

Assessment and Level of Care Authorization (ALOC) form

User Guide

ALOC is a form built into Unicare. Users can find it under UDD.

Overview and instructions regarding section A:

ALOC form was created for the following purposes:

1. To collect data at various points during client's receipt of services and report required metrics to regulatory entities;
2. To facilitate client transitions through levels of care and from provider to provider;
3. To provide authorizations of increased levels of care.

ALOC form is replacing all previously used Brief ASAM Assessment forms, including COC, WTT, AMT LOC, and any other brief assessment forms with 6 dimensions.

SUTS Managed Care Plan (MCP) requires completion of ALOC for following occasions:

1. Seeking initial authorization for residential LOC (**complete part B.1**):
 - a. referral from Call Center,
 - b. increased LOC request from OP,
 - c. referral from pre-auth/assessment sites, including withdrawal management/detox sites, DWC, RRC, Medical Homes, Juvenile Hall, and other QI authorized sites,
 - d. authorization request from residential when client is already there.
2. Seeking authorization for extension of residential treatment (**complete part B.2**);
3. Initial assessment at intake to determine/confirm appropriate LOC, in cases when authorization is not required or already received (**complete part B.3**);
4. Transfer to different provider for services at the same LOC (**complete part B.3**);
5. Routine LOC change that does not require authorization, ex.: residential to OP/IOP; OP to recovery services; Recovery Residence referral (**complete part B.3**);
6. Discharge at the end of continuum of care episode, i.e.: when no follow-up services are required to be arranged (**complete part B.3**).

ALOC can be used as needed for documentation of any additional occasions, such as interval assessment, per program discretion. Such additional ALOC use is optional and can be documented by selecting "other" under the part B.3. Once "other" is selected, state the other reason for completing ALOC in "Specify other" dialogue box.

All data fields are mandatory: Leaving data fields incomplete will make the document invalid, and may result in delay or denial of authorization for services.

Clinical information – 6 dimensions

- These pages contain the minimum clinical data set to complete a brief ASAM-based assessment and to justify LOC determination.
- Each dimension includes some criteria that can include or exclude a client from a specific LOC.
- Comments need to justify/summarize risk ratings and add details on client status. Please do not leave comment boxes empty.

Following the six dimensions, there are four LOC choice dropdown menus. Please complete all four:

1. For 1a, select LOC indicated by ASAM criteria.
2. For 1b, select additional LOC indicated by ASAM criteria, for example:
 - Example 1:
 - i. indicated LOC – 2.1 Intensive Outpatient;
 - ii. additional indicated LOC – 1 Outpatient/ MAT/ NTP;
 - Example 2:
 - i. Indicated LOC – 3.1 Clinically Managed Low Intensity Residential;
 - ii. additional indicated LOC – 3.2 WM Clinically Managed Residential Withdrawal Management.
3. For 2a and 2b select LOC decisions that were reached after taking into consideration client preferences and circumstances.
4. If no additional LOC was indicated, select “none”. Same for Additional Actual LOC decision.
5. Item #4, Reason for difference between indicated LOC and Actual LOC decision, is a mandatory field. It is part of the metrics collected for the statewide waiver evaluation.

Client Short-Term Objectives:

Identify strength-based targets that client is interested in working on now. These targets are to be reviewed and updated with the client each time ALOC is completed. The goal is to facilitate engagement by identifying targets that are achievable and meaningful to the client starting with intake and moving forward.

Counselor signature:

- Print your full name and your certificate/license type and # in the spaces provided.

DO NOT FORGET TO CLICK “SAVE” AT THE BOTTOM OF THE FORM AND EACH TIME WHEN PROMPTED

Submitting ALOC for Authorization:

ALOC needs to be submitted electronically. This is a two-step process:

- 1- Complete and submit ALOC in Unicare.
- 2- Send secure email to QI at SUTSauthorization@hhs.sccgov.org . Include the following information in your email:
 - a. Subject line: initial auth request client initials (do not put PHI in subject line)
 - b. Message content:
 - i. First Last name of the client
 - ii. DOB
 - iii. Unicare#
 - iv. Date ALOC submitted in Unicare
 - v. Any special considerations for placement you want to highlight (these should also be documented in ALOC)

Currently, QI requires notification only for ALOC forms entered to seek residential LOC authorization.

We recommend calling QI oncall at 408-792-5670 to confirm receipt of ALOC if you do not hear back within 24 hours following email notification to sutsauthorization@hhs.sccgov.org .

QI only portion of the form:

QI staff will complete this portion of the form to document the authorization determination for residential LOC, and will notify the requesting provider via email.

Submitting referral to Recovery Residence (RR, formerly known as THU) using ALOC:

Follow current process of RR referral packet and secure-email the packet to RR Placement Coordinator at sutsrr@hhs.sccgov.org or fax to 408-947-8708. ALOC is completed electronically in Unicare.

- Complete part B.3 of the form.
- Select OP provider and appointment date – these fields are mandatory for RR referrals for beneficiaries who are not currently receiving outpatient services.
- In comments box for Dim 2, specify any accommodations needed (ex.: uses walker; can't walk stairs; no top bunk.)
- In comments box for Dim 6, include: Number and age of children going to RR; criminal justice info.: List Pre-Trial PO, Parole Officer's name and number, Judge, etc. – so that RR can send Client Status Report as needed.
- Select Recovery Residence in Section D LOC dropdown 1b and 2b, as appropriate.

Documenting referral/transfer to Recovery Services (RS) using ALOC:

Recovery Services (RS) do not have ASAM LOC designation, but are listed in the LOC dropdowns in section D of ALOC form.