The ASAM Criteria

Maintaining Fidelity to Evidence-Based Criteria

ASAM Annual Conference, Orlando, Florida
April, 2019

ASAM American Society of Addiction Medicine

AN OVERVIEW OF ASAM'S EFFORTS TO SUPPORT FIDELITY TO THE ASAM CRITERIA

ASAM American Society of Addiction Medicine

Maintaining Fidelity to Evidence-Based Criteria
April 4th, 2019
Disclosure Information

Paul H. Earley, MD, DFASAM

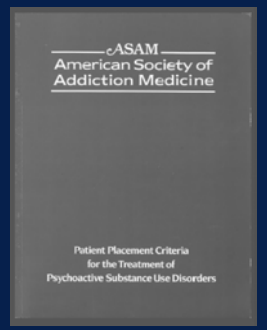
Georgia Professionals Health Program, Inc. – Salary – President

Earley Consultancy, LLC – Consulting Fee – Training and Education

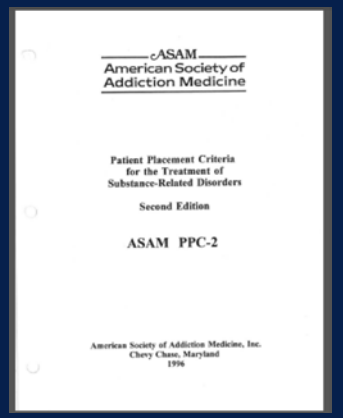
DynamiCare, Inc. – Salary – VP of Medical Affairs

Evolution of the ASAM Criteria

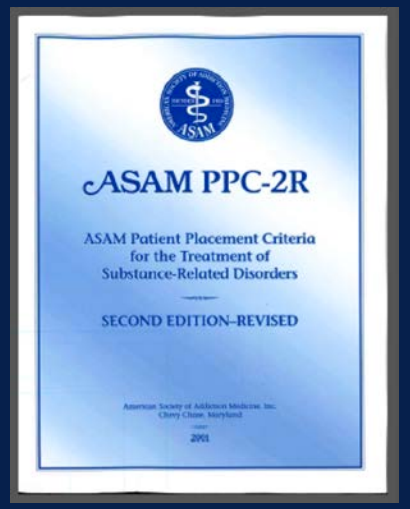
1991



1996



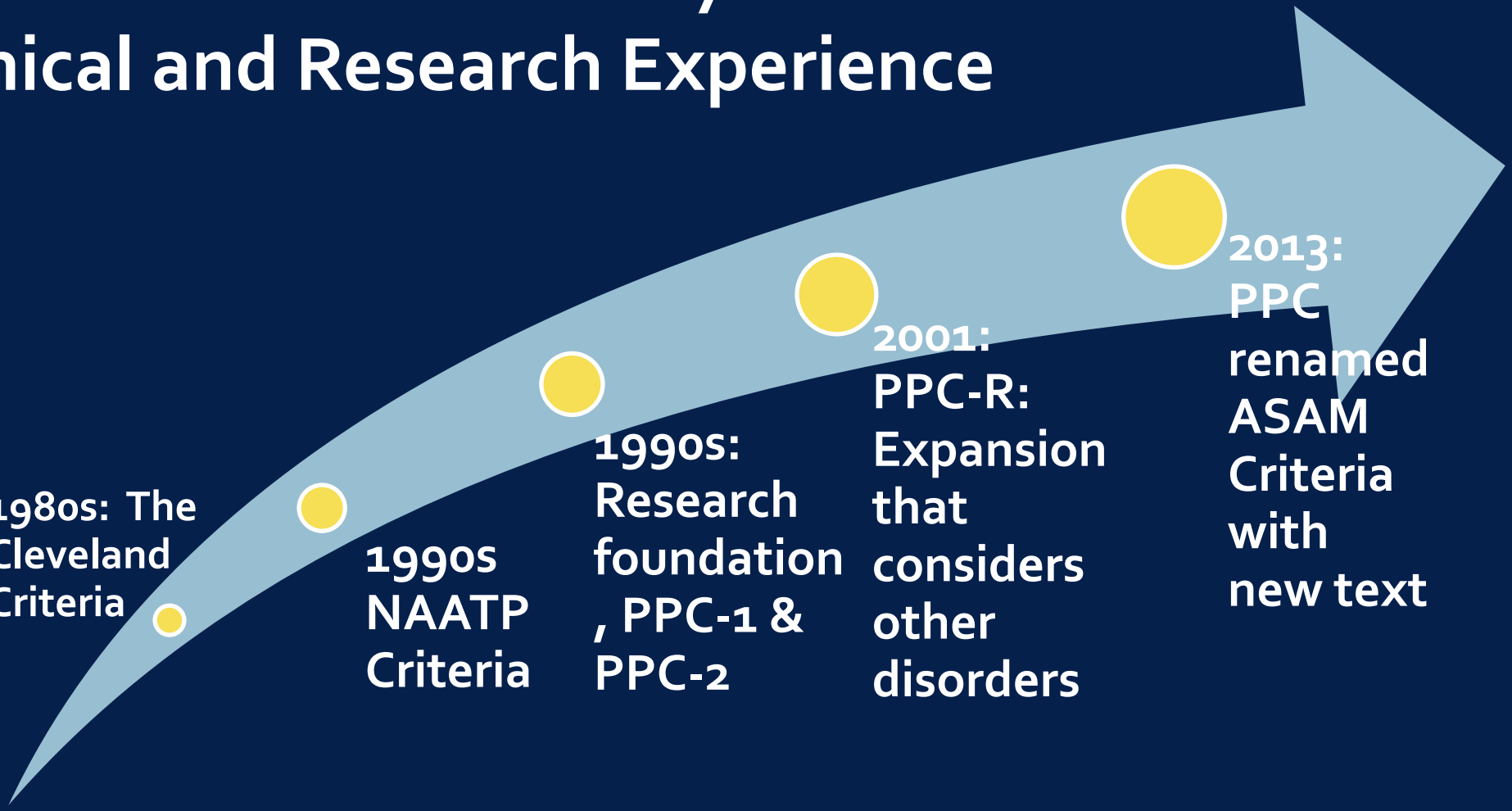
2001



2013

For the least intensive & restrictive care
that meets the patient's multi-dimensional needs
for optimal treatment outcome

The ASAM Criteria: Forty Years of Clinical and Research Experience



PPC is the Patient Placement Criteria

The ASAM Criteria
Forty Years of Clinical and Research Experience

- 1999 – Initial computerization and research at MGH/Harvard
- 2000-2005 – Additional treatment matching studies using the computerized version of the PPC
- 2000 - First Commercial Version of the PPC built with assistance from a NIAAA SBIR Grant.
- 2003 - Research in Belgium and Norway begins, validating the product internationally.
- 2004 -ASAM assumes ownership of the software product

The ASAM Criteria — wide adoption & validation

1991

1996

2001

2013

Core products

Implementation products

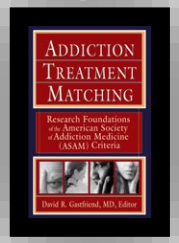
1994

ASAM Question Set

1999

ASAM PPC Software

2003

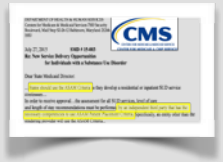


Research Validation

2006

Broad adoption 30+ states req.

2015



CMS waiver Call for Standardization

2016

ontinuum

THE ASAM CRITERIA DECISION ENGINE

2016

Med. necessity criteria 45,000,000+ members

2017

triage™

2018 (Nov.)

CMS waiver expansion Call for implementation 10+ states interested

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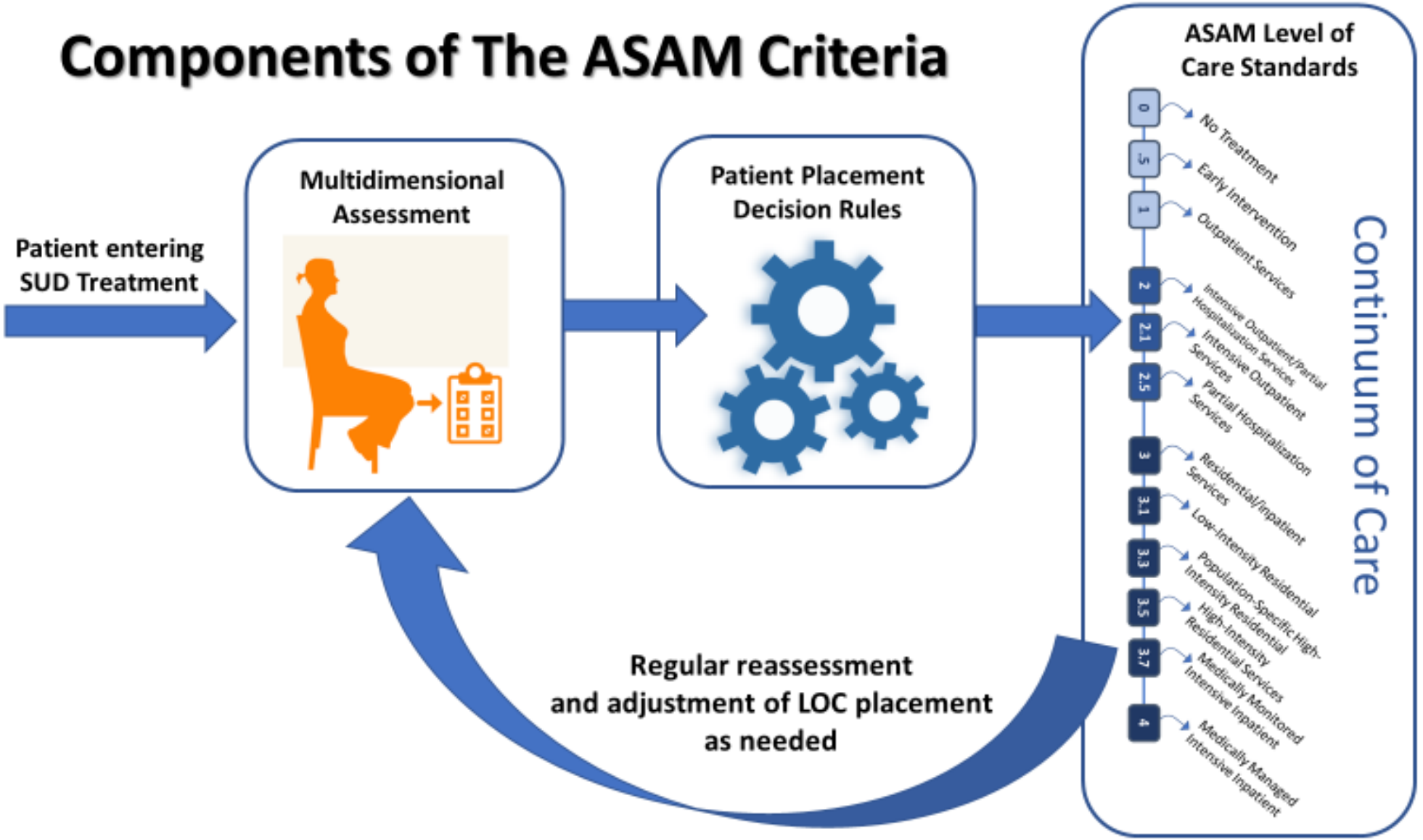
Components of The ASAM Criteria



Level of Care Certification
Training
The ASAM Criteria
Continuum
Permissions & Fair use

Level of Care Certification

- Validating & Improving Treatment Services
  - Launches Summer 2019
  - Delivered in partnership with CARF International
  - Will the be first program of its kind to independently assess and verify treatment programs' ability to deliver services with fidelity to *The ASAM Criteria*
  - CARF personnel will conduct in-person program surveys to verify the presence of ratable elements sufficient to satisfy the proprietary scoring methodology

Level of Care Certification
(continued)

- Validating & Improving Treatment Services
  - Will initially cover residential programs at Levels 3.1, 3.5, and 3.7 of *The ASAM Criteria*
  - Unlike accreditation, Level of Care certification will differentiate between the many Levels of Care available for addiction treatment
  - All certified programs will be listed in a searchable online database
  - Patients and payors will be able to find programs equipped to deliver evidence-based treatment
  - Treatment programs will receive recognition for their commitment to helping patients

ASAM Criteria Training

- Launches Summer 2019
- Comprehensive suite of competency-based learning activities
- Will help multiple audiences ensure appropriate use of *The ASAM Criteria by* treatment practitioners and systems across the United States

Copyright and Permissions

- *Integrity Protection*
  - *The ASAM Criteria* is playing a critical role in national efforts to advance treatment standards for addiction care
  - ASAM has to ensure integrity and prevent misunderstanding misuse of *The ASAM Criteria* by some treatment providers and payers
  - Beginning this spring, *The ASAM Criteria* copyright and permissions process will be updated to include agreements that will enable parties to publicly reference their use of *The ASAM Criteria*
  - Agreements with States and other public entities will be free
  - Fees for providers will be modest, enough to cover the costs associated with ensuring reliable and consistent representation of the use of *The ASAM Criteria*

ASAM/CARF LEVEL OF CARE CERTIFICATION PROGRAM

ASAM American Society of Addiction Medicine

ASAM/CARF LoC Certification Program
April 4, 2019
Disclosure Information

Michael Johnson, M.A., C.A.P.

No Disclosures

Why Certification?

- *The ASAM Criteria* is nation's most widely used and comprehensive set of guidelines for addiction treatment, but there is currently no verification of its implementation.
- Accurately differentiate between levels of care to help patients and payors alike.
- Highlight treatment programs that have evidence-based policies and procedures.

Regulatory and Industry Alignment and Support

- H.R. 6 – SUPPORT for Patients and Communities Act
- Section 1115 SUD waiver
- 30+ states require *The ASAM Criteria* in rules/regulations
- 50 million+ Americans covered by insurers utilizing *The ASAM Criteria*

Certification, Licensing & Accreditation

What's the Difference?

Accreditation

- Earned by an entire organization, program or agency
- Assessment to determine if the organization's processes and procedures are directed to producing positive outcomes in the lives of the persons served
- Granted by a non-governmental outside organization for a time-limited period

Voluntary or Involuntary?
Can be voluntary or mandated

Licensing

- Mandatory process by state government primarily for public safety and well-being of consumers.
- Process of review allows individuals, facilities, programs, organizations or agencies to meet a minimal level of competency
- Granted by state governmental agencies for a time-limited period

Voluntary or Involuntary?
Involuntary

Certification

- Earned by an individual or program to demonstrate the capability to deliver a specialized service or Level of Care
- Process to ensure that an individual or program has met certain requirements to provide services
- Granted by a non-governmental outside organization or professional organization for a time-limited period

Voluntary or Involuntary?
Typically voluntary

** sometimes regulatory bodies require certification to provide specific services*

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Assessing ASAM Level of Care Delivery

SERVICE CHARACTERISTIC CATEGORIES

In *The ASAM Criteria*, the following categories of service characteristics will deliver example and appropriate information for each withdrawal management level of care:

Examples of Service Delivery and Settings

Support Systems

Staff

Therapies

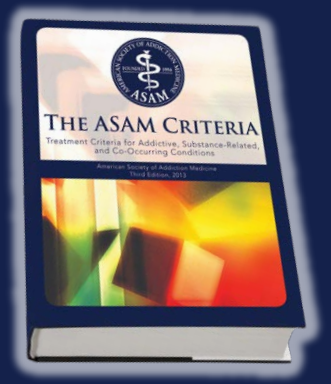
Assessment/Treatment Plan Review

Documentation

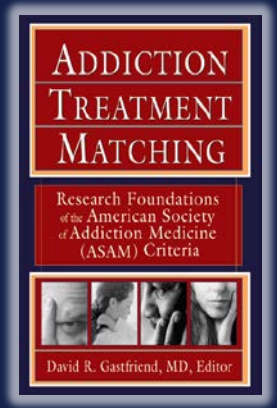
ASAM Criteria LoC Certification Milestones

- Final draft certification elements completed – Nov 2018
- Initial Pilot of certification elements – Feb 2019
- Phase II pilots – Anticipated in June-July 2019
- Roll Out Late Summer 2019

THE ASAM CONTINUUM® STANDARD



ASAM CONTINUUM®
THE ASAM CRITERIA DECISION ENGINE



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Maintaining Fidelity to Evidence-Based Criteria
April 4th, 2019

Disclosure Information

David Gastfriend, MD, DFASAM
Chief Architect, ASAM CONTINUUM – The ASAM Criteria Decision Engine®
Chief Medical Officer, DynamiCare Health™
Scientific Advisor – Treatment Research Institute

Consultant and/or other disclosures:
ASAM (Royalty), Alkermes Inc. (Shareholder), BioCorRx (Advisor)
DynamiCare Health (Employee, Shareholder)

Making Budgets Go Further & Outcomes Better

ASAM CONTINUUM®:
(compared to usual assessment/placement)

- 25% - 300% reductions in no shows to next stage of treatment
- 30% reduction in dropout from treatment
- 3X improvement in addiction severity outcomes at 3 months
- 25% increase in numbers of patients ready for stepdown

Leading to…

- Increased patient flow & revenues
- Decreased staffing demands for incomplete intakes & UR delays

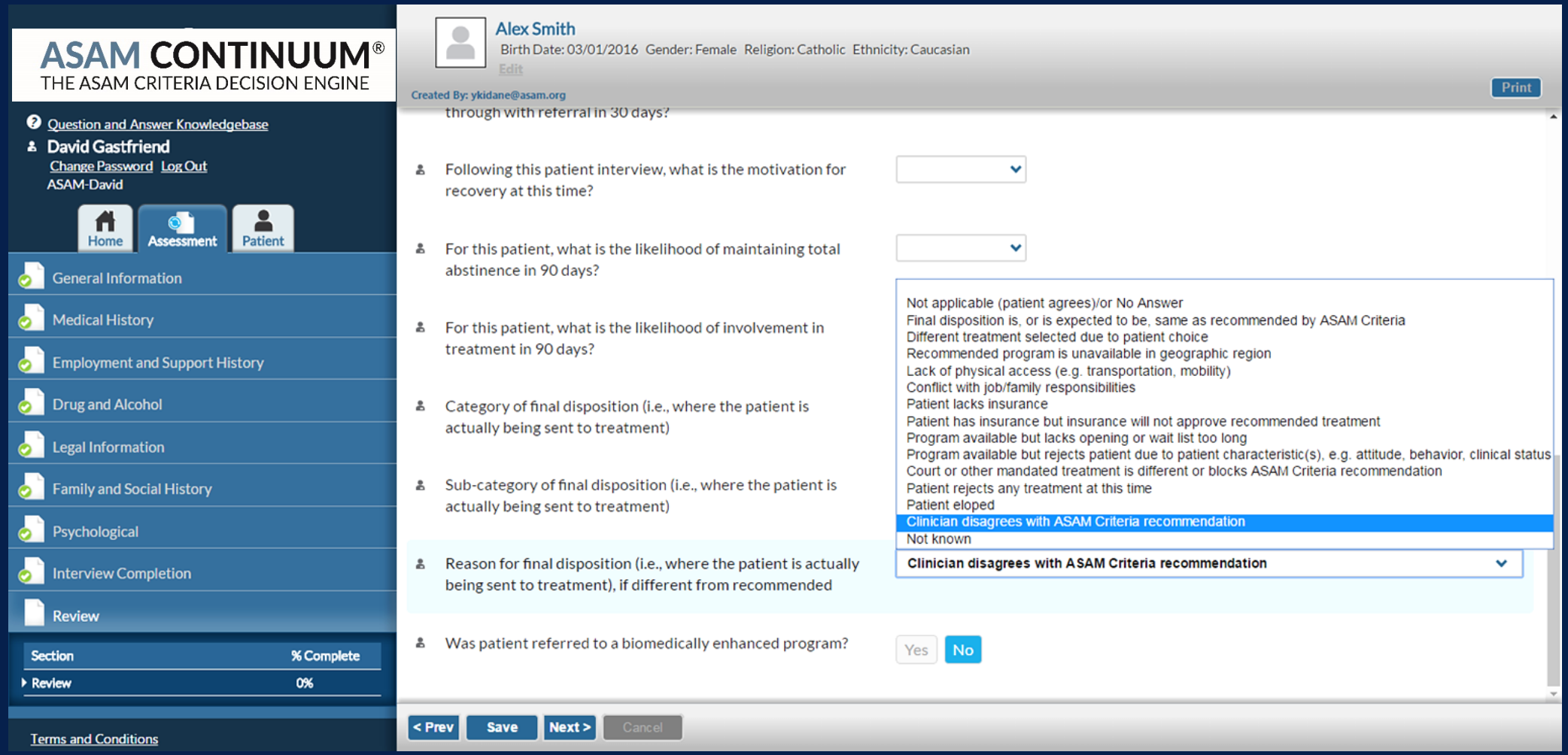
ASAM CONTINUUM® Research Validation

- The ASAM Criteria Software decision rules show ***face validity***
- Technology: good ***reliability*** *(.77 ICC)* & ***feasibility*** *(60 min mean duration)*
- Comparison to other instruments shows good ***concurrent validity***
- ***Predictive validity*** overall & with heroin, cocaine & comorbidity
- Valid for undermatching, AND for *overmatching (2 studies)*
- Predictive validity:
  - in multiple cultures/systems: public/VA; MA/NYC; Belgium/Norway
  - at multiple time-frames: immediate, 30-d, 90-d & 1-year
  - with multiple outcomes: no-show, global improvement, substance use, step-down readiness, rehospitalization

ASAM CONTINUUM® User Interface

Left side:
Navigation panel

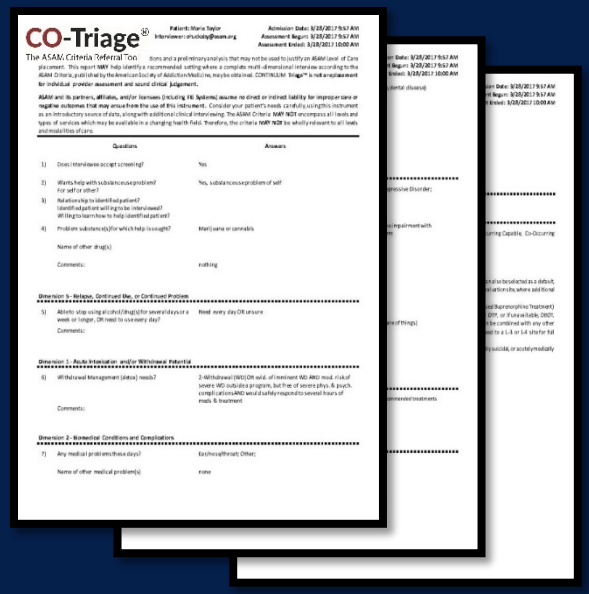
Right side:
Interview panel



ASAM CO-Triage®: Provisional Assessment

For *provisional* SUD referral, in conjunction with clinical judgement

- Guided by LA DPH SAPC: ~20 Questions, based on CONTINUUM
- Quickly direct patients to ASAM Level(s)
- In-person OR by phone – 10 min.
- Engage & improve follow-thru to care
- Report conveys patient's needs to referrals
- Data imports into CONTINUUM™ for Comprehensive Evaluation
- Successful adoption throughout Massachusetts & LA County



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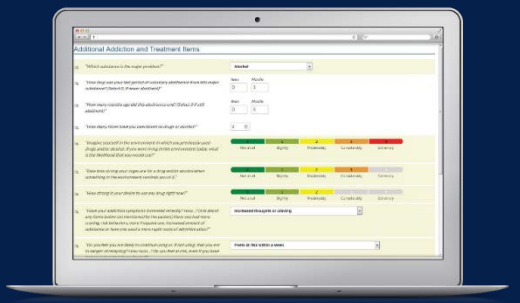
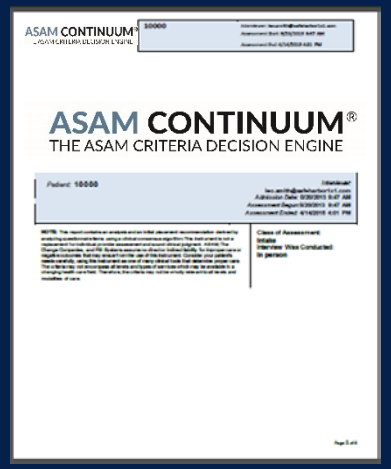
ASAM CONTINUUM®: Comprehensive Assessment

- Substance Use Disorders: DSM-5 Diagnoses & Criteria
- CIWA-Ar & CINA withdrawal scores (alcohol/BZs, opioids)
- Addiction Severity Index (ASI) Composite Scores
- Imminent Risk Considerations
- Access & Support Needs/Capabilities
- ASAM Level of Care recommendations
  - All adult admission levels and sub-levels
  - Including Withdrawal Management
  - Including Biomedically Enhanced Sub-level
  - Including Co-occurring Capable, Enhanced Sub-levels



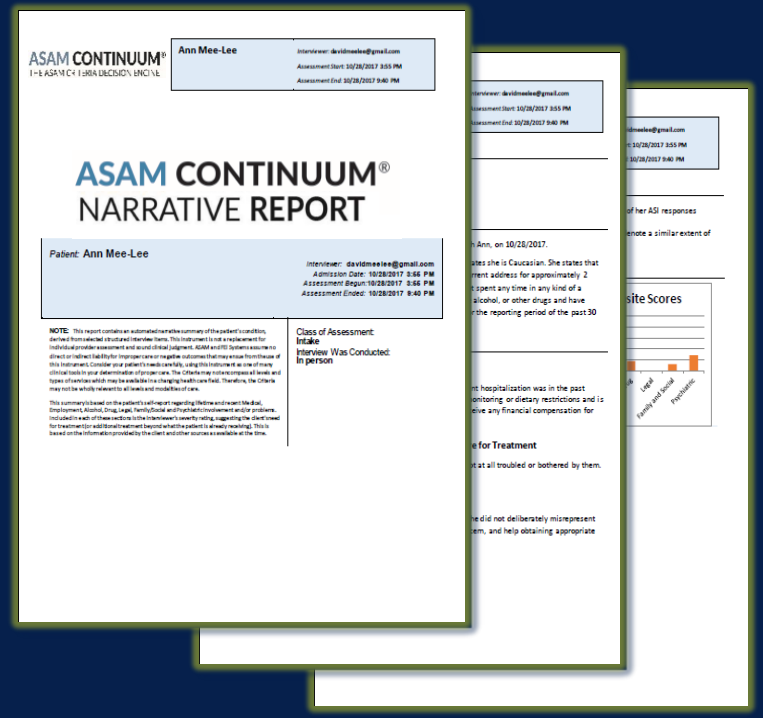


ASAM CONTINUUM®: Design & Operation

- Counselor-ready expert structured interview
- Implements every adult admission decision rule in ASAM 2013
- Clinically oriented: Highly branched, i.e., individualized
- Uses open- & closed-ended questioning
- Patient-centric questioning: allows skips, per patient need
- Operationalizes complex phenomena:
  craving, motivation, trajectory
- Guides assessment of
  relationship abuse, psych Sxs, suicidality
- Allows for “gray-zone” recommendations
- Allows clinician to disagree

ASAM CONTINUUM®: Summary Report

- DSM-5 SUDs Diagnoses & Criteria
- Withdrawal Scores:
  CIWA-Ar & CINA (EtOH/BZs, opioids)
- Addiction Severity Index (ASI) Composite Scores
- Risks, Access, & Support Needs/Capabilities
- ASAM Dimensional Admission Criteria
- ASAM Level of Care recommendations
  - All adult admission levels & sub-levels
  - Including WM, BIO, COC, COE
- May provide more than 1 final LoC
  - Use least intensive LoC that meets patient needs

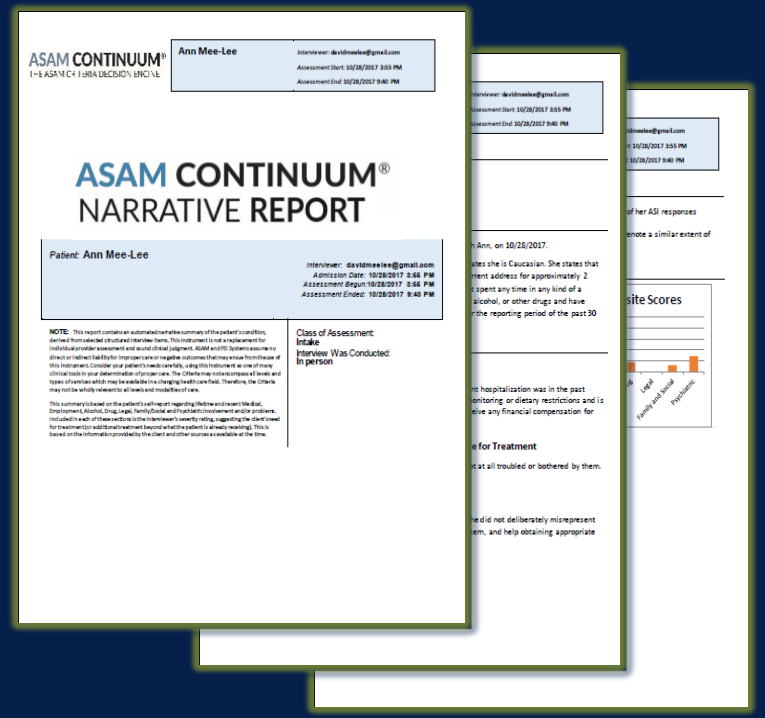


ASAM CONTINUUM®: Biopsychosocial Narrative Report

- Multi-page final report, chart-ready, & for transmittal to referral sites
- Automatically available upon interview completion

<u>Includes</u>:

- Identifying & General Information
- Medical, Employment, Alcohol/Drug, Family/Social, & Psychiatric Sections
- Patient Perception Ratings Graphic
- Addiction Severity Index Scores
- Detailed Problem List of ASAM Dimensions 1-6



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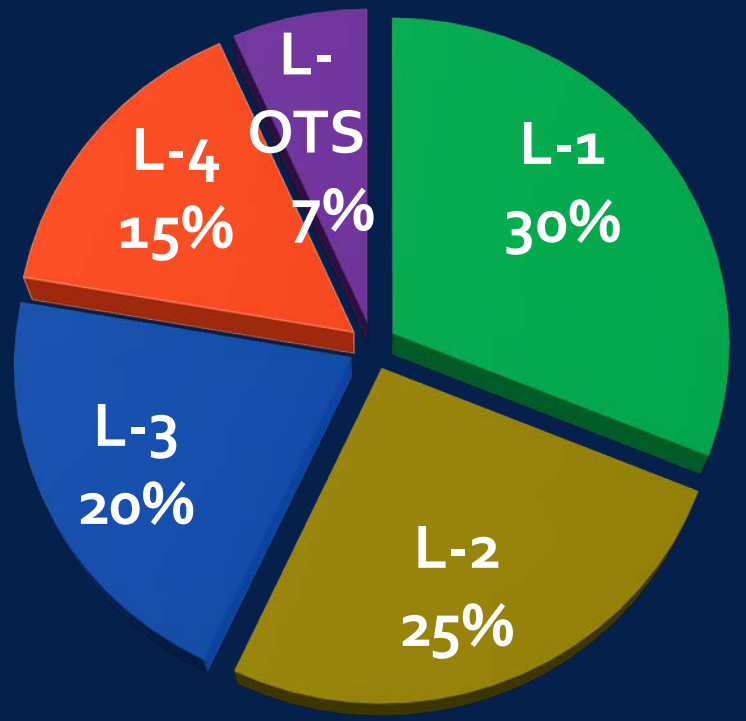
ASAM's National Clinical Database

- >50,000 assessments; ~4,000 added each month
- >92% of completed cases generate a Level of Care recommendation
- LoC Distribution: 1 > 2 > 3 > 4 > OTS
- Reasons for Discrepant Placement :
  - 25% Patient Choice
  - 22% Clinician Disagrees
  - 10% Other (insurance, access, etc.)
  - 4% Mandated (Justice System)



Implications & Opportunities

- ✓ Opioid Epidemic Ready:
  Indicates need for Opioid Treatment Services
- ✓ Parity-Ready: Publicly available medical necessity criteria
- ✓ ACA Ready: For ACO, Health Home & population health
- ✓ CMS 1115 Waiver Ready: Facilitates 3rd party UR review
- ✓ STR/SOR Ready: Facilitates required outcome data reporting
- ☐ NEXT…Longitudinal behavioral monitoring
  …Needs assessment
  …Instant prior authorization & UM
  …Alternative payment models: outcomes-based, P4P
  …Criminal Justice Version: in the works

ASAM CONTINUUM®: Research Citations

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3. Gastfriend DR. Addiction Treatment Matching: Research Foundations of the American Society of Addiction Medicine (ASAM) Criteria. Binghamton NY: Haworth Medical Press, 2004, pp. 1-170
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9. Stallvik M, Gastfriend DR, Nordahl HM. Matching patients with substance use disorder to optimal level of care with the ASAM Criteria software. Journal of Substance Use, 20:389-98
10. Stallvik M, Nordahl HM (2014). Convergent Validity of the ASAM Criteria in Co-Occurring Disorders. J Dual Diagnosis, 10:68-78

Resources

- Gastfriend@gmail.com
- www.ASAMcontinuum.org
  - Knowledge base
    - Webinars
    - Frequently asked questions
    - Training videos
    - Current list of Authorized CONTINUUM® Distributors
- Email: asamcriteria@asam.org

ASAM CRITERIA: PERMISSIONS AND LICENSING

ASAM American Society of Addiction Medicine

Maintaining Fidelity to Evidence-Based Criteria
April 4th, 2019
Disclosure Information

Margaret Jarvis, MD, DFASAM
Geisinger Health Services – Salary – Chief, Addiction Medicine
US Preventive Health, Inc. – Stockholder

Why license?

- ASAM strongly supports the expanded use of clinical standards of care, including The ASAM Criteria, throughout the addiction treatment system.
- The recent growth in use of *The ASAM Criteria* (often pursuant to regulatory requirements) has sparked concerns from patients, families, providers and payers about whether The ASAM Criteria standards are being implemented effectively [across providers and payers] – concerns which require action

Permissions Agreements -: what do they do?

- Restrict the use of The ASAM Criteria brand to those that are mandated to do so, and those that are implementing ASAM endorsed products to support effective implementation of standards (e.g. ASAM CONTINUUM, ASAM Level of Care Certification, ASAM Criteria Training),
- require a disclaimer that makes it clear that the program is not certified as an ASAM level of care or endorsed by or affiliated with ASAM, and
- give ASAM the authority to take away the right to use the ASAM Criteria name and to tell organizations that are mispresenting The ASAM Criteria to cease and desist.

Permissions Agreements –who can get them?

- The following types of providers and care delivery organizations are eligible for permission to publish, cite, or market the use *The ASAM Criteria*:
  - Providers being required to do so by a public entity or payer;
  - Providers using other endorsed ASAM Criteria related products to support effective implementation (e.g. ASAM CONTINUUM or CO-Triage) and
  - Providers that have been certified by CARF as an ASAM Level of Care

Permissions Agreements – who else can market?

- States, health plans and insurers, and other regulators and payers that wish to require the use of *The ASAM Criteria*;
- Managed care entities, third-party vendors, and related entities that are required by the regulator or payer to use The ASAM Criteria in their operations; and
- Publishers or authors who want to reproduce un-modified content from *The ASAM Criteria* (with attribution) in a publication (e.g., book, scholarly journal).

What will the permissions cost?

- Annual Fees set by:
  - Number of patients seen on a randomly selected day (inpatient) or month (outpatient)
  - Multiplied by a dollar amount per patient
- Discounts available for programs that are publicly funded and those that are close to margin
- For "average" program, likely to be about $500 per year.

For more information:

- ASAM Weekly, April 16, 2019

Special Thanks

ASAM American Society of Addiction Medicine

Panel: Question and Answer