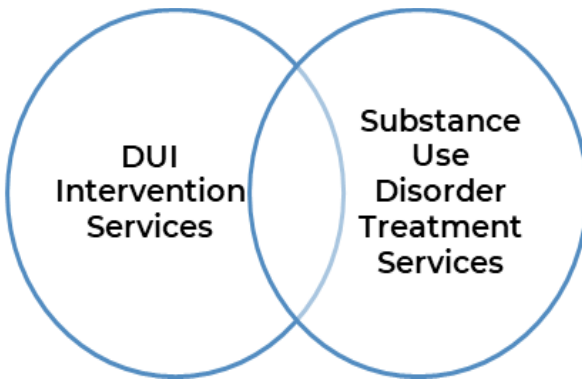


IMPLEMENTATION STANDARDS

The Intersection of Driving Under the Influence Services and Substance Use Disorder Treatment Services

This tool was developed is to increase understanding about the intersection of providing Driving Under the Influence (DUI) intervention services and substance use disorder (SUD) treatment services.



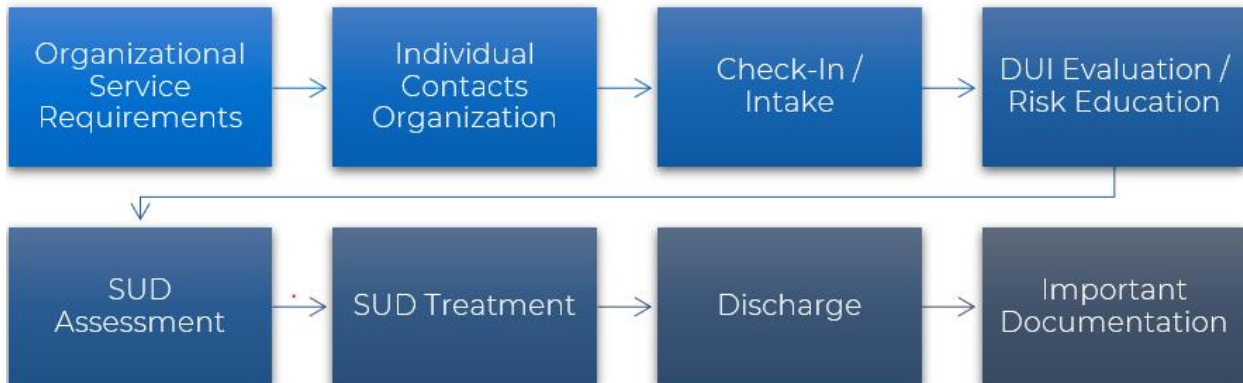
Introduction

The Illinois Department of Human Services, Division of Substance Use Prevention and Recovery (IDHS/SUPR) licenses two DUI intervention services:

1. DUI Evaluation, and
2. DUI Risk Education.

If an organization provides one or both DUI intervention services, they must be licensed by IDHS/SUPR for each specific service.

These services are used by Illinois courts to adjudicate DUI offenses and also used by the Illinois Office of the Secretary of State to reissue restricted or full driving privileges.



Throughout this tool, we will be assessing a Case Study on John Smith that follows the client/patient journey.

The information is compiled from the Illinois Administrative Code, Part 2060 (“Part 2060”) and *The ASAM Criteria, 3rd Edition*.

Case Study

- John Smith arrives at Midwest Illinois Intervention Services (MIIS) as a result of a DUI offense. MIIS is licensed by IDHS/SUPR to provide DUI evaluations and risk education, and Level 1 SUD treatment services.

Organizational Requirements



Staff

Organizations providing DUI intervention services and/or treatment services, should ensure their staff meet the credential requirements in Part 2060.

Credentials for DUI Evaluations

Per Section 2060.309(b), staff providing DUI evaluations must meet at least one of the following:

1. hold clinical certification as a Certified Alcohol and Drug Counselor from the Illinois Certification Board (ICB / IAODAPCA);
2. be a licensed professional counselor or licensed clinical professional counselor pursuant to the Professional Counselor and Clinical Professional Licensing Act [225 ILCS 107];
3. be a physician licensed to practice medicine in all its branches pursuant to the Medical Practice Act of 1987;
4. be licensed as a psychologist pursuant to the Clinical Psychology Practice Act [225 ILCS 15];
5. be licensed as a social worker or licensed clinical social worker pursuant to the Clinical Social Work and Social Work Practice Act [225 ILCS 20]; or
6. hold an assessor certification as a Certified Assessment and Referral Specialist (CARS) from IAODAPCA.

Credentials for DUI Risk Education

Per Section 2060.309(h), staff providing DUI risk education services must meet at least one of the following:

- meet at least one of the credentials listed in numbers 1-5 under “Credentials for DUI Evaluations”; or,
- hold Alcohol and Other Drug Abuse (AODA) certification from IAODAPCA.



Credentials for SUD Treatment

Per Section 2060.309, staff providing SUD treatment services must meet at least one of the credentials listed in numbers 1-5 under “Credentials for DUI Evaluations.” There are additional staff credentialing requirements for organizations that provide medically managed or monitored withdrawal management services.

Additionally, if organizations have staff that provide direct SUD treatment (e.g., counseling), but do not meet the credentialing requirements they must be supervised face-to-face at least monthly. There is a two-year maximum supervision period. Additionally, this flexibility is only applicable for staff providing SUD treatment services and cannot be applied for staff providing intervention services.

Staff Training – DUI Evaluation and Risk Education

In addition to Section 2060.311(a), DUI evaluation and risk education providers must complete specific training as defined in Section 2060.311(b) and (c).

- DUI Evaluators – within the first 6 months of employment, the staff member must complete 1 DUI orientation training session offered or approved by IDHS/SUPR; and
- DUI Risk Educators – within the first 12 months of employment, the staff member must attend the first day of 1 DUI orientation training session offered or approved by IDHS/SUPR.

Additionally, each DUI evaluator and risk education instructor must obtain additional hours of SUD training consistent with the requirements of their professional staff credential.

Check-In / Intake

Prior to providing services, the organization should collect the necessary information from the individual, including but not limited to, demographics, third-party benefits, and income verification.



Reimbursement

Per Section 2060.317, if the organization will seek payment from the individual, they must ensure that each client/patient seeking services is provided a fee schedule prior to beginning of services.

Drunk and Drugged Driving Prevention Fund

The Drunk and Drugged Driving Prevention Fund (DDDPF) is available to individuals who meet the U.S. Department of Health and Human Services (HHS) poverty guidelines.¹ HHS updates the poverty guidelines every calendar year in late January. Organizations must determine if clients meet the eligibility criteria and seek out reimbursement for each service. Currently, the reimbursement rates are:



- DUI Evaluation: \$135
- DUI Risk Education: \$110

Organizations must ensure that individuals understand the amount they will be responsible to pay. If an organization's fees are equal or less than the DDDPF reimbursement amount and the client meets the eligibility criteria, the client is not responsible for any additional fees. If the organization's fees are more than the DDDPF reimbursement amount and the client meets the eligibility criteria, the organization must inform the client what is owed after the reimbursement rate is applied and determine if the client can pay that amount. If the client is unable to pay, the organization can refer the client to another organization or waive the additional fee.

Case Study

- John is underemployed, and he is enrolled with a Medicaid Managed Care Organization for his health care coverage. MIIS determines that John is eligible for DDDPF.
- MIIS provides John a fee schedule that shows they charge \$200 for DUI evaluations and \$150 for DUI risk education.
- MIIS informs John that he is eligible for DDDPF, but because of their fee schedule he is responsible for the remainder of the fee after the DDDPF reimbursement rate is applied.
- MIIS staff review the amounts John would be responsible for by each service:
 - DUI Evaluation: Fee (\$200) minus DDDPF Reimbursement Rate (\$135) = \$65
 - DUI Risk Education: Fee (\$150) minus DDDPF Reimbursement Rate (\$110) = \$40
- John would be responsible to pay \$105 (\$65 + \$40) for both DUI services. John agrees and signs MIIS' fee schedule to confirm he will pay this amount, prior to receiving the services.

SUD Treatment Fees

Organizations may seek reimbursement for SUD treatment through the individual's health insurance plan, Medicaid, and/or SUPR grant funding, if applicable. The organization must ensure that the client/patient understands the amount they will be responsible to pay. If the organization is aware of the client/patient's benefit coverage and the reimbursement amount, the organization must inform the client/patient what is owed after the reimbursement rate is applied. If the organization is not aware of the client/patient's benefit coverage and reimbursement amount, the organization

must inform the client of the amount they may be responsible to pay. If the client/patient is unable to pay, the organization can refer the client to another organization or waive the fees.

DUI Evaluation



The purpose of a DUI Evaluation is to obtain significant and relevant information from a DUI offender about the nature and extent of the use of alcohol and/or other drugs to:

1. Identify the offender's **risk** to public safety for the circuit court of venue or the Office of the Secretary of State; and
2. Recommend an **initial intervention** to the DUI offender and to the circuit court of venue or the Secretary of State.

The results of the evaluation may result in assigning one of the following risk classifications: minimal risk, moderate risk, significant risk, or high risk. After the determination of risk, a corresponding intervention is recommended. This is the **minimum recommendation** and does not determine the intervention services and/or substance use disorder (SUD) treatment services.

Case Study

- MIIS conducts a DUI evaluation and determines that John's classification is "Significant Risk."



DUI Risk Education

The purpose of DUI Risk Education is to provide orientation to offenders regarding the impact of alcohol and other drug use on individual behavior and driving skills, and to allow offenders to further explore the personal ramifications of their own substance use.

DUI Risk Education must include 8 content areas and follow the format in compliance with Section 2060.505c) 1-8 and d).

Case Study

- According to John's DUI Evaluation and Section 2060.503, he must complete a:
 - **minimum** of 10 hours of DUI Risk Education; and a
 - **minimum** of 20 hours of SUD treatment services; and



- These recommendations are preliminary for courts to consider in adjudicating the DUI offense and are a starting point for the SUD treatment organization to consider upon acceptance of the referral.
- To more accurately determine John's SUD treatment needs, MIIS must now complete a multidimensional assessment using criteria developed by the American Society for Addiction Medicine (ASAM), as authorized by their license for Level 1 treatment services.
- The assessment and potential SUD treatment will impact John's financial responsibilities.
- Fee schedule must be updated to reflect the additional assessment fee.

Substance Use Disorder Treatment Services



SUD treatment services are offered in varying degrees of intensity, known as “levels of care,” determined by the completion of a multidimensional assessment that considers the individual's biomedical, psychological, and social needs.

SUD Assessment

To determine an individual's level of care placement, the organization **must** conduct a multidimensional assessment that identifies an individual's immediate needs through assessing six dimensions. The results of the assessment are used to identify individual's level of care placement and it may not align with the risk classification determined previously by the DUI evaluation. As stated previously, the DUI evaluation risk classification does **not** determine the subsequent level of care and number of treatment hours.

To complete a multidimensional assessment, the organization must be licensed by IDHS/SUPR to provide SUD treatment services. If the organization is not licensed to provide SUD treatment services, they should establish referral/linkage agreements with IDHS/SUPR organizations licensed who provide SUD treatment services.

Case Study

- Upon completion of the multidimensional assessment, the severity and level of functioning in dimension 3, dimension 5, and dimension 6, the clinician determines that John may benefit from more than 20 hours of SUD treatment. The clinician recommends John for Level 2 SUD treatment services.



- Since MIIS is only licensed for Level 1 SUD treatment services, they must refer John to an IDHS/SUPR licensed facility that provides Level 2 treatment services.

Treatment Plan

The clinician and individual will develop a treatment plan based on the multidimensional assessment and priorities identified by the individual. The initial treatment plan is **not** based on the driver's risk classification identified by completing the DUI Evaluation. It is determined from completing the multidimensional assessment.

Case Study

- Although Section 2060.503 indicates that a minimum of 20 hours of SUD treatment services, John's initial treatment plan will include a recommendation for three hours of group counseling three times per week, and 30 minutes of individual counseling once per week for five weeks.
- Based on John's ASAM assessment, he must complete:
 - a **minimum** of 47.5 hours of SUD treatment services of which John's progress in treatment will be reviewed when 27 hours are delivered; and
 - any and all necessary treatment.
- The change in treatment recommendation should be communicated to the referral source to ensure that any required supervision from the referral source can be accurately completed.

Continued Stay Review

There must be an ongoing assessment of the individual's progress in SUD treatment to determine the individual's needs for continued services or discharge. Continued stay reviews are completed using the ASAM continued stay or discharge criteria. Continued stay is **not** determined by the original estimated number of treatment hours the individual has completed to date.

The assessment of continued services or discharge is determined by the individual's resolution of the goals and objectives identified in the initial treatment plan.

Case Study

- After John has been in treatment for 27 hours, he has completed 2 of 5 treatment plan goals.
- Upon completion of the continued stay review, it is determined that John is making progress, but has not yet achieved all goals outlined in the initial treatment plan. Continued treatment at the present level of care is assessed as

necessary to permit the individual to continue to work toward addressing the 3 remaining goals.

Discharge

Continuing Recovery Plan and Discharge

Prior to discharge from the individual's level of care, a continuing recovery plan must be completed for any individual no longer meeting criteria for continued SUD treatment. The recovery plan should be based on the individual's needs and include a relapse prevention plan, identify continuing recovery supports available, and community recovery support services that will maintain, support, and enhance progress made in treatment.

Discharge is **not** determined by the completion of the minimum hours determined by the risk classification. Discharge is based on the individual's progress relative to each goal and objective in the treatment plan.

Case Study

- After John has been in treatment for 5 weeks, and has been involved in more than 1 continued stay review, the clinician finds that John completed all treatment plan goals and his counselor recommends discharge.
- The counselor and John finalize his continuing recovery plan ensuring that the plan complies with Section 2060.427(b).
- Now that John has completed his DUI evaluation, DUI risk education, SUD treatment, and any other recommendations, the organization should provide copies of all documentation and recommend that John maintains the copies for submission to the Office of the Illinois Secretary of State.

Important Documentation



Individuals must maintain the following DUI intervention and SUD treatment documentation for future court proceedings and/or applications for reinstatement of driving privileges with the Office of the Illinois Secretary of State:

- DUI Evaluation (Uniform Report)
- DUI Risk Education Completion Certificate
- Treatment Plan, including Continued Stay Reviews



- Continuing Recovery Plan
- Discharge Summary

Stress the importance of keeping a minimum of two copies of *all* documentation and never give away the last copy. IDHS/SUPR licensed organizations are required to maintain the individual's records for a period of five to six years from the date of discharge, depending on accounting of disclosures of HIPAA protected health information.

Case Study

- Now that John has completed his DUI evaluation, DUI risk education, SUD treatment, and any other recommendations, the organization should provide copies of all documentation and recommend that John maintain copies of all SUD treatment and intervention documentation until he is ready to move forward with future court proceedings and/or applying for reinstatement of driving privileges.

Should you have any questions about the intersection of DUI services and SUD treatment services, please feel free to reach out to our Help Desk via DHS.SUPRHelp@illinois.gov.

¹ Link to HHS poverty guideline: <https://acfmain-content-stage.acf.hhs.gov/sites/default/files/documents/ocs/2024%20HHS%20Poverty%20Guidelines.pdf>.

Link to 2024 Federal Register, updated annually:
<https://www.govinfo.gov/content/pkg/FR-2024-01-17/pdf/2024-00796.pdf>.