



Dual Diagnosis File Audit

Criteria and tools that mental health or alcohol and other drug agencies may use to audit the '*dual diagnosis capability*' of their client files.



Victorian Dual Diagnosis Initiative
July 2012 Version 1.



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Introduction:

This resource has been drafted to assist alcohol and other drug (AOD) and mental health agencies (both clinical and support) involved in file audit processes as part of their efforts to further develop their agency's level of dual diagnosis capability. Dual diagnosis capability here refers to the *'extent of the agency's capacity to recognise and respond effectively to people presenting with co-occurring mental health and substance use concerns'*.

Mental health and AOD agencies will be interested in auditing, as part of their quality improvement processes, the extent to which their client files record a variety of criteria relevant to the delivery of quality mental health and drug treatment services. The items suggested in this resource pertain only to the agency's recognition of and responses to clients co-occurring mental health and substance use concerns.

The various criteria here have been drawn from a variety of file audit proformas currently being used in Victorian mental health and drug treatment services.

The criteria are presented in 2 forms – firstly as simple lists from which AOD or mental health services may choose the criteria that they wish to include in their existing file audit processes. The same criteria are then arranged as stand-alone dedicated dual diagnosis file audits ready for services to use. (MH audit on pages 8-14 / AOD audit on pages 15-21)

It is anticipated that this resource will develop over time with the most recent version being downloadable from the [Dual Diagnosis Australia & New Zealand](#) website. The resource has been licensed under creative commons to encourage services to adapt the resource to their agency's activities and processes.

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List of criteria- Mental Health agencies

Criteria that mental health agencies (clinical or support) may use in file audit processes to evaluate the dual diagnosis capability of their client files.

Domain 1: Detection of substance use concerns

- Does the file contain a completed screen to detect co-occurring alcohol &/or other drug concerns? *N.B where the file has a completed substance use assessment screening is superfluous*
- Does the file note (or exclude) any previous or current treatment for a substance use concern?

Domain 2: Assessment of substance use concerns

- File contains a comprehensive substance use assessment
- Risk assessment includes consideration of client's substance use and any association with risk
- There is evidence that the client's potential for experiencing (mild or severe) substance use withdrawal has been considered and addressed.
- File monitors and records client's stage of change in regard to any co-occurring substance use concerns
- Substance use diagnosis/es are recorded alongside mental health diagnosis/es
- Client's stage of change in regard to any substance use concern is recorded

Domain 3: Responses to substance use concerns

- *Service Planning:* Where the person has been identified as having both mental health and substance use concerns there is evidence of treatment planning to address both concerns.
- *Service Delivery:* Client's progress in regard to any co-occurring substance use concern is monitored and documented throughout their engagement with the mental health agency.
- *Discharge planning:* Where the person has been identified as having both mental health and substance use concerns there is evidence of discharge planning that addresses both concerns.
- There is evidence of the inclusion in service delivery of any partner, family member, friend or other person who the client wishes to have involved

Domain 4: Working with the broader service system

- *No Wrong Door:* In those situations where assessment has found that service from the mental health service isn't indicated but that the person has need of service from an AOD agency there

is evidence that the person has been welcomed, meaningfully engaged with, and actively assisted to receive the service that they need.

- Where secondary consultation was sought with another (AOD or other) agency does the file record the details, content and outcomes of the consultation?
- In those situations where an AOD agency is currently also providing services to the client does the file provide evidence and a record of joint case planning
- Where joint case planning with an AOD agency has occurred does the file contain an integrated (across both agencies) care plan that describes goals, individual responsibilities and details when and how treating agencies will communicate re client progress?

List of criteria- Alcohol & Other Drug (AOD) agencies

Criteria that AOD agencies may use in file audit processes to evaluate the dual diagnosis capability of their client files.

Domain 1: Detection of mental health concerns

- Does the file contain a completed screen to detect co-occurring mental health concerns? *N.B where the file has a completed mental state examination screening is superfluous*
- Does the file note (or exclude) any previous or current treatment for a mental health concern?

Domain 2: Assessment of mental health concerns

- File contains a completed mental state examination
- File includes a completed risk assessment
- File monitors and records client's stage of change in regard to any co-occurring mental health concern
- Mental health diagnosis/es are recorded
- Client's stage of change in regard to any mental health concern is recorded

Domain 3: Responses to mental health concerns

- *Service Planning*: Where the person has been identified as having both substance use and mental health concerns there is evidence of treatment planning to address both concerns.
- *Service Delivery*: Client's progress in regard to any co-occurring mental health concern is monitored and documented throughout their engagement with the mental health agency.
- *Discharge planning*: Where the person has been identified as having both substance use and mental health concerns there is evidence of discharge planning that addresses both concerns.
- There is evidence of the inclusion in service delivery of any partner, family member, friend or other person who the client wishes to have involved

Domain 4: Working with the broader service system

- *No Wrong Door*: In those situations where assessment has found that service from an AOD agency isn't indicated but that the person has need of service from a mental health service agency there is evidence that the person has been welcomed, meaningfully engaged with, and actively assisted to receive the service that they need.

- Where secondary consultation was sought with another (mental health or other) agency does the file record the details, content and outcomes of the consultation?
- In those situations where a mental health agency is currently also providing services to the client does the file provide evidence and a record of joint case planning
- Where joint case planning with a mental health agency has occurred does the file contain an integrated (across both agencies) care plan that describes goals, individual responsibilities and details when and how treating agencies will communicate re client progress?

Dual Diagnosis File Audit for Mental Health agencies

Dual Diagnosis File Audit for Mental Health agencies

Agency:			
Audit date:		Audited by:	
No of files audited:		% of current files	

Rating:	N/C Not completed	P/C Partially completed	C Completed	N/A Not applicable
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Domain 1: Detection of substance use concerns

Criteria	File	N/C	P/C	C	N/A
1.1: Does the file contain a completed screen to detect co-occurring alcohol &/or other drug concerns? <i>N.B where the file has a completed substance use assessment screening is superfluous</i>	1.				
	2.				
	3.				
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	5.				
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	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
1.2: Does the file note (or exclude) any previous or current treatment for a substance use concern?	1.				
	2.				
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	Total:				

Domain 2: Assessment of substance use concerns

Criteria	File	N/C	P/C	C	N/A
2.1: File contains a comprehensive substance use assessment	1.				
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	7.				
	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
2.2: Risk assessment includes consideration of client's substance use and any association with risk	1.				
	2.				
	3.				
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	9.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
2.3: There is evidence that the client's potential for experiencing (mild or severe) substance use withdrawal has been considered and addressed.	1.				
	2.				
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	4.				
	5.				
	6.				
	7.				
	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
2.4: File monitors and records client's stage of change in regard to any co-occurring substance use concerns	1.				
	2.				
	3.				
	4.				
	5.				
	6.				
	7.				
	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
2.5: Substance use diagnosis/es are recorded alongside mental health diagnosis/es	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
2.6: Client's stage of change in regard to any substance use concern is recorded	1.				
	2.				
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	8.				
	9.				
	10.				
	Total:				

Domain 3: Responses to substance use concerns

Criteria	File	N/C	P/C	C	N/A
3.1: <i>Service Planning</i> : Where the person has been identified as having both mental health and substance use concerns there is evidence of treatment planning to address both concerns.	1.				
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	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
3.2: <i>Service Delivery</i> : Client's progress in regard to any co-occurring substance use concern is monitored and documented throughout their engagement with the mental health agency.	1.				
	2.				
	3.				
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	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
3.3: Discharge planning: Where the person has been identified as having both mental health and substance use concerns there is evidence of discharge planning that addresses both concerns.	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
3.4: There is evidence of the inclusion in service delivery of any partner, family member, friend or other person who the client wishes to have involved	1.				
	2.				
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	10.				
	Total:				

Domain 4: Working with the broader service system

Criteria	File	N/C	P/C	C	N/A
4.1: No Wrong Door: In those situations where assessment has found that service from the mental health service isn't indicated but that the person has need of service from an AOD agency there is evidence that the person has been welcomed, meaningfully engaged with, and actively assisted to receive the service that they need.	1.				
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	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.2: Where secondary consultation was sought with another (AOD or other) agency does the file record the details, content and outcomes of the consultation?	1.				
	2.				
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	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.3: In those situations where an AOD agency is currently also providing services to the client does the file provide evidence and a record of joint case planning	1.				
	2.				
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	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.4: Where joint case planning with an AOD agency has occurred does the file contain an integrated (across both agencies) care plan that describes goals, individual responsibilities and details when and how treating agencies will communicate re client progress?	1.				
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	Total:				

Recommendations:

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Notes / Comments:

Dual Diagnosis File Audit for Alcohol & Other Drug agencies

Dual Diagnosis File Audit for Alcohol & Other Drug agencies

Agency:			
Audit date:		Audited by:	
No of files audited:		% of current files	

Rating:	N/C Not completed	P/C Partially completed	C Completed	N/A Not applicable
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Domain 1: Detection of mental health concerns

Criteria	File	N/C	P/C	C	N/A
1.1: Does the file contain a completed screen to detect co-occurring mental health concerns? <i>N.B where the file has a completed mental state examination screening is superfluous</i>	1.				
	2.				
	3.				
	4.				
	5.				
	6.				
	7.				
	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
1.2: Does the file note (or exclude) any previous or current treatment for a mental health concern?	1.				
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	5.				
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	9.				
	10.				
	Total:				

Domain 2: Assessment of mental health concerns

Criteria	File	N/C	P/C	C	N/A
2.1: File contains a completed mental state examination	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
2.2: File includes a completed risk assessment	1.				
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	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
2.3: File monitors and records client's stage of change in regard to any co-occurring mental health concern	1.				
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	7.				
	8.				
	9.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
2.4: Mental health diagnosis/es are recorded	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
2.5: Client's stage of change in regard to any mental health concern is recorded	1.				
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	5.				
	6.				
	7.				
	8.				
	9.				
	10.				
	Total:				

Domain 3: Responses to mental health concerns

Criteria	File	N/C	P/C	C	N/A
3.1: <i>Service Planning</i> : Where the person has been identified as having both substance use and mental health concerns there is evidence of treatment planning to address both concerns.	1.				
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	8.				
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	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
3.2: <i>Service Delivery</i> : Client's progress in regard to any co-occurring mental health concern is monitored and documented throughout their engagement with the mental health agency.	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
3.3: Discharge planning: Where the person has been identified as having both substance use and mental health concerns there is evidence of discharge planning that addresses both concerns.	1.				
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	Total:				

Criteria	File	N/C	P/C	C	N/A
3.4: There is evidence of the inclusion in service delivery of any partner, family member, friend or other person who the client wishes to have involved	1.				
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	6.				
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	9.				
	10.				
	Total:				

Domain 4: Working with the broader service system

Criteria	File	N/C	P/C	C	N/A
4.1: No Wrong Door: In those situations where assessment has found that service from an AOD agency isn't indicated but that the person has need of service from a mental health service agency there is evidence that the person has been welcomed, meaningfully engaged with, and actively assisted to receive the service that they need.	1.				
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	6.				
	7.				
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	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.2: Where secondary consultation was sought with another (mental health or other) agency does the file record the details, content and outcomes of the consultation?	1.				
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	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.3: In those situations where a mental health agency is currently also providing services to the client does the file provide evidence and a record of joint case planning	1.				
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	8.				
	9.				
	10.				
	Total:				

Criteria	File	N/C	P/C	C	N/A
4.4: Where joint case planning with a mental health agency has occurred does the file contain an integrated (across both agencies) care plan that describes goals, individual responsibilities and details when and how treating agencies will communicate re client progress?	1.				
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	Total:				

Recommendations:

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Notes / Comments: