

California ASAM User Guide

Version 2.0

02/22/2023

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User Guide: ASAM

General Information

ASAM is the American Society of Addiction Medicine multidimensional, structured assessment that was developed for clients with addictive, substance-related, and co-occurring disorders. The ASAM utilizes the client’s needs, obstacles and liabilities, as well as their strengths, assets, resources, and supportive structure to determine the appropriate level of care for the client. In SmartCare, the ASAM is a core, stand-alone document that utilizes the standardized six dimensions to determine the appropriate service planning and intervention for clients.

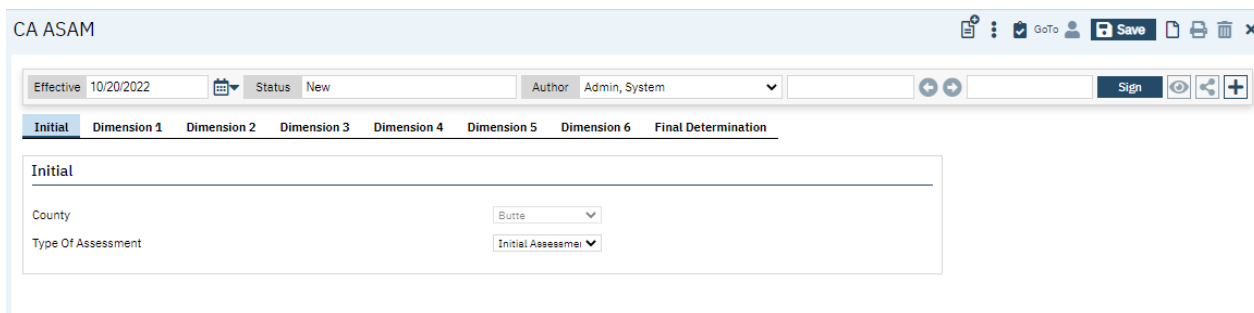
In the State of California, the ASAM document is required to be completed by adults at admission and every 6 months when there is an indication of substance abuse. It is required for reporting to the county when client is admitted to a Substance Abuse program.

Overview

1.0 General

ASAM

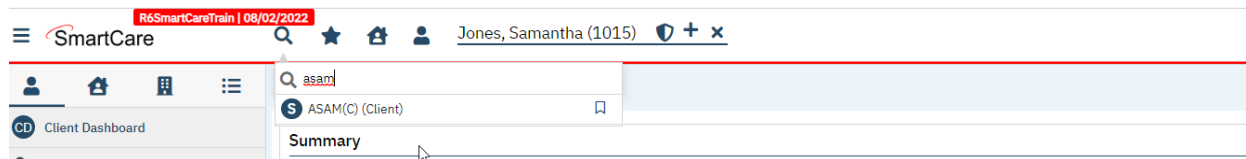
The California ASAM contains 8 separate tabs: the Initial tab, one tab corresponding to each of the 6 dimension measurement, and a Final Determination tab. Each tab will have specific requirements regarding completion.




The screenshot shows the 'CA ASAM' form interface. At the top, there is a header with 'CA ASAM' and a toolbar containing icons for 'GoTo', 'Save', 'Print', 'Trash', and 'Close'. Below the header, there is a form area with the following fields: 'Effective' (10/20/2022), 'Status' (New), 'Author' (Admin, System), and a 'Sign' button. A tabbed interface is visible with tabs for 'Initial', 'Dimension 1', 'Dimension 2', 'Dimension 3', 'Dimension 4', 'Dimension 5', 'Dimension 6', and 'Final Determination'. The 'Initial' tab is selected, showing a form with 'County' (Butte) and 'Type Of Assessment' (Initial Assessment).

Creating a new ASAM

Once you have successfully opened your client’s record, navigate to ASAM by clicking on the Search Icon, type ASAM on the Search Bar, and click “ASAM (C) (Client)” on the search result.



If this is the first ASAM for this client, you will be taken directly to a new ASAM document. If the client has an existing and completed ASAM document, you will see the PDF version of that ASAM:

Click on the  to create a new version of the ASAM.

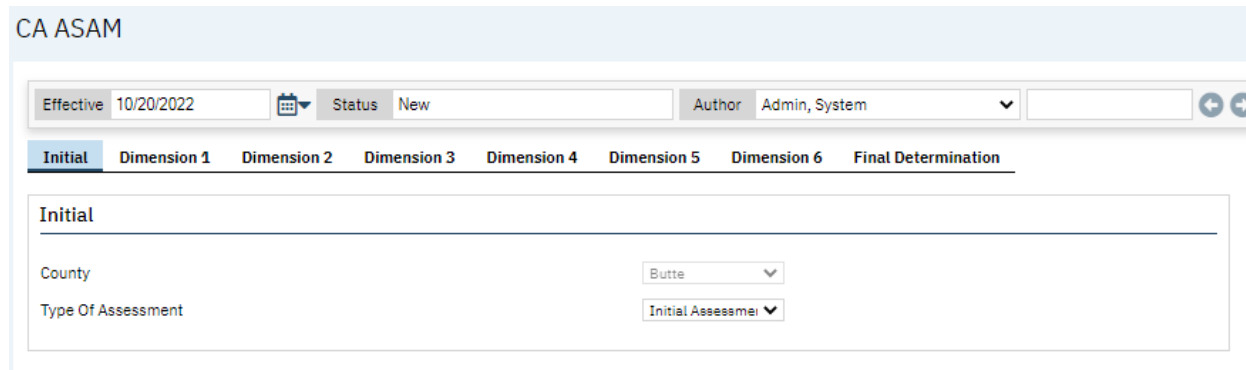
2.0 ASAM Completion

Initial tab

The Initial tab contains 2 drop-downs that are **both required**.

The first field is where the author can indicate the county for which the data is being reported to. If your organization is configured to only report to one county, this will be pre-populated. See Configuration Key section under set up to understand how this is configured.

The second drop-down indicate the Type of Assessment (i.e. Brief initial screen, Initial Assessment, or Follow Up Assessment).



CA ASAM

Effective 10/20/2022 Status New Author Admin, System

Initial Dimension 1 Dimension 2 Dimension 3 Dimension 4 Dimension 5 Dimension 6 Final Determination

Initial

County Butte

Type Of Assessment Initial Assessment

Dimension 1: Acute Alcohol Intoxication and/or Withdrawal Potential

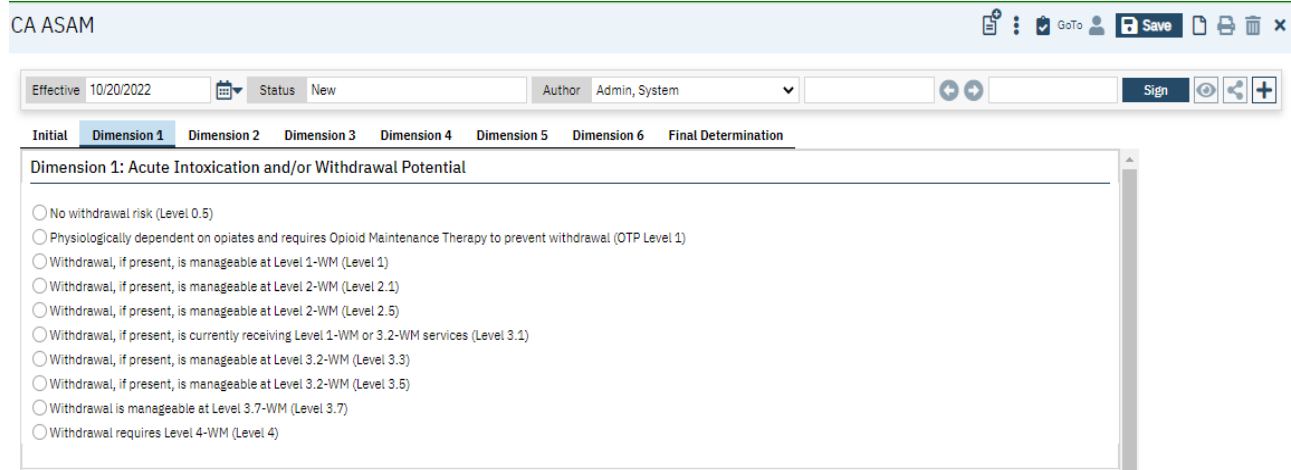
The first tab of the ASAM is Acute Alcohol Intoxication and/or Withdrawal Potential. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that

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was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, **it is required for the user to select an option** regarding the client’s alcohol intoxication and/or withdrawal potential. If the client has a previous ASAM, the value will initialize.



CA ASAM

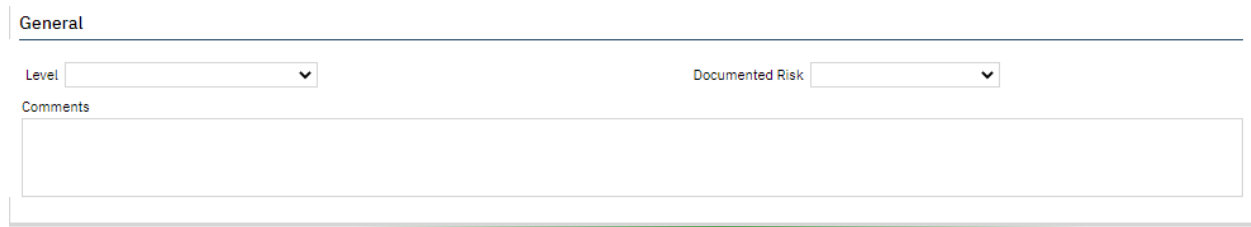
Effective 10/20/2022 Status New Author Admin, System Sign

Initial Dimension 1 Dimension 2 Dimension 3 Dimension 4 Dimension 5 Dimension 6 Final Determination

Dimension 1: Acute Intoxication and/or Withdrawal Potential

- No withdrawal risk (Level 0.5)
- Physiologically dependent on opiates and requires Opioid Maintenance Therapy to prevent withdrawal. (OTP Level 1)
- Withdrawal, if present, is manageable at Level 1-WM (Level 1)
- Withdrawal, if present, is manageable at Level 2-WM (Level 2.1)
- Withdrawal, if present, is manageable at Level 2-WM (Level 2.5)
- Withdrawal, if present, is currently receiving Level 1-WM or 3.2-WM services (Level 3.1)
- Withdrawal, if present, is manageable at Level 3.2-WM (Level 3.3)
- Withdrawal, if present, is manageable at Level 3.2-WM (Level 3.5)
- Withdrawal is manageable at Level 3.7-WM (Level 3.7)
- Withdrawal requires Level 4-WM (Level 4)

In the General section, **all fields are required**. Level initializes based on selection above.



General

Level [dropdown] Documented Risk [dropdown]

Comments [text area]

Dimension 2: Biomedical Conditions and Complications

The second tab of the ASAM is Biomedical Conditions and Complications. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, **it is required for the user to select an option** regarding the client’s biomedical conditions and complications. If the client has a previous ASAM, the value will initialize.

In the General section, **all fields are required**. Level initializes based on selection above.

CA ASAM

Effective: 10/20/2022 Status: New Author: Admin, System Save Sign

Initial Dimension 1 **Dimension 2** Dimension 3 Dimension 4 Dimension 5 Dimension 6 Final Determination

Dimension 2: Biomedical Conditions and Complications

- None or very stable (Level 0.5)
- None or manageable with outpatient medical monitoring (OTP Level 1)
- None or very stable, or the patient receiving concurrent medical monitoring (Level 1)
- None or not a distraction from treatment. Such problems are manageable at Level 2.1 (Level 2.1)
- None or not sufficient to distract from treatment. Such problems are manageable at Level 2.5 (Level 2.5)
- None or stable, or the patient is receiving concurrent medical monitoring (Level 3.1)
- None or stable, or receiving concurrent medical treatment (Level 3.3)
- None or stable, or receiving concurrent medical monitoring (Level 3.5)
- None or stable, or receiving concurrent medical monitoring (Level 3.7)
- Requires 24-hour medical and nursing care in a hospital (Level 4)

General

Level: Documented Risk:

Comments:

Dimension 3: Emotional, Behavioral or Cognitive conditions and Complications

The third tab of the ASAM is Emotional, Behavioral or Cognitive Conditions and Complications. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, **it is required for the user to select an option** regarding the client’s biomedical conditions and complications. If the client has a previous ASAM, the value will initialize.

In the General section, **all fields are required**. Level initializes based on selection above.

CA ASAM

Effective 10/20/2022 Status New Author Admin, System Sign

Initial Dimension 1 Dimension 2 **Dimension 3** Dimension 4 Dimension 5 Dimension 6 Final Determination

Dimension 3: Emotional, Behavioral or Cognitive Conditions and Complications

- None or very stable (Level 0.5)
- None or manageable in an outpatient structured environment (OPT Level 1)
- None or very stable, or the patient is receiving concurrent mental health monitoring (Level 1)
- Mild severity, with the potential to distract from recovery; needs monitoring (Level 2.1)
- Mild to moderate severity, with potential to distract from recovery; needs stabilization (Level 2.5)
- None or minimal; not distracting from recovery (Level 3.1)
- Mild to moderate severity; needs structure to focus on recovery (Level 3.3)
- Inability to control impulses or unstable and dangerous signs/symptoms require stabilization and a 24-hour setting (Level 3.5)
- Moderate severity; needs a 24-hour structured setting (Level 3.7)
- Requires 24-hours psychiatric care and concomitant addiction treatment (Level 4)

General

Level Documented Risk

Comments

Dimension 4: Readiness to Change

The fourth tab of the ASAM is Readiness to Change. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, **it is required for the user to select an option** regarding the client’s biomedical conditions and complications. If the client has a previous ASAM, the value will initialize.

In the General section, **all fields are required**. Level initializes based on selection above.

CA ASAM GoTo Save Print X

Effective: 10/20/2022 Status: New Author: Admin, System Sign

Initial Dimension 1 Dimension 2 Dimension 3 **Dimension 4** Dimension 5 Dimension 6 Final Determination

Dimension 4: Readiness to Change

- Willing to explore how current alcohol, tobacco, other drug or medication and/or high risk behaviors may affect personal goals (Level 0.5)
- Ready to change the negative effects of opioid use, but not ready for total abstinence from illicit prescription or non-prescription drug use (OTP Level 1)
- Ready for recovery but needs motivation and monitoring strategies to strengthen readiness; or needs ongoing monitoring and disease management; or high severity in this dimension but no in other dimensions (Level 1)
- Has variable engagement in treatment, ambivalence, or lack of awareness of the substance use or mental health problem, and requires a structured program several times a week (Level 2.1)
- Has poor engagement in treatment, significant ambivalence, or a lack of awareness of the substance use or mental health problem, requiring a near-daily structured program or intensive engagement services (Level 2.5)
- Open to recovery, but needs a structured environment to maintain therapeutic gains (Level 3.1)
- Has little awareness and needs interventions available only in Level 3.3 to stay in treatment (Level 3.3)
- Has marked difficulty with, or opposition to, treatment, with dangerous consequences (Level 3.5)
- Low interest in treatment and impulse control is poor, despite negative consequences; needs motivating strategies available in a 24 hour structured setting (Level 3.7)
- Requires 24-hours psychiatric care and concomitant addiction treatment (Level 4)

General

Level: Documented Risk:

Comments:

Dimension 5: Relapse, Continued Use, Continued Problem Potential

The fifth tab of the ASAM is Relapse, Continued Use, Continued Problem Potential. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, *it is required for the user to select an option* regarding the client’s biomedical conditions and complications. If the client has a previous ASAM, the value will initialize.

In the General section, *all fields are required*. Level initializes based on selection above.

Effective: 10/20/2022 Status: New Author: Admin, System Sign

Initial Dimension 1 Dimension 2 Dimension 3 Dimension 4 **Dimension 5** Dimension 6 Final Determination

Dimension 5: Relapse, Continued Use, Continued Problem Potential

- Needs an understanding of, or skills to change, current alcohol, tobacco, other drug, or medication use patterns, and/or high risk behavior (Level 0.5)
- At high risk of relapse or continued use without OTP and structured therapy (OPT Level 1)
- Able to maintain abstinence or control use and/or addictive behaviors and pursue recovery or motivational goals with minimal support (Level 1)
- Intensification of addiction or mental health symptoms indicate a high likelihood of relapse or continued use or continued problems without close monitoring and support several times a week (Level 2.1)
- Intensification of addiction or mental health symptoms, despite active participation in level 1 or level 2.1 program, indicates a high likelihood of relapse or continued use or continued problems without near-daily monitoring and support (Level 2.5)
- Understands relapse but needs structure to maintain therapeutic gains (Level 3.1)
- Has little awareness and needs interventions available only at Level 3.3 to prevent continued use, with imminent dangerous consequences, because of cognitive deficits or comparable dysfunction (Level 3.3)
- Has no recognition of the skills needed to prevent continued use, with imminently dangerous consequences (Level 3.5)
- Unable to control use, with imminent dangerous consequences despite active participation at less intensive levels of care (Level 3.7)
- Problems in this dimension do not qualify the person for Level 4 services (Level 4)

General

Level: Documented Risk:

Comments:

Dimension 6: Recovery Environment

The sixth tab of the ASAM is Recovery/Living Environment. The first section of this tab is based on the “County” field value selected in the “Initial” tab. The corresponding DFA that was built as specific to that county will be displayed in this section. See DFA section below for more information about configuration. If nothing exists, then no other fields are required for the county you are reporting to on this form.

In the second section, *it is required for the user to select an option* regarding the client’s biomedical conditions and complications. If the client has a previous ASAM, the value will initialize.

In the General section, *all fields are required*. Level initializes based on selection above.

CA ASAM

Effective: 10/20/2022 Status: New Author: Admin, System Sign

Initial Dimension 1 Dimension 2 Dimension 3 Dimension 4 Dimension 5 **Dimension 6** Final Determination

Dimension 6: Recovery/Living Environment

- Social support system or significant others increase the risk of personal conflict about alcohol, tobacco or other drug use (Level 0.5)
- Recovery environment is supportive and/or the person has skills to cope (OPT Level 1)
- Recovery environment is supportive and/or the person has skills to cope (Level 1)
- Recovery environment is not supportive, but with structure and support, the person can cope (Level 2.1)
- Recovery environment is not supportive, but with structure and support and relief from the home environment, the person can cope (Level 2.5)
- Environment is dangerous, but recovery is achievable if level 3.1 / 24 hour structure is available (Level 3.1)
- Environment is dangerous and person needs 24-hour structure to learn to cope (Level 3.3)
- Environment is dangerous and the person lacks skills to cope outside of highly structured 24 hour setting (Level 3.5)
- Environment is dangerous and the person lacks skills to cope outside of a highly structured 24-hour setting (Level 3.7)
- Problems in this dimension do not qualify the person for Level 4 services (Level 4)

General

Level: Documented Risk:

Comments

Final Determination

The last tab of the ASAM is the Final Determination tab. In the Final Determination section, it will initialize each of the six dimension scores and risk selected, as well as the Comments for each dimension. These are read only and can only be changed on the respective tab.

CA ASAM

Effective: 10/20/2022 Status: New Author: Admin, System Sign

Initial Dimension 1 Dimension 2 Dimension 3 Dimension 4 Dimension 5 Dimension 6 **Final Determination**

Final Determination

| | |
|---|---|
| <p>Dimension 1 Risk:</p> <input type="text"/> | <p>Dimension 2 Risk:</p> <input type="text"/> |
| <p>Dimension 3 Risk:</p> <input type="text"/> | <p>Dimension 4 Risk:</p> <input type="text"/> |
| <p>Dimension 5 Risk:</p> <input type="text"/> | <p>Dimension 6 Risk:</p> <input type="text"/> |

Final Placement Determination

Indicated/Referred Level:

Provided Level:

Comments



The Final Placement Determination section allows for the end user to note both the Indicated/Referred Level and the actual Provided Level. **Both of these fields are required.**

A Comments textbox is provided to note additional information regarding the final determination and a summary of the ASAM.

In addition, another text box is provided to indicate the Determination of Medical Necessity and Recommendation for Services. **This field is required.**

Final Placement Determination
Indicated/Referred Level
Provided Level
Comments
Determination of Medical Necessity and Recommendation for Services

The last section on the Final Determination tab, contain the corresponding county specific DFA as well as drop-downs to indicate additional level of care. **All of the fields displayed below are required.**

<Name> County ASAM Final Determination
Final Placement Determination
Additional Indicated Level of Care Second Additional Indicated Level of Care
Provided Additional Level of Care
If Actual LOC was not among those indicated, what is the reason for the difference? If referral is being made but admission is expected to be delayed, what is the reason for delay?
If reason was "Other", explain: If reason was "Other", explain:

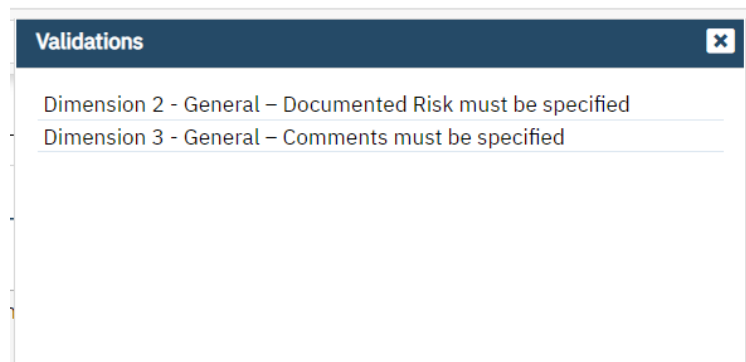
3.0 Signing the ASAM

When all information that can be gathered has been entered into the ASAM, a few final steps are needed to complete the document.

Once all information is entered, you have two options: sign or save. If there is any reason not to complete and sign the document, it can be saved and returned to at a later time by clicking the save button in the toolbar.



When you are ready to sign, click the sign button. This will automatically “validate” the document to verify that all required fields has been completed. If there are missing required fields, you will receive the following validation window:



The first portion of the statement (e.g. Dimension 2) will tell you on which tab the missing required field is located. The second part of the message (e.g. General) will tell you which section to go to. The third part of the message (e.g. is Documented Risk must be specified) will tell you the specific field that you need to address.

Once all requirements has been completed, click the sign button again (if validations occurred). You will then be presented with the signature screen.

Santiago, Maricris is signing the ASAM(C)

Santiago, Maricris 08/08/2022 12:06 PM

Password Signature Pad Mouse/Touchpad Verbally Agreed Over Phone

Enter your password and click  . Your ASAM is now complete.

Set Up Considerations

Dynamic Form Architecture (DFA)

The CA ASAM was developed to allow configurable DFA tabs and sections to allow for the collections of customer specific business needs or county specific data collection requirements. These DFA tabs sections are driven based on the selection of the County of Submission field in the Initial tab. Once the county is selected and the user clicks Save, the DFA sections and/or tabs will load. At this time, the loading and mapping of these DFA's requires Streamline development.

DFA Section Location

The CA ASAM DFA sections are located within each tab with the exception of General. When loaded these will display as the first section in the Dimension tabs and the last section in the Final Determination tab.

Architecture

Table Name: DocumentCAStateReportingCountyDFAMappings

This table is used to show the County specific DFA tab in the respective Documents

In the table, every row should have unique records (The combination of Managing Entity +Document Code + DFA Form Id+ Section Name).

The table is pre-loaded by the SA/Developer based on the BA’s or customer instruction on which DFA Section we need to show for which county in the Documents

Example:

| ManagingEntitiy | DocumentName | Form ID | FormName |
|-----------------|--------------|---------|---------------------|
| Alameda | CA ASAM | 3002 | Dimension 1 |
| Alameda | CA ASAM | 3003 | Dimension 2 |
| Alameda | CA ASAM | 3004 | Final Determination |
| Alpine | CA ASAM | 3005 | Dimension 1 |
| Alpine | CA ASAM | 3006 | Dimension 1 |

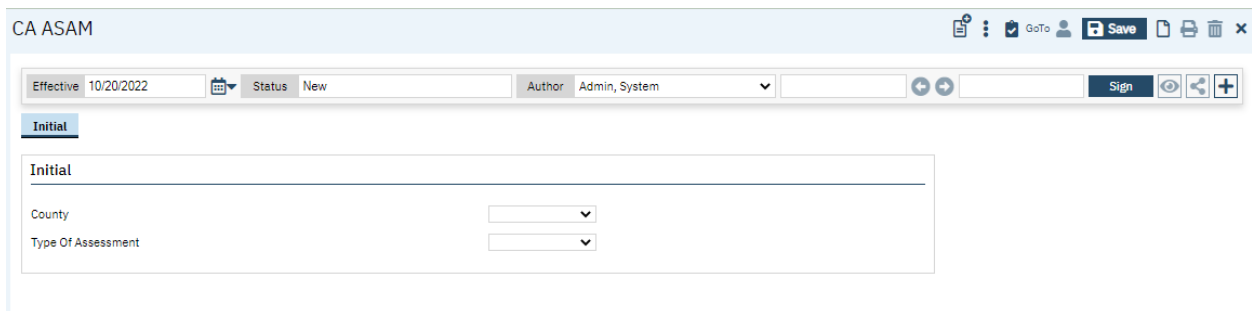
Configuration Keys

| Field Name | Configuration Key Category Name |
|----------------|---|
| Partner County | XSetCountyCodeForCaliforniaStateReporting |

If your organization only provides services to clients within ONE county, then you should enter the County Code as defined by your state here. If nothing is entered, then on the form, user will be required to select the County every time. If something is entered here, then user will not see the field and it will prepopulate in the table for this document to be sent for reporting to the accurate county.

If your organization provides services to clients in more than one county and you report to each of those counties, then you should indicate 'None' in this key or leave it blank and users will be required to select the county each time they do the document.

The field this impacts is the 'Partner County' field below that is located on the Partner/Residential/Education tab in the Initial section.



The screenshot shows a web application interface for 'CA ASAM'. At the top, there is a header with 'CA ASAM' on the left and navigation icons (GoTo, Save, Print, Refresh, Close) on the right. Below the header is a form with several fields: 'Effective' (10/20/2022), 'Status' (New), 'Author' (Admin, System), and a 'Sign' button. A tab labeled 'Initial' is selected. The 'Initial' section contains two dropdown menus: 'County' and 'Type Of Assessment'.

If there are counties you do not provide services to, you can go to the DACSManagingEntity Global Code category in the Global Codes screen and deactivate any counties you do not want staff to see in the drop down. You should only do this for counties that NONE of your programs are serving. You should keep all counties that at least one program serves as active.