

Client Name: \_\_\_\_\_

Client ID #: \_\_\_\_\_

## ADULT Initial Level of Care Assessment

Staff completing the form: \_\_\_\_\_ Place of interview: \_\_\_\_\_

Date of screening: \_\_\_\_\_ Referral source (Name & Phone #) \_\_\_\_\_

### PERSONAL INFORMATION

First Name: \_\_\_\_\_ M.I. \_\_\_\_ Last Name: \_\_\_\_\_ Age: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Birth Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Phone Number: (\_\_\_\_) \_\_\_\_\_ OK to leave message?  YES  NO Preferred Language: \_\_\_\_\_

Address: \_\_\_\_\_  
Street City State Zip Code

What are the main reasons you are seeking help here today? \_\_\_\_\_

Gender Identity:  Male  Female  Transgender (M to F)  Transgender (F to M)  
 Questioning/Unsure  Other \_\_\_\_\_  Decline to state

Sexual Orientation:  Heterosexual/Straight  Lesbian  Gay  Bisexual  
 Questioning/Unsure  Other \_\_\_\_\_  Decline to state

Are you a veteran?  YES  NO

Are you pregnant?  YES  NO Due Date: \_\_\_\_\_ # of Children under 18: \_\_\_\_\_

Do you have Medi-Cal?  YES  NO Medi-Cal Card #: \_\_\_\_\_

Do you have Health insurance?  YES  NO Insurance Company: \_\_\_\_\_

Are you on Medically Assisted Treatment (MAT) (i.e., Methadone, Vivitrol, Suboxone)?  YES  NO

If YES, list the medication: \_\_\_\_\_ Where do you obtain this? \_\_\_\_\_

Have you ever been arrested/charged/convicted/registered for arson?  YES  NO

Have you ever been arrested/charged/convicted/registered for a sex crime(s)?  YES  NO

### EMERGENCY CONTACT

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_ Phone # (\_\_\_\_) \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_ Phone # (\_\_\_\_) \_\_\_\_\_

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**ALCOHOL AND/OR OTHER DRUG USE**

| Primary Drug   | # of Days used in past 30 days | Route of Admission | Age at first use | Date Last Used |
|----------------|--------------------------------|--------------------|------------------|----------------|
|                |                                |                    |                  |                |
| Secondary Drug | # of Days used in past 30 days | Route of Admission | Age at first use | Date Last Used |
|                |                                |                    |                  |                |
| Tertiary Drug  | # of Days used in past 30 days | Route of Admission | Age at first use | Date Last Used |
|                |                                |                    |                  |                |

Have you used needles in the past 12 months?  YES  NO  Decline to state/NA If yes, last used: \_\_\_/\_\_\_/\_\_\_

Date you last used any drugs including alcohol: \_\_\_/\_\_\_/\_\_\_ Number of days in a row you have been using: \_\_\_\_\_

How long do you think you have had a problem with alcohol and/or other drugs? \_\_\_\_\_

**ALCOHOL AND/OR OTHER DRUG TREATMENT HISTORY**

Have you received treatment for alcohol and/or other drugs in the past?  YES  NO

If yes, please give details:

| Type of Recovery Treatment (Outpatient, Residential, Detoxification) | Name of Treatment Facility | Dates of Treatment | Treatment Completed (yes or no) |
|--|----------------------------|--------------------|---------------------------------|
|  |                            |                    |                                 |
|  |                            |                    |                                 |
|  |                            |                    |                                 |
|  |                            |                    |                                 |
|  |                            |                    |                                 |

**ASAM Dimension 1: Acute Intoxication and/or Withdrawal Potential**

Do you have a history of serious withdrawal, seizures, or life-threatening symptoms during withdrawal?  YES  NO

If yes, please describe:

\_\_\_\_\_  
\_\_\_\_\_

Are you currently experiencing withdrawal symptoms, such as tremors, excessive sweating, rapid heart rate, blackouts, anxiety, vomiting, etc.?  YES  NO

If yes, please describe:

\_\_\_\_\_  
\_\_\_\_\_

**Severity Rating – Dimension 1 (Substance Use, Acute Intoxication, Withdrawal Potential)**  
**COUNSELOR: Please Check one of the following levels of severity**

| <input type="checkbox"/> <b>0: None</b>                     | <input type="checkbox"/> <b>1: Mild</b>   | <input type="checkbox"/> <b>2: Moderate</b>  | <input type="checkbox"/> <b>3: Significant</b>  | <input type="checkbox"/> <b>4: Severe</b>   |
|---|---|--|---|---|
| Fully functioning, no signs of intoxication or W/D present. | Mild to moderate intoxication interferes with daily functioning, but does not pose a danger to self/others. Minimal risk of severe W/D. | Intoxication may be severe, but responds to support; not posing a danger to self or others. Moderate risk of severe W/D. | Severe signs/symptoms of intoxication indicate an imminent danger to self/others. Risk of severe but manageable W/D; or W/D is worsening. | Incapacitated, with severe signs/symptoms. Severe W/D presents danger, such as seizures. Continued use poses an imminent threat to life (e.g., liver failure, GI bleeding, or fetal death). |

**ASAM Dimension 2: Biomedical Conditions/Complications**  
*(Include review of Health Questionnaire and TB Questionnaire in your determination below)*

Are you currently taking prescription medications for any medical conditions?  YES  NO If yes, please describe:  
 \_\_\_\_\_  
 \_\_\_\_\_

If recently enrolled in Medi-Cal, have you received a health screening to identify health needs within 90 days of Medi-Cal enrollment?  YES  No  N/A

**Severity Rating – Dimension 2 (Biomedical Conditions and Complications)**  
**COUNSELOR: Please Check one of the following levels of severity**

| <input type="checkbox"/> <b>0: None</b>                                  | <input type="checkbox"/> <b>1: Mild</b>  | <input type="checkbox"/> <b>2: Moderate</b>   | <input type="checkbox"/> <b>3: Significant</b>  | <input type="checkbox"/> <b>4: Severe</b>  |
|--|--|---|---|--|
| Fully functioning and able to cope with any physical discomfort or pain. | Adequate ability to cope with physical discomfort. Mild to moderate symptoms (such as mild to moderate pain) interfere with daily functioning. | Some difficulty tolerating physical problems. Acute, non-life threatening medical symptoms (such as acute episodes of chronic, distracting pain, or signs of malnutrition or electrolyte imbalance) are present. Serious biomedical problems are neglected. | Poor ability to tolerate and cope with physical problems, and/or general health condition is poor. Serious medical problems neglected during outpatient or IOT services. Severe medical problems (such as severe pain requiring medication, or hard to control Type 1 Diabetes) are present but stable. | The person is incapacitated, with severe medical problems (such as extreme pain, uncontrolled diabetes, GI bleeding, or infection requiring IV antibiotics). |

**\*Note: For residential programs, if the risk rating on ASAM Dimension 2 is greater than “zero” (0), please submit the completed Health Screening Questionnaire along with this form to assist with obtaining initial authorization.**

**Comments:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**ASAM Dimension 3: Emotional/Behavioral/Cognitive Conditions/Complications**

Review Risk Assessment and Co-Occurring Conditions Screening form for historical information relevant to this dimension. Include as part of your assessment of severity, below.

Do you have any current thoughts of hurting yourself or others?  YES  NO If yes, please describe:

\_\_\_\_\_

\_\_\_\_\_

Are you currently being treated or sought help in the past for a mental health condition? (For example, depression, bipolar disorder, anxiety, PTSD, psychosis, or other mental health condition).  YES  NO

If yes, please describe:

\_\_\_\_\_

\_\_\_\_\_

If yes to the question above, are you currently prescribed medications for the mental health condition(s) you described?

YES  NO

If yes, please describe: \_\_\_\_\_

Do you feel like you are unable to care for yourself (hygiene, food, clothing, shelter, etc.)?  YES  NO

If yes, please describe: \_\_\_\_\_

Do you currently have a therapist and/or psychiatrist?  YES  NO

If yes, provide name/contact information: \_\_\_\_\_

Over the past 2 weeks, how often have you been bothered by any of the following problems?

- Feeling down, depressed or hopeless  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day
- Needed much less sleep than usual and found you didn't really miss it  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day
- Feeling nervous, anxious, or on edge  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day
- Had nightmares about a frightening, horrible or upsetting event you've experienced  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day
- Seen things that other people can't see or don't seem to see  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day
- Heard things that other people can't hear or don't seem to hear  
 Not at all  Several Days  More Than Half the Days  Nearly Every Day

**Severity Rating – Dimension 3 (Emotional, Behavioral or Cognitive (EBC) Conditions or Complications)**

**COUNSELOR: Please Check one of the following levels of severity**

| <input type="checkbox"/> 0: None   | <input type="checkbox"/> 1: Mild   | <input type="checkbox"/> 2: Moderate   | <input type="checkbox"/> 3: Significant   | <input type="checkbox"/> 4: Severe   |
|--|--|--|---|--|
| Good impulse control, coping skills and sub-domains (dangerousness/lethality, interference with recovery efforts, social functioning, self-care ability, course of illness). | There is a suspected or diagnosed EBC condition that requires intervention, but does not significantly interfere with treatment. Relationships are being impaired but not endangered by substance use. | Persistent EBC condition, with symptoms that distract from recovery efforts, but are not an immediate threat to safety and do not prevent independent functioning. | Severe EBC symptomatology, but sufficient control that does not require involuntary confinement. Impulses to harm self/others, but not dangerous in a 24-hr. setting. | Severe EBC symptomatology; requires involuntary confinement. Exhibits severe and acute life-threatening symptoms (e.g., dangerous or impulsive behavior or cognitive functioning) posing imminent danger to self/others. |

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**ASAM Dimension 4: Readiness to Change**

How long do you think you have had a problem with alcohol and/or other drugs?

Have you tried to stop drinking/using before? If so, what interfered with your success with that goal?

Do you intend to reduce or quit drinking/using in the next 2 weeks?

- Definitely no     Probably no     Probably yes     Definitely yes

What substance(s) are you willing to stop using?

What would be helpful for you now in order to change your drinking/using?

What is the possibility 12 months from now you will not have a problem with alcohol and/or other drugs?

- Definitely not     Probably not     Probably will     Definitely will

How important is it for you to receive treatment for:

Alcohol problems:     Not at all     Slightly     Moderately     Considerably     Extremely

Drug problems:     Not at all     Slightly     Moderately     Considerably     Extremely

**Severity Rating – Dimension 4 (Readiness to Change)**  
*COUNSELOR: Please Check one of the following levels of severity*

| <input type="checkbox"/> 0: None   | <input type="checkbox"/> 1: Mild   | <input type="checkbox"/> 2: Moderate  | <input type="checkbox"/> 3: Significant  | <input type="checkbox"/> 4: Severe  |
|--|--|---|--|---|
| Engaged in treatment as a proactive, responsible participant. Committed to change. | Ambivalent of the need to change. Willing to explore need for treatment and strategies to reduce or stop substance use. May believe it will not be difficult to change, or does not accept a full recovery treatment plan. | Reluctant to agree to treatment. Able to articulate negative consequences (of substance use and/or mental health problems) but has low commitment to change. Passively involved in treatment (variable follow through, variable attendance) | Minimal awareness of need to change. Only partially able to follow through with treatment recommendations. | Unable to follow through, little or no awareness of problems, knows very little about addiction, sees no connection between substance use/consequences. Not willing to explore change. Unwilling/unable to follow through with treatment recommendations. |

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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Client ID #: \_\_\_\_\_

**ASAM Dimension 5: Relapse, Continued Use, or Continued Problem Potential**

What's the longest period of time that you have gone without using alcohol and/or other drugs? \_\_\_\_\_

If you previously stopped using alcohol and/or other drugs, what are the reasons you started using again?

\_\_\_\_\_  
\_\_\_\_\_

"Triggers" are events, feelings, people, places or things that cause someone to justify using again. Are you aware of your triggers to use alcohol and/or other drugs?  YES  NO

If yes, please list: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

What are some coping tools you have used in the past to avoid using?

\_\_\_\_\_  
\_\_\_\_\_

**Severity Rating – Dimension 5 (Relapse, Continued Use, or Continued Problem Potential)**

*Please Check one of the following levels of severity*

| <input type="checkbox"/> <b>0: None</b>   | <input type="checkbox"/> <b>1: Mild</b>  | <input type="checkbox"/> <b>2: Moderate</b>   | <input type="checkbox"/> <b>3: Significant</b>  | <input type="checkbox"/> <b>4: Severe</b>  |
|---|--|---|---|--|
| Low or no potential for further substance use problems or has low relapse potential. Good coping skills in place. | Minimal relapse potential. Some risk, but fair coping and relapse prevention skills. | Impaired recognition and understanding of substance use relapse issues. Able to self-manage with prompting. | Little recognition and understanding of relapse issues, poor skills to cope with relapse. | Repeated treatment episodes have had little positive effect on functioning. No coping skills for relapse/addiction problems. Substance use/behavior places self/others in imminent danger. |

**Comments:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Client Name: \_\_\_\_\_

Client ID #: \_\_\_\_\_

**ASAM Dimension 6: Recovery Environment**

Are you homeless or at risk?  YES  NO Living Situation: \_\_\_\_\_

Are you currently employed?  YES  NO

Vocational/Educational Achievements (Highest grade level completed, any training or technical education, etc.):  
\_\_\_\_\_

Do you have friends and/or family that are supportive of you seeking treatment for problems related to substance use?

YES  NO If yes, describe: \_\_\_\_\_

Do you have friends and/or family that might interfere with your treatment for problems related to substance use?

YES  NO If yes, describe: \_\_\_\_\_

PO Contact Name & Phone Number: \_\_\_\_\_

Pending court date(s)?  YES  NO If yes, reason(s) and date(s): \_\_\_\_\_

Are there any transportation, childcare, housing or employment issues that could interfere with your treatment for problems related to substance use?  YES  NO

If yes, describe:  
\_\_\_\_\_

**Severity Rating – Dimension 6 (Recovery Environment)**

**COUNSELOR: Please Check one of the following levels of severity**

| <input type="checkbox"/> 0: None                           | <input type="checkbox"/> 1: Mild   | <input type="checkbox"/> 2: Moderate   | <input type="checkbox"/> 3: Significant  | <input type="checkbox"/> 4: Severe  |
|--|--|--|--|---|
| Supportive environment and/or able to cope in environment. | Passive/disinterested social support, but not too distracted by this situation and still able to cope. | Unsupportive environment, but able to cope with clinical structure most of the time. | Unsupportive environment and the client has difficulty coping, even with clinical structure. | Environment toxic/hostile to recovery (i.e. many drug-using friends, or drugs are readily available in the home environment, or there are chronic lifestyle problems). Unable to cope with the negative effects of this environment on recovery (i.e. environment may pose a threat to recovery). |

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Client Name: \_\_\_\_\_

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| Optional Risk Rating Summary |             |
|------------------------------|-------------|
| Dimension                    | Risk Rating |
| 1 (page 3)                   |             |
| 2 (page 3)                   |             |
| 3 (page 4)                   |             |
| 4 (page 5)                   |             |
| 5 (page 6)                   |             |
| 6 (page 7)                   |             |

**Level of Care Determination Instructions**

After completing the screening (and determining the risk ratings) in each of the six dimensions, review the "Levels of Care" document which describes the typical risk ratings associated with each level of care and can help guide your level of care recommendation.

Once the recommended level of care is determined, document it in the space below. Also document the level of care to be provided. If there is a discrepancy between the two, document the reason(s) for the discrepancy in the spaces provided.

If the screening results indicate a level of care different than the one your program provides, complete the "Designated Treatment Provider Name/Location" field with the information from the program you will be linking the client to.

DMC-ODS regulations require that a "Licensed Practitioner of the Healing Arts" (LPHA)\* make level of care determinations. In the event an LPHA does not conduct the screening (and an AOD/SUD Counselor does), the Counselor and LPHA must have a face-to-face review of the information, and the LPHA must co-sign the form, indicating their agreement with the level of care determination.

**Recommended Level of Care:** Enter the ASAM Level of Care that offers the most appropriate treatment setting given client's current severity and functioning: \_\_\_\_\_

**Actual Level of Care:** If a level of care other than the recommended is provided, enter the next appropriate level of care: \_\_\_\_\_

**Reason for Discrepancy:** Check off the reason for discrepancy between level of care determination and level of care provided, and document the reason(s) why:

- Not applicable
- Service not available
- Provider judgment
- Client preference
- Transportation
- Accessibility
- Financial
- Preferred to wait
- Language/Cultural Factors
- Environment
- Mental Health
- Physical Health
- Court/Probation Ordered
- Other: \_\_\_\_\_

**Explanation of Discrepancy:**  
\_\_\_\_\_  
\_\_\_\_\_

**Designated Treatment Provider Name/Location:** \_\_\_\_\_

\_\_\_\_\_  
**Counselor Name** (if applicable)

\_\_\_\_\_  
**Signature** (if applicable)

\_\_\_\_\_  
**Date**

**Provisional Diagnosis**

*All programs must provide a provisional diagnosis*

**Provisional Diagnosis DSM-5 Diagnostic Label(s) & ICD-10 Code(s):** \_\_\_\_\_

**A face-to face interaction between the AOD counselor and the LPHA to verify the determination of medical necessity for the client regarding this intake screening and related forms occurred on:** \_\_\_/\_\_\_/\_\_\_ (if applicable)

\_\_\_\_\_  
**LPHA\* Name**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

\*Licensed Practitioner of the Healing Arts (LPHA) includes: MD, Nurse Practitioners, Physician Assistants, Registered Nurses, Registered Pharmacists, Licensed Clinical Psychologist (LCP), Licensed Clinical Social Worker (LCSW), Licensed Professional Clinical Counselor (LPCC), and Licensed Marriage and Family Therapist (LMFT) and licensed-eligible practitioners working under the supervision of licensed clinicians.