Source Data and Completeness of Reporting*.
- 2.8 DID THIS REPORT INITIATE A NEW INVESTIGATION? (**Optional**, applies to health department)
- Enter whether this case report initiated a new investigation by the health department.
- 2.9 REPORT MEDIUM (**Optional**, applies to health department)
- Health department staff review medical records at provider facilities (i.e., field visits) or receive information over the telephone, by fax, US mail, or other method, to establish an HIV

case and to elicit information for HIV case report forms. The health department can also receive HIV case reports from physicians, laboratories, or other individuals or institutions through electronic transfer or CD/disks. Enter the medium in which the case report was submitted.

### 3. Facility Providing Information

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

Facility Name			*Phone (    )
*Street Address			
City	County	State/Country	*ZIP Code
<b>Facility Type</b> <u>Inpatient:</u> <input type="checkbox"/> Hospital <input type="checkbox"/> Other, specify _____	<u>Outpatient:</u> <input type="checkbox"/> Private physician's office <input type="checkbox"/> Adult HIV clinic <input type="checkbox"/> Other, specify _____	<u>Screening, Diagnostic, Referral Agency:</u> <input type="checkbox"/> CTS <input type="checkbox"/> STD clinic <input type="checkbox"/> Other, specify _____	<u>Other Facility:</u> <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 (    )

- 3.1 FACILITY NAME (**Recommended**, applies to health department & health care providers)
  - Enter name of the facility providing the information.
  - If data was reported from different facilities, enter name of each on separate forms.
- 3.2 PHONE (**Recommended**, applies to health department & health care providers)
  - Enter facility's current area code and telephone number.
- 3.3 STREET ADDRESS (**Recommended**, applies to health department & health care providers)
  - Enter facility's street address.
- 3.4 CITY (**Recommended**, applies to health department & health care providers)
  - Enter city where facility providing information is located.
- 3.5 COUNTY (**Recommended**, applies to health department & health care providers)
  - Enter county where facility providing information is located.
- 3.6 STATE/COUNTRY (**Recommended**, applies to health department & health care providers)
  - Enter state and country name where facility providing information is located.
- 3.7 ZIP CODE (**Recommended**, applies to health department & health care providers)
  - Enter ZIP code where facility providing information is located.
- 3.8 FACILITY TYPE (**Required**, applies to health department & health care providers)
  - Select the type of facility providing information.
  - Refer to the *eHARS Technical Reference Guide* for additional information regarding allowable facility types.
- 3.9 DATE FORM COMPLETED (**Required**, applies to health department & health care providers)
  - Enter date in *mm/dd/yyyy* format using '.' for unknown values (e.g., 03../2011).
- 3.10 PERSON COMPLETING FORM (**Optional**, applies to health department & health care providers)
  - Enter the name of the person completing the form who can be contacted to clarify entries and supply additional information.
- 3.11 PHONE (**Recommended**, applies to health department & health care providers)
  - Enter the telephone number of the person completing the form.

## 4. Patient Demographics

### 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 _____

- 4.1 SEX ASSIGNED AT BIRTH (**Required**, applies to health department & health care providers)
- Select patient’s sex assigned at birth.
  - In addition to “Male” or “Female” sex at birth, CDC-supplied software includes a third choice of “Unknown.”
- 4.2 COUNTRY OF BIRTH (**Recommended**, applies to health department & health care providers)
- Select applicable response.
  - For patients born in US minor outlying areas, specify the name of the US dependency from the following table:

US Dependencies	
Baker Island	Midway Islands
Howland Island	Navassa Island
Jarvis Island	Palmyra Atoll
Johnston Atoll	Wake Island
Kingman Reef	

- For patients born in any other area outside of the US and US minor outlying areas, specify the country/US dependency name.
- 4.3 DATE OF BIRTH (**Required**, applies to health department & health care providers)
- Enter patient’s date of birth in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g.,
- 4.4 ALIAS DATE OF BIRTH (**Optional**, applies to health department & health care providers)
- If available, enter the alias date of birth in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
- 4.5 VITAL STATUS (**Required**, applies to health department & health care providers)
- Enter vital status at time of this report.
  - For further guidance on death ascertainment, see the file *Death Ascertainment*.
- 4.6 DATE OF DEATH (**Required**, if applicable, applies to health department & health care providers)
- If patient is deceased, enter date of death in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
  - For further guidance on death ascertainment, see the file *Death Ascertainment*.
- 4.7 STATE OF DEATH (**Required**, if applicable, applies to health department & health care providers)
- If patient is deceased, enter the state name where the death occurred. If the death occurred outside of the US, enter “Foreign Country”.



- 4.8 CURRENT GENDER IDENTITY (**Recommended**, if applicable, applies to health department & health care providers)
- Complete only if the patient is thought to be transgender.
  - Enter the current gender identity of the patient.
  - If the person’s stated gender identity differs from the selections provided, please check the additional gender identity box and specify in the blank.
  - Refer to the lookup codes in the *eHARS Technical Reference Guide* for allowable current gender identity values.
- 4.9 ETHNICITY (**Required**, applies to health department & health care providers)
- If search for this datum was completed and ethnicity could not be determined or if ethnicity was documented to be unknown, select “Unknown”.
  - If no search for this datum was completed, leave this field blank.
  - Regardless of the availability of data on race, collect data on ethnicity.
  - As of January 2003, the US Office of Management and Budget (OMB) required that race and ethnicity (Hispanic/Latino, Not Hispanic/Latino) for a person be collected as separate variables.
  - A wide variety of ethnicities may be selected from values available in CDC-supplied software. These ethnicities and codes are documented in the *eHARS Technical Reference Guide*.
- 4.10 EXPANDED ETHNICITY (**Optional**, if applicable, applies to health department & health care providers)
- Enter more specific ethnicity information for greater detail such as “Hispanic or Latino.Cuban” or “Hispanic or Latino.Puerto Rican”.
  - Refer to the *eHARS Technical Reference Guide* for listing of expanded ethnicity.
- 4.11 RACE (**Required**, applies to health department & health care providers)
- Select patient’s race even if information was submitted for ethnicity.
  - Select more than one race if applicable.
  - If no race information is available, select “Unknown”.
  - As of January 2003, the US Office of Management and Budget (OMB) required that systems collect multiple races for a person (OMB Policy Directive 15 updated standards); at a minimum, collect data on the following five categories: American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, and White.
  - Refer to the *eHARS Technical Reference Guide* for further details.
- 4.12 EXPANDED RACE (**Optional**, if applicable, applies to health department & health care providers)
- Enter more specific race information for greater detail such as “American Indian or Alaska Native.Navajo” or “White.Middle Eastern or North African”.
  - Refer to the *eHARS Technical Reference Guide* for listing of expanded race.

## 5. Residence at Diagnosis

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

<b>Address Type</b> (check all that apply to address below) <input type="checkbox"/> Residence at HIV diagnosis <input type="checkbox"/> Residence at stage 3 (AIDS) diagnosis <input type="checkbox"/> Check if <u>SAME</u> as current address			
<b>*Street Address</b>			
<b>City</b>	<b>County</b>	<b>State/Country</b>	<b>*ZIP Code</b>

- Refer to [Appendix 5.0](#) for further guidance.
- If patient's residence at HIV diagnosis and stage 3 (AIDS) diagnosis are different, enter the address information associated with the stage 3 (AIDS) diagnosis in the Comments section.

#### 5.1 ADDRESS TYPE (**Required**, applies to health department & health care providers)

- Select the address type for the patient's residence at diagnosis.
- If the patient's residence at HIV diagnosis and stage 3 (AIDS) diagnosis was the same, you may check both.

#### 5.2 STREET ADDRESS (**Required**, applies to health department & health care providers)

- Enter street address of residence at diagnosis.

#### 5.3 CITY (**Required**, applies to health department & health care providers)

- Enter city of residence at diagnosis.

#### 5.4 COUNTY (**Required**, applies to health department & health care providers)

- Enter county of residence at diagnosis.

#### 5.5 STATE/COUNTRY (**Required**, applies to health department & health care providers)

- Enter the state and country name of residence at diagnosis.

#### 5.6 ZIP CODE (**Required**, applies to health department & health care providers)

- Enter the ZIP code of residence at diagnosis.

## 6. State/Local Use Only

<b>STATE/LOCAL USE ONLY</b>	
*Provider Name (Last, First, M.I.)	*Phone (     )
Hospital/Facility	

- The information in this section is not transmitted to CDC and is meant only for state and local health department use. State and local health departments should develop their own policies for collecting the data elements within this section. Collection of information within this section is **Optional**.

## 7. Facility of Diagnosis

### Facility of Diagnosis (add additional facilities in Comments)

<b>Diagnosis Type</b> (check all that apply to facility below) <input type="checkbox"/> HIV <input type="checkbox"/> Stage 3 (AIDS) <input type="checkbox"/> Check if <u>SAME</u> as facility providing information			
<b>Facility Name</b> _____			<b>*Phone</b> (    ) _____
<b>*Street Address</b> _____			
<b>City</b> _____	<b>County</b> _____	<b>State/Country</b> _____	<b>*ZIP Code</b> _____
<b>Facility Type</b> <u>Inpatient:</u> <input type="checkbox"/> Hospital <input type="checkbox"/> Other, specify _____	<u>Outpatient:</u> <input type="checkbox"/> Private physician's office <input type="checkbox"/> Adult HIV clinic <input type="checkbox"/> Other, specify _____	<u>Screening, Diagnostic, Referral Agency:</u> <input type="checkbox"/> CTS <input type="checkbox"/> STD clinic <input type="checkbox"/> Other, specify _____	<u>Other Facility:</u> <input type="checkbox"/> Emergency room <input type="checkbox"/> Laboratory <input type="checkbox"/> Corrections <input type="checkbox"/> Unknown <input type="checkbox"/> Other, specify _____
<b>*Provider Name</b> _____		<b>*Provider Phone</b> (    ) _____	<b>Specialty</b> _____

- If the patient's HIV diagnosis and stage 3 (AIDS) diagnosis occurred at different facilities, enter the stage 3 (AIDS) facility information in the Comments section.

#### 7.1 DIAGNOSIS TYPE (**Recommended**, applies to health department & health care providers)

- Enter the diagnosis type that corresponds to the facility of diagnosis being reported.

#### 7.2 FACILITY NAME (**Recommended**, applies to health department & health care providers)

- Enter name of the facility where patient was first diagnosed which corresponds with the "Diagnosis Type" reported in 7.1.
- Refer to [Appendix 7.2](#) for further details.

#### 7.3 PHONE (**Recommended**, applies to health department & health care providers)

- Enter area code and telephone number of the facility of diagnosis.

#### 7.4 STREET ADDRESS (**Recommended**, applies to health department & health care providers)

- Enter street address of the facility of diagnosis.

#### 7.5 CITY (**Recommended**, applies to health department & health care providers)

- Enter city of the facility of diagnosis.

#### 7.6 COUNTY (**Recommended**, applies to health department & health care providers)

- Enter county of the facility of diagnosis.

#### 7.7 STATE/COUNTRY (**Recommended**, applies to health department & health care providers)

- Enter state and country name of the facility of diagnosis.

#### 7.8 ZIP CODE (**Recommended**, applies to health department & health care providers)

- Enter ZIP code where the facility of diagnosis is located.

#### 7.9 FACILITY TYPE (**Required** applies to health department & health care providers)

- Select the type of facility of diagnosis.
- Refer to the *eHARS Technical Reference Guide* for listing of facility types.

#### 7.10 PROVIDER NAME (**Recommended**, applies to health department & health care providers)

- Enter provider's name where the patient was first diagnosed which corresponds with the "Diagnosis Type" reported in 7.1.

#### 7.11 PROVIDER PHONE (**Recommended**, applies to health department & health care providers)

- Enter area code and telephone number for provider selected in 7.10.

#### 7.12 SPECIALTY (**Optional**, applies to health department & health care providers)

- Enter provider's specialty for provider selected in 7.10.

## 8. Patient History

**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	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
Sex with female	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
Injected nonprescription drugs	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
Received clotting factor for hemophilia/coagulation disorder Specify clotting factor: _____ Date received ____/____/____	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
<b>HETEROSEXUAL relations with any of the following:</b>	
HETEROSEXUAL contact with intravenous/injection drug user	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
HETEROSEXUAL contact with bisexual male	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
HETEROSEXUAL contact with person with hemophilia/coagulation disorder with documented HIV infection	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
HETEROSEXUAL contact with transfusion recipient with documented HIV infection	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
HETEROSEXUAL contact with transplant recipient with documented HIV infection	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
HETEROSEXUAL contact with person with documented HIV infection, risk not specified	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
Received transfusion of blood/blood components (other than clotting factor) (document reason in Comments)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
First date received ____/____/____ Last date received ____/____/____	
Received transplant of tissue/organs or artificial insemination	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
Worked in a healthcare or clinical laboratory setting	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown

- These data yield information about how patients may have acquired their infections.
  - Check box at the top of this section if the risk factor was a pediatric risk factor and enter additional information in the Comments section.
  - Respond to each risk factor, selecting “Yes” for all factors that apply; “No” for those that do not apply (only select “No” if medical record specifically states this is not a risk factor); and “Unknown” for those for which investigation failed to yield an answer. If an investigation for a particular item was not performed, then you should leave it blank. Collect data about risk factors that occurred before the earliest known diagnosis of HIV infection. For further guidance, see the file *Risk Factor Ascertainment*.
  - See [Appendix 8.0](#) for further guidance on risk factor ascertainment.

### 8.1 SEX WITH MALE (**Required**, applies to health department & health care providers)

- Select applicable response.
- Some examples of information from the medical record which would strongly indicate sex with a male are below.
  - For male patient:
    - Married to or divorced from a male; and
    - Rectal gonorrhea.
  - For female patient:
    - Married to or divorced from a male;
    - Boyfriend referenced in the medical record;
    - Living with a male “partner”;
    - History of pregnancy;
    - History of another sexually transmitted infection (in addition to HIV); and
    - Sex worker (either current or in the past).

### 8.2 SEX WITH FEMALE (**Required**, applies to health department & health care providers)

- Select applicable response.

- Some examples of information from the medical record which would strongly indicate sex with a female are below.
    - For male patient:
      - Married to or divorced from a female; and
      - Has a biological child
    - For female patient:
      - Married to or divorced from a female.
- 8.3 INJECTED NON-PRESCRIPTION DRUGS (**Required**, applies to health department & health care providers)
- Select applicable response.
  - History of injected non-prescription drugs might have occurred at any time in the past
- 8.4-8.6 RECEIVED CLOTTING FACTOR FOR HEMOPHILIA/COAGULATION DISORDER, SPECIFY CLOTTING FACTOR, and DATE RECEIVED (**Required**, applies to health department & health care providers)
- Select applicable response.
  - “Coagulation disorder” or “hemophilia” refers only to a disorder of a clotting factor; factors are any of the circulating proteins named Factor I through Factor XII. These disorders include Hemophilia A and Von Willebrand’s disease (Factor VIII disorders) and Hemophilia B (a Factor IX disorder).
  - This risk factor is generally documented in the history and physical section of the patient’s medical chart.
  - They do not include other bleeding disorders, such as thrombocytopenia, treatable by platelet transfusion.
  - If only a transfusion of platelets, other blood cells, or plasma was received by the partner, then select “No.”
  - See the file *Risk Factor Ascertainment* for further guidance on risk factor data collection and cases of public health importance (COPHI).
  - Alert state/local COPHI coordinator if select “Yes”.
  - If “Yes”, specify the clotting factor and enter date received. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
- 8.7 HETEROSEXUAL RELATIONS WITH ANY OF THE FOLLOWING: This section, addressed at 8.7.1–8.7.6, relates to ascertainment of risk among persons who had heterosexual contact (had sex with) with the case patient. Verification of sex partner’s HIV infection status is not necessary.
- 8.7.1 INTRAVENOUS/INJECTION DRUG USER (**Required**, applies to health department & health care providers)
- Select applicable response.
- 8.7.2 BISEXUAL MALE (**Required**, applies to health department & health care providers)
- Select applicable response.
  - Applies only to **female** cases.
- 8.7.3 PERSON WITH HEMOPHILIA/COAGULATION DISORDER WITH DOCUMENTED HIV INFECTION (**Required**, applies to health department & health care providers)
- Select applicable response.
  - Refer to 8.4-8.6 for additional information.
- 8.7.4 TRANSFUSION RECIPIENT WITH DOCUMENTED HIV INFECTION (**Required**, applies to health department & health care providers)

- Select applicable response.
  - Consider documenting the reason for transfusion in the Comments section.
- 8.7.5 TRANSPLANT RECIPIENT WITH DOCUMENTED HIV INFECTION (**Required**, applies to health department & health care providers)
- Select applicable response.
  - Consider documenting the reason for transplant in the Comments section.
- 8.7.6 PERSON WITH DOCUMENTED HIV INFECTION, RISK NOT SPECIFIED (**Required**, applies to health department & health care providers)
- Select applicable response.
  - Select “Yes” only if HETEROSEXUAL sex partner is known to be HIV positive and that partner’s risk factor for HIV is unknown.
- 8.8-8.10 RECEIVED TRANSFUSION OF BLOOD/BLOOD COMPONENTS (OTHER THAN CLOTTING FACTOR), FIRST DATE RECEIVED, and LAST DATE RECEIVED (**Required**, applies to health department & health care providers)
- Select applicable response.
  - Blood is defined as a circulating tissue composed of a fluid portion (plasma) with suspended formed elements (red blood cells, white blood cells, platelets).
  - Blood components that can be transfused include erythrocytes, leukocytes, platelets, and plasma.
  - It is often helpful to document the reason for the transfusion in the Comments section.
  - See the file *Risk Factor Ascertainment* for further guidance on risk factor data collection and COPHI.
  - If the last transfusion was after March 1985, then alert state/local COPHI coordinator.
  - If “Yes”, enter the dates first and last received in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
- 8.11 RECEIVED TRANSPLANT OF TISSUE/ORGANS OR ARTIFICIAL INSEMINATION (**Required**, applies to health department & health care providers)
- Select applicable response.
  - See the file *Risk Factor Ascertainment* for further guidance on risk factor data collection and COPHI.
  - Alert the state/local COPHI coordinator if select “Yes”.
- 8.12-8.13 WORKED IN HEALTH CARE OR CLINICAL LABORATORY SETTING and IF OCCUPATIONAL EXPOSURE IS BEING INVESTIGATED OR CONSIDERED AS PRIMARY MODE OF EXPOSURE, SPECIFY OCCUPATION AND SETTING (**Required** applies to health department & health care providers)
- Select applicable response.
  - Investigate apparent occupational exposures to determine if this was the only risk factor present.
  - See the file *Risk Factor Ascertainment* for further guidance on risk factor data collection and COPHI.
  - Alert state/local COPHI coordinator if select “Yes”.
  - If “Yes”, specify occupation and setting.
- 8.14 OTHER DOCUMENTED RISK (**Required** applies to health department & health care providers)
- See the file *Risk Factor Ascertainment* for further guidance on unusual transmission history that could be considered as potential COPHI.
  - Select applicable response.
  - Document details of the risk information in the Comments section.

## 9. Clinical: Acute HIV Infection and Opportunistic Illnesses

### Clinical: Acute HIV Infection and Opportunistic Illnesses (record all dates as mm/dd/yyyy)

<b>Suspect acute HIV infection?</b> <i>If YES, complete the two items below; enter documented negative HIV test data in Laboratory Data section, and enter patient or provider report of previous negative HIV test in HIV Testing History section.</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			
Clinical signs/symptoms consistent with acute retroviral syndrome (e.g., fever, malaise/fatigue, myalgia, pharyngitis, rash, lymphadenopathy)? Date of sign/symptom onset ____/____/____		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			
Other evidence suggestive of acute HIV infection? <i>If YES, please describe:</i> Date of evidence ____/____/____		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown			
Opportunistic Illnesses					
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 <sup>1</sup>	
Candidiasis, esophageal		Histoplasmosis, disseminated or extrapulmonary		M. tuberculosis, disseminated or extrapulmonary <sup>1</sup>	
Carcinoma, invasive cervical		Isosporiasis, chronic intestinal (>1 mo. duration)		Mycobacterium, of other/unidentified 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	

<sup>1</sup>If a diagnosis date is entered for either tuberculosis diagnosis above, provide RVCT Case Number.

### 9.1 CLINICAL: ACUTE HIV INFECTION

- Collection of acute HIV infection information is **recommended** for all state and local health departments.
- The purpose of this section is to facilitate the identification of persons with acute HIV infection for more urgent follow-up, as applicable according to state and local health department policies and practices. Acute HIV infections are more transmissible than other HIV infections. Clinical criteria for acute HIV infection may overlap the surveillance case definition of stage 0 (early HIV infection).
  - Persons more likely to have acute HIV infection may be identified by a shorter interval (relative to the stage-0-defining period of up to 180 days) between a negative or indeterminate HIV test result and the first HIV-positive test result associated with diagnosis. The maximum length of the interval between these two tests could range from 30 to 90 days, and may be determined locally.
  - This section includes clinical (non-laboratory) data to supplement the laboratory-based criteria for stage 0 to identify persons with probable or possible acute HIV infection for follow-up as applicable.
- These variables indicative of probable or possible acute HIV infection may be used separately or in combination with the eHARS stage 0 variable (*stage\_zero\_dx*) to inform epidemiologic analyses.
- For further information about acute HIV infection, see the file, *Early HIV Infection, HIV-2, and Other Diagnostic Considerations*.

#### 9.1.1 SUSPECT ACUTE HIV INFECTION? (**Recommended**, applies to health department & health care providers)

- This variable is meant to encompass all sources of available information that might indicate acute HIV, and its use could vary with each state or local jurisdiction's policies and practices. The information about acute HIV status could include laboratory-documented evidence from the laboratory-based HIV testing algorithm, such as having a positive initial immunoassay result followed by a negative or indeterminate type-differentiating supplemental test and a subsequent positive NAT; or it could include a laboratory-documented or patient or provider reported history of a previous negative HIV test before diagnosis. Additionally, it could include information from a provider reporting that the person had acute HIV, or include

provider notes about symptoms of acute HIV, or there may have been clear information about a specific exposure that occurred just before diagnosis and no possibility of exposure prior to that specific occurrence.

- Select “Yes” if there is any evidence to suspect that the person had acute HIV infection at diagnosis. If “Yes” is selected, then ensure the following:
  - Complete the items below for “Clinical signs/symptoms consistent with acute retroviral syndrome” and “Other evidence suggestive of acute HIV infection.”
  - Documented negative or indeterminate HIV test results that include the type of test and date should be entered in the Laboratory Data section.
  - Patient or provider reports of a previous negative HIV test should be entered in the HIV Testing History section.
- “No” indicates sufficient evidence that the person did not have acute HIV infection at diagnosis.
- “Unknown” indicates there is insufficient evidence to indicate whether the person had acute HIV infection at diagnosis, after searching for the information, consulting with the provider, or asking the patient.

#### 9.1.2 CLINICAL SIGNS/SYMPTOMS CONSISTENT WITH ACUTE RETROVIRAL SYNDROME (**Recommended**, applies to health department & health care providers)

- This field is intended for collecting evidence of the clinical signs/symptoms consistent with acute retroviral syndrome (e.g., fever, malaise/fatigue, myalgia, pharyngitis, rash, and/or lymphadenopathy; generally, two or more symptoms such as these are present). For a more complete list of the clinical symptoms associated with acute HIV, refer to [Appendix 9.1.2](#).
- This information would typically be found in the clinical record and could be explicitly stated as acute retroviral syndrome (ARS) or primary HIV infection (PHI), or that the provider suspects acute infection, or there could just be a description of the case’s presenting symptoms at the time of HIV testing together with plausible information about a recent HIV exposure. Ideally, ARS or PHI would be determined by a clinician who has ruled out other illness.
- If it is unclear whether any symptoms are related to acute HIV, consult with medical professionals.
- Select “Yes” if there is clear evidence that the person had clinical signs/symptoms consistent with acute retroviral syndrome.
- “No” indicates sufficient evidence that the person did not clinical signs/symptoms consistent with acute retroviral syndrome.
- “Unknown” indicates there is insufficient evidence to indicate whether the person had clinical signs/symptoms consistent with acute retroviral syndrome, after searching for the information, consulting with the provider, or asking the patient.

#### 9.1.3 DATE OF SIGN/SYMPTOM ONSET (**Recommended**, applies to health department & health care providers)

- Record the earliest date of sign/symptom onset.
- Enter date in *mm/dd/yyyy* format. If day is unknown, use ‘.’ for the unknown value (e.g., 03/./2017).

#### 9.1.4 OTHER EVIDENCE SUGGESTIVE OF ACUTE HIV INFECTION? (**Recommended**, applies to health department & health care providers)

- Select “Yes” if there is any other evidence of acute HIV that is not based on diagnostic HIV-related test information or signs/symptoms of acute HIV. An example would be a person who had a high viral load (>500,000 copies/mL) at or within 6 weeks after diagnosis, or a clear exposure to HIV that occurred just before diagnosis in the setting where an earlier source of infection is unlikely (e.g., a rape or an



occupational exposure).

- Viral load data should be entered in the Laboratory Data section.
- Note that an occupational exposure would also be followed up as a COPHI.
- “No” indicates sufficient information to indicate no other evidence of acute HIV infection.
- “Unknown” indicates there is insufficient evidence to indicate whether there was any other evidence of acute HIV infection, after searching for the information, consulting with the provider, or asking the patient.

9.1.5 OTHER EVIDENCE SUGGESTIVE OF ACUTE HIV INFECTION (SPECIFY)  
(**Recommended**, applies to health department & health care providers)

- Enter a brief description of the exposure leading to the determination of a presumptive acute HIV diagnosis, (e.g. “High viral load—980,000 copies/mL,” or “Patient raped in Feb, HIV diagnosis in March”).

9.1.6 DATE OF EVIDENCE (**Recommended**, applies to health department & health care providers)

- Record the date associated with the other evidence.
- Enter date in *mm/dd/yyyy* format. If day is unknown, use ‘.’ for the unknown value (e.g., 03/./2017).

9.2 CLINICAL: OPPORTUNISTIC ILLNESSES

9.2.1–9.2.26 (**Optional**, applies to health department & health care providers)

- Select all that apply and enter diagnosis dates. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
- For additional information, refer to the most recent case definition for HIV infection (available at <http://www.cdc.gov/mndss/conditions/hiv-infection/>).

9.2.27 RVCT CASE NUMBER (**Optional**, applies to health department & health care providers)

- If this patient has a verified case of tuberculosis (TB), health department staff enter the nine-digit alphanumeric code from the TB case report or TB data management system. Providers in the private and public sectors diagnosing tuberculosis in their stage 3 (AIDS) patients may get this number from TB surveillance staff.

## 10. Laboratory Data

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

<b>HIV Immunoassays (Nondifferentiating)</b>		
TEST 1 <input type="checkbox"/> HIV-1 IA <input type="checkbox"/> HIV-1/2 IA <input type="checkbox"/> HIV-1/2 Ag/Ab <input type="checkbox"/> HIV-1 WB <input type="checkbox"/> HIV-1 IFA <input type="checkbox"/> HIV-2 IA <input type="checkbox"/> HIV-2 WB		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Positive <input type="checkbox"/> Negative <input type="checkbox"/> Indeterminate	Collection Date ____/____/____	<input type="checkbox"/> Point-of-care rapid test
TEST 2 <input type="checkbox"/> HIV-1 IA <input type="checkbox"/> HIV-1/2 IA <input type="checkbox"/> HIV-1/2 Ag/Ab <input type="checkbox"/> HIV-1 WB <input type="checkbox"/> HIV-1 IFA <input type="checkbox"/> HIV-2 IA <input type="checkbox"/> HIV-2 WB		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Positive <input type="checkbox"/> Negative <input type="checkbox"/> Indeterminate	Collection Date ____/____/____	<input type="checkbox"/> Point-of-care rapid test
<b>HIV Immunoassays (Differentiating)</b>		
<input type="checkbox"/> HIV-1/2 type-differentiating immunoassay (differentiates between HIV-1 Ab and HIV-2 Ab)		
Role of test in diagnostic algorithm <input type="checkbox"/> Screening/initial test <input type="checkbox"/> Confirmatory/supplemental test		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <sup>1</sup> Overall interpretation: <input type="checkbox"/> HIV-1 positive <input type="checkbox"/> HIV-2 positive <input type="checkbox"/> HIV positive, untypable <input type="checkbox"/> HIV-2 positive with HIV-1 cross-reactivity <input type="checkbox"/> HIV-1 indeterminate <input type="checkbox"/> HIV-2 indeterminate <input type="checkbox"/> HIV indeterminate <input type="checkbox"/> HIV negative	Collection Date ____/____/____	<input type="checkbox"/> Point-of-care rapid test
Analyte results: HIV-1 Ab: <input type="checkbox"/> Positive <input type="checkbox"/> Negative <input type="checkbox"/> Indeterminate HIV-2 Ab: <input type="checkbox"/> Positive <input type="checkbox"/> Negative <input type="checkbox"/> Indeterminate	<sup>1</sup> Always complete the overall interpretation. Complete the analyte results when available.	
<input type="checkbox"/> HIV-1/2 Ag/Ab differentiating immunoassay (differentiates between HIV Ag and HIV Ab)		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Ag positive <input type="checkbox"/> Ab positive <input type="checkbox"/> Both (Ag and Ab positive) <input type="checkbox"/> Negative <input type="checkbox"/> Invalid	Collection Date ____/____/____	<input type="checkbox"/> Point-of-care rapid test
<input type="checkbox"/> HIV-1/2 Ag/Ab and type-differentiating immunoassay (differentiates among HIV-1 Ag, HIV-1 Ab, and HIV-2 Ab)		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <sup>2</sup> Overall interpretation: <input type="checkbox"/> Reactive <input type="checkbox"/> Nonreactive <input type="checkbox"/> Index value _____	Collection Date ____/____/____	<input type="checkbox"/> Point-of-care rapid test
Analyte results: HIV-1 Ag: <input type="checkbox"/> Reactive <input type="checkbox"/> Nonreactive <input type="checkbox"/> Not reportable due to high Ab level HIV-1 Ab: <input type="checkbox"/> Reactive <input type="checkbox"/> Nonreactive <input type="checkbox"/> Reactive undifferentiated HIV-2 Ab: <input type="checkbox"/> Reactive <input type="checkbox"/> Nonreactive <input type="checkbox"/> Reactive undifferentiated	Index value _____	<sup>2</sup> Complete the overall interpretation and the analyte results.
<b>HIV Detection Tests (Qualitative)</b>		
TEST <input type="checkbox"/> HIV-1 RNA/DNA NAAT (Qualitative) <input type="checkbox"/> HIV-1 culture <input type="checkbox"/> HIV-2 RNA/DNA NAAT (Qualitative) <input type="checkbox"/> HIV-2 culture		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Positive <input type="checkbox"/> Negative <input type="checkbox"/> Indeterminate	Collection Date ____/____/____	
<b>HIV Detection Tests (Quantitative viral load) Note: Include earliest test at or after diagnosis.</b>		
TEST 1 <input type="checkbox"/> HIV-1 RNA/DNA NAAT (Quantitative viral load) <input type="checkbox"/> HIV-2 RNA/DNA NAAT (Quantitative viral load)		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Detectable <input type="checkbox"/> Undetectable	Copies/mL _____	Log _____
Collection Date ____/____/____		
TEST 2 <input type="checkbox"/> HIV-1 RNA/DNA NAAT (Quantitative viral load) <input type="checkbox"/> HIV-2 RNA/DNA NAAT (Quantitative viral load)		
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Result <input type="checkbox"/> Detectable <input type="checkbox"/> Undetectable	Copies/mL _____	Log _____
Collection Date ____/____/____		
<b>Drug Resistance Tests (Genotypic)</b>		
TEST <input type="checkbox"/> HIV-1 Genotype (Unspecified)		
Test brand name/Manufacturer _____	Facility name _____	
Lab name _____	Provider name _____	
Provider name _____	Collection Date ____/____/____	
<b>Immunologic Tests (CD4 count and percentage)</b>		
CD4 at or closest to diagnosis: CD4 count _____ cells/ $\mu$ L	CD4 percentage _____ %	Collection Date ____/____/____
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
First CD4 result <200 cells/ $\mu$ L or <14%: CD4 count _____ cells/ $\mu$ L	CD4 percentage _____ %	Collection Date ____/____/____
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
Other CD4 result: CD4 count _____ cells/ $\mu$ L	CD4 percentage _____ %	Collection Date ____/____/____
Test brand name/Manufacturer _____	Lab name _____	
Facility name _____	Provider name _____	
<b>Documentation of Tests</b>		
Did documented laboratory test results meet approved HIV diagnostic algorithm criteria? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown		
If YES, provide date of diagnosis ____/____/____		
Date of last documented negative HIV test (before HIV diagnosis date) ____/____/____		
Specify type of test: _____		

- Throughout this section, "Collection Date" refers to the date when the specimen was collected or drawn. Enter collection dates in mm/dd/yyyy format using '.' for unknown

values (e.g., 03/./2011).

- Record all laboratory tests. Include all diagnostic tests, viral load tests, CD4 tests, and drug resistance tests (genotypic) where possible. Where the number of tests exceeds the number of fields available on the form, record such results in the Comments section. In eHARS, enter the additional test results on the lab data tab with the applicable test type.
- Include tests with negative or indeterminate results that are part of a diagnostic testing algorithm whose overall interpretation is positive (that the patient is HIV-infected).
- In the absence of lab tests, record HIV infection or stage 3 (AIDS) diagnostic evidence documented in the chart by a physician.

#### 10.1 HIV IMMUNOASSAYS (NON-DIFFERENTIATING)

- Assuming active case finding, review patient’s chart and lab reports for the earliest date of documented HIV positivity. “Indeterminate” refers to Indeterminate HIV antibody test results.
- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Enter results and collection dates for all tests (including negative or indeterminate test results) that are part of a diagnostic testing algorithm whose overall interpretation is positive (that the patient is HIV-infected). (**Required**, applies to health department & health care providers)
  - Enter specimen collection date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
- Check the Point-of-care rapid test box if the test is a CLIA waived point-of-care rapid test. (**Optional**, applies to health department & health care providers)

##### 10.1.1 HIV-1 IA

- Enter result and collection date of first HIV-1 IA. (**Required**, applies to health department & health care providers)
- “Positive IA” means repeatedly reactive tests on a single sample.

##### 10.1.2 HIV-1/2 IA

- Enter result and collection date of first HIV-1/2 combination IA test. (**Required**, applies to health department & health care providers)

##### 10.1.3 HIV-1/2 AG/AB

- Enter result and collection date of combined p24 antigen and anti HIV1/2 antibody screening assay. (**Required**, applies to health department & health care providers)

##### 10.1.4 HIV-1 WESTERN BLOT

- Enter the result and collection date of first HIV-1 Western blot. (**Required**, applies to health department & health care providers)
- Western blot banding patterns should be interpreted according to the CDC/Association of State and Territorial Public Health Laboratory Directors (ASTPHLD) recommendations “Interpretation and Use of the Western Blot Assay for Serodiagnosis of Human Immunodeficiency Virus Type 1 Infections ” (*MMWR*, 1989;38:No.S-7).

##### 10.1.5 HIV-1 IFA

- Enter the result and collection date of first HIV-1 IFA. (**Required**, applies to health department & health care providers)

##### 10.1.6 HIV-2 IA

- Enter result and date of first HIV-2 IA. (**Required**, applies to health department & health care providers)

- “Positive IA” means repeatedly reactive tests on a single sample.

#### 10.1.7 HIV-2 WESTERN BLOT

- Enter the result and collection date of first HIV-2 Western blot. (**Required**, applies to health department & health care providers)

### 10.2 HIV IMMUNOASSAYS (DIFFERENTIATING)

- Assuming active case finding, review patient’s chart and lab reports for the earliest date of documented HIV positivity.
- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Enter results and collection dates for all tests (including negative or indeterminate test results) that are part of a diagnostic testing algorithm whose overall interpretation is positive (that the patient is HIV-infected). (**Required**, applies to health department & health care providers)
  - Enter specimen collection date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).

#### 10.2.1 HIV-1/2 TYPE-DIFFERENTIATING IMMUNOASSAY

- Enter collection date of first HIV-1/2 Type-Differentiating IA. (**Required**, applies to health department & health care providers)
- Enter the role of the test in the diagnostic algorithm, “screening/initial” or “confirmatory/supplemental”. That is, was the test used as a screening/initial test in the recommend diagnostic algorithm or was the test used as a confirmatory/supplemental test in the recommended diagnostic algorithm.
- Enter the overall interpretation of the test (**Required**, applies to health department & health care providers)
- Record the result for each analyte (HIV-1Ab and HIV-2 Ab). That is, one result should be recorded for HIV-1 Ab and one result should be recorded for HIV-2 Ab. (**Required**, applies to health department & health care providers).
- Check the Point-of-care rapid test box if the test is a CLIA waived point-of-care rapid test. (**Optional**, applies to health department & health care providers)

#### 10.2.2 HIV-1/2 AG/AB-DIFFERENTIATING IMMUNOASSAY

- Enter result and collection date of first HIV-1/2 Ag/Ab-Differentiating IA. (**Required**, applies to health department & health care providers)
- If the result is HIV Ab reactive or HIV Ag reactive and HIV Ab reactive, check the box for “Ab positive” or “Both (Ag and Ab reactive)”, respectively, on the ACRF. These indicate that antibodies to HIV-1 or HIV-2 were detected.

#### 10.2.3 HIV-1/2 AG/AB AND TYPE-DIFFERENTIATING IMMUNOASSAY

- Enter collection date of first HIV-1/2 Ag/Ab and Type-Differentiating IA. (**Required**, applies to health department & health care providers)
- Enter the Overall interpretation of the test. (**Required**, applies to health department & health care providers)
- If provided enter index value for the overall interpretation. (**Optional**, applies to health department & health care providers)
- Record the result for each analyte (HIV Ag and HIV-1 Ab and HIV-2 Ab). That is, one result should be recorded for HIV-1 Ag, one result for HIV-1 Ab and one result should be recorded for HIV-2 Ab. (**Required**, applies to health department & health care providers)
- Enter the index value for each analyte. (**Optional**, applies to health department & health care providers)

### 10.3 HIV DETECTION TESTS (QUALITATIVE)

- All varieties of such tests establish the presence of the pathogen, HIV. By contrast, HIV tests such as the IA or Western blot establish the presence of the immune system's response to the pathogen (i.e., HIV antibodies).
- Assuming active case finding, review patient's chart and lab reports for the earliest date of documented HIV positivity.
- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Enter results and collection dates for all tests (including negative or indeterminate test results) that are part of a diagnostic testing algorithm whose overall interpretation is positive (that the patient is HIV-infected). (**Required**, applies to health department & health care providers)
  - Enter specimen collection date in *mm/dd/yyyy* format using '.' for unknown values (e.g., 03/./2011).

#### 10.3.1 HIV-1 RNA/DNA NAAT (QUALITATIVE)

- Enter result and collection date of earliest NAAT. (**Required**, applies to health department & health care providers)

#### 10.3.2 HIV-1 CULTURE

- Enter result and collection date of earliest test by culture. (**Required**, applies to health department & health care providers)

#### 10.3.3 HIV-2 RNA/DNA NAAT (QUALITATIVE)

- Enter result and collection date of earliest NAAT. (**Required**, applies to health department & health care providers)

#### 10.3.4 HIV-2 CULTURE

- Enter result and collection date of earliest test by culture. (**Required**, applies to health department & health care providers)

### 10.4 HIV DETECTION TESTS (QUANTITATIVE VIRAL LOAD)

- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Indicate if results are "Detectable" or "Undetectable". Viral load tests with undetectable results should also be entered. (**Optional**, applies to health department & health care providers)
- Enter results in units of viral copies per milliliter (mL) and Log. (**Required**, applies to health department & health care providers)
  - Where results are reported above the limit of quantification (LOQ), select "Detectable" then enter "greater than detection limits for this assay" and the result value in the copies/mL field.
  - Where the results reported are below the LOQ, select "Undetectable" then enter "fewer than detectable by this assay" and the result value in the copies/mL field. For example, a result of "<48 cp/mL detected" should be entered into the copies/ml field as "fewer than detectable by this assay - 48 cp/mL".
- Enter specimen collection date in *mm/dd/yyyy* format using '.' for unknown values (e.g., 03/./2011).

#### 10.4.1 HIV-1 RNA/DNA NAAT (QUANTITATIVE VIRAL LOAD)

- Enter result and collection date of earliest test. (**Required**, applies to health department & health care providers)

#### 10.4.2 HIV-2 RNA/DNA NAAT (QUANTITATIVE VIRAL LOAD)

- Enter result and collection date of earliest test. (**Required**, applies to health

department & health care providers)

#### 10.5 DRUG RESISTANCE TESTS (GENOTYPIC)

- This section should be completed if there is evidence of a drug resistance test (genotypic), regardless of the type of drug resistance test, in the patient's medical or other record.
- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Enter the collection date of the earliest test. (**Required**, applies to health department & health care providers)
- When entering this information in eHARS, you should use the lab data tab and choose "HIV-1 Genotype (Unspecified)" as the test type. You will not be able to enter a genotype sequence since this test type only captures evidence of a drug resistance test (genotypic). If a corresponding genotype sequence is subsequently received, you should import this information as a separate laboratory document using the test type that reflects the type of drug resistance test that was conducted (e.g., HIV-1 Genotype (PR/RT Nucleotide Sequence)).

#### 10.6 IMMUNOLOGIC TESTS (CD4 COUNT AND PERCENTAGE)

- Enter the brand name of the test and/or its manufacturer, lab name, facility name and provider name. (**Optional**, applies to health department & health care providers)
- Whenever CD4 count and percentage are both available for the same specimen collection date, record both.
- Enter specimen collection date in *mm/dd/yyyy* format using '.' for unknown values (e.g., 03/././2011). (**Required**, applies to health department & health care providers)

##### 10.6.1 CD4 AT OR CLOSEST TO DIAGNOSIS

- This is the first CD4 result closest to the date of initial HIV infection diagnosis, regardless of stage of disease at diagnosis.

###### 10.6.1.1 CD4 COUNT

- Record the CD4 count closest to the time when the patient was determined to be HIV infected. If this information is not available when the initial case report is completed, it may be entered later.
- Enter result and specimen collection date of first CD4 count. (**Required**, applies to health department & health care providers)

###### 10.6.1.2 CD4 PERCENTAGE

- Record the CD4 percentage closest to the time when the patient was determined to be HIV infected. If this information is not available when the initial case report is completed, it may be entered later.
- Record result and specimen collection date of first CD4 percentage. (**Required**, applies to health department & health care providers)

##### 10.6.2 FIRST CD4 RESULT < 200 cells/μL or < 14%

- This is the first CD4 result indicative of stage 3 (AIDS). The stage is based primarily on the CD4 count; the CD4 count takes precedence over the CD4 percentage, and the percentage is considered only if the count is missing.

###### 10.6.2.1 CD4 COUNT

- Record results and specimen collection date of first CD4 indicative of stage 3 (i.e., < 200 cells/μL). (**Required**, applies to health department & health care providers)

###### 10.6.2.2 CD4 PERCENTAGE

- Record results and specimen collection date if: (**Required**, applies to health department & health care providers)
  - The CD4 percentage was from a specimen collected on the same date as the first CD4 count indicative of stage 3 (see section 9.5.2.1 above) or
  - The first CD4 percentage indicative of stage 3 (i.e., <14%) was from a specimen collected on an earlier date than the first CD4 count indicative of stage 3 and was not accompanied by a CD4 count for the same date.

### 10.6.3 Other CD4 RESULT

#### 10.6.3.1 CD4 COUNT

- Enter results and specimen collection date of other CD4 count. (**Required**, applies to health department & health care providers)

#### 10.6.3.2 CD4 PERCENTAGE

- Record results and specimen collection date of other CD4 percentage. (**Required**, applies to health department & health care providers)

## 10.7 DOCUMENTATION OF TESTS

### 10.7.1 DID DOCUMENTED LABORATORY TEST RESULTS MEET APPROVED HIV DIAGNOSTIC ALGORITHM CRITERIA? (**Required** if applicable, applies to health department & health care providers)

- This section captures diagnoses through novel algorithms, and should only be completed if none of the following were positive for **HIV-1**: Western blot, IFA, culture, viral load, qualitative NAAT (RNA or DNA), HIV 1/2 type differentiating immunoassay (supplemental test), p24 antigen test, or genotype test. Please follow the guidance above for when to complete this field rather than the instructions on the form which include fewer test types; the instructions on the form will be updated in a future revision.
- “Approved HIV diagnostic algorithm criteria” means any criteria that satisfy the HIV surveillance case definition, regardless of whether approved for other purposes such as laboratory-based HIV testing or point-of-care HIV screening.
- If “Yes”, enter date of earliest positive test for this algorithm in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011). (**Required** if applicable, applies to health department & health care providers)

### 10.7.2 IF HIV LABORATORY TESTS WERE NOT DOCUMENTED, IS HIV DIAGNOSIS DOCUMENTED BY A PHYSICIAN? (**Required** if applicable, applies to health department & health care providers)

- If laboratory evidence of an HIV test is unavailable in the patient’s medical or other record and written documentation of lab evidence of HIV infection consistent with the HIV case definition is noted by the physician, enter “Yes”; otherwise enter “No” or “Unknown.”
- IF “YES” TO 10.7.2, PROVIDE DATE OF DIAGNOSIS BY PHYSICIAN (**Required** in the absence of lab results, applies to health department & health care providers)
- Date of diagnosis is defined as the date (at least the year) of diagnosis reported in the content of the medical record. If the diagnosis date was not reported in the note, the date when the note was written can be used as a proxy. For example, if a health care provider writes a note in a medical chart on 4/10/2010 stating the patient had positive HIV EIA and WB on 2/11/2010, this should be recorded as 2/11/2010 as the date of

diagnosis by the physician.

### 10.7.3 DATE OF LAST DOCUMENTED NEGATIVE HIV TEST (SPECIFY TYPE)

(**Required**, applies to health department & health care providers)

- This represents the last documented date when the person was considered not to be HIV infected, as documented by laboratory or medical record evidence accompanied by test type information.
- Patient self-report of last negative test is not considered “documented” and thus should not be entered in this field but rather in the HIV Testing History section (see sections 13.5 and 13.6 below).
- Enter the specimen collection date for the date of the last negative HIV test in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011). (**Required**, applies to health department & health care providers)
- Enter the type of test that yielded the last negative HIV test result. (**Required**, applies to health department & health care providers)
- Include the last negative HIV laboratory test result before the person was known to be infected. Do not include in this field a negative test result as part of a sequence of tests in an algorithm that has a final interpretation indicating that the person was infected with HIV. Negative test results that are part of a sequence of HIV tests in an algorithm should be recorded in the appropriate laboratory test fields above.
- If it is unclear how to interpret a negative test result that is part of a testing algorithm, it may be necessary to contact the provider ordering the tests.
- Do not include an undetectable viral load result, unless there is evidence that the person was **not** receiving antiretroviral therapy at the time the viral load specimen was obtained. A viral load result alone is not considered sufficient evidence of the absence of HIV infection (e.g., the person may have been receiving antiretroviral therapy when the specimen was obtained, or may naturally have a suppressed viral load without antiretroviral therapy).
- Do not include tests with indeterminate, inconclusive, or unknown results in this field. Any indeterminate HIV test results that are part of a diagnostic testing algorithm should be recorded in the appropriate laboratory test fields above.

## 11. Treatment/Services Referrals

### 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	
Evidence of receipt of HIV medical care other than laboratory test result (select one; record additional evidence in Comments) <input type="checkbox"/> 1-Yes, documented <input type="checkbox"/> 2-Yes, client self-report, only Date of medical visit or prescription ____/____/____			
<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 Date of Birth ____/____/____	
Child's Last Name Soundex		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 _____	
*Street Address		*ZIP Code	
City	County	State/Country	

11.1 HAS THIS PATIENT BEEN INFORMED OF HIS/HER HIV INFECTION (**Optional**, applies to health department & health care providers)

- Select applicable response



- If notification is not documented, select “Unknown” unless the person completing the form knows with certainty that the patient is aware of the infection.
- 11.2 THIS PATIENT’S PARTNERS WILL BE NOTIFIED ABOUT THEIR HIV EXPOSURE AND COUNSELED BY (**Optional**, applies to health department & health care providers)
- Select applicable response.
- 11.3 EVIDENCE OF RECEIPT OF HIV MEDICAL CARE OTHER THAN LABORATORY TEST RESULT (**Optional**, applies to health department & health care providers)
- Select applicable response.
  - Additional evidence may be recorded in the comments section.
- 11.4 DATE OF MEDICAL VISIT OR PRESCRIPTION
- Enter date in *mm/dd/yyyy* format. If day is unknown, use ‘.’ for the unknown value (e.g., 03../2017).
- 11.5 FOR FEMALE PATIENT
- 11.5.1 THIS PATIENT IS RECEIVING OR HAS BEEN REFERRED FOR GYNECOLOGICAL OR OBSTETRICAL SERVICES (**Optional**, applies to health department & health care providers)
- Select applicable response.
- 11.5.2 IS THIS PATIENT CURRENTLY PREGNANT (**Required**, applies to health department & health care providers)
- Response is dependent on which date was selected for populating the field 3.9 (DATE FORM COMPLETED). If patient was pregnant on that date, select “Yes”.
- 11.5.3 HAS THIS PATIENT DELIVERED LIVE-BORN INFANTS (**Optional**, applies to health department & health care providers)
- Select applicable response.
  - If “Yes”, provide birth information for the most recent birth as described at 11.4 below.
- 11.6 FOR CHILDREN OF PATIENT
- Record information related to the most recent birth in this section. Record additional or multiple births in the Comments section.
- 11.6.1 CHILD’S NAME (**Recommended**, applies to health department & health care providers)
- Enter child’s first name, middle name, and last name.
- 11.6.2 CHILD’S DATE OF BIRTH (**Recommended**, applies to health department & health care providers)
- Enter child’s date of birth in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
- 11.6.3 CHILD’S LAST NAME SOUNDEX (**System generated**)
- After the child’s name is entered into CDC-supplied software, the software automatically generates this variable by using the child’s last name. After the code is generated, health department staff should fill this field on the form.
  - This variable is a phonetic, alphanumeric code calculated by converting a surname into an index letter and a three-digit code. The index letter is the first letter of the surname. The *eHARS Technical Reference Guide* describes exactly how the Last Name Soundex is created.
- 11.6.4 CHILD’S STATE NUMBER (**Recommended**, applies to health department)
- Enter the assigned state number, if applicable. This number is typically assigned by state/local health department personnel if the child is known to have received a

diagnosis of HIV infection. Some jurisdictions also assign numbers for children classified as “Perinatally HIV Exposed” or “Seroreverter.”

- If a child was a pediatric “Seroreverter” and was later infected with HIV, the child must be given two different state numbers, one associated with the “Seroreverter” and another associated with the HIV infection diagnosis. Refer to Appendix 4.1.4 in the file *Pediatric HIV Confidential Case Report Form and Perinatal HIV Exposure Reporting Form* for the definition of a pediatric “Seroreverter”. Enter the child’s state number associated with the “Seroreverter” on the case report form.
- Assigned numbers **must not** be reused, even if the case is later deleted.
- This variable is used, along with the state of report, to uniquely identify cases reported to CDC and to merge the state datasets without duplication.

11.6.5 FACILITY NAME OF BIRTH (**Optional**, applies to health department & health care providers)

- Enter the name of the facility where the child was born.
- If the child was born at home, enter “home birth”.

11.6.6 PHONE (**Optional**, applies to health department & health care providers)

- Enter area code and telephone number of the facility of birth.

11.6.7 FACILITY TYPE (**Optional**, applies to health department & health care providers)

- Select the type of facility of birth.
- Refer to the *eHARS Technical Reference Guide* for listing of facility types.

11.6.8 STREET ADDRESS (**Optional**, applies to health department & health care providers)

- Enter street address of the facility of birth.

11.6.9 ZIP CODE (**Optional**, applies to health department & health care providers)

- Enter ZIP code where the facility of birth is located.

11.6.10 CITY (**Optional**, applies to health department & health care providers)

- Enter city of the facility of birth.

11.6.11 COUNTY (**Optional**, applies to health department & health care providers)

- Enter county of the facility of birth.

11.6.12 STATE/COUNTRY (**Optional**, applies to health department & health care providers)

- Enter state and country name of the facility of birth.

## 12. Antiretroviral Use History

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

Main source of antiretroviral (ARV) use information (select one)			Date patient reported information		
<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	___/___/___
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 (specify reason) _____	ARV medications _____	Date began ___/___/___	Date of last use ___/___/___		

- ARV use history data are used to assess the prevalence of acquired and transmitted HIV drug resistance.

- Unlike other sections on the ACRF, patient self-reported information is accepted for all answers.
- 12.1 MAIN SOURCE OF ANTIRETROVIRAL (ARV) USE INFORMATION (**Required**, applies to health department & health care providers)
- Check only one source (the main source from which the information in this section was obtained).
    - “*Patient Interview*” should be selected only if the patient was directly asked a series of questions from this or another structured form. Interviewer should have been trained on the proper collection of ARV use history data.
    - “*Medical Record Review*” indicates that this information was obtained through abstraction of medical charts, electronic medical records or databases.
    - “*Provider Report*” indicates this form was filled out by a health care provider.
    - “*NHM&E*” indicates that data were abstracted from the National HIV Monitoring and Evaluation (NHM&E) project forms or databases.
    - “*Other*” indicates that information came from a source other than those listed above.
- 12.2 DATE PATIENT REPORTED INFORMATION (**Required**, applies to health department & health care providers)
- The appropriate date to enter depends on the MAIN SOURCE OF ARV USE INFORMATION. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
  - If there was a structured patient interview, enter the date of interview.
  - For a medical record review, enter the date of the most recent patient encounter that contributed to the ARV information collected. If there was no patient encounter, then enter the date the medical record was reviewed. If the ACRF was completed by a health care provider, enter the date of the most recent patient encounter during which the ARV information was obtained from the patient. If the provider information was obtained from another data source, enter the date of receipt of the information. If these dates are not available, enter the date the ACRF was completed.
  - For information obtained through NHM&E, use the date entered on the HIV testing form.
  - If there are no data available from the above sources, enter the date the ACRF was completed.
- 12.3 EVER TAKEN ANY ARVS (**Required**, applies to health department & health care providers)
- This variable indicates whether the patient has ever taken any antiretroviral medication. “Yes” indicates there is evidence that the person has taken ARVs, including self-report.
  - If “Yes”, it is important to enter the dates when use began and, if appropriate, ended. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
  - “No” indicates there is evidence that the patient has never taken ARVs.
  - “Unknown” should be used when the person completing the form does not know whether or not the patient has ever taken ARVs, after searching for the information or asking the patient.
  - Leave the field blank if there was no attempt to find the information.
- 12.4 IF YES, REASON FOR ARV USE (**Required**, applies to health department & health care providers)
- Select all that apply.
  - “HIV Tx” indicates that the patient used ARVs to treat HIV infection.
  - “PrEP” indicates that the patient used ARVs prior to HIV diagnosis for HIV preexposure prophylaxis (PrEP).
  - “PEP” indicates that the patient used ARVs as postexposure prophylaxis (PEP).
  - “PMTCT” indicates that the patient used ARVs to prevent HIV mother-to-child-transmission

during pregnancy.

- “HBV Tx” indicates that the patient used ARVs to treat hepatitis B virus infection.
- “Other” indicates that the patients used ARVs for a reason other than those indicated above.

- 12.5 ARV MEDICATIONS (**Recommended**, applies to health department & health care providers)
- For each ARV use reason indicated in 12.4, list the medications taken.
  - This variable is used to verify that the medication taken was actually an antiretroviral.
  - It is not necessary to list every drug combination that may have been used; record at least one ARV. Enter “unspecified” if an ARV was taken but the name is not known.
- 12.6 DATE BEGAN (**Required**, applies to health department & health care providers)
- For each ARV use reason indicated in 12.4, enter the earliest date that the patient took the ARVs, even if ARV use was sporadic.
  - If the first time ARVs were taken occurred after HIV diagnosis, it is very important to enter a date, even an estimated date, later than the date of HIV diagnosis.
  - Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
- 12.7 DATE OF LAST USE (**Required**, applies to health department & health care providers)
- For each ARV use reason indicated in 12.4, enter the most recent date of ARV use.
  - For patients currently on ARVs, record the date of the most recent prescription or known usage. If the information was collected during a patient interview, the date would be the interview date. If the information was collected as part of a medical record review, record the date of the most recent prescription or date of the most recent physician’s note.
  - Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).

### 13. HIV Testing History

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

Main source of testing history information (select one)		Date patient reported information
<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		___/___/___
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 the 24 months before the first positive test ___ <input type="checkbox"/> Unknown		

- Unlike other sections on the ACRF, patient self-reported information is accepted for all answers.

- 13.1 MAIN SOURCE OF TESTING HISTORY INFORMATION (**Required**, applies to health department & health care providers)
- Check only one source (the main source from which the information in this section was obtained).
    - “*Patient Interview*” should be selected only if the patient was directly asked a series of questions from this or another structured form. Interviewer should have been trained on the proper collection of testing history data.
    - “*Medical Record Review*” indicates that this information was obtained through abstraction of medical charts, electronic medical records, or databases. Information may also have come from a database of HIV test results or pharmacy records.
    - “*Provider Report*” indicates this form was filled out by a health care provider.
    - “*NHM&E*” indicates that data were abstracted from the National HIV Monitoring and Evaluation (NHM&E) project forms or databases.
    - “*Other*” indicates that information came from a source other than those listed above.
- 13.2 DATE PATIENT REPORTED INFORMATION (**Required**, applies to health department & health care providers)

- The appropriate date to enter depends on the MAIN SOURCE OF TESTING HISTORY INFORMATION. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
- For a medical record review, enter the date of the last patient encounter that contributed to the testing history information collected. If only a lab report was accessed, enter the date of receipt of the lab results. If there was no patient encounter or lab test receipt date, then enter the date the medical record review was performed.
- If there was a structured patient interview, enter the date of the interview.
- If the ACRF was completed by a health care provider, enter the date of the last patient encounter when the most recent testing history information was obtained from the patient. If provider’s information only came from another data source, such as a lab report, enter the date of receipt of the information. If there are no such dates, enter the date the ACRF was completed.
- For information obtained through NHM&E, use the date entered on the HIV Test Form.
- If there are no data available from the above sources, enter the date the ACRF was completed.

13.3 EVER HAD PREVIOUS POSITIVE HIV TEST (**Required**, applies to health department & health care providers)

- The purpose of this variable is to ascertain whether a positive HIV test occurred earlier than the current HIV diagnosis date, but was not reported to the HIV surveillance system. For example, a patient could have been diagnosed in another state/country or tested anonymously.
- Self-reported information is acceptable.
- “Yes” indicates sufficient evidence that there was a previous positive HIV test.
- “No” indicates sufficient evidence that there was no previous positive HIV test.
- “Unknown” indicates that there is lack of evidence about previous HIV tests. Select “Unknown” if the patient refused to answer the question, if the facility refused to permit medical record review, or if the patient, chart reviewer, or provider had no knowledge of whether or not there was a previous positive HIV test after searching for the information or asking the patient.
- The field should be left blank if the medical record was not searched or the question was not asked.
- Do not include indeterminate HIV tests, false positive tests, and tests with inconclusive or unknown results.

13.4 DATE OF FIRST POSITIVE HIV TEST (**Required**, applies to health department & health care providers)

- “Yes” indicates that there was a known previous positive HIV test. Record the date of the earliest known positive HIV test, including patient self-reported dates and anonymous tests. It is acceptable to enter an estimated or incomplete date, as long as it contains a year. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03../2011).
- “No” indicates there were no known previous positive HIV tests. Enter the date of the current positive HIV test (i.e., the collection date of the current diagnostic HIV test).
- If you do not know the date of HIV diagnosis, enter the earliest known positive HIV test.
- Do not include indeterminate HIV tests, false positive tests, and tests with inconclusive or unknown results.

13.5 EVER HAD A NEGATIVE HIV TEST (**Required**, applies to health department & health care providers)

- This variable ascertains whether or not the person ever had a negative HIV test result at any time in the past that indicated the person was not HIV infected. The mere absence of

information about previous tests in a medical record should not be recorded as “No”, since tests can occur in other venues. Do not include a negative test result as part of a sequence of tests in an algorithm that has a final interpretation indicating that the person was infected with HIV.

- Self-reported information is acceptable for this data field.
- “Yes” indicates there is knowledge of a previous negative HIV test, either self-reported or confirmed by a laboratory report.
- “No” indicates there is evidence that the person never had a negative HIV test (e.g., person states they have never been tested before). Do not enter “No” if there is simply no evidence either way about a previous HIV test.
- “Unknown” indicates there is insufficient evidence supporting or denying the occurrence of a negative HIV test, after searching for the information or asking the patient. Leave the field blank if there was no attempt to find the information.
- Do not include an undetectable viral load result, as this result alone is not considered sufficient evidence of the absence of HIV infection (e.g., the person may have been receiving antiretroviral therapy when the specimen was obtained, or may naturally have a suppressed viral load without antiretroviral therapy).
- Do not include tests with indeterminate, inconclusive, or unknown results.

13.6 DATE OF LAST NEGATIVE HIV TEST (**Required**, applies to health department & health care providers)

- This variable represents the last date when the person was considered not to be HIV infected, based on self-reported information, or by physician or testing site reports that do not have documented laboratory test result and type information.
- Negative HIV test dates documented by a laboratory report or medical record accompanied by test type information should be entered in the Laboratory Data section (9.6.3) and not here. Incomplete dates are acceptable if the year is included. Enter date in *mm/dd/yyyy* format using ‘.’ for unknown values (e.g., 03/./2011).
- Do not include a negative test result as part of a sequence of tests in an algorithm that has a final interpretation indicating that the person was infected with HIV.
- Do not include an undetectable viral load result, as this result alone is not considered sufficient evidence of the absence of HIV infection (e.g., the person may have been receiving antiretroviral therapy when the specimen was obtained, or may naturally have a suppressed viral load without antiretroviral therapy).
- Do not include tests with indeterminate, inconclusive, or unknown results.

13.7 NUMBER OF NEGATIVE HIV TESTS WITHIN 24 MONTHS BEFORE FIRST POSITIVE TEST (**Required**, applies to health department & health care providers)

- Count the number of negative HIV tests in the 24 months before the first positive HIV test.
- Enter “0” if it is known that the patient has never been tested for HIV before or never had a negative test. Do not enter “0” if there is simply no evidence about a previous HIV test.
- “Unknown” indicates the patient refused to answer the question, the facility refused to permit medical record review, the patient does not remember whether they had a negative test, or the provider or abstractor has no evidence about whether or not there was a previous test. Leave the field blank if there was no attempt to find the information.
- Do not include a negative test result as part of a sequence of tests in an algorithm that has a final interpretation indicating that the person was infected with HIV.
- Do not include an undetectable viral load result, as this result alone is not considered sufficient evidence of the absence of HIV infection (e.g., the person may have been receiving antiretroviral therapy when the specimen was obtained, or may naturally have a suppressed viral load without antiretroviral therapy).

- Do not include tests with indeterminate, inconclusive, or unknown results.

**14. Comments (Optional, applies to health department & health care providers)**

**Comments**


- This section can be used for information not requested on the form or for information requested but where there might not be room in the space provided.
- As appropriate, information collected in this section can be entered in existing fields on the ACRF of the CDC-supplied software.
- Information entered into the “Comments” tab on the ACRF of the CDC-supplied software will not be transmitted to CDC.

**15. Local/Optional Fields (Optional, applies to health department)**

**\*Local/Optional Fields**


- This section is for collection of data that are not on the form at the state and local level.
- This information is not sent to CDC.

## Appendix: Adult HIV Confidential Case Report (CDC 50.42A)

### Instructions for Completion

#### 5. Residence at Diagnosis

- Residence may be identical to that listed above in Patient Identification, unless otherwise noted in the chart.
- For HIV, stage 0, 1, 2, and unknown case reports, enter residence at the time of the first positive confirmatory test for HIV infection.
- If a diagnostic test result is not available, enter patient's residence at the date of *physician diagnosis* of HIV infection.
- For HIV, stage 3 (AIDS) case reports, enter patient's residence at the date of the first stage 3 (AIDS) diagnosis based on the applicable case definition.

Residence assignment can be problematic for patients who:

- Have multiple residences
- Are on vacation
- Reside at a school
- Are foster children
- Are members of the armed forces
- Are institutionalized in correctional or other types of facilities
- Are foreign to the United States
- Are US citizens diagnosed abroad

*For further guidance about residency assignment, see the file Date and Place of Residence.*

#### 7. Facility of Diagnosis

##### 7.2 FACILITY NAME

- For HIV, stage 0, 1, 2, and unknown case reports, enter the name of the facility where the patient first had blood drawn and was given a diagnosis of HIV infection.
- If test results are not in the medical record, enter the name of the facility where the patient's HIV infection was diagnosed and documented by the health care provider.
- For HIV, stage 3 (AIDS) case reports, enter the name of the facility where the patient was first diagnosed with stage 3 (AIDS) based on the applicable case definition.
- Enter facility uniformly to prevent the occurrence of multiple names for a given facility.

#### 8. Patient History

- This information is often found in a discharge summary, history and physical, social service notes, counseling and testing notes, and STD diagnosis notes.
- Where not explicitly annotated, contact patient's provider about risk factor information.
- See the file *Risk Factor Ascertainment* for further guidance on risk factor data collection.
- This information can be difficult to find, particularly if the patient has not been interviewed. States should have risk factor ascertainment procedures tailored to their jurisdictions.



## 9. Clinical: Acute HIV Infection and Opportunistic Illnesses

### 9.1. CLINICAL: ACUTE HIV INFECTION

#### 9.1.2 CLINICAL SIGNS/SYMPTOMS CONSISTENT WITH ACUTE RETROVIRAL SYNDROME

- Acute HIV infection may be suspected in persons with signs and symptoms of acute retroviral syndrome (ARS) at or just before diagnosis and within 6 weeks after a possible exposure to HIV. Signs and symptoms of acute HIV infection may include but are not limited to one or more of the following from the list below; typically, ARS may be suspected if fever and one or more signs/symptoms are present, or in the absence of fever, two or more signs/symptoms, and differential diagnosis rules out other illness such as Epstein-Barr virus (EBV) and non-EBV infectious mononucleosis syndromes, influenza, viral hepatitis, streptococcal infection, or syphilis (Reference: Panel on Antiretroviral Guidelines for Adults and Adolescents. Guidelines for the use of antiretroviral agents in HIV-1-infected adults and adolescents. Department of Health and Human Services. Available at <http://aidsinfo.nih.gov/contentfiles/lvguidelines/AdultandAdolescentGL.pdf>). However, ARS may also be clinically determined in atypical circumstances by a single sign or symptom, and include other signs or symptoms not listed below, such as opportunistic illness or unusual clinical manifestations. (Reference: Braun DL, Kouyouf RD, Blamer B, Grube C, Weber R, Gunthard HF. Frequency and spectrum of unexpected clinical manifestations of primary HIV-1 infection. CID 2015; 61:1013-1021).
- Signs/symptoms:
  - Clinical manifestation
    - Fever
    - Malaise/fatigue
    - Pharyngitis
    - Rash
    - Lymphadenopathy
    - Weight loss
    - Headache
    - Diarrhea
    - Night sweats
    - Myalgia
    - Nausea
    - Arthralgia
    - Cough
    - Vomiting
    - Oral ulcers
    - Neurological symptoms
    - Genital ulcers
  - Elevated liver enzymes
  - Thrombocytopenia