



PARTNERS
Behavioral Health Management

Providing ASAM Informed Treatment

Training Objectives

- Overview of:
 - Recent ASAM changes
 - DSM 5 changes specific to Substance Use Disorders and how this relates to ASAM
- The relationship between a CCA and ASAM criteria
- Applying ASAM to Treatment Planning
- Review of ASAM informed treatment as it relates to Medical Necessity for services

Information for this presentation was gathered from:

The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions.
(American Society of Addiction Medicine, Third Edition, 2013)

&

Diagnostic and Statistical Manual of Mental Disorders (Fifth Edition, 2013)



Abbreviations

- ▶ **ASAM:** American Society of Addiction Medicine
- ▶ **CCA:** Comprehensive Clinical Assessment
- ▶ **DSM-5:** Diagnostic and Statistical Manual of Mental Disorders (DSM-5)
- ▶ **LOC:** Level of Care
- ▶ **SUD:** Substance Use Disorder
- ▶ **Tx:** Treatment
- ▶ **WM:** Withdrawal Management



Why is ASAM Important?

- “Purpose of *The ASAM Criteria* is to enhance the use of multidimensional assessments to develop patient-centered service plans and to guide professionals in making objective decisions about patient admission, continuing care, and transfer/discharge for various levels of care for addictive, substance-related, and co-occurring conditions.”

The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions, p. x (preface)



How ASAM Assists with Treatment Planning/Placement

- “This edition shows how to implement and apply the criteria to a variety of patient populations in a wide range of care settings.”
- “The criteria provide a way to match individuals suffering from addiction with the services and tools they need for a successful and long-term recovery.”
- The criteria within the dimensions should be included within a consumer’s Comprehensive Clinical Assessment, and can assist Providers with developing goals together with the consumer for the Person-Centered Plan.
- Partners Behavioral Health Management Utilization Management staff use ASAM documentation provided by Providers to assist with justifying medical necessity for services requested in authorizations.

The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions, p.



Why is ASAM Important for Medical Necessity?

- Medical necessity is central to Partners BHM Utilization Management Care Managers as it is a key concept used to determine appropriateness of care. “*The ASAM Criteria* encompass all pertinent biopsychosocial aspects of addiction and mental health that determine severity of the patient’s illness and level of functioning.”
- Medical necessity should “pertain to necessary care for biopsychosocial severity and is defined by the extent and severity of problems in all six multidimensional assessment areas of the patient.”
- For this reason, medical necessity should not be restricted to only 1 dimension such as acuity of physical health needs or psychiatric issues. It should include all six dimensions to provide a more holistic concept of what would be considered clinically appropriate.

The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions, p. 10



ASAM Severity Profile

ASAM Severity Profile for _____

Date: _____

ASAM Dimensions:	ASAM Risk Rating for the Dimension	Description of symptoms that support the level chosen for this dimension:
Dimension 1: Acute Intoxication & Withdrawal Potential	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	
Dimension 2: Biomedical Conditions and/or Complications	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	
Dimension 3: Emotional, Behavioral, or Cognitive Conditions/Complications	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	
Dimension 4: Readiness to Change	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	
Dimension 5: Relapse, Continued Use, or Continued Problem Potential	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	
Dimension 6: Recovery Environment	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	

Locating PBHM ASAM Form

- Providers can locate the Partners BHM ASAM Severity Profile Form on our website: www.partnersbhm.org
- Click on “For Providers” on the home page; Click on “Utilization Management”; Click on “ADATC Referrals”; Click on “ASAM Severity Profile Score Sheet”
- Please use this form throughout this training for an upcoming vignette.



DSM 5 and Substance Use Disorders (SUD)

- DSM 5 has changed the way we should look at substance use disorders (SUDs).
- DSM 5 has eliminated the abuse versus dependence distinction.
- Eleven symptoms based on physiological, psychological, behavioral and functional impairments.
- SUDs are now diagnosed along a severity continuum based on the number of diagnostic symptoms present in a 12-month period.
Mild (2-3 sxs present); Moderate (4-5sxs); Severe (6+ sxs)

Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition



SUD Criteria

1. Substance is often taken in larger amounts or over a longer period than intended.
2. There is a persistent desire or unsuccessful efforts to cut down or control substance use.
3. A great deal of time is spent in activities necessary to obtain, use or recover from the effects of the substance.
4. Craving, or a strong desire or urge, to use the substance.
5. Recurrent substance use resulting in a failure to fulfill major role obligations at work, school, or home.

Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition



SUD Criteria (cont.)

6. Continued substance use despite having persistent or recurrent social or interpersonal problems caused or exacerbated by the effects of the substance.
7. Important social, occupational or recreational activities are given up or reduced because of substance use.
8. Recurrent substance use in situations in which it is physically dangerous.
9. Substance use is continued despite knowledge of having a persistent or recurrent physical or psychological problem that is likely to have been caused or exacerbated by the substance.

Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition



SUD Criteria (cont.)

10. Tolerance, as defined by either of the following:
 - a. A need for markedly increased amounts of the substance to achieve intoxication or the desired effect.
 - b. A markedly diminished effect with continued use of the same amount of the substance.
11. Withdrawal, as manifested by either of the following:
 - a. The characteristic withdrawal symptoms for the service.
 - b. The substance (or a closely related substance) is taken to relieve or avoid withdrawal symptoms.

Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition



SUD Diagnostic Specifiers

Other diagnostic specifiers that may be of consideration:

- In Early Remission: no SUD criteria have been met, other than craving, in no less than 3 months, but less than 12 months.
- In Sustained Remission: no SUD criteria have been met at any time in at least 12 months, except for craving.
- In a Controlled Environment: the individual is in an environment where access to the substance is restricted.
- On Maintenance Therapy: the individual is taking a prescribed agonist medication (Methadone), or a partial agonist, agonist/antagonist, or a full antagonist (Naltrexone).

Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition



Diagnosing a SUD

- Diagnostic criteria and symptoms are ***identified through the completion of an assessment***, in which information is gathered through interview, direct observation and/or collateral sources, regarding various domains of an individual's life:
physical/medical, **psychological/behavioral**, **occupational/educational**, social/family relationships and spiritual.
- The assessment should also include, of course, substance use history.



Matching the CCA with ASAM

ASAM Severity Profile for _____

Date: _____

ASAM Dimensions:	ASAM Risk Rating for the Dimension	Description of symptoms that support the level chosen for this dimension: CCA Domain Match
Dimension 1: Acute Intoxication & Withdrawal Potential	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<u>Substance Use History:</u> known withdrawal symptoms for substances used and severity based on frequency, amount and last use information. <u>Physical/Medical:</u> any biomedical conditions that could impact the severity and risk level of Withdrawal Symptoms
Dimension 2: Biomedical Conditions and/or Complications	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<u>Physical/Medical:</u> any indications in personal or family health history that may identify potential medial or biological risk factors and predispositions that could interfere with or complicate treatment efforts. Any medications that need to be considered in treatment planning.
Dimension 3: Emotional, Behavioral, or Cognitive Conditions and/or Complications	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<u>Psychological/Behavioral:</u> any personal or family history (for predisposition purposes) of behavioral, psychiatric or developmental symptoms or conditions that could complicate treatment and recovery efforts. <u>Education/Occupation:</u> does it show any patterns of instability? Does this present a source of support or distress?



Matching the CCA with ASAM

ASAM Severity Profile for _____

Date: _____

ASAM Dimensions:	ASAM Risk Rating for the Dimension	Description of symptoms that support the level chosen for this dimension: CCA Domain Match
<u>Dimension 4:</u> Readiness to Change	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<p><u>Social</u>: current or past relationship stability, cultural background, interests, hobbies, locus of control and other social influences that could affect a person’s willingness for treatment or readiness for change.</p> <p><u>Spiritual</u>: religious beliefs, values, goals and sense of “connectedness” that indicate internal motivation for change.</p>
<u>Dimension 5:</u> Relapse, Continued Use, or Continued Problem Potential	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<p><u>Substance Use History</u>: previous attempts to stop or control use? Previous treatment outcomes? Longest period of abstinence?</p> <p>Medical/Physical: Any medical problems that increase the risk of self-medication? Do medications need to be included in treatment planning?</p> <p><u>Social</u>: negative influences that may encourage continued use?</p> <p><u>Psychological/Behavioral</u>: Are there psychotropic medications or conditions that increase the risk of relapse?</p>
<u>Dimension 6:</u> Recovery Environment	0 – None _____ 1 – Mild _____ 2 – Mod Low _____ 3 – Mod High _____ 4 – High _____	<p><u>Social</u>: what is the living environment like? Are there environmental triggers? Consider “PPT.” Are there supportive relationships? Is there conflict? Are there safety issues?</p> <p><u>Spiritual</u>: Is there an “openness” toward accepting help? Is the person willing to look outside self for support? Is there past or current involvement in 12-Step or other recovery community groups?</p>



ASAM Dimensions

- “ASAM’s criteria uses six dimensions to create a holistic, bio/psycho/social assessment of an individual to be used for **service planning and treatment** across all services and levels of care.”



The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions, p. 43

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ASAM Dimension Ratings

- Risk Rating system “creates a standard method for assessing patient severity and level of function, therefore, helping **identify individual priorities and needs.**”
- Note risk rating “given at time of initial assessment **will likely change throughout a patient’s treatment and continuing care**”.

ASAM RISK RATING	0	Fully functioning & demonstrates ability to tolerate & cope (no immediate monitoring/management needed)	↓ Low
	1	Adequate ability to tolerate & cope w/ issues; No imminent risk (low intensity monitoring/management)	
	2	Some difficulty tolerating & coping w/ discomfort but responds to treatment & support (moderate intensity monitoring/management)	↓ Moderate
	3	Poor ability to tolerate & cope w/ discomfort; Severe signs & symptoms that may indicate near imminent danger to self/others (did not respond to lower LOC) (moderately high intensity monitoring; nursing/medical monitoring for stabilization)	
	4	Incapacitated w/ severe signs & symptoms; Demonstrates imminent danger (high intensity monitoring; more than hourly)	↓ High

ASAM Dimension Ratings

- Immediate needs due to imminent risk
- Imminent risk in terms of **health and safety issues that needs to be addressed for stabilization before implementing a full treatment plan.**

ASAM Ratings

Dimensions 1-3 indicate need for medical attention and/or intensive medical monitoring and management

Dimension 4-6 indicate need for clinical attention and/or intensive clinical monitoring and management including residential services.

ASAM Dimensions Ratings

Acute Versus Chronic

For Dimensions 4,5,and 6, there are risk ratings of **4a** (No immediate action required) and **4b** (immediate action required)

- ◎ 4a-refers to Beneficiary who has high severity in that dimension but has maintained this severity over time and is not in any immediate danger requiring secure placement and active intervention

- American Society of Addiction Medicine Third Edition, 2013, pg. 73



Treatment Planning

- *Choose a specific focus and determine what intensity of the service is needed for each dimension*

Level Of Care

- Where can these services be provided, in the least intensive, but safe level of care or site of care
- Needs and/or strengths in a dimension may modify how a need in a different dimension is addressed
- When higher levels of care are not available in a provider area, wrap the Beneficiary in services.

Level Of Care

Reminder:

Chronic problems are not addressed with short term services unless there is imminent danger.

Imminent danger indicates an acute problem requiring a short term intervention for stabilization.

ASAM Severity Profile

ASAM Severity Profile for <u>Todd</u>		Date: <u>8/3/15</u>
ASAM Dimensions:	ASAM Risk Rating for the Dimension	Description of symptoms that support the level chosen for this dimension:
<u>Dimension 1:</u> Acute Intoxication & Withdrawal Potential	3	
<u>Dimension 2:</u> Biomedical Conditions and/or Complications	0	
<u>Dimension 3:</u> Emotional, Behavioral, or Cognitive Conditions/Complications	2	
<u>Dimension 4:</u> Readiness to Change	2	
<u>Dimension 5:</u> Relapse, Continued Use, or Continued Problem Potential	2	
<u>Dimension 6:</u> Recovery Environment	1	