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**Outpatient and Residential Substance Abuse Services Standards and Performance Indicators**

**Framing Statement:**

These standards presume that ALL the services indicated below are documented. Where applicable, the population included is described only once in the indicators; the numerators and denominators follow the indicators. These standards are specific to the category of Outpatient and Residential Substance Abuse (SA) services. See cross-cutting standards for category wide standards and indicators.

Standard	Indicator	Numerator	Denominator	Exclusions	Evidence May Include	Bench- marks	Notes
1. Agency Accountabilities	1.1 Percentage of agencies that document compliance with all requirements of certifying bodies.	Number of agencies that document compliance with all requirements of certifying bodies within the measurement year.	Number of agencies providing RW residential and outpatient substance abuse services within the measurement year.	None	<ul style="list-style-type: none"> <li>Review of policies and procedures indicates compliance</li> <li>Summary document/report of last accreditation visit</li> </ul>		
	1.2 Percentage of agencies providing RW residential and outpatient substance abuse services with specific licensure for substance abuse treatment as indicated on certificate of licensure.	Number of agencies with specific licensure for substance abuse treatment within the measurement year.	Number of agencies providing RW residential and outpatient substance abuse services within the measurement year.	None	Certificate of Licensure: -Current DASA license A for community-based agencies		

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	1.3 Percentage of agencies providing RW residential substance abuse services demonstrating adherence to HAB residential requirements, including detox requirements for separately licensed residential programs. <i>(Residential Only)</i>	Number of agencies demonstrating adherence to HAB residential requirements for separately licensed programs within the measurement year.	Number of agencies providing RW residential substance abuse services within the measurement year.	Non-residential facilities	<ul style="list-style-type: none"> <li>Review of policies and procedures</li> <li>Current license for residential facility/program</li> </ul>		
2. Initial Evaluation <b>*ASAM Patient Placement Criteria:</b> 1) Acute intoxication and/or withdrawal potential 2) Biomedical conditions and complications 3) Emotional, behavioral or cognitive conditions and complications 4) Readiness to change	2.1 Percentage of HIV positive patients in substance abuse programs who are screened and assessed upon admission according to ASAM Patient Placement Criteria and other Assessment Criteria*.	Number patients who have been screened upon admission according to ASAM Patient Placement Criteria and other Assessment Criteria* within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	<p>Patients not admitted for substance abuse services</p> <p>Patients admitted to Level 0.5 Early Intervention</p>	Patient Chart Review		

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5) Relapse/continued use, continued problem potential 6) Recovery environment <b>*Assessment Also Includes:</b> 1) Current medications and allergies 2) High risk behaviors including IVDU and unprotected sexual behaviors 3) Current substance use/abuse patterns 4) History of prior treatment for substance abuse and abuse pattern 5) History of trauma, including physical and/or sexual abuse 6) Current home and/or living environment 7) Other addictive behaviors, e.g. compulsive gambling 8) Community engagement 9) Family involvement 10) Spiritual	<b>2.2</b> Percentage of HIV positive patients in substance abuse programs who have an Axis I and multi-axial diagnosis confirmed by a professional licensed to provide services and render diagnosis.	Number of patients admitted who have an Axis I/multi-axial diagnosis confirmed by a professional licensed to provide services and render diagnosis within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services Patients admitted to Level 0.5 Early Intervention	Patient Chart Review		
	<b>2.3</b> Percentage of HIV-positive patients in substance abuse programs whose admission to substance abuse treatment was confirmed.	Number of patients whose admission to substance abuse treatment was confirmed within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services. Patients admitted to Level 0.5 Early Intervention	Patient Chart Review		

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assessment	2.4 Percentage of patients identified as HIV-positive at admission into RW substance abuse program who receive assessment of medical status, TB testing, and documentation of HIV/AIDS status.	Number of patients admitted who received assessment of medical status, TB testing and documentation of HIV/AIDS status per DASA 2060 guidelines within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services  Patients admitted to Level 0.5 Early Intervention	Patient Chart Review  Note: Must also review additional chart for HIV documentation per DASA 2060 guidelines and/or look for "chronic medical condition"		Note: HIV documentation must be in separate chart per DASA 2060 4.13 guidelines
	2.5 Percentage of residential substance abuse services patients admitted with HIV infection who have had a comprehensive medical history and physical.	Number of patients admitted who have a comprehensive medical history and physical within the measurement year.	Number of patients admitted who have had a residential stay within the measurement year.	Patients not admitted for residential substance abuse services  Patients transferred from another level of care	Patient Chart Review		
3. Treatment Plan	3.1 Percentage of substance abuse services patients admitted with HIV infections who have an initial treatment plan developed by a professional within 5 days from date of admission.	Number of patients admitted who have an initial treatment plan developed by a professional within 5 days from date of admission within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services within the measurement year	Patient Chart Review		

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	3.2 Percentage of substance abuse services patients admitted with HIV infections who have an initial treatment plan that contains goals, objectives, methods, and timetable.	Number of patients admitted who have an initial treatment plan that contains goals, objectives, methods and timetable within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services	Patient Chart Review—Initial Treatment or Service Plan is documented in patient file.		
	3.3 Percentage of substance abuse services patients with HIV infection admitted to treatment who have an initial treatment plan signed by the patient and professional staff and confirmed and dated by the Medical Director.	Number of patients admitted to treatments who have an initial treatment plan signed by the patient and professional staff and confirmed and dated by the Medical Director within the measurement year.	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services.  Patients admitted to Level 0.5 Early Intervention	Patient Chart Review <ul style="list-style-type: none"> <li>Confirmation and dated signatures appear on the initial plan in patient file.</li> </ul> Note: Patient must date his/her own signature.		

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<p>4. Service Plan Updates/Continued Stay Reviews</p> <p><b>*Reassessment Includes:</b></p> <ol style="list-style-type: none"> <li>1) Readiness to change</li> <li>2) Screening</li> <li>3) Safety</li> <li>4) New trauma and/or mental and physical health changes or improvements</li> </ol>	<p>4.1 Percentage of substance abuse services patients admitted with HIV infection who have ongoing reassessment* ("continued stay review") tied to a level of care within three (3) months of initial intake and every six (6) months thereafter.</p>	<p>Number patients admitted who have ongoing reassessment* ("continued stay review") tied to a level of care within three (3) months of initial intake and every six (6) months thereafter within the measurement year.</p>	<p>Number of patients admitted who have had a substance abuse visit within the measurement year.</p>	<p>Patients not admitted for substance abuse services</p>	<p>Patient Chart Review</p> <p>Documentation of disposition at discharge from level of care (e.g. Completed treatment, Discharged against medical advice, Patient rejects continued treatment, etc.)</p>		

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<p>5. Service Plan: Group</p> <p>All time-limited groups closed to new members receiving RW funding will have a service plan developed or updated annually.</p> <p><b>*Group Service Plan</b> is defined as a statement of group goals and related activities, including measurable objectives, realistic program plan linked to identified group member needs, and timeframes. <i>(Outpatient Only)</i></p>	<p>5.1 Percentage of substance abuse services support group programs with a sufficiently identified group service plan* updated within the measurement year.</p>	<p>Number of group programs with a sufficiently identified group service plan updated at least once within the measurement year.</p>	<p>Number of group programs receiving RW funding within the measurement year.</p>	<p>Substance abuse service providers and patients not participating in group services</p> <p>Open-ended, ongoing groups with fluid membership</p>	<p>Policies and procedures regarding group services</p> <p>Patient Chart Review</p>		
<p>6. Patient Education</p>	<p>6.1 Percentage of substance abuse services patients admitted with HIV infection who have received education regarding:</p> <ul style="list-style-type: none"> <li>•HIV/AIDS (living positive)</li> <li>•Hepatitis</li> <li>•Risk and harm reduction counseling</li> <li>•Other substances, including tobacco cessation programs</li> </ul>	<p>Number of patients who have received education regarding:</p> <ul style="list-style-type: none"> <li>•HIV/AIDS (living positive)</li> <li>•Hepatitis</li> <li>•Risk and harm reduction counseling</li> <li>•Other substances, including tobacco cessation programs</li> </ul> <p>within the measurement year.</p>	<p>Number of patients admitted who have had a substance abuse visit within the measurement year.</p>	<p>Patients not admitted for substance abuse services</p>	<p>Patient chart review, program attendance logs, or group notes</p>		

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<p><b>*Ready access can be defined as:</b></p> <ul style="list-style-type: none"> <li>1) Unbiased, factual printed materials available on-site for distribution to patients</li> <li>2) Informational website or collection of websites with resources reasonably accessible to patient</li> </ul>	<p>cessation programs</p>						

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<p>population in private setting (e.g. internet access frequency and location, internet speed, etc.)                      3) Regular contact with third party resource provider (e.g. other service provider, education and training center, health department, etc.)                      Resources must be free or low cost and available to patient in private environment and in a language the patient can understand.</p>	<p>6.2 Percentage of substance abuse treatment services agencies with providers who have ready access* to relevant and appropriate health education and risk reduction material for dissemination to patients.</p>	<p>Number of agency programs using evidence-based HIV/AIDS/STD/Hepatitis/TB curriculum within the measurement year.</p>	<p>Number of agencies that offer educational services within the measurement year.</p>	<p>None</p>	<ul style="list-style-type: none"> <li>• Review of educational materials, distribution methods, and funding sources for materials</li> <li>• Attendance logs</li> <li>• Group notes</li> <li>• Topical program outlines/curricula</li> </ul>		

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7. Documentation (General) <b>*Each progress note includes:</b> 1) Type and service delivered; 2) Location of service delivery; 3) Time and duration of each service delivered; 4) Name and credentials of clinician who provided the service (or co-signed by qualified supervisor) and signed and dated by individual making the entry.	7.1 Percentage of HIV-positive substance abuse services patients admitted to treatment whose documentation of service delivery is complete*.	Number of patients admitted whose documentation of service delivery is complete* within the measurement year	Number of patients admitted who have had a substance abuse visit within the measurement year.	Patients not admitted for substance abuse services	Patient Chart Review  Review of group membership, attendance records, logs, progress notes, etc.		If same agency is providing mental health and SA services, it should have either (1) a collaborative treatment plan OR (2) documentation of awareness and coordination of the combined or shared plans.
8. Referrals and Coordinated Continuum of Care	8.1 Percentage of HIV-positive substance abuse treatment services patients diagnosed with Hepatitis B and/or C who are provided alcohol education and counseling.	Number of patients diagnosed with Hepatitis B and/or C who are provided alcohol education and counseling within the measurement year.	Number of patients admitted diagnosed with Hepatitis B and/or C within the measurement year.	Patients not admitted for substance abuse services	Patient Chart Review		

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	<p><b>8.2</b> Percentage of HIV-positive substance abuse treatment services patients with co-existing mental health and/or medical case management services whose services are coordinated with case conferencing programs at least once per year.</p>	<p>Number of patients with co-existing mental health and/or medical case management services whose services are coordinated with case conferencing programs at least once within the measurement year.</p>	<p>Number patients with co-existing mental health or medical case management services within the measurement year.</p>		<ul style="list-style-type: none"> <li>• Patient Chart Review</li> <li>• Case conference notes</li> </ul>		
	<p><b>8.3</b> Percentage of HIV-positive substance abuse services patients with coordinated services between primary and behavioral health care.</p>	<p>a) Number of patients with appointments with a primary care provider within the measurement year. b) Number of patients with a primary care provider who has documented releases of information between primary care provider, behavioral health provider, and substance abuse treatment agency within the measurement year.</p>	<p>a &amp; b) Number of HIV-positive substance abuse services patients within the measurement year</p>		<ul style="list-style-type: none"> <li>• Patient Chart Review</li> <li>• Case conference notes</li> </ul>		

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9. Discharge/Transfer Summary <b>*Discharge/transfer summary</b> (aftercare plan) must reflect accomplishments, objectives and goal including: 1) Reason for discharge; 2) Progress of the patient relative to each goal and objective in the treatment plan; 3) Prognostic statement; 4) Continuing recovery plan and recommendations including level of care.	<b>9.1</b> Percentage of HIV-positive substance abuse services patients discharged from substance abuse services who have discharge/transfer summary* on file.	Number of patients discharged from substance abuse services with a documented discharge summary on file within the measurement year.	Number of patients discharged from substance abuse services within the measurement year.	Patients not terminated, or transferred, or discharged from substance use services.	Patient Chart Review  Discharge summary on file describes discharge or transfer date, reason for discharge, and goals met on ASAM criteria (see Performance Measure 2).		
	<b>9.2</b> Percentage of HIV-positive substance abuse services patients with referral releases in place.	Number of patients with referral releases in place within the measurement year.	Number of patients discharged from substance abuse services within the measurement year.	Number of patients discharged from substance abuse services within the measurement year.	Patients not terminated, or transferred, or discharged from substance use services.	Patient Chart Review— Discharge summary	

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	9.3 Percentage of HIV positive substance abuse services patients with appointment(s) made at referral agencies at time of discharge.	Number of patients with appointment(s) made at referral agencies at time of discharge within the measurement year.	Number of patients discharged from substance abuse services within the measurement year.	Patients not terminated, or transferred, or discharged from substance use services.	<ul style="list-style-type: none"> <li>• Patient Chart Review</li> <li>• Referral Tracking System</li> </ul>		

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