

## Initial Treatment Plan Instruction Form

### REQUIRED FORM:

Based on Title 22 guidelines, an Individual Recovery/Treatment Plan is a required document within the client file. (*Residential Programs: Submit to Optum as part of ongoing authorization process.*)

### WHEN:

This form is to be completed in accordance with timeframes specified below:

- Outpatient Programs - within 30 calendar days from date of admission.
- Residential Programs - within 10 days from date of admission.

### COMPLETED BY:

To be completed jointly by Therapist/Counselor and client based upon the information obtained during the initial intake, assessment and treatment planning sessions with the client.

### REQUIRED ELEMENTS (do not leave any blanks):

- **Client Name:** Client's full name. (**NOTE:** to be entered on each page of the Treatment Plan)
- **Primary Counselor:** Primary Therapist/Counselor name.
- **Client ID#:** Client ID number as determined by agency guidelines. (**NOTE:** to be entered on each page of the Treatment Plan)
- **Admission Date:** Date client was admitted to program.
- **DSM-5 Diagnosis(es):** Enter the DSM-5 diagnosis and ICD-10 code. (**NOTE:** If diagnosis label and ICD-10 code do not match, this is an audit risk for potential disallowances.) More than one diagnosis can be entered, but the *Primary diagnosis must be a Substance Use Disorder.*
- **Date of the Initial Treatment Plan:** Enter date the Treatment Plan was completed.
- **Was a physical exam completed?** Check the appropriate box. If Yes is checked, provide the date of the physical. (Inform client that further proof of physical exam may be required).
- **Assessments/Forms Reviewed:** Check the appropriate boxes; if other, provide details.
- **If client's preferred language is not English, were linguistically appropriate services provided?** Check the appropriate box; if No, explain in detail.
- **What does the client want to obtain from treatment:** Document the client's expectations regarding treatment services and what the client hopes to gain from receiving services at the program. Remember to document using the client's own words.
- **Client Strengths/Resources/Abilities/Interests (to be used to reach treatment plan goals):** Use Motivational Interviewing techniques to obtain strengths-based client information to use when creating treatment plan goals.

### PROBLEM'S #1, #2, #3

- **Select related ASAM Dimension:** Check appropriate box(s). Review all 6 ASAM dimension criteria to assess which box(s) to check.

- **Problem Statement:**
  1. Personalize problem(s) unique to the client.
  2. Write problems in client language and *prioritize* (emergent, realistic for completion, what is needed to prevent relapse?)
  3. If a physical health concern is identified (e.g., pregnancy or lack of a physical in the last 12 months), this needs to be addressed in one of the problem areas on the plan.
  4. Multiple related issues may be combined into one problem statement that fall under the same ASAM dimension(s). For example, a client may have multiple Bio-medical issues, such as needing a physical exam, follow up care on diabetes, and dental work which could all be incorporated into one problem as they are all related to ASAM dimension 2.
  5. If the client cannot demonstrate having had a physical exam within 12 months prior to admission to treatment, then a problem must identify lack/need for a physical exam.
  6. If the client has demonstrated completion of a physical exam within 12 months prior to admission to treatment, and a significant medical illness has been identified; then a problem may be that the client needs to address appropriate treatment for the illness.
  
- **Goal(s):** What does the client and program want to accomplish? Use “SMART” acronym (Specific, Measurable, Attainable, Realistic, Time-Related):
  1. All treatment plans must list at least one short-term and one long-term goal.
  2. No goal can be both short-term and long-term at the same time.
  3. Goals must be measureable and achievable.
  4. If multiple problems are grouped together, than include a specific goal to resolve each of the specific problems.
  5. If the client has not received a physical exam within 12 months prior to admission to treatment, a goal that the client completes a physical examination must be included.
  6. Should a client demonstrate completion of a physical exam within 12 months prior to admission to treatment, and a significant medical illness has been identified; a client goal to obtain appropriate treatment for the illness must be included.
  
- **Action Steps:** Action steps to be taken by the Therapist/Counselor and/or client to accomplish identified goals:
  1. Include specific actions the therapist/counselor will do while providing treatment services to the client (e.g., individual counseling, group, etc.) to help the client reach their goals. Include the use of evidence-based treatment interventions (e.g., Motivational Interviewing, Relapse Prevention) to be utilized, if applicable.
  2. Include specific actions the client will do to reach their goals (e.g., Client will identify a list of potential doctors and contact at least 1 to schedule an appointment to complete a physical).
  3. If multiple problems are grouped together, than include a specific action step to accomplish each of the specific problem goals.

- **Target Date(s):** Estimated date of completion per action step. Dates to reflect short vs long-term goals and each of the specific goals and action steps (i.e., if there are 3 goals, there will be 3 target dates).
- **Resolution Date(s):** Actual task completion date to be documented on the treatment plan after the treatment plan has been developed. Remember to document if the client did not complete a goal or action step when carrying over the same goal/action to the next plan. Dates to reflect each of the specific goals and action steps (i.e., if there are 3 goals, there will be 3 resolution dates).

**PROPOSED TYPE OF INTERVENTION/MODALITY FOR SUCCESSFUL GOAL COMPLETION  
(INCLUDE FREQUENCY AND DURATION)**

- **Check the appropriate Modality box and enter frequency and duration for each box checked:**  
List includes the following modalities: Individual Counseling, Group Counseling, Community Support Group, Case Management, Withdrawal Management Services, Collateral Services, Intensive Outpatient Treatment, Residential Treatment (indicate ASAM level) with duration to be established via ongoing re-assessment/Authorization process, OTP/NTP, and/or Recovery Services.

**Does this treatment plan include the Treatment Plan Addendum form for additional problems:** Mark Yes or No to indicate if a Treatment Plan Addendum form was utilized to complete this treatment plan.

**If yes, how many total problems are documented in this entire treatment plan?** If a Treatment Plan Addendum form was utilized, document the total number of problems documented on the entire treatment plan as there will be more than 3 problems.

**TREATMENT PLAN SIGNATURES**

- **Client was offered a copy of the plan:** Check Yes or No; if No, document why.
- **Client Signature:** Client to sign and date.
  1. If the client refuses to sign the Treatment Plan, the Therapist/Counselor will document the reason for refusal to sign and if the client participated in the treatment plan process. Future attempts to obtain the client's signature on the treatment plan should be documented in progress notes.
  2. Client does not have to sign the plan for it to be in effect; however, the client must be present and participate in the treatment plan to bill for treatment plan services.
  3. Client signature provides evidence of client participation and agreement with the Individual Recovery/Treatment Planning process.
- **Counselor/Therapist Name, Signature, and Date:** Therapist/Counselor's legibly printed or typed name, signature with degree and/or credentials, and date of completed Individual Treatment Plan.
  - The date of Therapist/Counselor signature is considered the treatment plan completion date.
- **\*MD Name, Signature, and Date:** MD legibly printed or typed name, signature with credentials and date of completed Individual Treatment Plan.

- *\*Per Title 22, MD signature is required on a Treatment Plan within 15 days for outpatient services billed to DMC. For residential programs not currently billing DMC, MD signature is not required.*