



Providing Client Substance Use Assessment and Treatment Planning Using DSM & ASAM Patient Placement Criteria with Appropriate Case Documentation

Hour Requirements 35

Substance Use Assessment Description

A substance use assessment is typically conducted in two cases: when someone was recommended by a referral process or when a client's screening indicates the need for substance use treatment. An assessment is a strength-based process that establishes a client's history, readiness for change, needs, and symptoms. The assessment process gathers information from the client, any other relevant sources, and the BHA's own clinical interpretation to determine if the client meets criteria for a substance use diagnosis from the current issue of the DSM. Services are then recommended to help to address the client's needs.

When conducting an assessment, it is important to recommend clients to the least restrictive setting that is appropriate. In other words, it should meet the client's treatment needs without unnecessarily limiting their independence and disrupting their daily life and is closest to home. This will both help to maintain their safety and support them in addressing their problems. Substance use assessments, in particular, should include the ASAM placement criteria and utilize the protective and risk factors specified in the assessment to recommend an appropriate level of care.

Components of a Substance Use Assessment

- Information from the client, including their:
 - Responses on the substance use disorder (SUD) screening tool.
 - Own report of their problems and needs.
 - Personal and family history.
 - Physical, psychological, and social history.
- Information from collateral contacts with Release of Information (ROI), such as family members, guardians, and legal reports, to increase knowledge of the client's situation and needs.
- The BHA's understanding of the client's motivation, interests, and protective factors.
- Treatment recommendations appropriate to the client's needs.
- Documentation of the ASAM level of care that will best enable the client to address their problems and accomplish their goals.
- Clinical justification of the type and severity of any substance use diagnoses given to the client.

Examples of Substance Use Assessment Activities

- Gathering and documenting biopsychosocial information from the client to support the substance use assessment process.
- Conducting a substance use assessment interview, debriefing with a supervisor, and documenting the assessment.
- Collecting ROIs and conducting interviews with collateral contacts (family members or referral sources) to gather additional information for the assessment.
- Requesting records after ROIs are obtained.
- Interpreting the results of evidence-based screening tools and documenting the interpretation in an assessment.
- Gathering information according to the six ASAM dimensions and documenting this information.
- Making calls to arrange interviews with client or collateral contacts.
- Reviewing assessment findings and recommendations in clinical team meetings to obtain feedback.
- Revising the assessment as new information becomes available or if the client's situation changes.



Treatment Planning Description

A treatment plan functions as a map that guides the client to healthy behavior change. It serves as a system for behavioral health providers to track client progress and provides needed information to insurance companies. It also provides consistent and clear information to the members of the treatment team so they can be oriented to the client's goals.

A treatment plan is a time-limited document that utilizes the findings from an assessment to develop treatment goals and interventions and to specify the interventions that will be used to accomplish these goals. Alaska Medicaid clients must have a treatment plan review every 90-135 days. This is also a good standard of care for all clients.

Components of Treatment Planning

- Planning goals and measurable objectives with the client and treatment team based on the findings from the most recent assessment and/or progress notes.
- Identifying interventions that will support the client in achieving their goals.
- Identifying the type and frequency of services that the client will need to accomplish their treatment goals.
- Regularly reviewing the plan with the client to ensure they are contributing to the plan and are based on the client's desired goals.
- Providing a list of treatment team members, which always include the client and directing clinician and may also include additional clinical staff, family members, staff members from community organizations, and others.
- Regularly reviewing the plan with the treatment team to get their contributions, identify progress, and modify the plan as needed.

Examples of Treatment Planning Activities

- Working with the client and/or treatment team members to develop a set of goals for treatment.
- Developing and documenting a treatment plan.
- Scheduling treatment team meetings and making telephone calls associated with the meetings.
- Facilitating meetings with the client and/or treatment team to review the elements of the treatment plan.
- Developing and implementing a discharge plan.
- Observing the supervising clinician doing any of these activities.

Evidence-Based Practices and Resources

- SAMHSA Screening and Assessment Guide
<https://www.integration.samhsa.gov/workforce/screening-and-assessment>
- American Psychiatric Association, Treating Substance Use Disorders: A Quick Reference Guide
https://psychiatryonline.org/pb/assets/raw/sitewide/practice_guidelines/guidelines/substanceuse-guide.pdf
- SAMHSA Examples of Screening and Assessment Tools for Substance Use Disorders
https://ncsacw.samhsa.gov/files/SAFERR_AppendixD.pdf
- National Institute on Drug Abuse: Screening and Assessment Tools Chart
<https://www.drugabuse.gov/nidamed-medical-health-professionals/screening-tools-resources/chart-screening-tools>
- The ASAM Criteria
https://asamcontinuum.org/wp-content/uploads/2017/05/The-ASAM-Criteria_2017_pg1n2_PRINT_FINAL_v9_small.pdf
- Alaska Provider Billing Manual: Behavioral Health Treatment Plan
<http://manuals.medicaidalaska.com/>