

ADULT INITIAL LEVEL OF CARE ASSESSMENT INSTRUCTIONS

REQUIRED FORM: This form is required within the client file.

WHEN: Form to be completed by LPHA/SUD counselor with the client during the assessment/admission process for adult clients in a SUD program.

Timelines:

- **Outpatient programs** – To be completed within **7 calendar days** from day of admit
- **Residential programs** – To be completed with **24 hours** from day of admit

PURPOSE: To determine possible admission of a client into a SUD treatment program and appropriate level of care. Increased collaboration between LPHA/SUD counselor and client by use of Motivational Interviewing techniques will result in a more comprehensive and useful assessment.

REQUIRED ELEMENTS:

- **Client Name:** Enter “Client Name.” On the form-fill, hit tab to get to “Client ID #”, *once you hit tab again to get to the next field, the client name and ID will populate on the rest of the pages.*
- **Client ID#:** Complete the client ID number by entering the client’s SanWITS’ Unique Client Number (UCN).
- **Staff Completing the Form:** Name of staff completing the assessment
- **Place of Interview:** Location of assessment (jail, program, etc.)
- **Date of Assessment:** Date of assessment
- **Referral source:** Referral source name (e.g., Probation, CWS, Parole, etc.) and contact information (e.g., contact person, phone number, etc.).

PERSONAL INFORMATION

- **Name:** Client’s first name, middle initial and last name. (Obtain copy of legal ID, if available)
- **Age:** Client’s age.
- **Social Security Number:** Client’s social security number (obtain a copy of card, if available). If client does not have a social security number, follow your agency guidelines.
- **Birth Date:** Client’s month/day/year of birth.
- **Phone Number:** Client’s phone number.
- **Ok to leave a message:** Check the appropriate box.
- **Preferred language:** Client’s preferred language.
- **Address:** Client’s current, physical address. If client is homeless, document “homeless” and address issue on ASAM Dimension 6: Recovery Environment.
- **What are the main reasons you are seeking help here today?** Write in client’s own words, ask client to prioritize based upon importance/risk.
- **Gender Identity:** Check the appropriate box. If “OTHER”, write in client’s own words specifics.
- **Sexual Orientation:** Check the appropriate box. If “OTHER”, write in client’s own words specifics.
- **Veteran Status:** Check Yes or No.
- **Pregnant /Due date:** Client’s pregnancy status.
 - If pregnant, complete due date. Inform client they may be asked to provide

documentation such as proof of pregnancy.

- If unknown, inquire if client might need a pregnancy test.
- **Number of Children Under 18:** Complete client's number of children under the age of 18. Programs requiring additional information may refer to "Supplemental A: Minor Children Information Form."
- **Medi-Cal:** Check Yes or No.
 - If yes, complete Medi-Cal card number. Inform client they may be required to provide proof of Medi-Cal eligibility. Follow agency guidelines for Medi-Cal eligibility.
- **Other Health Coverage/Private Health Insurance (non Medi-Cal Plan):** Check Yes or No.
 - If yes, complete Insurance Company's name. Inform client they may be required to provide proof of insurance. Follow agency guidelines for health insurance eligibility.
- **Medically Assisted Treatment:** Check Yes or No.
 - If yes, list medication(s) and name of program client receives the medication. (Note: Post COSD-ODS, services may become billable).
- **Have you ever been arrested/charged/convicted/registered for arson?** Check Yes or No.
- **Have you ever been arrested/charged/convicted/registered for a sex crime(s)?** Check Yes or No.
- **Emergency Contact Information:** Name, relationship, and contact number of designated emergency contact.

ALCOHOL AND/OR OTHER DRUG USE

- **Alcohol and/or other drug use:** Fill in ALL prompts within the boxes, document with N/A or "client denies" within boxes as appropriate. DO NOT LEAVE ANY BOXES BLANK.
- **Have you used needles in the Past 12 Months:** Check Yes, No, or decline to state.
 - If yes, specify date.
- **Date last used any drugs including alcohol:** Enter date.
- **If date of last use is longer than 7 days from today, how were you able to remain abstinent?** Enter in client's own words.
- **Number of days in a Row using:** Complete the number of consecutive days the client has been using alcohol and/or other drugs, up to the last date used.
- **How long do you think you have had a problem with alcohol and/or other drugs?** Enter in client's own words.

ALCOHOL AND/OR OTHER DRUG TREATMENT HISTORY

- **Have you received treatment for alcohol and/or other drugs in the past?** Check Yes or No.
 - If yes, specify in the boxes below; Type of Treatment, Name of Treatment Facility, Dates of Treatment, and if treatment was completed. DO NOT LEAVE ANY FIELDS BLANK.

ASAM DIMENSION 1: ACUTE INTOXICATION AND/OR WITHDRAWAL POTENTIAL

- **History of serious withdrawal, seizures, or life-threatening symptoms during last withdrawal:** Check Yes or No.
 - If yes, describe in detail using client's own words.
- **Are you currently experiencing intoxication/withdrawal symptoms, tremors, excessive sweating, rapid heart rate, blackouts, anxiety, vomiting:** Check Yes or No.
 - If yes, immediately follow agency policy and procedure for further medical evaluation of

client.

- **Severity Rating – Dimension 1 (Substance Use, Acute Intoxication, and Withdrawal Potential):** Follow the prompts and check the current, assessed level of risk.

ASAM DIMENSION 2: BIOMEDICAL CONDITIONS/COMPLICATIONS

(LPHA/Counselor to review the Health Questionnaire and TB Questionnaire in your determination below)

- **Do you currently have any medical concerns?** Check Yes or No.
 - If yes, describe in detail.
- **Are you currently taking prescription medications for any medical conditions?:** Check Yes or No.
 - If yes, describe in detail.
- **If recently enrolled in Medi-Cal, have you received a health screening to identify health needs within 90 days of enrollment into Medi-Cal?:** Check Yes, No, or N/A
- **Severity Rating – Dimension 2 (Biomedical Conditions and Complications):** Follow the prompts and check the current, assessed level of risk. (Include review of Health Questionnaire and TB Questionnaire in your determination).
- **For residential programs:** if risk rating in this dimension is greater than "zero" (0), submit completed Health Screening Questionnaire along with Initial Assessment/Intake Form to assist with obtaining initial authorization.

ASAM DIMENSION 3: EMOTIONAL/BEHAVIORAL/COGNITIVE CONDITIONS/COMPLICATIONS

(Review Risk Assessment and Co-Occurring Screening from for historical information relevant to this dimension include as a part of your assessment of severity below)

- **Do you have a history of being unable to control your anger or impulsivity?** Check Yes or No.
 - If yes, please describe how this has impacted your life: Enter in client's own words.
- **Do you have current thoughts of hurting yourself or others?** Check Yes or No.
 - If yes continue questions per your agency policy and procedures to include additional screens, and assessment if client has a plan or means to harm self or others. Document client responses and respond according to your agency policy and procedure.
- **Are you currently being treated or sought help in the past for a mental health condition (Depression, Anxiety, PTSD, Bipolar, other mental health condition):** Check Yes or No.
 - If yes, describe in detail. (Include as much information as possible; who, what for, where, when, was treatment helpful or not, was treatment completed or not.
 - If yes to above, are you currently prescribed medications: Check Yes or No.
 - If yes, describe in detail.
- **Do you feel like you are unable to care for yourself (hygiene, food, clothing, shelter, etc.)?** Check Yes or No.
 - If yes, describe in detail.
- **Do you currently have a LPHA and/or Psychiatrist?** Check Yes or No.
 - If yes, provide contact information to include; name, agency, address, and contact number/email.
- **Over the past 2 weeks, how often have you been bothered by any of the following problems:** Check ALL the following six questions with either: Not at all, Several Days, More Than Half the Days, Nearly Every Day. DO NOT LEAVE ANY QUESTIONS BLANK.
- **Severity Rating – Dimension 3 (Emotional, Behavioral or Cognitive (EBC) Conditions or**

Complications): Follow the prompts and check the current, assessed level of risk. (Review Co-Occurring Conditions Screening Form for historical information relevant to this dimension)

ASAM DIMENSION 4: READINESS TO CHANGE

- **How long do you think you have had a problem with alcohol and/or other drugs?** Document client self-report in as much detail as possible, in client's own words.
- **Have you tried to stop drinking/using before? If so, what interfered with your success with that goal?** Document client self-report in as much detail as possible in client's own words.
- **Do you intend to reduce or quit drinking/using in the next 2 weeks?** Check appropriate box.
- **What substance(s) are you willing to stop using?** Document client self-report in as much detail as possible.
- **What would be helpful for you now in order to change your drinking/using?** Document client self-report in as much detail as possible using client's own words.
- **Do you imagine alcohol or other drug use will be an active problem for you 12 months from now?** Check the appropriate box.
- **How important is it for you to receive treatment for Alcohol Problems:** Check the appropriate box.
- **How important is it for you to receive treatment for Drug Problems:** Check the appropriate box.
- **Severity Rating – Dimension 4 (Readiness to Change):** Follow the prompts and check the current, assessed level of risk.

ASAM DIMENSION 5: RELAPSE, CONTINUED USE, OR CONTINUED PROBLEM POTENTIAL

- **What's the longest period of time that you have gone without using alcohol and/or other drugs?** Document client self-report.
 - **What was happening in your life at that time?** Use client's own words.
- **If you previously stopped using alcohol and/or other drugs, what are the reasons you started using again?** Document client self-report in as much detail as possible using client's own words.
- **Are you aware of your triggers to use alcohol and/or other drugs?** Check Yes or No.
 - If yes, list triggers.
- **What are some coping tools you have used in the past to avoid using?** Document client self-report in as much detail as possible.
- **Severity Rating – Dimension 5 (Relapse, Continued Use, or Continued Problem Potential):** Follow the prompts and check the current, assessed level of risk.

ASAM DIMENSION 6: RECOVERY ENVIRONMENT

- **Are you homeless or at risk?** Check Yes or No.
 - If yes, obtain additional information; how long, do you have a caseworker, would you be interested in a referral and linkage with housing services, has this/will this be a barrier to your receiving/continuing with services?
 - **What is your living situation?** Enter living situation.
- **How does your living situation impact your substance use?** Use client's own words.
- **Are you currently employed?** Check Yes or No.
- **Vocational/Educational Achievements (Highest grade level completed, training or technical education, etc.):** List and attempt to make the list all inclusive.

- **Do you have friends and/or family that are supportive of your seeking treatment for problems related to substance use?** Check Yes or No.
 - If yes, describe: what do the friends/family of the client do that he/she feels is supportive? Are they currently involved in the client's life?
- **Do you have friends and/or family that might interfere with your recovery efforts related to substance use?** Check Yes or No.
 - If yes, describe how might they interfere in your treatment; has this happened in the past?
- **PO Contact Name and Phone Number:** Enter information or N/A
- **Pending Court Date(s):** Check Yes or No.
 - If yes, enter reason and date(s).
- **Are there any transportation, childcare, housing or employment issues that could interfere with your treatment for problems related to substance use?** Check Yes or No.
 - If yes, describe: is the client able to problem solve these issues so they are not a barrier to treatment.

- **Severity Rating – Dimension 6 (Recovery Environment):** Follow the prompts and check the current, assessed level of risk.

- **READ LEVEL OF CARE DETERMINATION INSTRUCTIONS ON THE FORM.**
- **Optional Risk Rating Summary:** *(provided to the left of the Level of Care Determination Instructions) Optional to enter risk ratings for each of the 6 dimensions here.*
- **Recommended Level of Care: Enter ASAM LOC that offers the most appropriate treatment setting given the client's current severity and functioning:** Read "Level of Care Determination Instructions" above. Based on the ASAM risk ratings, enter client's recommended level of care.
- **Actual Level of Care:** Enter next appropriate level of care if a level of care other than the recommended level of care above is provided.
- **Additional Level of Care: Use this section if client is in two levels of care at the same time (e.g. when a client is receiving OTP services concurrently with outpatient or residential services):** Enter additional level of care if applicable.
- **Reason for Discrepancy:** Check reasons for discrepancy between level of care recommendation and level of care provided. Document an explanation of the reason(s) on the line provided. Put N/A if not applicable.
- **Designated Treatment Provider Name/Location:** Complete this if services are NOT going to be provided by the program completing this assessment and they are referring the client to another program.
- **Counselor/LPHA Name:** Print name, signature, credentials, and date, if applicable.

THE FOLLOWING SECTIONS MUST BE COMPLETED BY AN LPHA

PROVISIONAL DIAGNOSIS

All programs must provide a provisional diagnosis.

****PLEASE NOTE THAT REGISTERED NURSES (RNs) MAY NOT DIAGNOSE****

- **Enter Provisional DSM-5 Diagnostic Label(s) & ICD-10 Code(s):** Ensure to utilize correct DSM-5 diagnostic label and ICD-10 code; a diagnosis of Substance Use will be the primary and listed first. There can be additional DSM-5 Diagnostic Labels and ICD-10 codes listed as well, but will need to follow the SUD label if appropriate.
- **A Face to Face interaction occurred between both SUD Counselor and LPHA to validate medical necessity:** Enter the date of the face to face interaction, if applicable.

Note: If an LPHA does not conduct the assessment, a face-to-face interaction must take place, at a minimum, between the SUD counselor who has completed the assessment for the client and the medical director, licensed physician, or LPHA. The medical director, licensed physician, or LPHA must document the date when the face-to-face interaction took place and then sign and date the Assessment form.

- **LPHA* Name:** Print name, signature, credentials, and date.

**Licensed Practitioner of the Healing Arts (LPHA) includes: MD, Nurse Practitioners, Physician Assistants, Registered Nurses, Registered Pharmacists, Licensed Clinical Psychologist (LPC), Licensed Clinical Social Worker (LCSW), Licensed Professional Clinical Counselor (LPCC), and Licensed Marriage and Family LPHA (LMFT) and licensed-eligible practitioners working under the supervision of licensed clinicians.*