

**INSTRUCTIONS FOR
EXCEPTION REQUEST AND RECORD OF JUSTIFICATION UNDER 42 CFR § 8.11(h)
(FORM SMA-168)**

Purpose of Form: The SMA-168 form was created to facilitate the submission and review of patient exceptions under 42 CFR § 8.11(h). SAMHSA will use the information provided to review "patient exception requests" and determine whether they should be approved or denied. A "patient exception request" is a request signed by the physician for approval to change the patient care regimen from the requirements specified in Federal regulation (42 CFR, Part 8). The physician makes this request when he/she seeks SAMHSA approval to make a patient treatment decision that differs from regulatory requirements.

This is a flexible, multi-purpose form on which various patient exception requests may be documented and approved or denied, along with an explanation for the action taken. It is most frequently used to request exceptions to the regulation on the number of take-home doses permitted for unsupervised use, such as during a family or health emergency. The form is also frequently used to request a change in patient protocol or for an exception to the detoxification standards outlined in the regulation.

GENERAL INSTRUCTIONS

Please complete **ALL** items on the form. As appropriate, there is space to indicate if an item does not apply. If you complete this form by hand, **PLEASE PRINT LEGIBLY**. We will not be able to process illegible information.

The instructions below show the item from the form in **bold text**. In the column next to the bold text is a description of the information requested.

| ITEM | INSTRUCTION |
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| BACKGROUND INFORMATION ON PROGRAM AND PATIENT | |
| Program OTP No | Opioid Treatment Program (OTP) identification number-same as the old FDA number. Begins with 2 letters of your State abbreviation, followed by 5 numbers, then a letter. This number should fit into the format on the form. |
| Patient ID No | Confidential number you use to identify the patient. Please do not use the patient's name or other identifying information. Number of digits does NOT have to match number of boxes on the form. |
| Program Name | Name of opioid treatment program, clinic or hospital in which patient enrolled. |
| Telephone | Voice telephone number. PLEASE INCLUDE YOUR AREA CODE. |
| Fax | Facsimile (FAX) number. PLEASE INCLUDE YOUR AREA CODE. |
| Email | Indicate electronic mail (e-mail) address of the CONTACT person. |
| Name & Title of Requestor | Name and title of physician or staff member authorized to submit this request. |
| Patient's Admission Date | Date patient enrolled at this facility. |
| Patient's current dosage level | Dosage patient receives NOW . Please indicate the dosage in milligrams (mg). |
| Methadone/LAAM/Other | Place an "X" on the line next to the medication the patient takes. If you check "Other," write in the name of the medication in the space provided. |
| Patient's program attendance schedule per week | Place an "X" on the line to the left of each day per week the patient NOW reports to the clinic for medication. |
| *If current attendance is less than once per week, please enter the schedule | If patient NOW reports to the clinic LESS than once a week, please indicate how often he/she reports. |
| Patient status | Place an "X" on the line to the left of the item that best describes the patient's CURRENT status. If the patient's status does not appear on the list on the form, please place an "X" on the line next to "Other" and write in the patient's CURRENT status. |
| REQUEST FOR CHANGE | |
| Nature of request | Please place an "X" on the line to the left of the description that BEST describes this request. If your request is not listed in this item on the form, place an "X" on the line to the left of "Other" and describe your request. |
| Decrease regular attendance to | Place an "X" on the line to the left of each day per week that the patient is to report for medication. |
| Beginning date | Enter the date that the exception is scheduled to begin. |

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| *If new attendance is less than once per week, please enter the schedule | If you are asking to reduce the patient's attendance schedule to LESS THAN once per week, please indicate the schedule on the line provided. |
| Dates of Exception | Please indicate the dates that the exception will be effective. |
| # of doses needed | Indicate how many doses will be dispensed during the exception period. |
| Justification | Please place an "X" on the line to the left of the best description of the reason for this request. If the reason is not listed in this item, place an "X" on the line next to "Other" and write in the justification. |
| REQUIREMENTS | |
| Regulation Requirements | There are certain guidelines that programs must follow regarding take-home medication and detoxification admissions. Next to each of the 3 statements listed in this item, please indicate whether the OTP followed the stipulated requirements. For each statement that does not apply, place an "X" on the line to the left of "N/A" (not applicable). |
| Submitted by: | |
| Printed Name of Physician | Please PRINT the name of the physician making the request. |
| Signature of Physician | Once ALL the items above have been completed, the physician should SIGN here. |
| Date | Date the form is signed. |
| APPROVAL -This section will be completed by the appropriate authorities. | |
| State response to request | If this form must be reviewed or approved by your State, be sure that you forward this form to the proper authority, who will indicate approval or denial of your request in the space provided. |
| Federal response to request | This is the place on the form where CSAT will indicate whether the request is accurate and approved. The form will be faxed or e-mailed back to you. |
| Please submit to CSAT/OPAT- Fax: (240) 276-2710 or Email: otp@samhsa.hhs.gov | When you have completed the form, either fax or email it to CSAT at the numbers provided here. |

Effect: This form was created to facilitate the submission and review of patient exceptions under 42 CFR § 8.11(h). This does not preclude other forms of notification.

Paperwork Reduction Act Statement

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-xxxx); 1 Choke Cherry Road, Room 2-1075, Rockville, MD 20857. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-xxxx).

SMA-168 INSTRUCTIONS (BA

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| DEPARTMENT OF HEALTH AND HUMAN SERVICES SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION CENTER FOR SUBSTANCE ABUSE TREATMENT Exception Request and Record of Justification Under 42 CFR § 8.11 (h) | Form Approved: OMB Number 0930-0206 Expiration Date: 09/30/2003 See OMB Statement on Reverse DATE OF SUBMISSION Date you submit form to CSAT. |
| Note: This form was created to assist in the interagency review of patient exceptions in opioid treatment programs (OTPs) under 42 CFR § 8.11 (h). | |

BACKGROUND INFORMATION

