

ASSESSMENT INSTRUCTIONS-ADULTS

DEMOGRAPHIC INFORMATION

- Enter the client's name in the order of last name, first name and middle name.
- Enter the date the full assessment was performed.
- Enter the client's phone number and check yes or no, indicating if it is okay to leave a voicemail.
- Enter the client's address.
- Enter the client's date of birth.
- Enter the client's age.
- Enter the client's gender.
- Enter the client's race/ethnicity.
- Enter the client's preferred language.
- Enter the client's Medi-Cal identification number or other insurance identification number if not Medi-Cal.
- Check off the client's insurance type and indicate what type of plan they have.
- Check off or specify the client's living arrangement.
- Enter who and/or which agency referred the client for assessment.
- Enter explanation for why client is currently seeking treatment.

DIMENSION 1: SUBSTANCE USE, ACUTE INTOXICATION AND/OR WITHDRAWAL POTENTIAL

- For questions 1-8, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 1: Substance Use, Acute Intoxication and/or Withdrawal Potential.
- Question 1: Check off any alcohol and/or drugs that the client has used recently (6 months), prior use (lifetime) and enter route, frequency, duration and date of last use. If the client is using opioids or alcohol, consider a referral to Opioid Treatment Program or to a provider who offers Medication-Assisted Treatment, as appropriate. Note additional information in the space provided (i.e., drug of choice).
- Questions 2-7: Check yes or no. Further describe the response in the space provided.
- Question 8: Enter information regarding the client's family history of alcohol and/or drug use in the space provided.
- Choose a severity rating of 0-4 for Dimension 1: Substance Use, Acute Intoxication and/or Withdrawal Potential, based on the client's current risk level (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level and considering the information that was gathered in questions 1-8. The interviewer then chooses the rating that best describes the client's current level of risk for substance use, acute intoxication, and risks associated with withdrawal.
- Enter additional comments relevant to Dimension 1: Substance Use, Acute Intoxication and/or Withdrawal Potential, in the space provided, that may impact the case formulation*, treatment or placement of the client.
 - * Establishing a 'case formulation' is a process by which one examines all factors of the client's presenting problems, and how it may impact the resulting diagnosis, treatment and level of care placement. This involves considering the presenting problems in the context of outside factors – such as social history, health, or environment – and considering how they may impact the client's current presentation and situation. The goal of a case formulation is to develop a deeper and comprehensive understanding of an individual in order to establish an optimal and individualized treatment approach.

DIMENSION 2: BIOMEDICAL CONDITIONS AND COMPLICATIONS

- For questions 9-14, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. Question 13 is to be answered by the interviewer. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 2: Biomedical Conditions and Complications.
- Question 9: Enter information about the known medical provider into the table.
- Question 10: Check off any of the following medical conditions that client has.
- Question 11: Check yes or no. Further describe the response in the space provided.
- Question 12: Enter additional information in the space provided.

- Question 13 to be answered by interviewer: Check yes or no. If yes, consider an immediate referral to the emergency room or call 911.
- Question 14: Enter information about current medication(s) into the table.
- Choose a severity rating of 0-4 for Dimension 2: Biomedical Conditions and Complications, based on the client's current risk level (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level, and considering the information that was gathered in questions 9-14. The interviewer then chooses the rating that best describes the client's current level of risk for physical health problems and how they may impact the client's treatment placement.
- Enter additional comments relevant to Dimension 2: Biomedical Conditions and Complications, in the space provided, that may impact the case formulation*, treatment or placement of the client (*see definition of 'case formulation' at the end of Dimension 1 instructions above).

DIMENSION 3: EMOTIONAL, BEHAVIORAL, OR COGNITIVE CONDITIONS AND COMPLICATIONS

- For questions 15-21, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. Question 19 is to be answered by the interviewer. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 3: Emotional, Behavioral, or Cognitive Conditions or Complications.
- Question 15: Check off any of the following behavioral symptoms that the client considers to be problematic.
- Question 16: Check yes, no or not sure. Further describe the response in the space provided.
- Question 17-19: Check yes or no. Further describe the response in the space provided.
- Question 20-21: Enter information into the table.
- Choose a severity rating of 0-4 for Dimension 3: Emotional, Behavioral, or Cognitive Conditions or Complications, based on the client's current risk level (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level, and considering the information that was gathered in questions 15-21. The interviewer then chooses the rating that best describes the client's current level of risk for mental health problems and how they may impact the client's treatment placement.
- Enter additional comments relevant to Dimension 3: Emotional, Behavioral, or Cognitive Conditions or Complications, in the space provided, that may impact the case formulation*, treatment or placement of the client (*see definition of 'case formulation' at the end of Dimension 1 instructions above).

DIMENSION 4: READINESS TO CHANGE

- For questions 22-27, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 4: Readiness to Change.
- Question 22: Check off any of the following that are affected by the client's alcohol and/or drug use.
- Question 23: Check yes or no. Further describe the response in the space provided.
- Question 24: Check yes or no. Enter information into the table if applicable.
- Question 25-26: Describe the response in the space provided.
- Question 27: Check off only one of the responses given for both alcohol and drugs separately. Further describe the response in the space provided.
- Choose a severity rating of 0-4 for Dimension 4: Readiness to Change, based on the client's current risk level (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level, and considering the information that was gathered in questions 22-27. The interviewer then chooses the rating that best describes the client's current level of risk for readiness to change and engage in treatment, and how that may impact the client's treatment placement.
- Enter additional comments relevant to Dimension 4: Readiness to Change, in the space provided, that may impact the case formulation*, treatment or placement of the client (*see definition of 'case formulation' at the end of Dimension 1 instructions above).

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

- For questions 28-35, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 5: Relapse, Continued Use or Continued Problem Potential.
- **Question 28:** Check off only one of the responses given for both alcohol and drugs separately. Further describe the response in the space provided.
- **Questions 29-30:** Check yes or no. Further describe the response in the space provided.
- **Question 31:** Check yes or no. Check off any of the following that apply.
- **Questions 32-35:** Describe the response in the space provided.
- Choose a severity rating of 0-4 for Dimension 5: Relapse, Continued Use or Continued Problem Potential, based on the client's current risk level (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level, and considering the information that was gathered in questions 28-35. The interviewer then chooses the rating that best describes the client's current level of risk for relapse, continued use or continued problems and how that may impact the client's treatment placement.
- Enter additional comments relevant to Dimension 5: Relapse, Continued Use or Continued Problem Potential, in the space provided, that may impact the case formulation*, treatment or placement of the client (*see definition of 'case formulation' at the end of Dimension 1 instructions above).

DIMENSION 6: RECOVERY/LIVING ENVIRONMENT

- For questions 36-42, the interviewer asks the client the following questions. The interviewer is then to ask the client to further describe their response and document it in the space provided. The intent is to gather as much relevant information on each topic in order to best determine the client's severity rating for Dimension 6: Recovery/Living Environment.
- **Question 36-37:** Describe the response in the space provided.
- **Questions 38-41:** Check yes or no. Further describe the response in the space provided.
- **Question 42:** Check yes or no. Further describe the response in the space provided. If applicable, fill in the table.
- Choose a severity rating of 0-4 for Dimension 6: Recovery/Living Environment, based on the client's current risk level. (0 = None; 1 = Mild; 2 = Moderate; 3 = Severe; 4 = Very Severe). This is done by reading the descriptions for each severity level, and considering the information that was gathered in questions 36-42. The interviewer then chooses the rating that best describes the client's current level of risk due to their recovery and living environment and how that may impact the client's treatment placement.
 - **Note: homelessness does not automatically mean the client is eligible for residential treatment. The risk of all 6 Dimensions must be fully taken into account when deciding level of care placement.*
- Enter additional comments relevant to Dimension 6: Recovery/Living Environment, in the space provided, that may impact the case formulation*, treatment or placement of the client (*see definition of 'case formulation' at the end of Dimension 1 instructions above).

SUMMARY OF MULTIDIMENSIONAL ASSESSMENT

- The intent of the 'Summary of Multidimensional Assessment' section of the assessment is to consolidate the information gathered from all 6 ASAM dimensions onto one page to help the interviewer synthesize this information to develop an individualized case formulation and ultimately select the most appropriate ASAM level of care.
- For Dimensions 1-6, check off the severity rating that you chose in the previous section. Provide a rationale for choosing that section. For the purposes of this assessment, severity ratings 3 and 4 are combined under Severe.

DSM-5 DIAGNOSTIC CRITERIA FOR SUBSTANCE USE DISORDER

- Review the 11 DSM-5 Substance Use Disorder Criteria and check off any of the criteria for an individual substance that has occurred in the past 12 months. The interviewer can add up to three substances that meet the criteria.
- At the bottom of column of each substance, total up the number of criteria checked off. The presence of at least two criteria per substance indicates a substance use disorder.
- The severity of substance use disorders is broken up into Mild, Moderate, and Severe.
 - Mild: Presence of 2-3 criteria
 - Moderate: Presence of 4-5 criteria
 - Severe: Presence of 6 or more criteria

- In the space provided, list the diagnosis for the substance use disorders that meet criteria, and specify severity. Enter the date the diagnosis was made.

ASAM LEVEL OF CARE DETERMINATION TOOL

- The intent of the ASAM Level of Care Determination Tool is to help guide the interviewer in selecting the most appropriate level of care placement.
- Note that the grid is divided up into several parts. The top portion of the grid corresponds to choosing the level of care that relates to Withdrawal Management. The middle portion of the grid corresponds to choosing the level of care that relates to Treatment and Recovery Services. The bottom portion of the grid corresponds to Opioid Treatment programs and Medication-Assisted Treatment.
 - Each level of care for Withdrawal Management and Treatment and Recovery Services is written with the corresponding ASAM Level (i.e. Ambulatory Withdrawal Management without Extended On-site Monitoring: 1-WM, or Clinically Managed Low-Intensity Residential Services: 3.1, etc.) on the left column.
 - Each dimension is listed with boxes indicating an overall severity level (i.e. none, mild, moderate, severe) for the respective dimension.
 - The blank boxes within the grid provide a framework for what levels of care are considered appropriate given the severity level (i.e. none, mild, moderate, severe). The shaded boxes are blocked off and prevent the designation of inappropriate levels of care. As such, the grid is designed to help guide the interviewer's level of care selection in each dimension, depending on the chosen severity level for that dimension.
- For each dimension, indicate the least intensive level of care that is appropriate based on the client's severity/functioning and service needs.
- Each portion of the grid, the Withdrawal Management, the Other Treatment and Recovery Services, and Opioid Treatment Program should be completed separately.
- For ASAM Criteria Level of Care – Withdrawal Management, look at the column of the severity level that was chosen for Dimension 1. Based on the available boxes in that column, choose the Withdrawal Management Level of Care that best fits the client's current level of risk and is the modality setting that is most appropriate.
- For ASAM Criteria Level of Care – Treatment and Recovery Services- Dimensions 1-6, look at the column of the severity level that was chosen for each Dimension 1-6. Based on the available boxes in that column, choose the Level of Care that best fits the client's current level of risk and is the modality setting that is most appropriate.
 - Mark off the lowest level of care that is appropriate for each dimension given their current severity risk and interviewer judgement.
 - Consider the lowest appropriate level of care for each dimension and the individual characteristics of each case. The level of care that is identified as being the most appropriate across the most number of dimensions may be the most appropriate placement, however it is important to recognize that certain factors, such as severe physical health problems, or severe mental illness may play a stronger role in guiding placement.
- If the client would benefit from an Opioid Treatment Program, choose the severity level for each dimension and refer them accordingly.
- Question to be answered by interviewer. Check yes or no to the question at the bottom of the grid. Further describe the response in the space provided.

PLACEMENT SUMMARY INFORMATION

- Enter the ASAM Level of Care for Treatment and Withdrawal Services that would be the most appropriate level of treatment. This is to be determined based off the ASAM Level of Care Determination Tool findings for current level of risk, and the least restrictive treatment environment.
- There may be exceptions in which the Level of Care chosen for the client and Level of Care that the client is placed differ. This may be due to lack of availability, or client preference. If there is a discrepancy between the Level of Care chosen by the interviewer and the Level of Care that is to be provided, please check of the appropriate reason for the discrepancy and briefly explain why.
- Provide the information and location for the designated treatment provider for the client.
- Enter the interviewer's (counselor) name, signature and date of the assessment.
- Enter the LPHA's (if individual conducting this assessment is not an LPHA) name, signature and date of the assessment.