Department of Health & Human Services, Office of Adult Mental Health Services
Bates v. DHHS Consent Decree
October, November, December, 2014: 2nd Quarter, SFY 2015
CONSENT DECREE REPORT

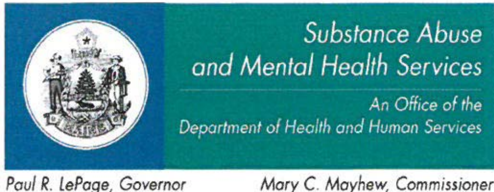
SUMMARY

(Section 1A)

The DHHS Office of Substance Abuse and Mental Health Services is required to report to the Court quarterly regarding compliance and progress toward meeting specific standards as delineated in the Bates v. DHHS Consent Decree Settlement Agreement, the Consent Decree Plan of October 2006, and the Compliance Standards approved October 29, 2007. The following documents are submitted as the Quarterly Progress Report for the 2nd quarter of state fiscal year 2015, covering the period from October through December, 2014. A link to the PDF version of each document is provided on the SAMHS website.

	DOCUMENT	DESCRIPTION
1	**Cover Letter, Quarterly Report:** January, 2015 *Section 1*	Letter to Dan Wathen, Court Master, submitting the Quarterly Report pursuant to paragraph 280 of the Settlement Agreement for the quarter ending December 31, 2014.
2	**Report on Compliance Plan Standards: Community** *Section 2*	Lists and updates the information pertaining to standards approved in October 2007 for evaluating and measuring DHHS compliance with the terms and principles of the Settlement Agreement.
3	**Performance and Quality Improvement Standards** *Section 3*	Details the status of the Department's compliance with 19 specific performance and quality improvement standards (many are multi-part) required by the Consent Decree October 2006 Plan for this reporting quarter. Reporting includes the baseline, current level, performance standard, and compliance standard for each, including graphs.
4	**Consent Decree Performance and Quality Improvement Standard 5.** *Section 4*	Aggregate report of assignment time to service and completion time of Individual Support Plans (ISPs). Data gathered from Contact for Service Notifications, Prior Authorizations, and Continued Stay Requests via APS Care Connections.
5	**Performance Quality and Improvement Standards, Appendix: Adult Mental Health Data Sources** *Section 5*	Lists and describes all of the data sources used for measuring and reporting the Department's compliance on the Performance and Quality Improvement Standards.
6	**Cover: Unmet Needs and Quality Improvement Initiative** *Section 6*	Provides a brief introduction to the unmet needs report as well as some definitions of the data, initial findings and next steps. Also includes information on the quality improvement initiatives undertaken by SAMHS.
7	**Unmet Needs by CSN** *Section 7*	Quarterly report drawn from the Enterprise Information System (EIS) by CSN (based on client zip code), from resource need data entered by community support case managers (CI, ACT, CRS, and BHH) concerning consumers (class members and non-class members) who indicate a need for a resource that is not immediately available.

DOCUMENT		DESCRIPTION
		Providers are required to enter the information electronically upon enrollment of a client in Community Support Services and update the information from their clients' Individual Service Plans (ISPs) every 90 days via an RDS (Resource Data Summary) entered as a component of prior authorization and continuing stay requests made to APS Healthcare via their online system, CareConnections.
8	**BRAP Waitlist Monitoring Report,** *Section 8*	Describes status of the DHHS Bridging Rental Assistance Program's (BRAP) waitlist, focusing on the numbers served over time by priority status.
9	**Class Member Treatment Planning Review** *Section 9*	Aggregate report of document reviews completed on a random sample of class member ISPs by Consent Decree Coordinators following a standardized protocol.
10	**Community Hospital Utilization Review** *Section 10*	Aggregate report of Utilization Review (UR) of all persons with MaineCare or without insurance coverage admitted into emergency involuntary, community hospital based beds. UR data is reported one quarter behind to allow sufficient time for reviews and data entry to be completed.
11	**Community Hospital Utilization Review Performance Standard 18-1, 2, 3 by Hospital** *Section 11*	Report drawn from UR data that details, by hospital, the percentage of ISPs obtained, ISPs consistent with the hospital treatment and discharge plan, and case manager involvement in hospital treatment and discharge planning. UR data is reported one quarter behind to allow sufficient time for reviews and data entry to be completed.
12	**DHHS Integrated Child/Adult Quarterly Crisis Report** *Section 12*	Aggregate quarterly report of crisis data submitted by crisis providers to the Office of Quality Improvement on a monthly basis.
13	**Riverview Psychiatric Center Performance Improvement Report** *Section 13*	Reports on Riverview's compliance with specific indicators re: performance and quality; recording findings, problem, status, and actions for the specified quarter.
14	**APS Healthcare Reports** *Section 14*	For members on the Community Integration waitlist who were authorized for this service, how long they waited. These reports count the number of days from the date the CFSN was opened to the date the service was authorized. The reports are run 2 quarters behind, therefore, those who were entered on the waitlist will have started the service.



Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

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February 1, 2015

Daniel E. Wathen, Esq.
Pierce Atwood, LLP
77 Winthrop Street
Augusta, ME 04330

RE: *Bates v. DHHS* – Quarterly Progress Report

Dear Dan:

Enclosed, pursuant to paragraph 280 of the Settlement Agreement, please find the Substance Abuse and Adult Mental Health Services Quarterly Report for the quarter ending December 31, 2014.

As per the order approving amendent to Plan 16 dated May 8, 2014, the following items will no longer be included in this report or future reports: Performance Standards 2,3.1,3.2, 7.1a, 7.1b, 7.1c,7.1d, 10.1, 10.2, 11.1, 11.2, 15, 17.1, 17.2, 17.2a, 17.3,17.3a, 17.4,17.4a,17.5, 21.5, 23.1,23.2, 24.1, 24.2, 25.1, 25.2, 30.1, 30.2, 33.1, 34.1, and 34.2. Descriptions of these standards can be found at the following link:

http://www.maine.gov/dhhs/samhs/mentalhealth/consent_decree/amendments/Amendment%20to%20Plan%2016%20May%208,%202014.pdf

If you have any comments or concerns about the contents of this report, we would be glad to meet to discuss them.

Sincerely,

Sheldon Wheeler
Director of Substance Abuse and Mental Health Services

cc: Helen Bailey, Esq.
Phyllis Gardiner, Assistant Attorney General
Kathy Greason, Assistant Attorney General
Mary C. Mayhew, Commissioner DHHS

Department of Health and Human Service
Office of Substance Abuse and Mental Health Services
First Quarter State Fiscal Year 2015
Report on Compliance Plan Standards: Community
February 1, 2015

	Compliance Standard	Report/Update
I.1	Implementation of all the system development steps in October 2006 Plan	As of March 2010, all 119 original components of the system development portion of the Consent Decree Plan of October 2006 have been accomplished or deleted per amendment.
I.2	Certify that a system is in place for identifying unmet needs	See attached *Cover: Unmet Needs February 2015* and *Unmet Needs by CSN for FY15 Q1. Found in Section 7.*
I.3	Certify that a system is in place for Community Service Networks (CSNs) and related mechanisms to improve continuity of care	The Department's certification of August 19, 2009 was approved on October 7, 2009.
I.4	Certify that a system is in place for Consumer councils	The Department's certification of December 2, 2009 was approved on December 22, 2009.
I.5	Certify that a system is in place for new vocational services	The Department certification of September 17, 2011 was approved November 21, 2011.
I.6	Certify that a system is in place for realignment of housing and support services	All components of the Consent Decree Plan of October 2006 related to the Realignment of Housing and Support Services were completed as of July 2009. Certification was submitted March 10, 2010. The Certification Request was withdrawn May 14, 2010.
I.7	Certify that a system is in place for a Quality Management system that includes specific components as listed on pages 5 and 6 of the plan	Department of Health and Human Services Office of Adult Mental Health Services Quality Management Plan/Community Based Services (April 2008) has been implemented; a copy of plan was submitted with the May 1, 2008 Quarterly Report. A new quality improvement plan for 2015-2020 is being developed and should be available for review in 2015.
II.1	Provide documentation that unmet needs data and information (data source list page 4 of compliance plan) is used in planning for resource development and preparing budget requests	Department has submitted funding requests to meet all identified needs under the Consent Decree, both through the supplemental budget and for the next biennial budget, and the Governor has included those request in his proposed budget. This is the first year that the Department has requested all funds be included in the base budget request instead of having 2 budget requests for grant funds.
II.2	Demonstrate reliability of unmet needs data based on evaluation	See *Cover: Unmet Needs and Quality Improvement Initiatives February 2015* and the *Performance and Quality Improvement Standards: February 2015* for quality improvement efforts taken to improve the reliability of the 'other' and CI unmet resource data. SAMHS continues to review the reliability of the unmet needs data to ensure proper identifying, recording and

		implementation of services for unmet needs.
II.3	Submission of budget proposals for adult mental health services given to Governor, with pertinent supporting documentation showing requests for funding to address unmet needs *(Amended language 9/29/09)*	The Director of SAMHS provides the Court Master with an updated projection of needs and associated costs as part of his ongoing updates regarding Consent Decree Obligations.
II.4	Submission of the written presentation given to the legislative committees with jurisdiction over DHHS … which must include the budget requests that were made by the Department to satisfy its obligations under the Consent Decree Plan and that were not included in the Governor's proposed budget, an explanation of support and importance of the requests and expression of support … *(Amended language 9/29/09)*	See above.
II.5	Annual report of MaineCare Expenditures and grant funds expended broken down by service area	MaineCare and Grant Expenditure Report for FY 13 provided in the May 2014 report.
III.1	Demonstrate utilizing QM System	See attached *Cover: Unmet Needs February 2015* and the *Performance and Quality Improvement Standards: February 2015* for examples of the Department Utilizing the QM system.
III.1a	Document through quarterly or annual reports the data collected and activities to assure reliability (including ability of EIS to produce accurate data)	This quarterly report documents significant data collection and review activities of the SAMHS quality management system.
III.1b	Document how QM data used to develop policy and system improvements	See compliance standard II.4 above for examples of how quality management data was used to support budget requests for systems improvement. Unmet need reports have been used to identify where additional funds are needed for delivery of services.
IV.1	100% of agencies, based on contract and licensing reviews, have protocol/procedures in place for client notification of rights	Contract and licensing reviews are conducted as licenses expire. A report from DLRS is available; during the last quarter 32 of 32 agencies had protocol/procedures in place for client notification of rights.
IV.2	If results from the DIG Survey fall below levels established for Performance and Quality Improvement Standard 4.2, 90% of consumers report they were given information about their rights, the Department: (i) consults with the Consumer Council System of Maine (CCSM); (ii) takes corrective action a determined necessary by CCSM; and (iii) develops that corrective action in consultation with CCSM. *(Amended language 1/19/11)*	The percentage for standard 4.2 from the 2013 DIG Survey was 88.3%. These data are posted on the SAMHS website and provided to the Consumer Council of Maine. SAMHS met to address the methodology used for the survey and to boost consumer participation in the survey to be distributed in October of 2014.
IV.3	Grievance Tracking data shows response to 90% of Level II grievances within 5 days or extension.	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.4	Grievance Tracking data shows that for 90% of Level III grievances written reply	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.

	within 5 days or within 5 days extension if hearing is to be held or if parties concur.	
IV.5	90% hospitalized class members assigned worker within 2 days of request - _must be met for 3 out of 4_ quarters	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 5-2. This standard has not been met for the past 4 quarters.
IV.6	90% non-hospitalized class members assigned worker within 3 days of request - _must be met for 3 out of 4 quarters_	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 5-3. This standard has not been met for the past 4 quarters.
IV.7	95% of class members in hospital or community not assigned within 2 or 3 days, assigned within an additional 7 days - _must be met for 3 out of 4 quarters_	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 5-4. This standard has not been met for the past 4 quarters.
IV.8	90% of class members enrolled in CSS with initial ISP completed within 30 days of enrollment - _must be met for 3 out of 4 quarters_	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 5-5. This standard has not been met for the past 4 quarters.
IV.9	90% of class members had their 90 day ISP review(s) completed within that time period - _must be met for 3 out of 4 quarters_	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 5-6. This standard has not been met for the past 4 quarters.
IV.10	QM system includes documentation that there is follow-up to require corrective actions when ISPs are more than 30 days overdue	Monitoring of overdue ISPs continues on a quarterly basis. As the data has been consistent over time and the feedback and interaction with providers had lessened greatly, reports are now created quarterly and available to providers upon request. Providers were notified of this change on May 18, 2011. Providers may request these reports
IV.11	Data collected once a year shows that > 5% of class members enrolled in CS did not have their ISP reviewed before the next annual review	The 2014 data analysis indicates that out of 1,407 records for review, that 142 (10.1%) did not have an ISP review within the prescribed time frame.
IV.12	Certify in quarterly reports that DHHS is meeting its obligation re: quarterly mailings	On December 10, 2014, the court approved an amendment to a Stipulated Order that requires monitoring of class member addresses. If the percentage of unverified addresses exceeds 15%, the court master will review the efforts and make necessary recommendations. A list of class member's addresses is available to the court master, plaintiff's counsel and the court upon request.
IV.13	In 90% of ISPs reviewed, all domains were assessed in treatment planning - _must be met for 3 out of 4 quarters_	See Section 9 *Class Member Treatment Planning Review*, Question 2A. This standard has been met in 4 out of the 4 quarters. The current percentage is 100.0%.
IV.14	In 90% of ISPs reviewed, treatment goals reflect strengths of the consumer - _must be met for 3 out of 4 quarters_	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.

IV.15	90% of ISPs reviewed have a crisis plan or documentation as to why one wasn't developed - *must be met for 3 out of 4 quarters*	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.16	QM system documents that SAMHS requires corrective action by the provider agency when document review reveals not all domains assessed	See Section 9 *Class Member Treatment Planning Review*, Question 6.a.1 that addresses plans of correction. In 100.0 % of cases, SAMHS required a correction action plan from providers.
IV.17	In 90% of ISPs reviewed, interim plans developed when resource needs not available within expected response times - *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 8-2 and *Class Member Treatment Plan Review,* Question 3F. This standard has not been met in the last 4 quarters.
IV.18	90% of ISPs review included service agreement/treatment plan - *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 9-1 and *Class Member Treatment Plan Review,* Questions 4B & C. This standard has not been met in the past 4 quarters.
IV.19	90% of ACT/ICI/CI providers statewide meet prescribed case load ratios - *must be met for 3 out of 4 quarters* Note: As of 7/1/08, ICI is no longer a service provided by DHHS.	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.19	90% of ICMs with class member caseloads meet prescribed case load ratios - *must be met for 3 out of 4 quarters*	ICMs' work is focused on community forensic and outreach services. Individual ICMs no longer carry caseloads. Should this change in the future, SAMHS will resume reporting on caseload ratios.
IV.20	90% of OES workers with class member public wards - meet prescribed caseloads *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 10-5. This standard has been met in FY 15 Q2.
IV.21	Independent review of the ISP process finds that ISPs met a reasonable level of compliance as defined in Attachment B of the Compliance Plan	
IV.22	5% or fewer class members have ISP-identified unmet residential support - *must be met for 3 out of 4 quarters* **and**	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 12-1 Standard met for the 4th quarter FY08; the 1st, 3rd and 4th quarters of FY09; all quarters of FY10 and FY11; all 4 quarters of FY12, FY13; FY 14 and FY15 Q1.
IV.23	**EITHER** quarterly unmet residential support needs for one year for qualified (qualified for state financial support) non-class members do not exceed by 15 percentage points those of class members **OR** if exceeded for one or more quarters, SAMHS produces documentation sufficient to explain cause and to show that cause is not related to class status **and**	Unmet residential supports needs for non-class members do not exceed 15 percentage points of the same for Class Members. See attached report Consent Decree Compliance Standards IV.23 and IV.43

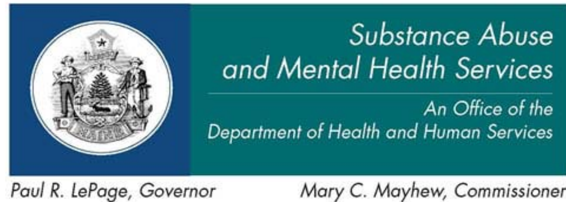
IV.24	Meet RPC discharge standards (below); **or** if not met document reasons and demonstrate that failure not due to lack of residential support services • 70% RPC clients who remained ready for discharge were transitioned out within 7 days of determination • 80% within 30 days • 90% within 45 days (with certain exceptions by agreement of parties and court master)	See attached *Performance and Quality Improvement Standards: February 2014,* Standards 12-2, 12-3 and 12-4 Standard met since the beginning of FY08.
IV.25	10% or fewer class members have ISP-identified unmet needs for housing resources - *must be met for 3 out of 4 quarters* **and**	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 14-1 Standard met in FY 2014 Q3 and 27 out of the last 31 quarters.
IV.26	Meet RPC discharge standards (below); if not met, document that failure to meet is not due to lack of housing resources. • 70% RPC clients who remained ready for discharge were transitioned out within 7 days of determination • 80% within 30 days • 90% within 45 days (with certain exceptions by agreement of parties and court master)	See attached *Performance and Quality Improvement Standards: November 2014,* Standard 14-4, 14-5 & 14-6 Standard 14-4 met since the beginning of FY09, except for Q3 FY10. Standard 14-5 met for the 2nd, 3rd and 4th quarters FY09; the 2nd and 4th quarters of FY10; FY11;FY12, FY13 FY 14, 1st and 2nd quarter FY 15 Standard 14-6 met for the 2nd and 4th quarters FY09; the 2nd and 4th quarters FY10; FY11; FY12, FY13, and FY 14 and 1st quarter FY 15.
IV.27	Certify that class members residing in homes > 8 beds have given informed consent in accordance with approved protocol	Standard no longer reported per amendment dated May 8, 2014.
IV.28	90% of class member admissions to community involuntary inpatient units are within the CSN or county listed in attachment C to the Compliance Plan	See attached *Performance and Quality Improvement Standards: November 2014,* Standard 16-1 and *Community Hospital Utilization Review – Class Members 4th Quarter of Fiscal Year 2014*. In FY12: 76.2% (16 of 21) in the 1st quarter, 63.6% (14 of 22) in the 2nd quarter, 77.8% (7 of 9) in the 3rd quarter, 73.7% (14 of 19) in the 4th quarter IN FY13: 100% (19 of 19) in the 1st quarter 92.9% (13 of 14) in the 2nd quarter 86.7% (13 of 15) in the 3rd quarter 90.0% (18 of 20) in the 4th quarter IN FY 14: 27.3%(3 of 11) in the 1st quarter 76.5% (13 of 17) in the 2nd quarter 84.6 % (11 of 13) in the 3rd quarter 100.0 % (12 of 12) in the 3rd quarter IN FY 15: 77.8%(14 of 18) in the 1st quarter
IV.29	Contracts with hospitals require compliance with all legal requirements for involuntary clients and with obligations to obtain ISPs	See IV.30 below

	and involve CSWs in treatment and discharge planning	
IV.30	Evaluates compliance with all legal requirements for involuntary clients and with obligations to obtain ISPs and involve CSWs in treatment and discharge planning during contract reviews and imposes sanctions for non-compliance through contract reviews and licensing	All involuntary hospital contracts are in place.
IV.31	UR Nurses review all involuntary admissions funded by DHHS, take corrective action when they identify deficiencies and send notices of any violations to the licensing division and to the hospital	SAMHS reviews emergency involuntary admissions at the following hospitals: Maine General Medical Center, Spring Harbor, St. Mary's, Mid-Coast Hospital, Southern Maine Medical Center, PenBay Medical Center, Maine Medical Center/P6 and Acadia. See Standard IV.33 below regarding corrective actions.
IV.32	Licensing reviews of hospitals include an evaluation of compliance with patient rights and require a plan of correction to address any deficiencies.	19 Complaints Received 15 Complaints investigated 0 Substantiated (of the 15 complaints) 0 Plan of correction sought (During the investigation an addition violation was found that needed a plan of correction) 0 Rights of Recipients Violations
IV.33	• 90% of the time corrective action was taken when blue papers were not completed in accordance with terms • 90% of the time corrective action was taken when 24 hour certifications were not completed in accordance with terms • 90% of the time corrective action was taken when patient rights were not maintained	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.34	QM system documents that if hospitals have fallen below the performance standard for any of the following, SAMHS made the information public through CSNs, addressed in contract reviews with hospitals and CSS providers, and took appropriate corrective action to enforce responsibilities • obtaining ISPs (90%) • creating treatment and discharge plan consistent with ISPs (90%) • involving CIWs in treatment and discharge planning (90%)	See attached report *Community Hospital Utilization Review Performance Standard 18-1, 2, 3 by Hospital: Class Members 1st Quarter of Fiscal Year 2015*. The report displaying data by hospital for community hospitals accepting emergency involuntary clients is shared quarterly by posting reports on the CSN section of the Office's website. Standard 18.1 has not been met for the past 4 quarters. Standard 18.2 has been met for the past 4 quarters Standard 18.3 has been met for the past 4 quarters
IV.35	No more than 20-25% of face-to-face crisis contacts result in hospitalization – *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 19-1 and *Adult Mental Health Quarterly Crisis Report second Quarter, State Fiscal Year 2015 Summary Report*. In FY12, standard met all 4 quarters. In FY 13, standard met all 4 quarters. In FY 14, standard met 1st quarter, 2nd quarter slightly above standard (26.3%), met 3rd quarter and 4th quarter

		slightly above standard (26.1%) In FY 15 Q1 standard met, slightly above standard FY15 Q2 (25.6%)
IV.36	90% of crisis phone calls requiring face-to-face assessments are responded to within an average of 30 minutes from the end of the phone call – *must be met for 3 out of 4 quarters* Per amendment dated May 8,2014 the standard now reads as follows: 90% of crisis calls requiring face-to-face assessments are responded to within an average of 60 minutes from the end of the phone call	See attached *Adult Mental Health Quarterly Crisis Report Fourth Quarter, State Fiscal Year 2015 Summary Report*. Starting with July 2008 reporting from providers, SAMHS collects data on the total number of minutes for the response time (calculated from the determination of need for face to face contact or when the individual is ready and able to be seen to when the individual is actually seen) and figures an average. Average statewide calls requiring face to face assessments are responded to within an average of 30 minutes from the end of the phone call was met for all 4 Quarters in FY12, 4 quarters in FY13 and 1st and 2nd quarter of FY14. Standard not met 3rd quarter FY14. Standard met FY14 Q4. Standard not met 1st quarter FY 15. Met 2nd quarter FY 15
IV.37	90% of all face-to-face assessments result in resolution for the consumer within 8 hours of initiation of the face-to-face assessment – *must be met for 3 out of 4 quarters*	See attached *Adult Mental Health Quarterly Crisis Report second Quarter, State Fiscal Year 2015 Summary Report*. Standard has been met since the 2nd quarter of FY08 until FY 15 quarter 1 when standard was slightly below (87.2%). Standard slightly below 2nd quarter FY 15 (87.7%)
IV.38	90% of all face-to-face contacts in which the client has a CI worker, the worker is notified of the crisis – *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2014,* Standard 19-4 and *Adult Mental Health Quarterly Crisis Report Second Quarter, State Fiscal Year 2015 Summary Report*. Standard not met 3 out of 4 quarters.
IV.39	Compliance Standard deleted 1/19/2011.	
IV.40	Department has implemented the components of the CD plan related to vocational services	As of quarter 3 FY10, the Department has implemented all components of the CD Plan related to Vocational Services.
IV.41	QM system shows that the Department conducts further review and takes appropriate corrective action if PS 26.3 data shows that the number of consumers under age 62 and employed in supportive or competitive employment falls below 10%. *(Amended language 1/19/11)*	2013 Adult Health and Well-Being Survey: 2.5 % of consumers in supported and competitive employment (full or part time).
IV.42	5% or fewer class members have unmet needs for mental health treatment services – *must be met for 3 out of 4 quarters* **and**	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 21-1 This standard has not been met for the prior 4 quarters.
IV.43	**EITHER** quarterly unmet mental health treatment needs for one year for qualified non-class members do not exceed by 15	Unmet mental health treatment needs for non-class members do not exceed 15 percentage points of the same for Class Members.

	percentage points those of class members **OR** if exceeded for one or more quarters, SAMHS produces documentation sufficient to explain cause and to show that cause is not related to class status	See attached report Consent Decree Compliance Standards IV.23 and IV.43
IV.44	QM documentation shows that the Department conducts further review and takes appropriate corrective action if results from the DIG survey fall below the levels identified in Standard # 22-1 (the domain average of positive responses to the statements in the Perception of Access Domain is at or above 85%) *(Amended language 1/19/11)* **and**	2013 Adult Health and Well-Being Survey: 77.1% domain average of positive responses.
IV.45	Meet RPC discharge standards (below); if not met, document that failure to meet is not due to lack of mental health treatment services in the community • 70% RPC clients who remained ready for discharge were transitioned out within 7 days of determination • 80% within 30 days • 90% within 45 days (with certain exceptions by agreement of parties and court master)	See attached *Performance and Quality Improvement Standards: February 2012,* Standards 21-2, 21-3 and 21-4 Standard met since the beginning of FY08
IV.46	The department documents the programs it has sponsored that are designed to improve quality of life and community inclusion for class members, including support of peer centers, social clubs, community connections training, wellness programs, and leadership and advocacy training programs. Standard amended per amendment dated May 8, 2014	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.47	10% or fewer class members have ISP-identified unmet needs for transportation to access mental health services – *must be met for 3 out of 4 quarters*	See attached *Performance and Quality Improvement Standards: February 2015,* Standard 28 This standard has been consistently met since FY08.
IV.48	Provide documentation in quarterly reports of funding, developing, recruiting, and supporting an array of family support services that include specific services listed on page 16 of the Compliance Plan	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.49	Certify that all contracts with providers include a requirement to refer family members to family support services, and produce documentation that contract reviews include evaluation of compliance with this requirement.	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.
IV.50	The department documents the number and types of mental health informational	Standard no longer reported per amendment dated May 8, 2014. Report available upon request.

	workshops, forums, and presentations geared toward the general public that are designed to reduce myths and stigma of mental illness and to foster community integration or persons with mental illness.	



Consent Decree Performance and Quality Improvement Standards: February 2015

The attached compliance and performance standards are primarily for use in monitoring, evaluation and quality assurance of the areas covered by the Consent Decree pertaining to the community mental health system. The standards are intended to offer the parties and the court master a means of measuring system function and improvement over time and the Department's work towards compliance. If the percentage is within .5% of standard, the standard is considered met.

All standards utilizing RDS/enrollment data, inclusive of unmet need data, are reported one quarter behind (for example, reporting 3rd quarter data in the 4th quarter).

Reporting includes, where pertinent, discussion of the data and recommendations.

Standards no longer reported per amendment dated May 8, 2014, can be found at that following link. http://www.maine.gov/dhhs/samhs/mentalhealth/consent_decree/amendments/Amendment%20to%20Plan%2016%20May%208,%202014.pdf

Reports containing these standards may be obtained at any time by contacting SAMHS.

Definitions:

Standard Title:	What the standard is intending to measure.
Measure Method:	How the standard is being measured.
Standard has been me	The most recent data available for the Standard.
Performance Standard:	Standard set as a component of the Department's approved Adult Mental Health Services Plan dated October 13, 2006.
Compliance Standard:	Standard set as a component of the Department's approved standards for defining substantial compliance approved October 29, 2007.

Calendar and Fiscal Year Definitions:

CY: Calendar Year - January 1 - December 31.
FY: Fiscal Year - State Fiscal Year July 1 - June 30.

Compliance and Performance Standards: Summary Sheet
October - December 2014

Standard 1. Rights Dignity and Respect

Average of positive responses in the Adult Mental Health and Well Being Survey Quality and Appropriateness domain

Standard 2. Rights Dignity and Respect

No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 3. Rights Dignity and Respect

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 4. Rights Dignity and Respect

1. Deleted: Amendment request to delete approved 01/19/2011

1a. Deleted: Amendment request to delete approved 01/19/2011

1b. Deleted: Amendment request to delete approved 01/19/2011

2. Consumers given information about their rights

Standard 5. Timeliness of ISP and CI/CSS Assignment

1. Class members requesting a worker who were assigned one.
2. Hospitalized class members assigned a worker in 2 days.
3. Non-hospitalized class members assigned a worker in 3 days.
4. Class members not assigned on time, but within 1-7 extra days.
5. ISP completed within 30 days of service request.
6. 90 day ISP review completed within specified time frame
7. Initial ISPs not developed w/in 30 days, but within 60 days.
8. ISPs not reviewed within 90 days, but within 120 days.

Standard 7. CI/CSS/ Individualized Support Planning

1a. No longer reported per amendment dated May 8, 2014. Report available upon request.

1b. No longer reported per amendment dated May 8, 2014. Report available upon request.

1c. No longer reported per amendment dated May 8, 2014. Report available upon request.

1d. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 8. CI/CSS Individualized Support Planning

1. ISP team reconvened after an unmet need was identified
2. ISPs reviewed with unmet needs with established interim plans.

Standard 9. ISP Service Agreements

ISPs that require Service Agreements that have current Service Agreements

Compliance and Performance Standards: Summary Sheet
October - December 2014

Standard 10. Case Load Ratios

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.
3. Intensive Community Integration Statewide Case Load Ratio - deleted: ICI is no longer a service offered by MaineCare.
4. Intensive Case Management Statewide Case Load Ratio
5. OES Public Ward Case Management Case Load Ratio

Standard 11. CI/CSS Individualized Support Planning

No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 12. Housing & Residential Support Services

1. Class Members with ISPs, with unmet Residential Support Needs
2. Lack of Residential Support impedes Riverview discharge within 7 days of determination of readiness for discharge.
3. Lack of Residential Support impedes discharge within 30 days of determination.
4. Lack of Residential Support impedes discharge within 45 days of determination.

Standard 13. Housing & Residential Support Services

1. Average of positive responses in the Adult Mental Health and Well Being Survey Perception of Outcomes domain
2. Deleted: Amendment request to delete approved 01/19/2011

Standard 14. Housing & Residential Support Services

1. Class members with unmet housing resource needs.
2. Respondents who were homeless over 12 month period.
3. Deleted: Amendment request to delete approved 01/19/2011
4. Lack of housing impedes Riverview discharge within 7 days of determination of readiness for discharge
5. Lack of housing impedes Riverview discharge within 30 days of determination
6. Lack of housing impedes Riverview discharge within 45 days of determination

Standard 15. Housing & Residential Services

No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 16. Acute Inpatient Services (Class Member Involuntary Admissions)

Inpatient admissions reasonably near community residence.

Compliance and Performance Standards: Summary Sheet
October - December 2014

Standard 17. Acute Inpatient Services (Class Member Involuntary Admissions)

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

2a. No longer reported per amendment dated May 8, 2014. Report available upon request.

3. No longer reported per amendment dated May 8, 2014. Report available upon request.

3a. No longer reported per amendment dated May 8, 2014. Report available upon request.

4. No longer reported per amendment dated May 8, 2014. Report available upon request.

4a. No longer reported per amendment dated May 8, 2014. Report available upon request.

5. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 18. Acute Inpatient Services (Class Member Involuntary Admissions)

1. Admissions for whom hospital obtained ISP
2. Treatment and Discharge plans consistent with ISP
3. CI/ICM/ACT worker participated in treatment and discharge planning

Standard 19. Crisis intervention Services

1. Face to face crisis contacts that result in hospitalizations.
2. Face to face crisis contacts resulting in follow up and/or referral to community services
3. Face to face crisis contacts using pre-developed crisis plan.
4. Face to face crisis contacts in which CI worker was notified of crisis.

Standard 20. Crisis Intervention Services

1. Deleted: Amendment request to delete approved 01/19/2011
2. Deleted: Amendment request to delete approved 01/19/2011

Standard 21. Treatment Services

1. Class Members with unmet mental health treatment needs.
2. Lack of MH Tx impedes Riverview discharge within 7 days of determination of readiness for discharge
3. Lack of MH Tx impedes Riverview discharge within 30 days of determination.
4. Lack of MH Tx impedes Riverview discharge within 45 days of determination
5. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 22. Treatment Services

1. Average of positive responses in the Adult Mental Health and Well Being Survey Perception of Access domain
2. Average of positive responses in the Adult Mental Health and Well Being survey General Satisfaction domain

Standard 23. Family Support Services

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

Compliance and Performance Standards: Summary Sheet
October - December 2014

Standard 24. Family Support Services

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.
3. Deleted: Family participants reporting satisfaction with respite services in the community - NAMI closed its respite programs as of January 2010

Standard 25. Family Support Services

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 26. Vocational Employment Services

1. Class members with ISPs - Unmet vocational/employment Needs.
2. Class Members in competitive employment in the community.
3. Consumers in supported or competitive employment in the community.

Standard 27. Vocational Employment Services

1. Deleted: Amendment request to delete approved 01/19/2011
2. Deleted: Amendment request to delete approved 01/19/2011

Standard 28. Transportation

Class Members with ISPs - Unmet transportation needs.

Standard 29. Transportation

1. Deleted: Amendment request to delete approved 01/19/2011
2. Deleted: Amendment request to delete approved 01/19/2011

Standard 30. Rec/Soc/Avocational/Spiritual Opportunities

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

Standard 31. Rec/Soc/Avoc/Spirtual

1. ISP identified class member unmet needs in recreational/social/avocational/spiritual areas
   Social Connectedness domain
3. Deleted: Amendment request to delete approved 01/19/2011

Standard 32. Individual Outcomes

1. Consumers with improvement in LOCUS (Baseline to Follow-up)
2. Consumers who have maintained functioning (Baseline to Follow-up)
3. Consumers reporting positively on functional outcomes.

Compliance and Performance Standards: Summary Sheet
October - December 2014

Standard 33. Recovery

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. Consumers reporting staff believed they could grow, change, recover
3. Consumers reporting staff supported their recovery efforts
4. Deleted: Consumers reporting that providers offered learning opportunities: questions eliminated with 2007 Adult Mental Health and Well Being Survey
5. Consumers reporting providers stressed natural supports/friendships
6. Consumers reporting providers offered peer recovery groups.

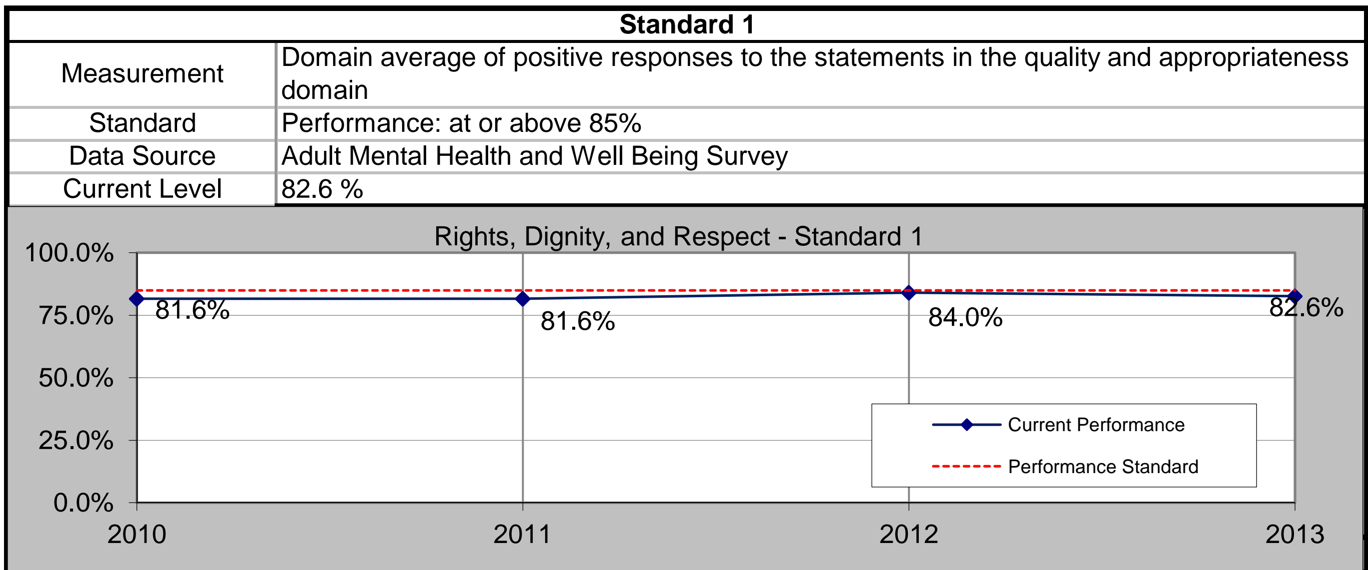
Standard 34. Public Education

1. No longer reported per amendment dated May 8, 2014. Report available upon request.
2. No longer reported per amendment dated May 8, 2014. Report available upon request.

Rights, Dignity, and Respect

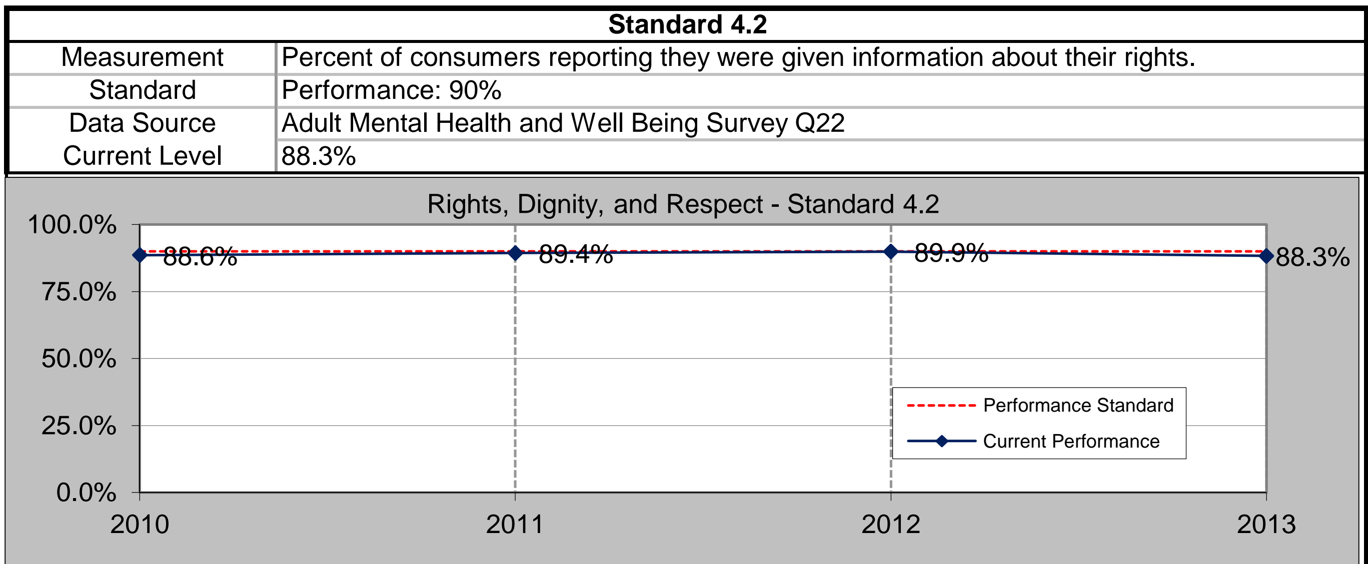
Standard 1 - Treated with respect for their individuality

Standard 1	
Measurement	Domain average of positive responses to the statements in the quality and appropriateness domain
Standard	Performance: at or above 85%
Data Source	Adult Mental Health and Well Being Survey
Current Level	82.6 %



Standard 4 - Class Members are informed of their rights

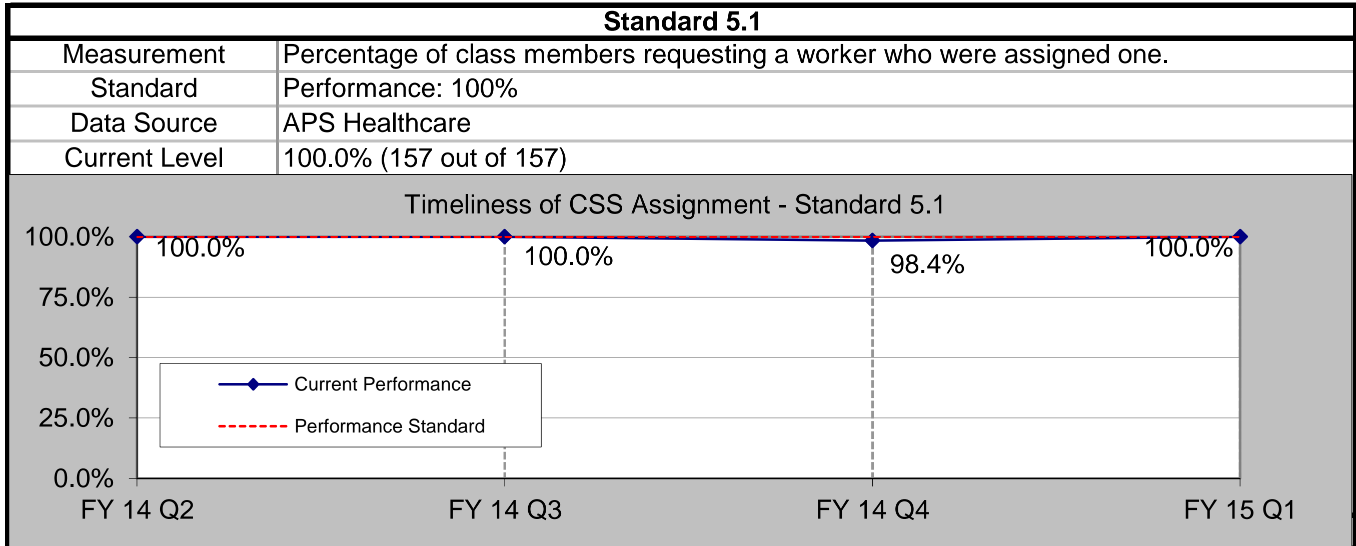
Standard 4.2	
Measurement	Percent of consumers reporting they were given information about their rights.
Standard	Performance: 90%
Data Source	Adult Mental Health and Well Being Survey Q22
Current Level	88.3%



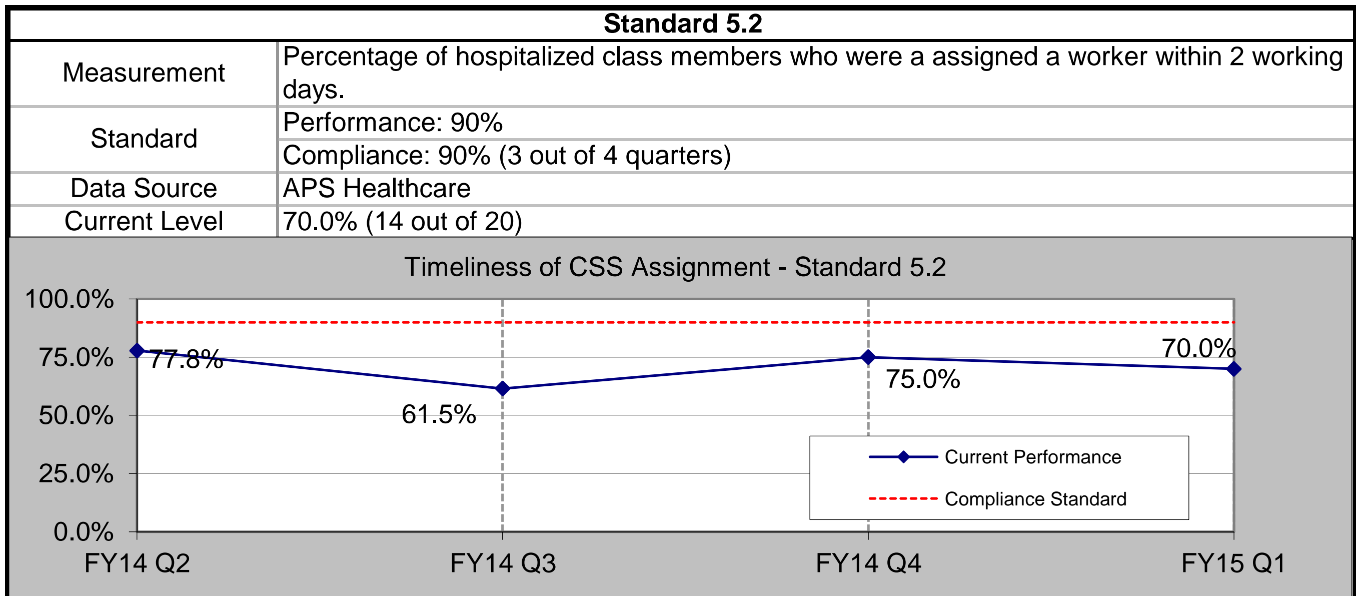
Community Integration / Community Support Services / Individualized Support Planning

Standard 5 - Prompt Assignment of CI/ACT Workers, ISP Timeframes/Attendees at ISP Meetings

Standard 5.1	
Measurement	Percentage of class members requesting a worker who were assigned one.
Standard	Performance: 100%
Data Source	APS Healthcare
Current Level	100.0% (157 out of 157)

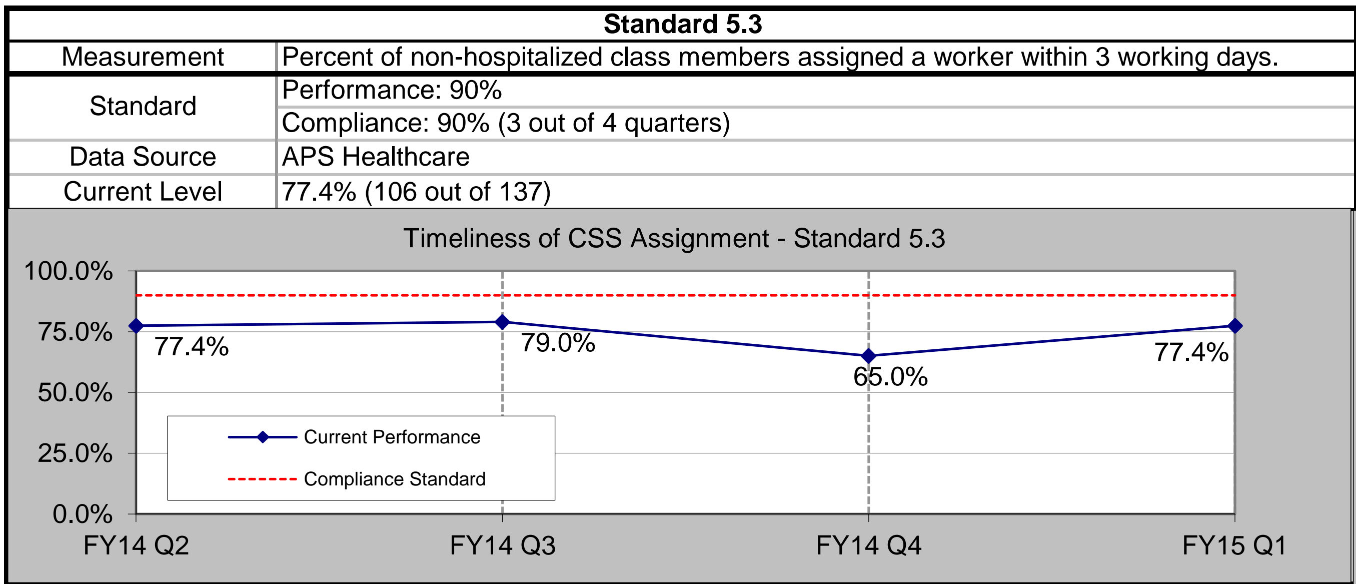


Standard 5.2	
Measurement	Percentage of hospitalized class members who were a assigned a worker within 2 working days.
Standard	Performance: 90%
	Compliance: 90% (3 out of 4 quarters)
Data Source	APS Healthcare
Current Level	70.0% (14 out of 20)

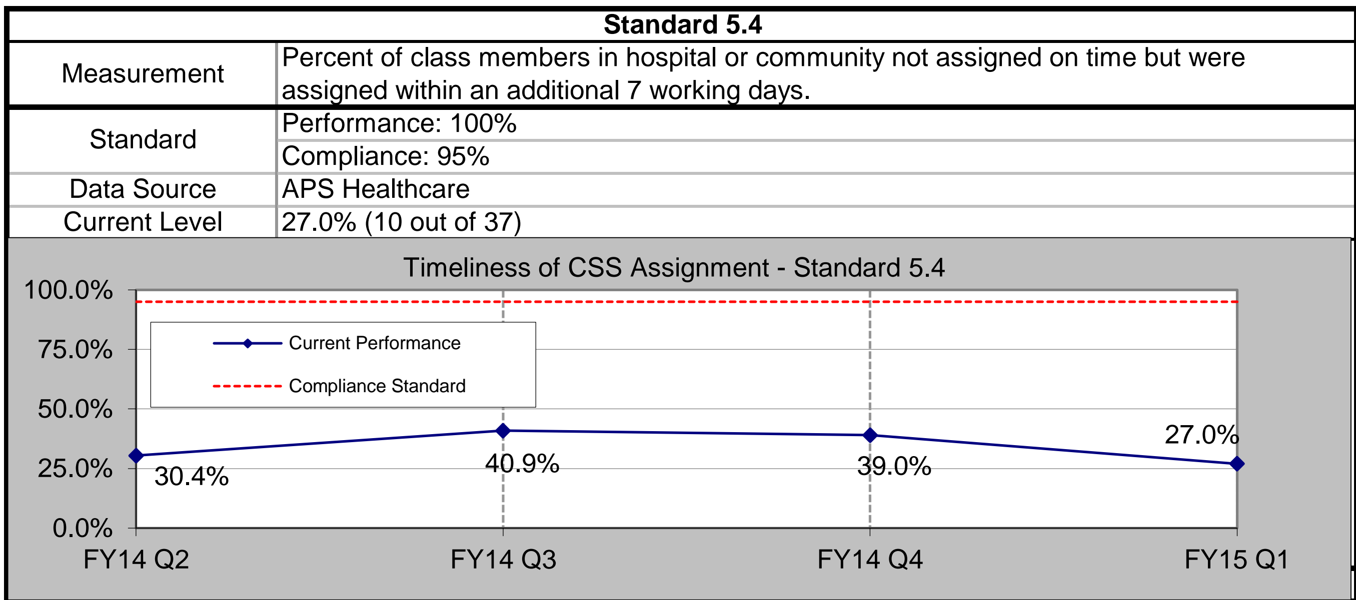


Community Integration / Community Support Services / Individualized Support Planning

Standard 5.3	
Measurement	Percent of non-hospitalized class members assigned a worker within 3 working days.
Standard	Performance: 90%
	Compliance: 90% (3 out of 4 quarters)
Data Source	APS Healthcare
Current Level	77.4% (106 out of 137)



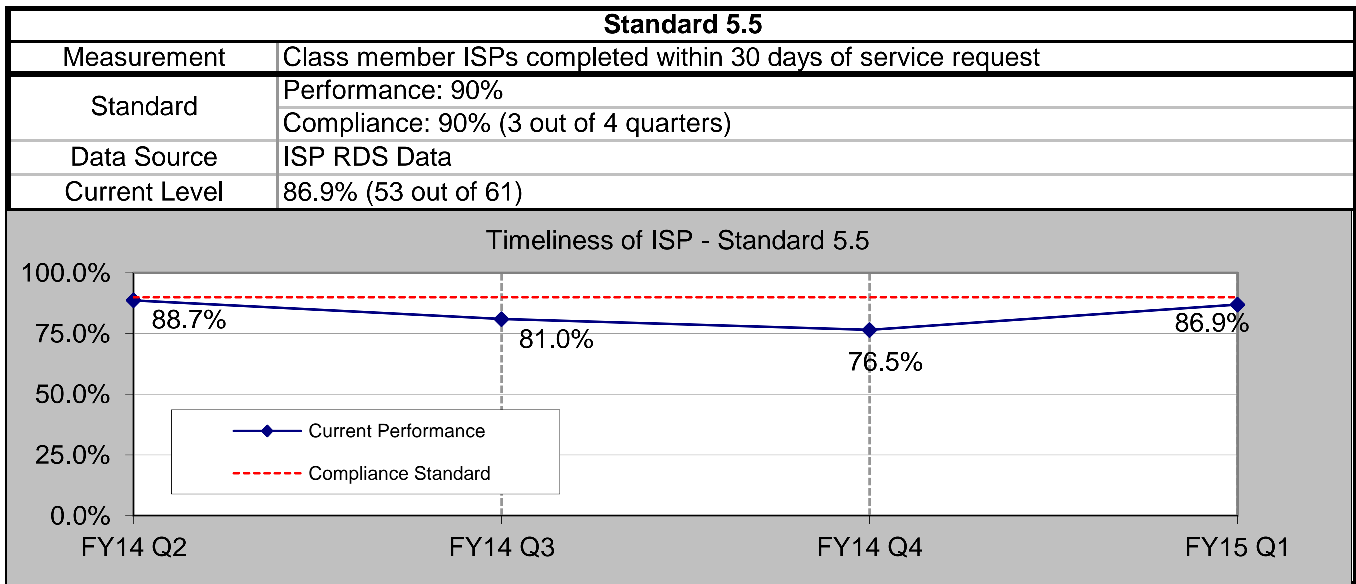
Standard 5.4	
Measurement	Percent of class members in hospital or community not assigned on time but were assigned within an additional 7 working days.
Standard	Performance: 100%
	Compliance: 95%
Data Source	APS Healthcare
Current Level	27.0% (10 out of 37)



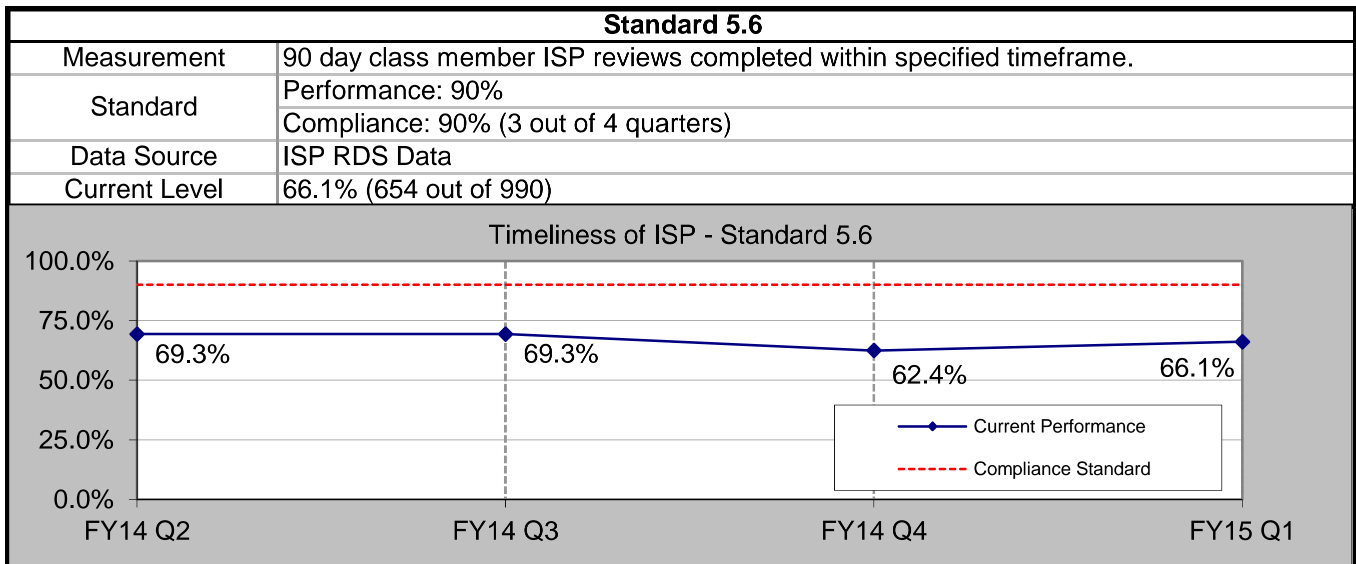
Standards 5.1 -5.4 – Calculations are now based on days from Contact for Service Notification to date of assignment.

Starting with Fiscal Year 2015 Quarter 1, Standard 5.1 – 5.4 will now be calculated using CI, ACT, CRS and BHH data. Prior to this quarter, only CI was used in calculations for these standards.

Community Integration / Community Support Services / Individualized Support Planning

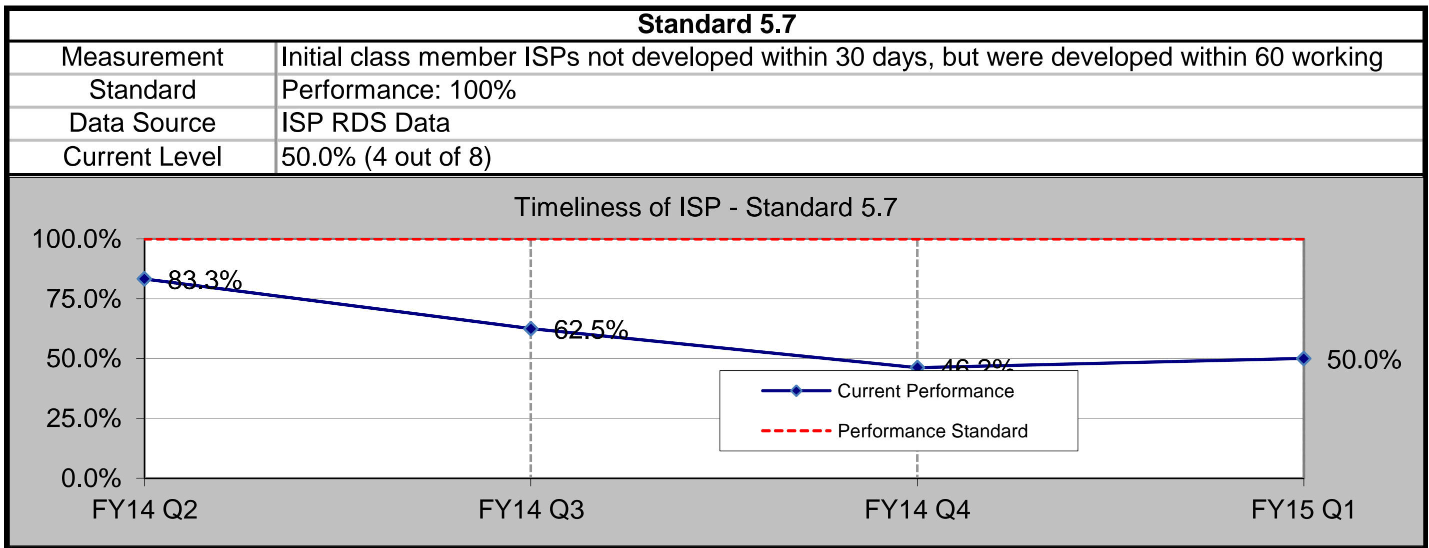


Standard 5.5	
Measurement	Class member ISPs completed within 30 days of service request
Standard	Performance: 90%
	Compliance: 90% (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	86.9% (53 out of 61)

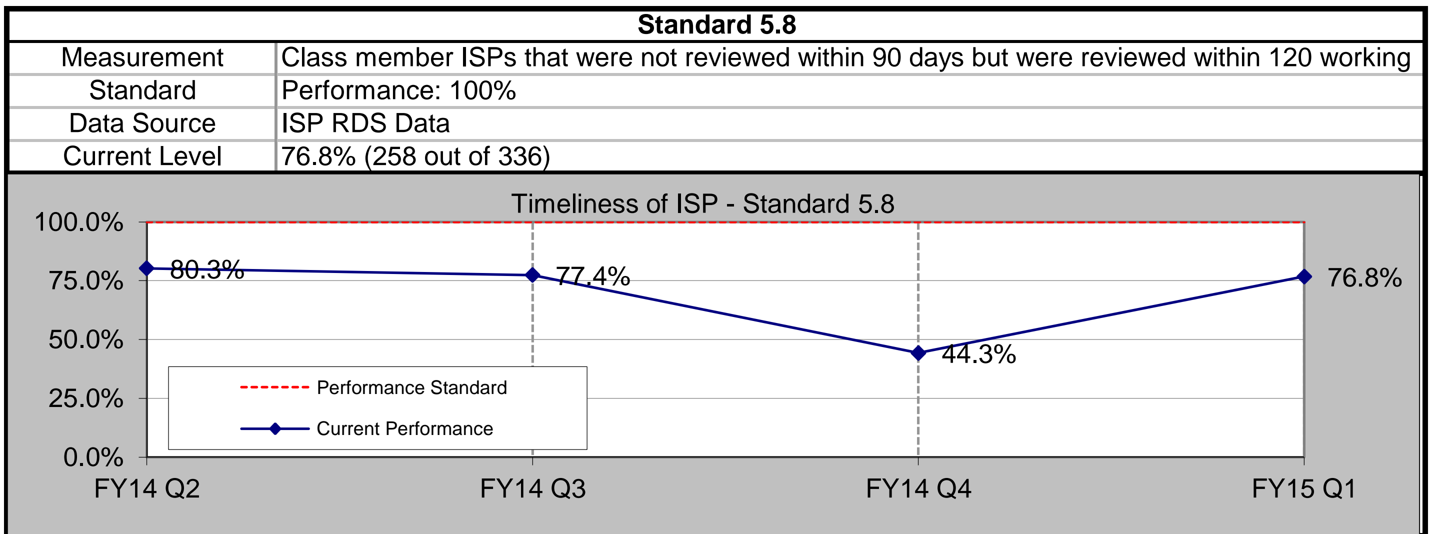


Standard 5.6	
Measurement	90 day class member ISP reviews completed within specified timeframe.
Standard	Performance: 90%
	Compliance: 90% (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	66.1% (654 out of 990)

Community Integration / Community Support Services / Individualized Support Planning



Standard 5.7	
Measurement	Initial class member ISPs not developed within 30 days, but were developed within 60 working
Standard	Performance: 100%
Data Source	ISP RDS Data
Current Level	50.0% (4 out of 8)



Standard 5.8	
Measurement	Class member ISPs that were not reviewed within 90 days but were reviewed within 120 working
Standard	Performance: 100%
Data Source	ISP RDS Data
Current Level	76.8% (258 out of 336)

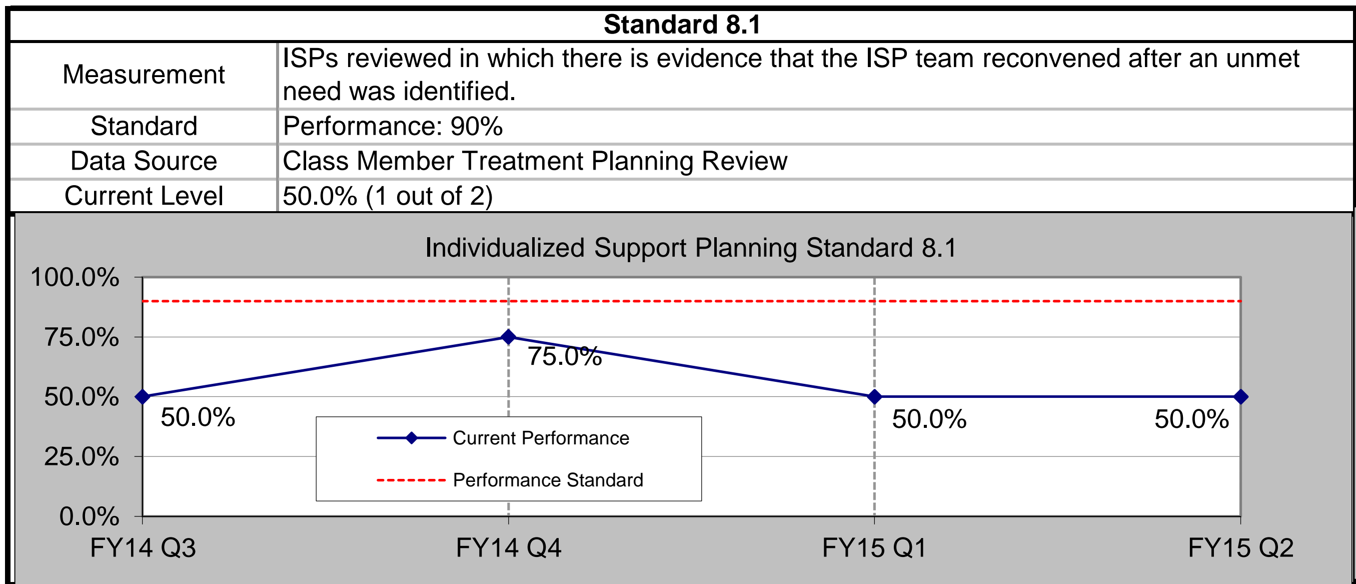
Discussion:

Standards 5.1 - 5.8: Field Quality Managers have completed additional agency trainings around assignment times. Assignment time performance measures are now included in Rider E of agency contracts. Data Quality Management Team will identify outliers for follow up by the treatment team and provider agencies driving these numbers. NIATx has also been deployed within seven agencies to collaberate around resolution to these issues.

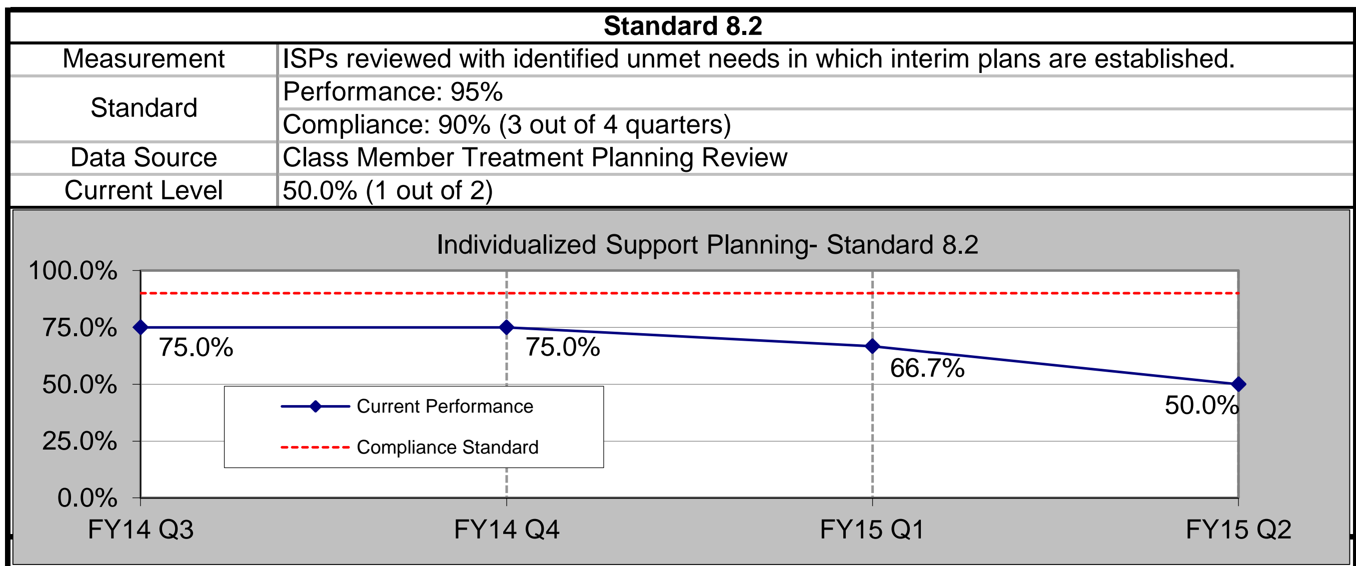
Community Integration / Community Support Services / Individualized Support Planning

Standard 8 - Services based on needs of class member rather than only available services

Standard 8.1	
Measurement	ISPs reviewed in which there is evidence that the ISP team reconvened after an unmet need was identified.
Standard	Performance: 90%
Data Source	Class Member Treatment Planning Review
Current Level	50.0% (1 out of 2)



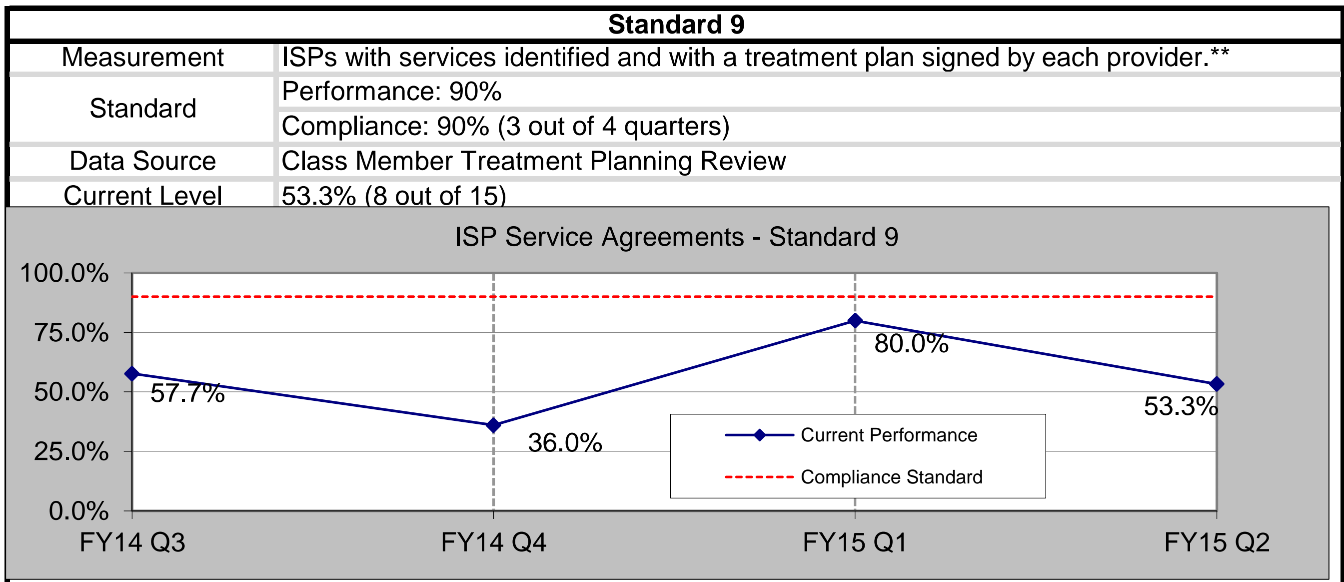
Standard 8.2	
Measurement	ISPs reviewed with identified unmet needs in which interim plans are established.
Standard	Performance: 95% Compliance: 90% (3 out of 4 quarters)
Data Source	Class Member Treatment Planning Review
Current Level	50.0% (1 out of 2)



Community Integration / Community Support Services / Individualized Support Planning

Standard 9 - Services to be delivered by an agency funded or licensed by the state

Standard 9	
Measurement	ISPs with services identified and with a treatment plan signed by each provider.**
Standard	Performance: 90%
	Compliance: 90% (3 out of 4 quarters)
Data Source	Class Member Treatment Planning Review
Current Level	53.3% (8 out of 15)



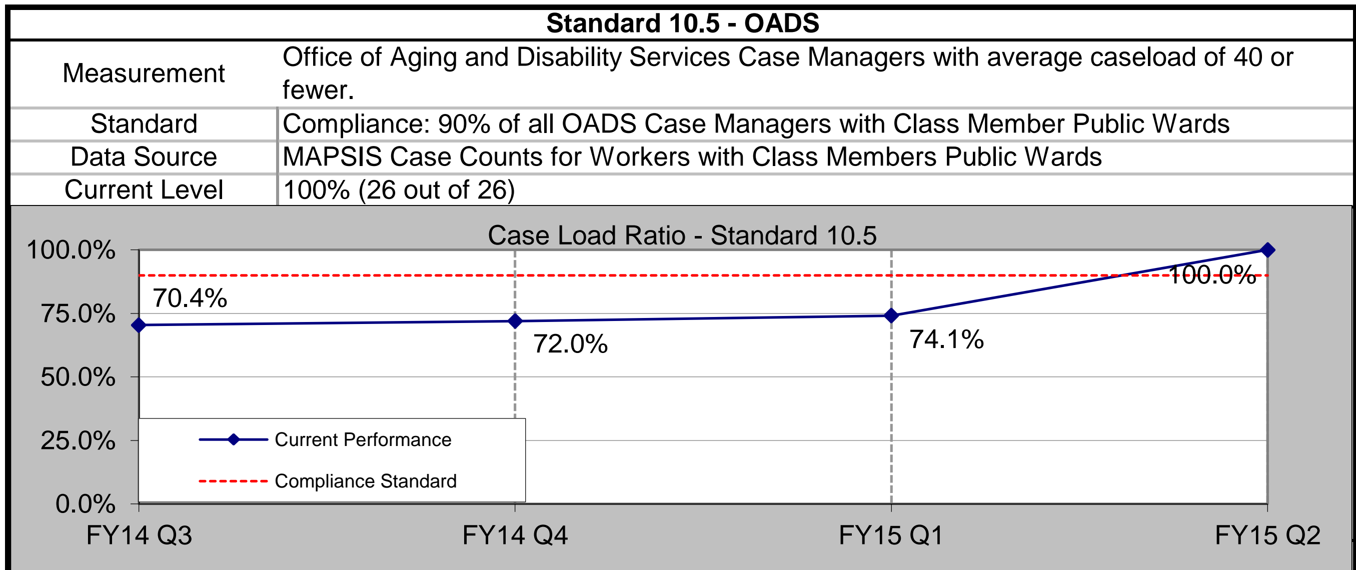
Discussion:

Standards 8.1, 8.2 and 9 - Field Quality Managers continue to perform document reviews and work with the agencies around unmet needs and service agreements.

Community Integration / Community Support Services / Individualized Support Planning

Standard 10.4 - ICM	
Measurement	Intensive Case Managers with average caseloads of 16 or fewer.
Standard	Compliance: 90% of all ICM Workers with Class Member caseloads
	ICMs focus on outreach with individuals in forensic facilities. ICMs no longer carry traditional caseloads. In the future, if ICMs carry caseloads, OAMHS will resume reporting caseload ratios.

Standard 10.5 - OADS	
Measurement	Office of Aging and Disability Services Case Managers with average caseload of 40 or fewer.
Standard	Compliance: 90% of all OADS Case Managers with Class Member Public Wards
Data Source	MAPSIS Case Counts for Workers with Class Members Public Wards
Current Level	100% (26 out of 26)



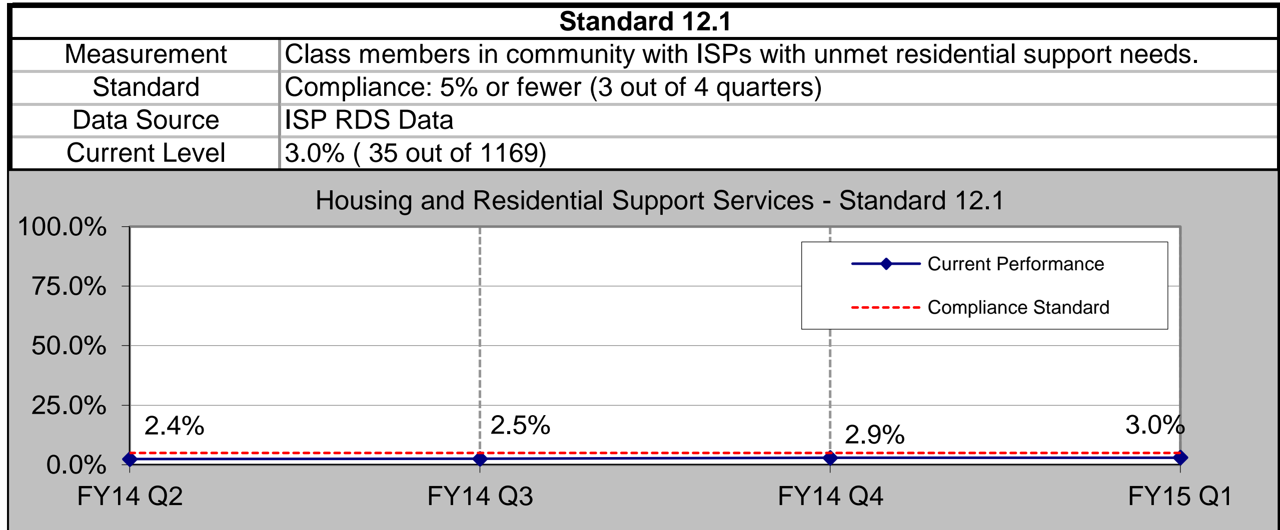
Discussion:

Standard 10.5 - Per amendment dated December 10, 2014 average case load was changed from 25 to 40. Amendment can be found here: http://www.maine.gov/dhhs/samhs/mentalhealth/consent_decree/amend_rule/Order%20amending%20para%2027%20and%20257%20%20Dec%2010%202014.pdf

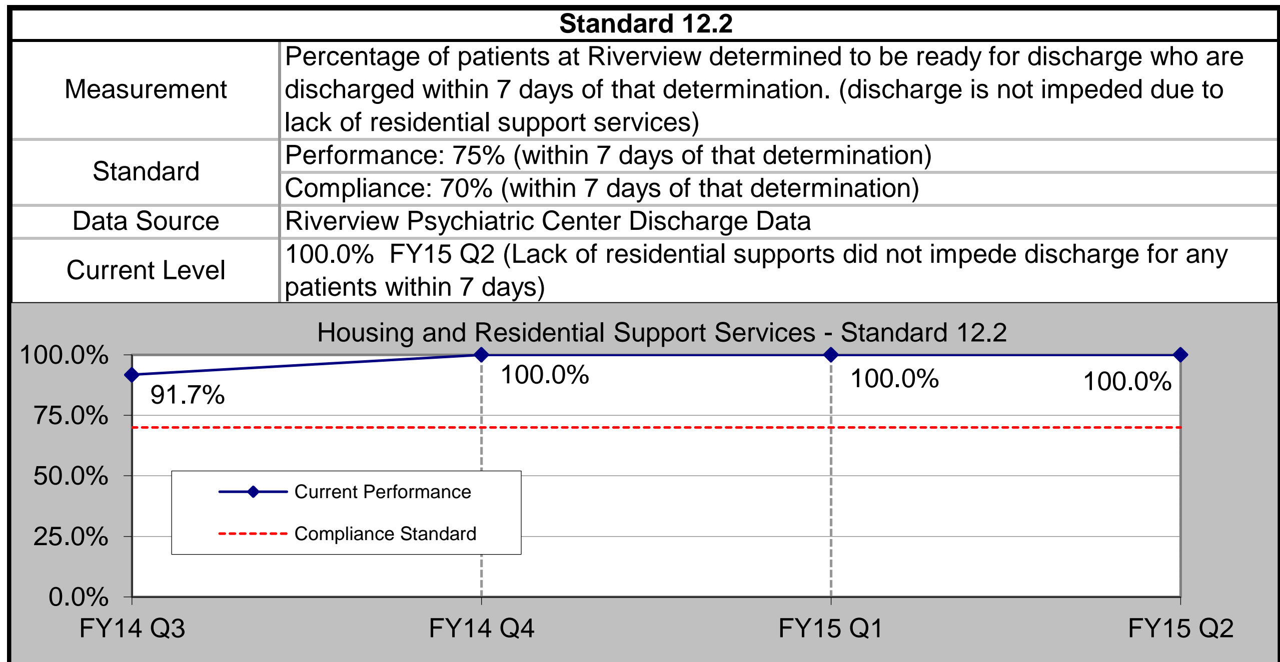
Community Resources and Treatment Services
Housing and Residential

Standard 12 - Residential Support services adequate to meet ISP needs of those ready for discharge

Standard 12.1	
Measurement	Class members in community with ISPs with unmet residential support needs.
Standard	Compliance: 5% or fewer (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	3.0% (35 out of 1169)

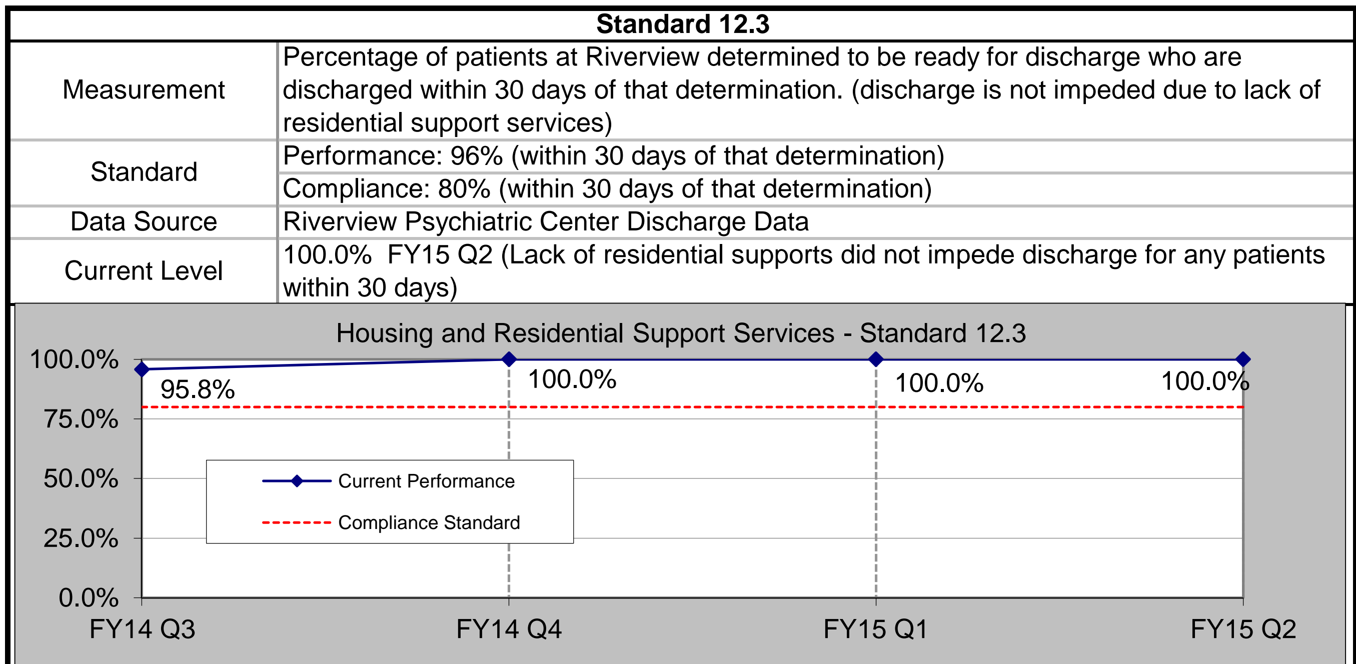


Standard 12.2	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 7 days of that determination. (discharge is not impeded due to lack of residential support services)
Standard	Performance: 75% (within 7 days of that determination)
	Compliance: 70% (within 7 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of residential supports did not impede discharge for any patients within 7 days)

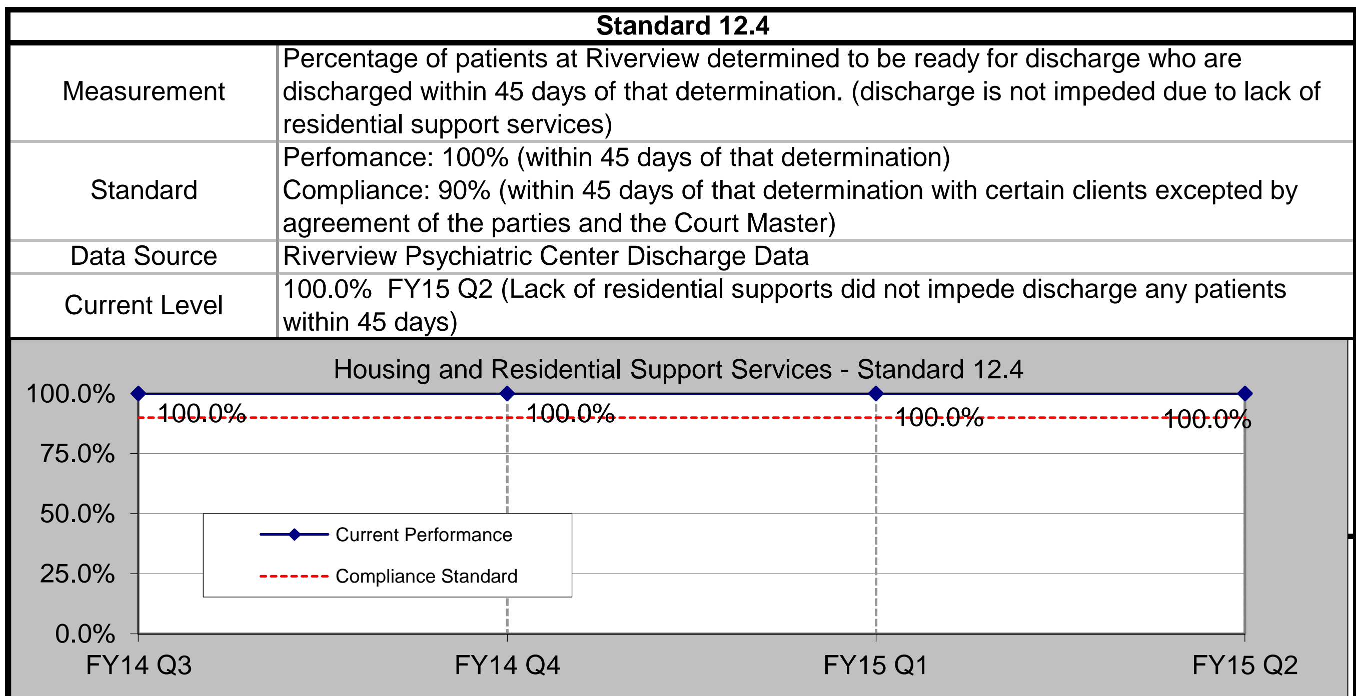


Community Resources and Treatment Services
Housing and Residential

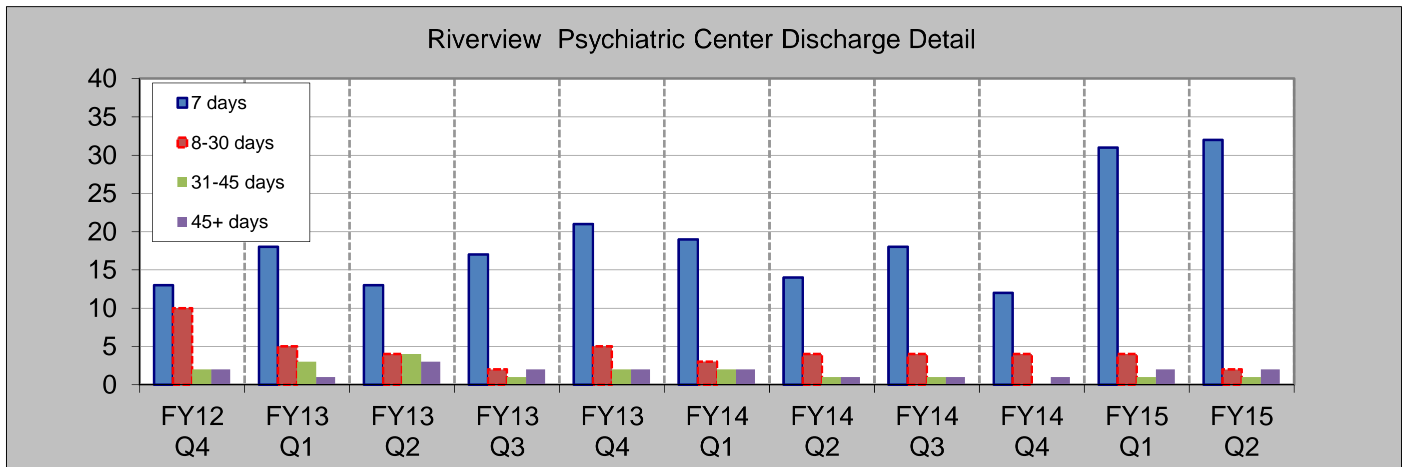
Standard 12.3	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 30 days of that determination. (discharge is not impeded due to lack of residential support services)
Standard	Performance: 96% (within 30 days of that determination)
	Compliance: 80% (within 30 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of residential supports did not impede discharge for any patients within 30 days)



Standard 12.4	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 45 days of that determination. (discharge is not impeded due to lack of residential support services)
Standard	Perfomance: 100% (within 45 days of that determination) Compliance: 90% (within 45 days of that determination with certain clients excepted by agreement of the parties and the Court Master)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of residential supports did not impede discharge any patients within 45 days)



Community Resources and Treatment Services
Housing and Residential



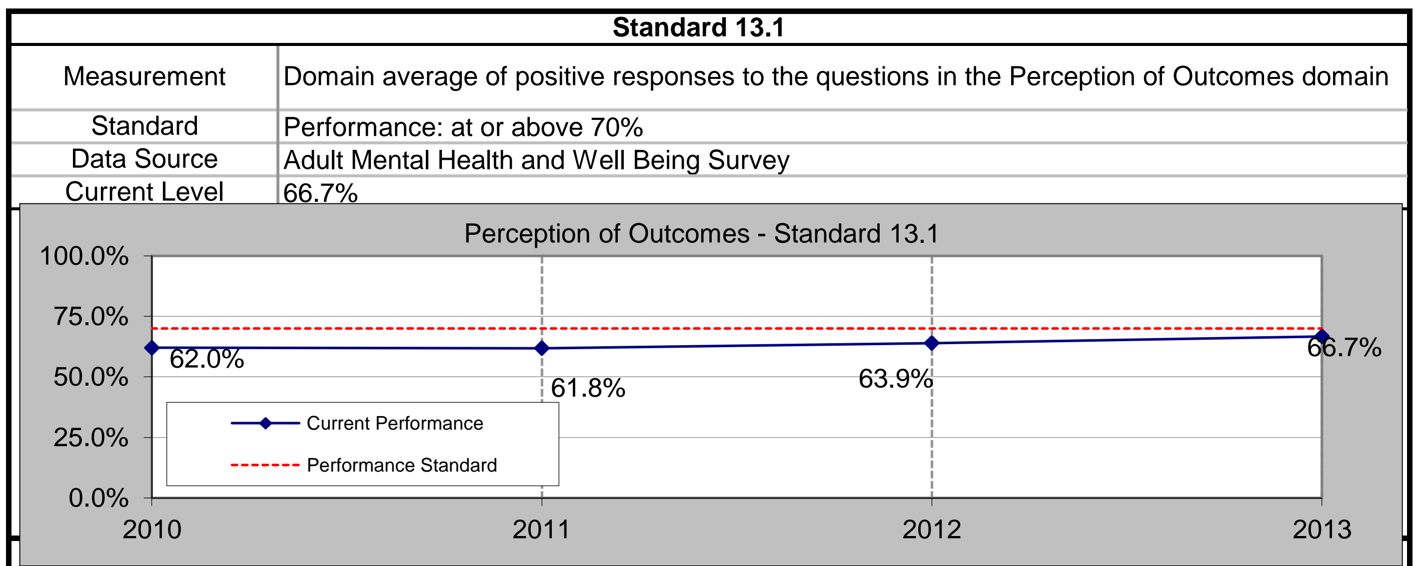
Riverview Psychiatric Center Discharge Detail to amplify data presented in Standards 12.2, 12.3, 12.4:

<u>37 Civil Patients discharged in quarter</u>

32 discharged at 7 days (86.5%)
2 discharged 8-30 days (5.4%)
1 discharged 31-45 days (2.7%)
4 discharged post 45 days (10.8%)

<u>Residential Supports did not impede discharge for any patients post clinical readiness for discharge.</u>

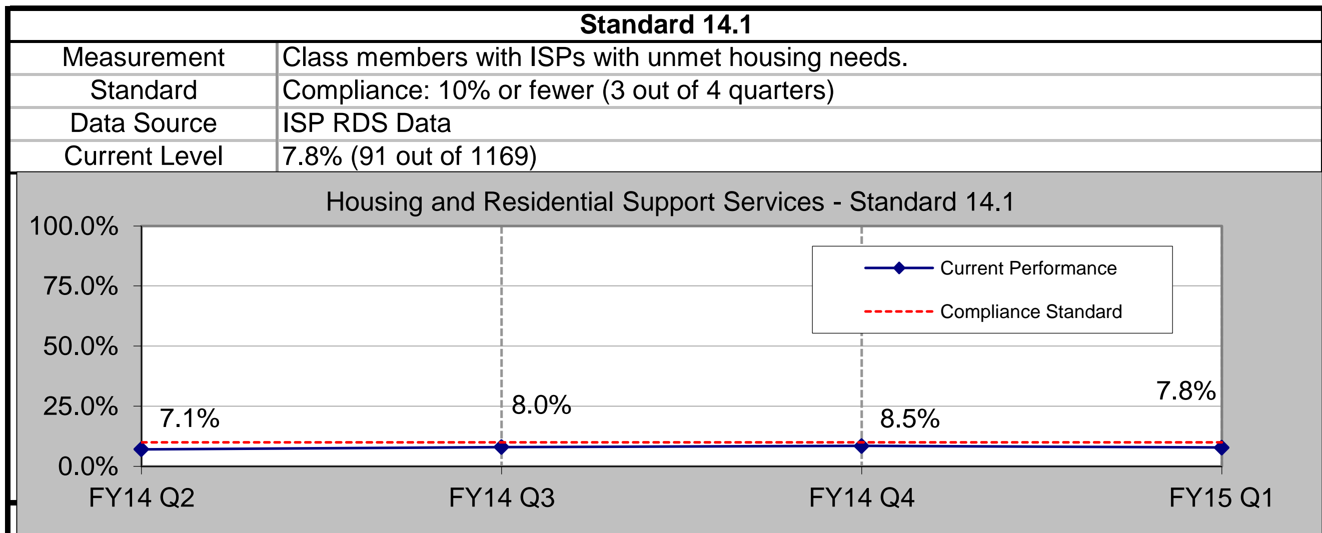
Standard 13.1	
Measurement	Domain average of positive responses to the questions in the Perception of Outcomes domain
Standard	Performance: at or above 70%
Data Source	Adult Mental Health and Well Being Survey
Current Level	66.7%



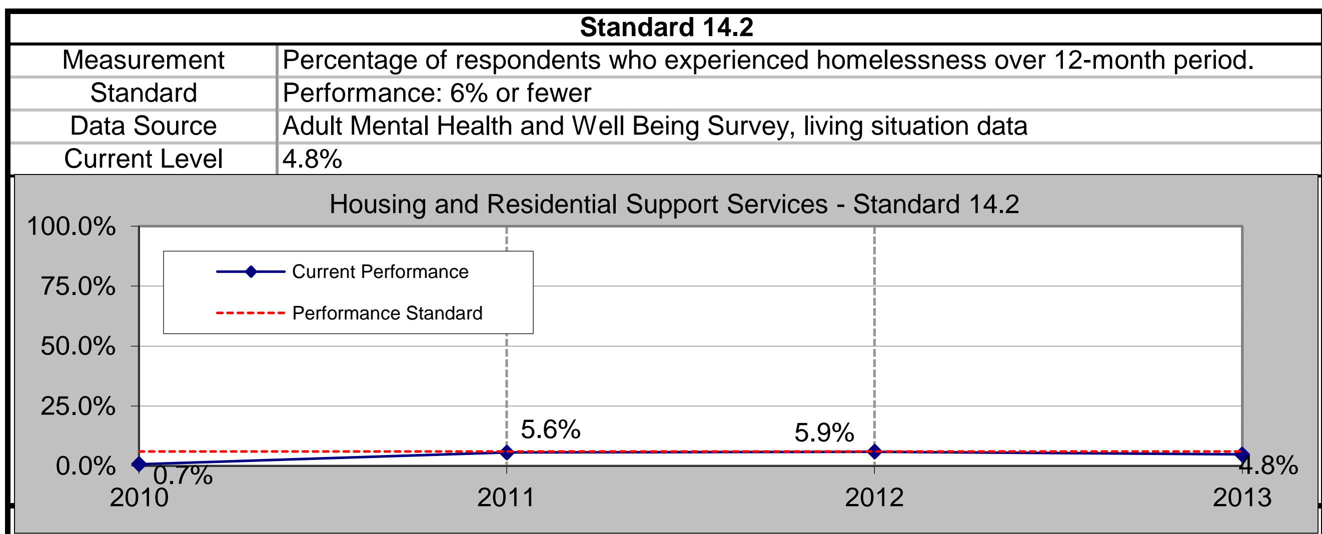
Community Resources and Treatment Services
Housing and Residential

Standard 14 - Demonstrate an array of housing alternatives available to meet class member needs.

Standard 14.1	
Measurement	Class members with ISPs with unmet housing needs.
Standard	Compliance: 10% or fewer (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	7.8% (91 out of 1169)

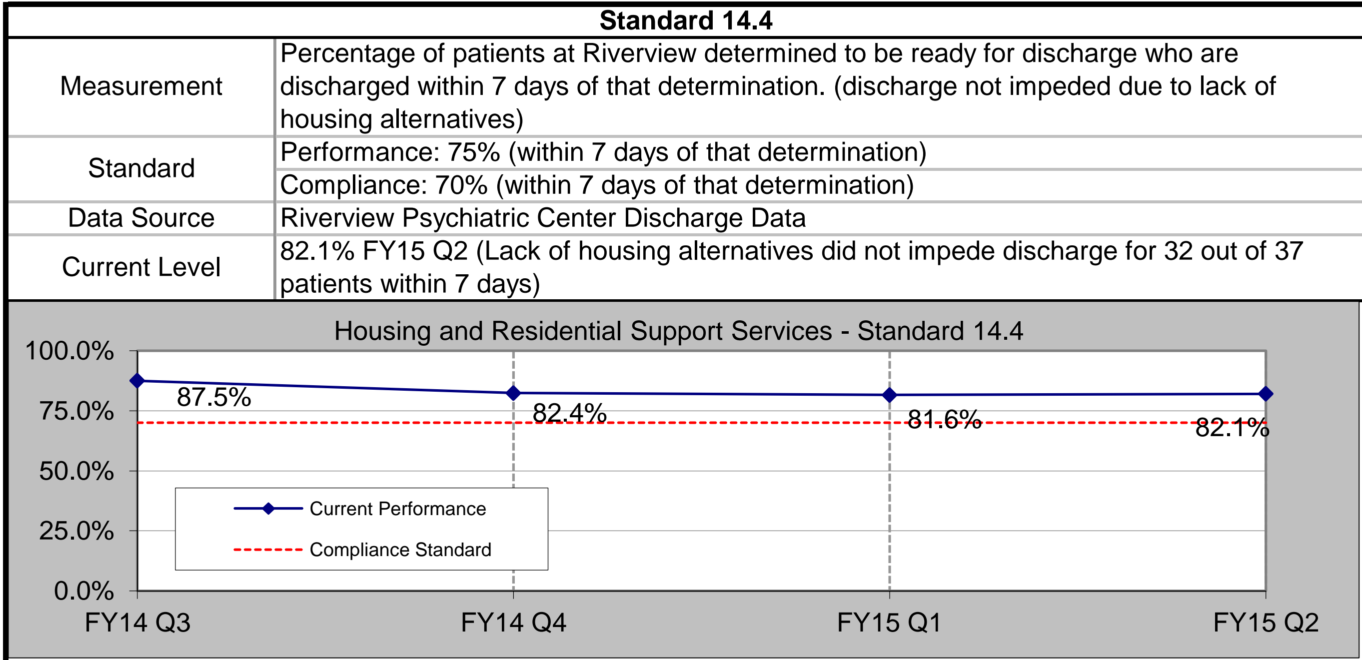


Standard 14.2	
Measurement	Percentage of respondents who experienced homelessness over 12-month period.
Standard	Performance: 6% or fewer
Data Source	Adult Mental Health and Well Being Survey, living situation data
Current Level	4.8%

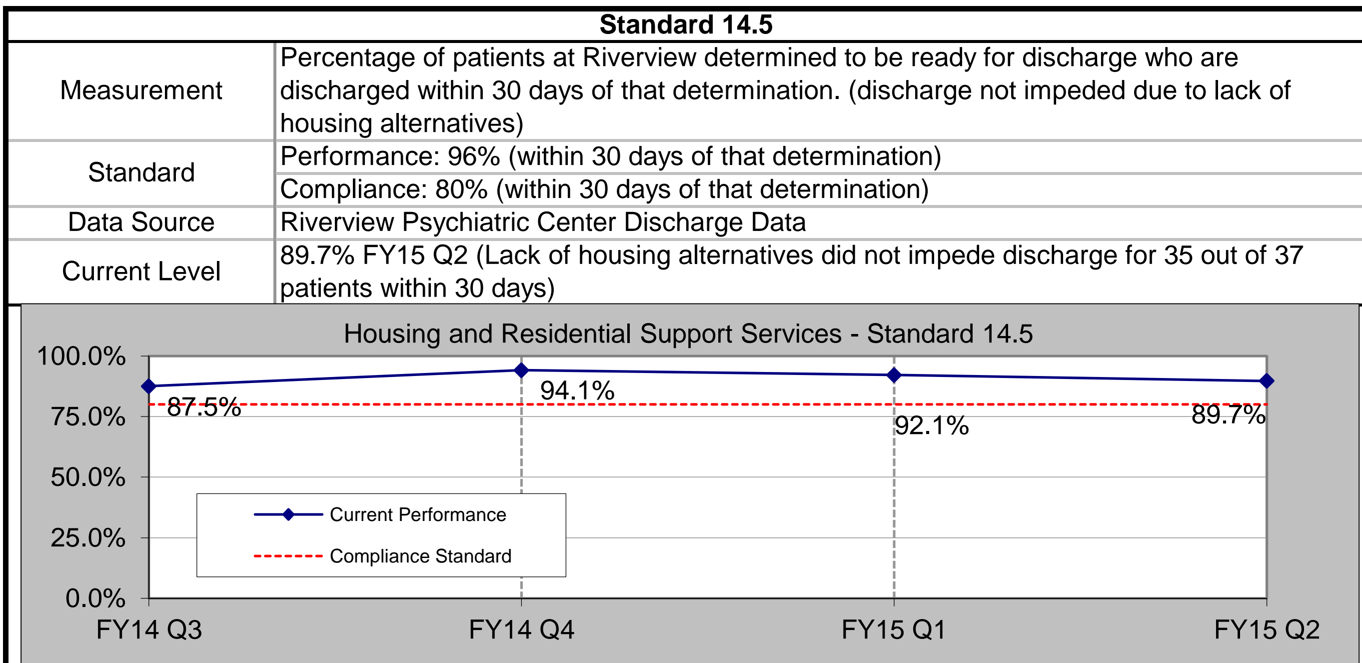


Community Resources and Treatment Services
Housing and Residential

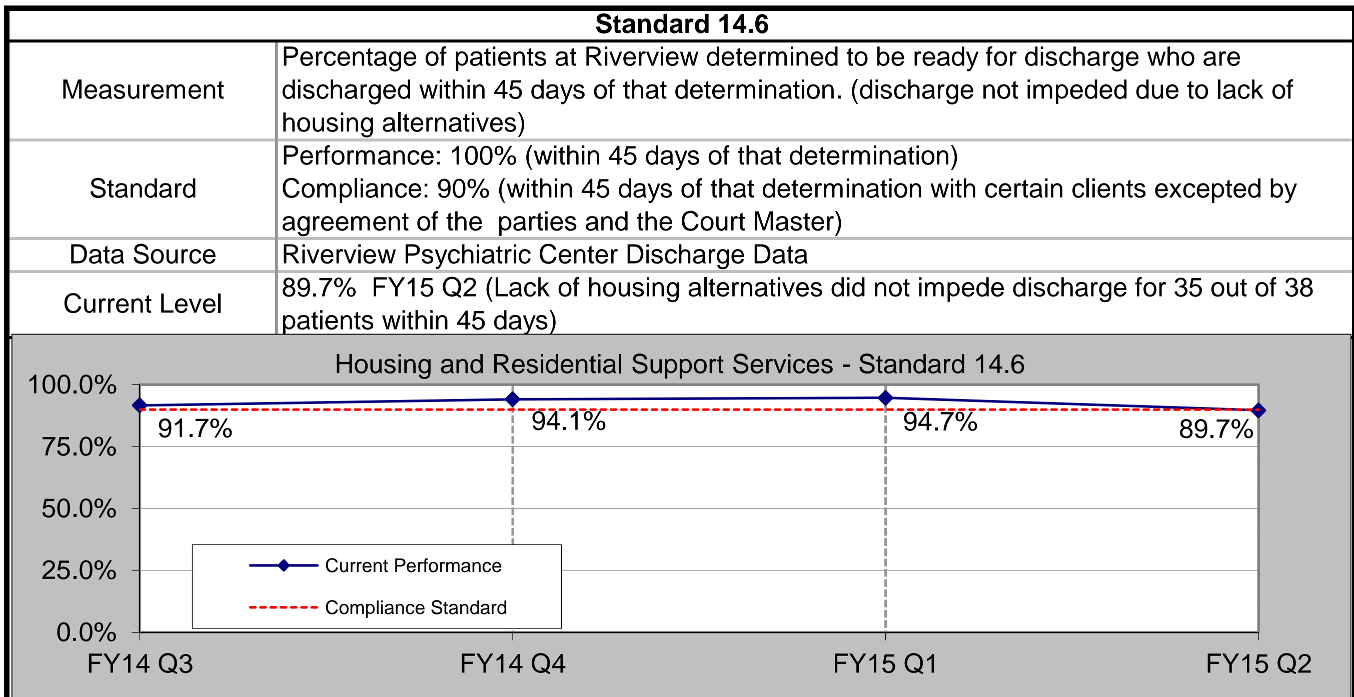
Standard 14.4	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 7 days of that determination. (discharge not impeded due to lack of housing alternatives)
Standard	Performance: 75% (within 7 days of that determination)
	Compliance: 70% (within 7 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	82.1% FY15 Q2 (Lack of housing alternatives did not impede discharge for 32 out of 37 patients within 7 days)



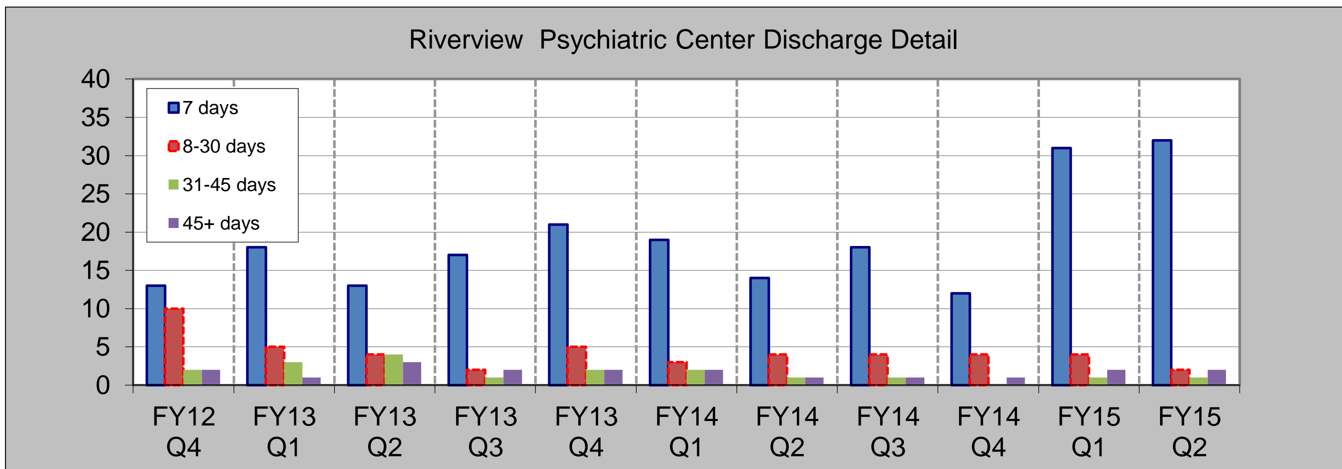
Standard 14.5	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 30 days of that determination. (discharge not impeded due to lack of housing alternatives)
Standard	Performance: 96% (within 30 days of that determination)
	Compliance: 80% (within 30 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	89.7% FY15 Q2 (Lack of housing alternatives did not impede discharge for 35 out of 37 patients within 30 days)



Community Resources and Treatment Services
Housing and Residential



Standard 14.6	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 45 days of that determination. (discharge not impeded due to lack of housing alternatives)
Standard	Performance: 100% (within 45 days of that determination) Compliance: 90% (within 45 days of that determination with certain clients excepted by agreement of the parties and the Court Master)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	89.7% FY15 Q2 (Lack of housing alternatives did not impede discharge for 35 out of 38 patients within 45 days)



<u>37 Civil Patients discharged in quarter</u>

32 discharged at 7 days (86.5%)
2 discharged 8-30 days (5.4%)
1 discharged 31-45 days (2.7%)
4 discharged post 45 days (10.8%)

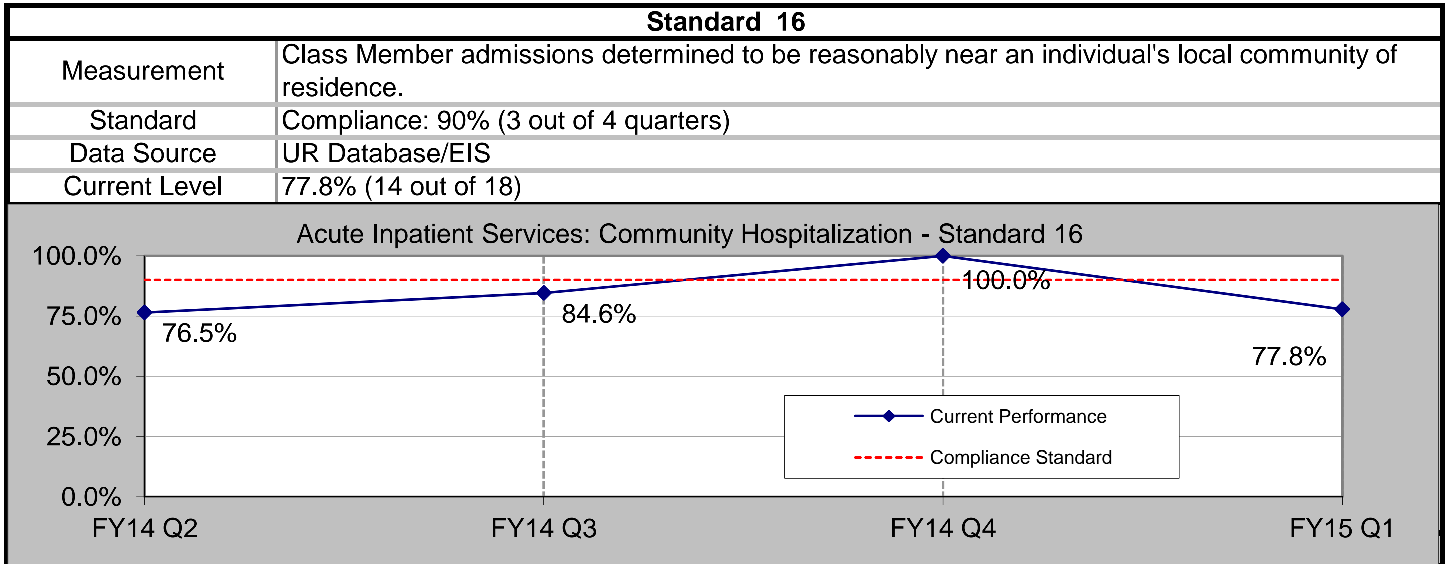
<u>Housing Alternatives impeded discharge for 7 patients (44.7%)</u>

2 patients discharged within 8-30 days post clinical readiness for discharge
1 patient discharged 31- 45 days post clinical readiness for discharge
4 patient discharged greater than 45 days post clinical readiness for discharge

Community Resources and Treatment Services
Acute Inpatient Services: Involuntary Community Hospitalization

Standard 16 - Psychiatric Hospitalization reasonably near an individual's local community

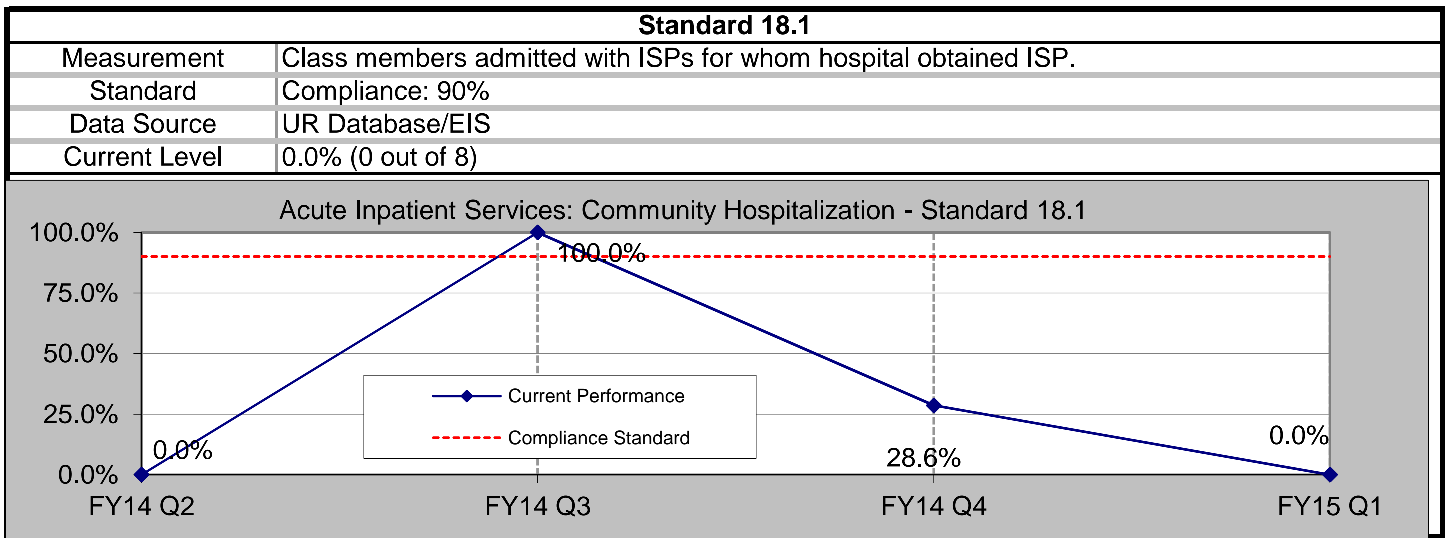
Standard 16	
Measurement	Class Member admissions determined to be reasonably near an individual's local community of residence.
Standard	Compliance: 90% (3 out of 4 quarters)
Data Source	UR Database/EIS
Current Level	77.8% (14 out of 18)



Reasonably Near is defined by Attachment C to the October 29, 2007 approved Compliance Standards.

Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings

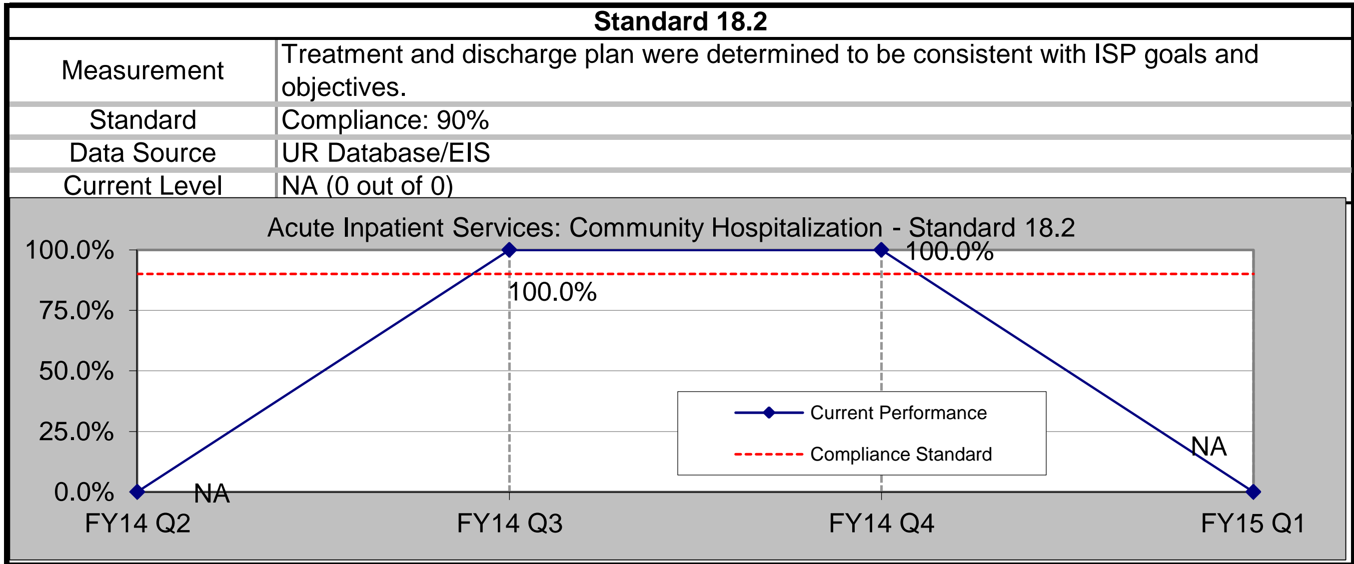
Standard 18.1	
Measurement	Class members admitted with ISPs for whom hospital obtained ISP.
Standard	Compliance: 90%
Data Source	UR Database/EIS
Current Level	0.0% (0 out of 8)



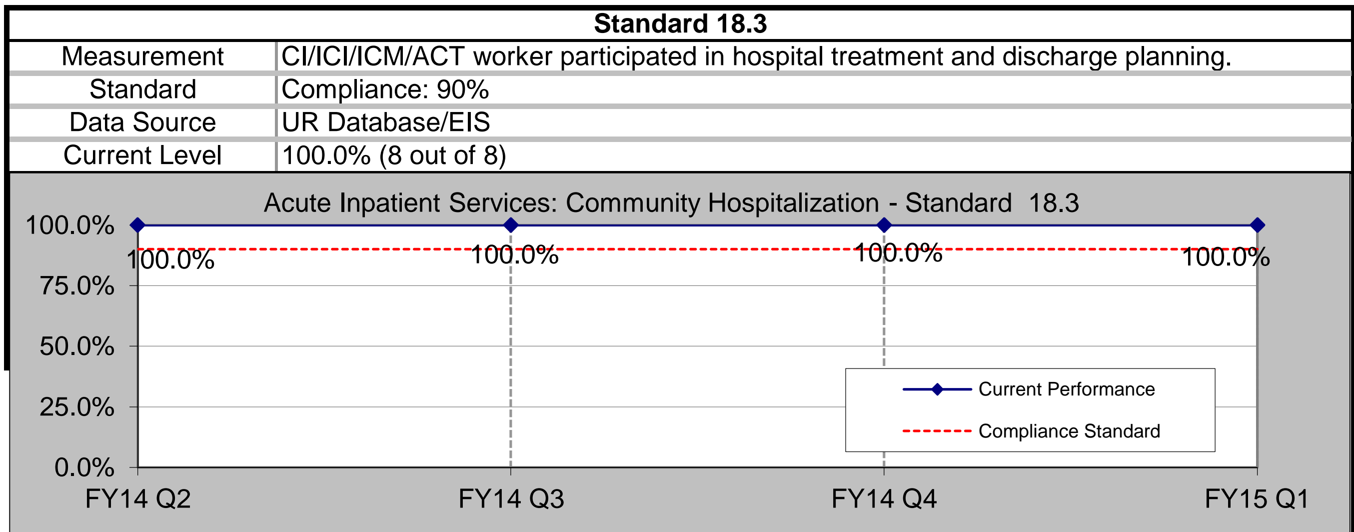
Community Resources and Treatment Services
Acute Inpatient Services: Involuntary Community Hospitalization

Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings

Standard 18.2	
Measurement	Treatment and discharge plan were determined to be consistent with ISP goals and objectives.
Standard	Compliance: 90%
Data Source	UR Database/EIS
Current Level	NA (0 out of 0)



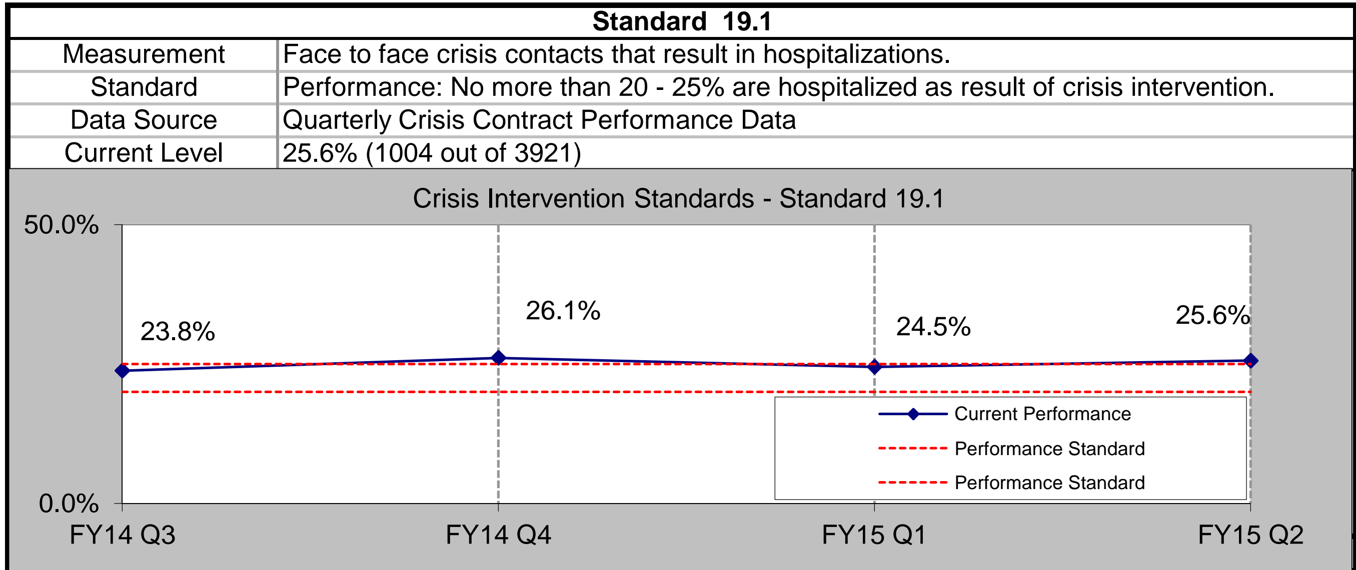
Standard 18.3	
Measurement	CI/ICI/ICM/ACT worker participated in hospital treatment and discharge planning.
Standard	Compliance: 90%
Data Source	UR Database/EIS
Current Level	100.0% (8 out of 8)



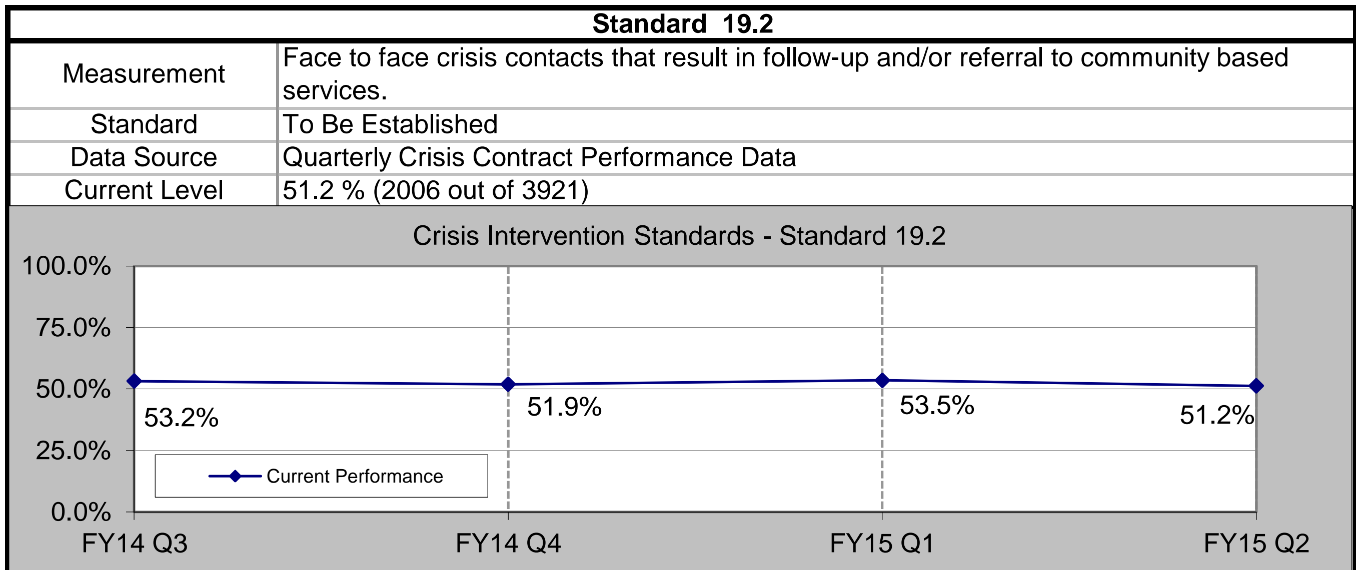
Community Resources and Treatment Services
Crisis Intervention Services

Standard 19 - Crisis services are effective and meet Settlement Agreement Standards

Standard 19.1	
Measurement	Face to face crisis contacts that result in hospitalizations.
Standard	Performance: No more than 20 - 25% are hospitalized as result of crisis intervention.
Data Source	Quarterly Crisis Contract Performance Data
Current Level	25.6% (1004 out of 3921)

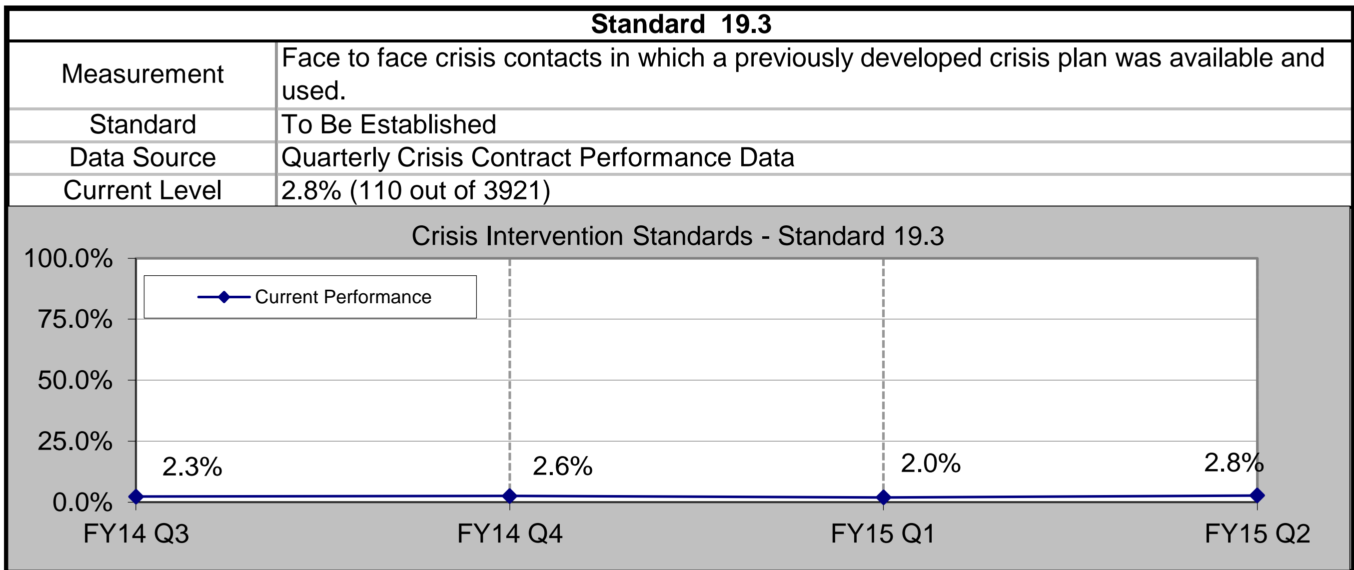


Standard 19.2	
Measurement	Face to face crisis contacts that result in follow-up and/or referral to community based services.
Standard	To Be Established
Data Source	Quarterly Crisis Contract Performance Data
Current Level	51.2 % (2006 out of 3921)

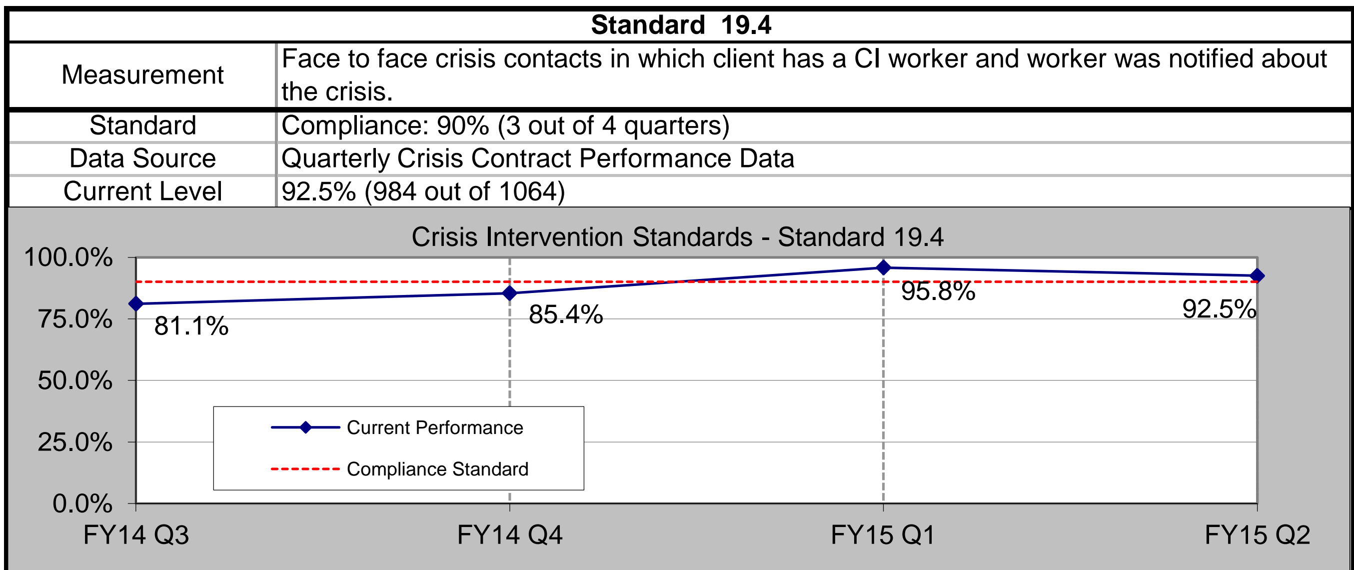


Community Resources and Treatment Services
Crisis Intervention Services

Standard 19.3	
Measurement	Face to face crisis contacts in which a previously developed crisis plan was available and used.
Standard	To Be Established
Data Source	Quarterly Crisis Contract Performance Data
Current Level	2.8% (110 out of 3921)



Standard 19.4	
Measurement	Face to face crisis contacts in which client has a CI worker and worker was notified about the crisis.
Standard	Compliance: 90% (3 out of 4 quarters)
Data Source	Quarterly Crisis Contract Performance Data
Current Level	92.5% (984 out of 1064)

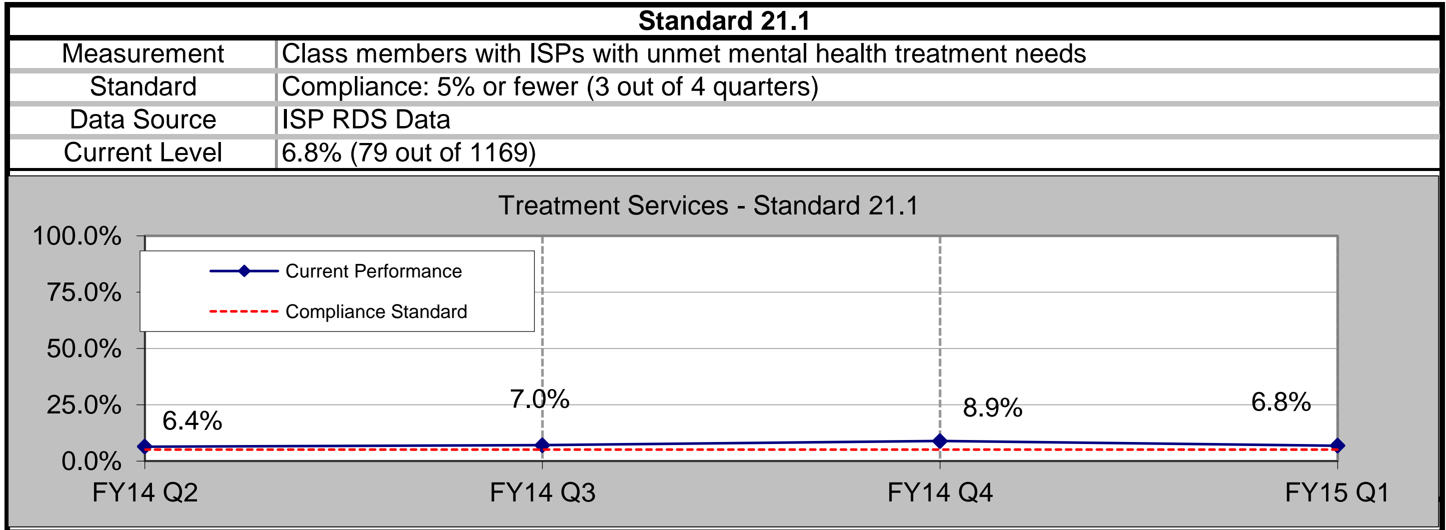


Discussion:

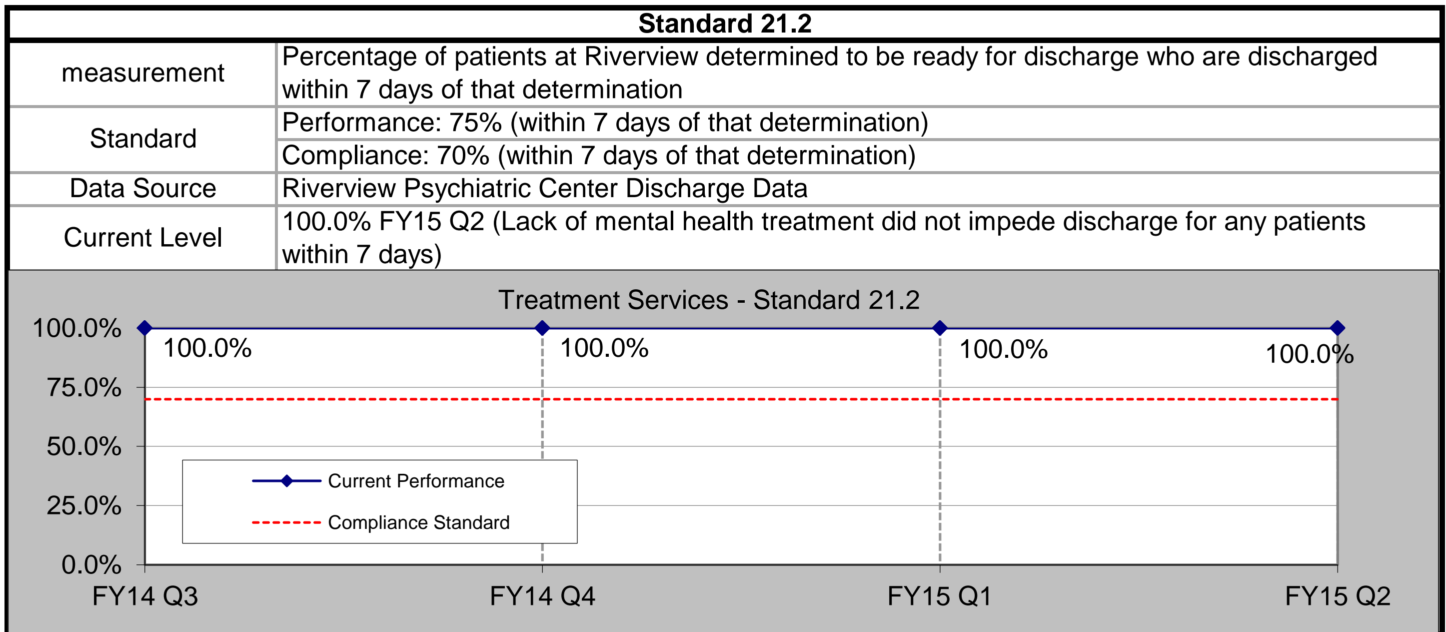
Standard 19.4: The department recently modified the reporting tool and process for capturing this data and is currently working with providers to collect more accurate data. Continue to monitor.

Community Resources and Treatment Services
Treatment Services

Standard 21 - An array of mental health treatment services are available and sufficient to meet ISP needs of class members and the needs of hospitalized class members ready for discharge.

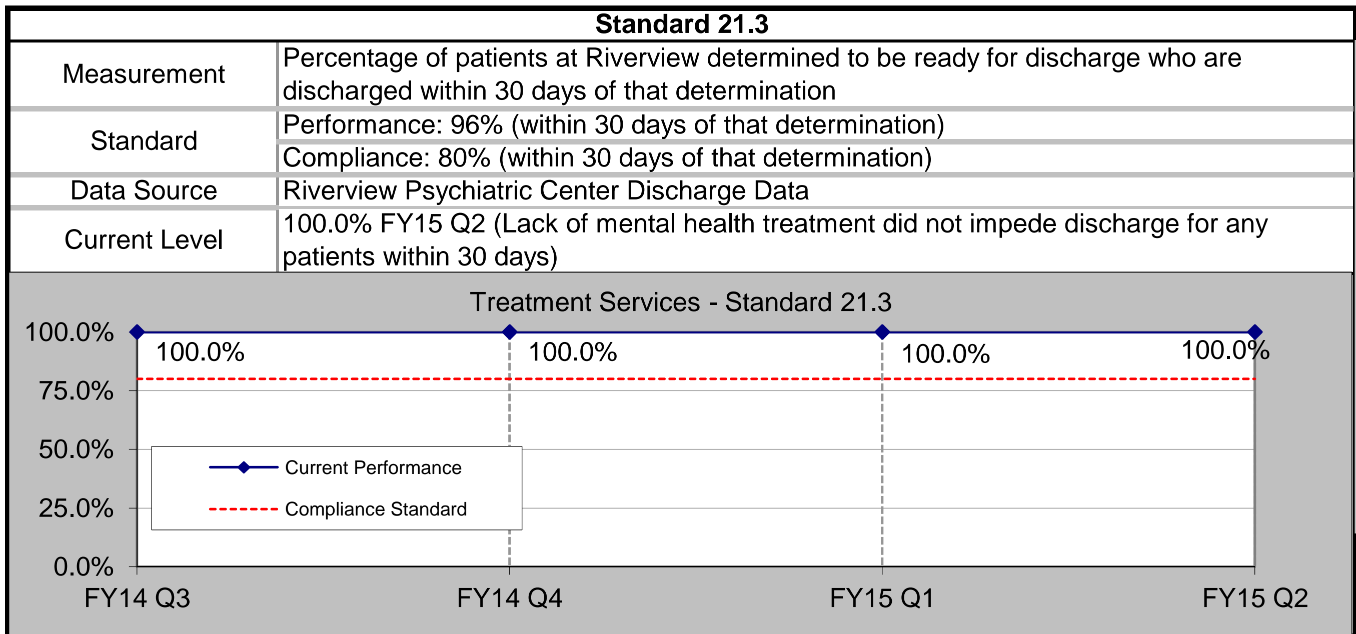


Standard 21.1	
Measurement	Class members with ISPs with unmet mental health treatment needs
Standard	Compliance: 5% or fewer (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	6.8% (79 out of 1169)

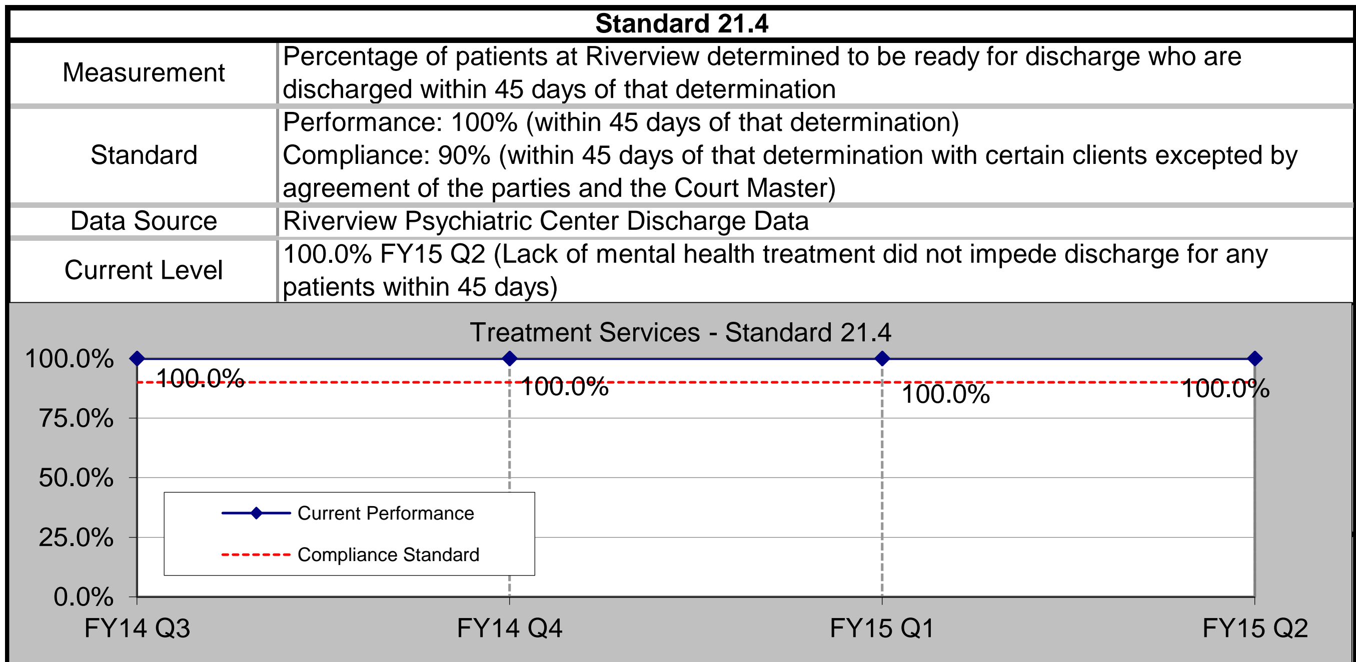


Standard 21.2	
measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 7 days of that determination
Standard	Performance: 75% (within 7 days of that determination)
	Compliance: 70% (within 7 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of mental health treatment did not impede discharge for any patients within 7 days)

Community Resources and Treatment Services
Treatment Services

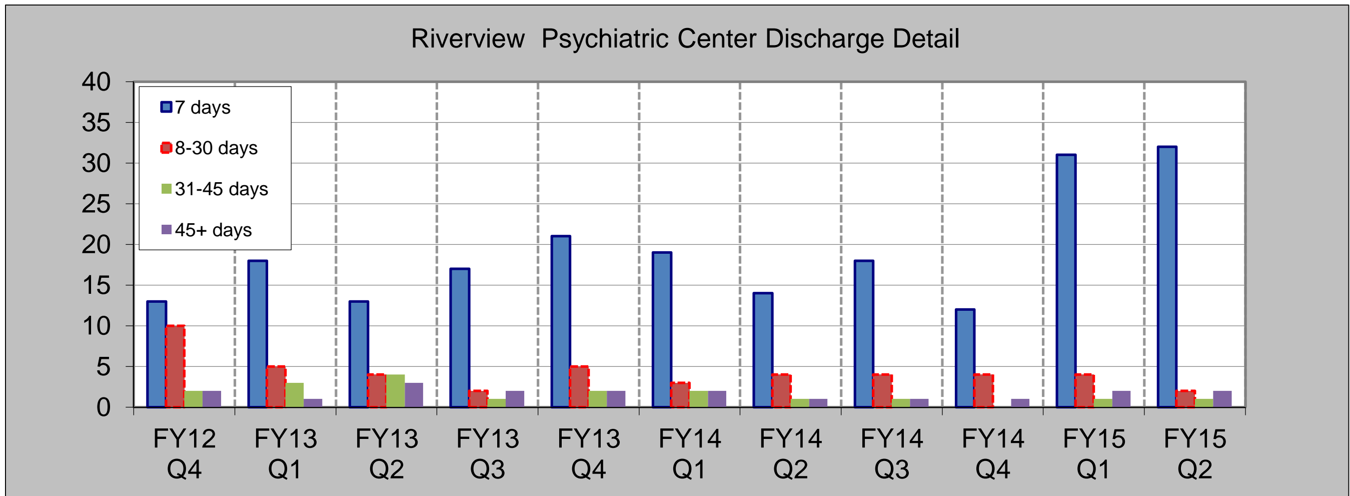


Standard 21.3	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 30 days of that determination
Standard	Performance: 96% (within 30 days of that determination)
	Compliance: 80% (within 30 days of that determination)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of mental health treatment did not impede discharge for any patients within 30 days)



Standard 21.4	
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are discharged within 45 days of that determination
Standard	Performance: 100% (within 45 days of that determination) Compliance: 90% (within 45 days of that determination with certain clients excepted by agreement of the parties and the Court Master)
Data Source	Riverview Psychiatric Center Discharge Data
Current Level	100.0% FY15 Q2 (Lack of mental health treatment did not impede discharge for any patients within 45 days)

Community Resources and Treatment Services
Treatment Services



Riverview Psychiatric Center Discharge Detail to amplify data presented in Standards 21.2,21.3,21.4

<u>37 Civil Patients discharged in quarter</u>

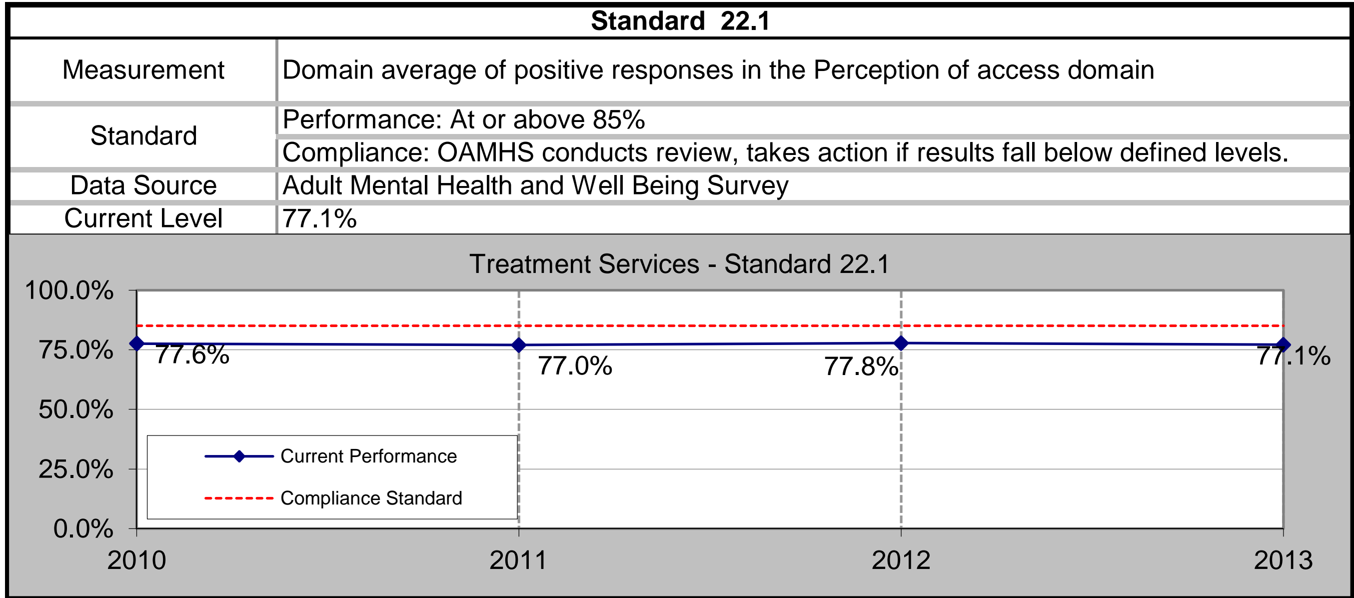
32 discharged at 7 days (86.5%)
2 discharged 8-30 days (5.4%)
1 discharged 31-45 days (2.7%)
4 discharged post 45 days (10.8%)

Treatment services did not impede discharge for any patient post clinical readiness for discharge.

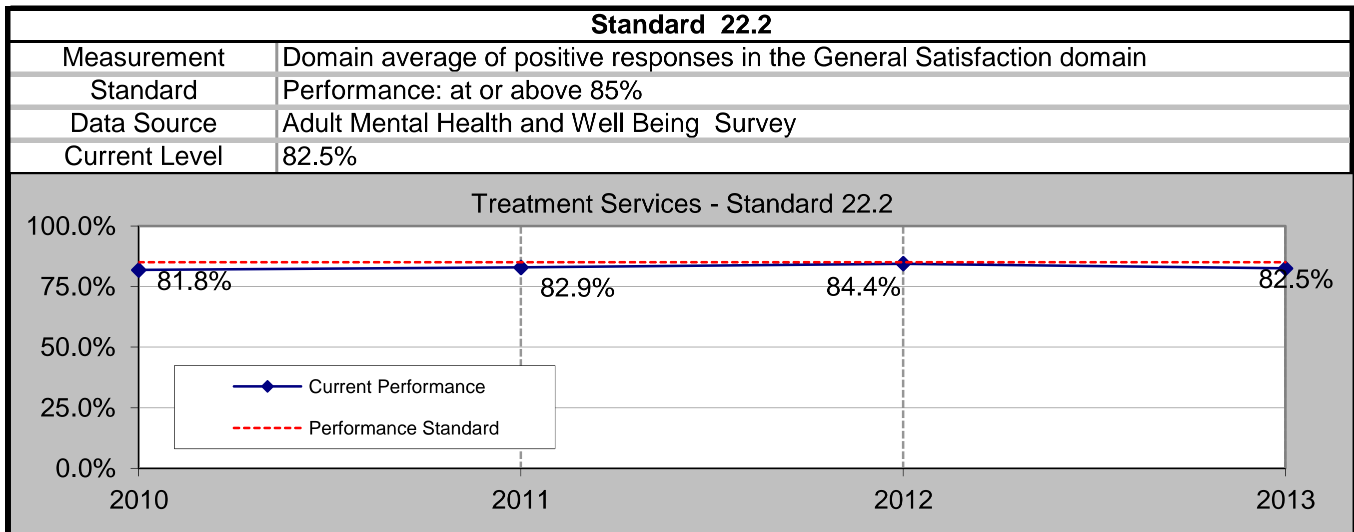
Community Resources and Treatment Services
Treatment Services

Standard 22 - Class members satisfied with access and quality of MH treatment services received.

Standard 22.1	
Measurement	Domain average of positive responses in the Perception of access domain
Standard	Performance: At or above 85%
	Compliance: OAMHS conducts review, takes action if results fall below defined levels.
Data Source	Adult Mental Health and Well Being Survey
Current Level	77.1%

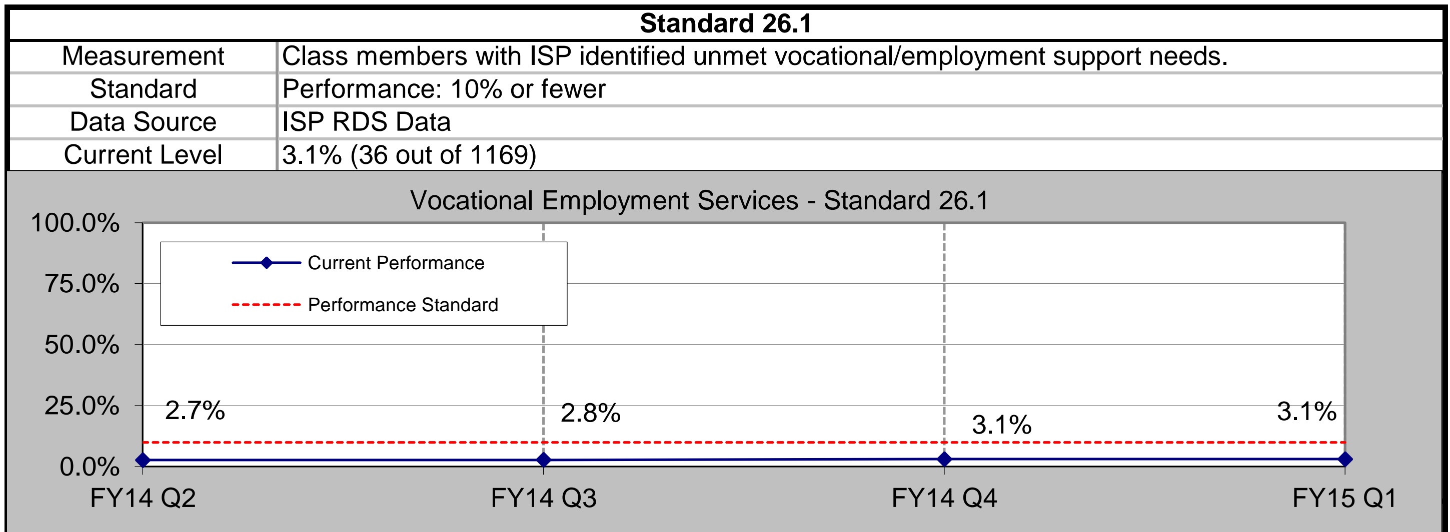


Standard 22.2	
Measurement	Domain average of positive responses in the General Satisfaction domain
Standard	Performance: at or above 85%
Data Source	Adult Mental Health and Well Being Survey
Current Level	82.5%

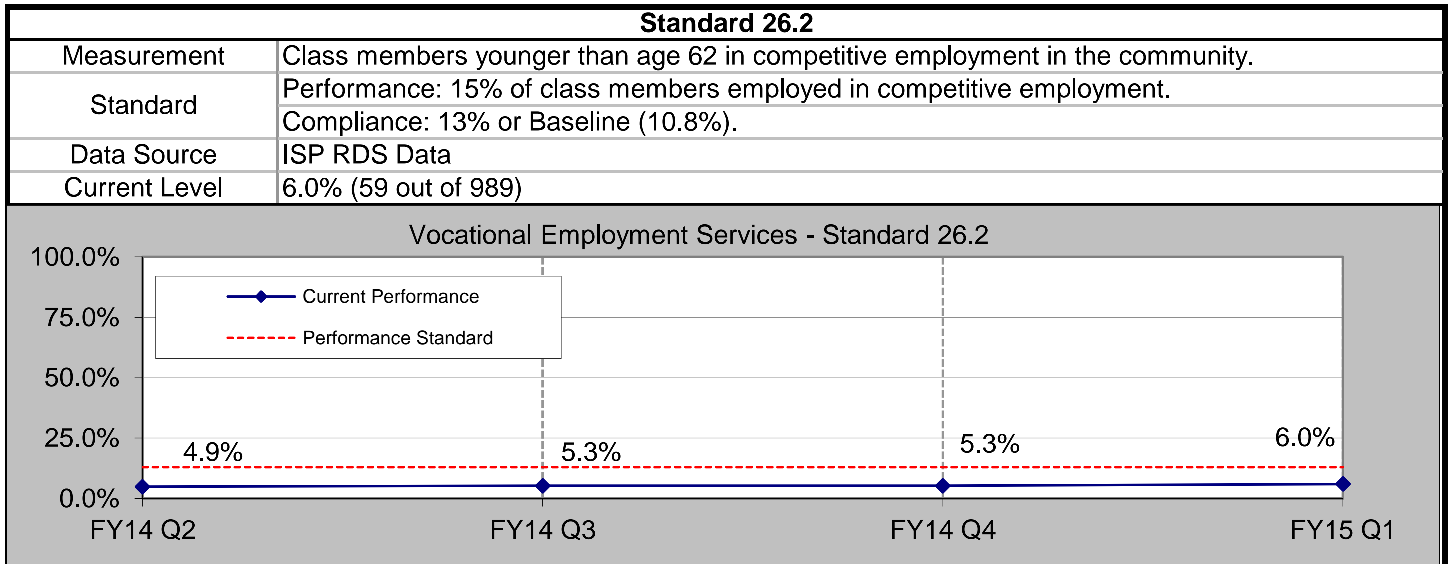


Community Resources and Treatment Services
Vocational Employment Services

Standard 26 - Reasonable efforts to provide array of vocational opportunities to meet ISP needs.

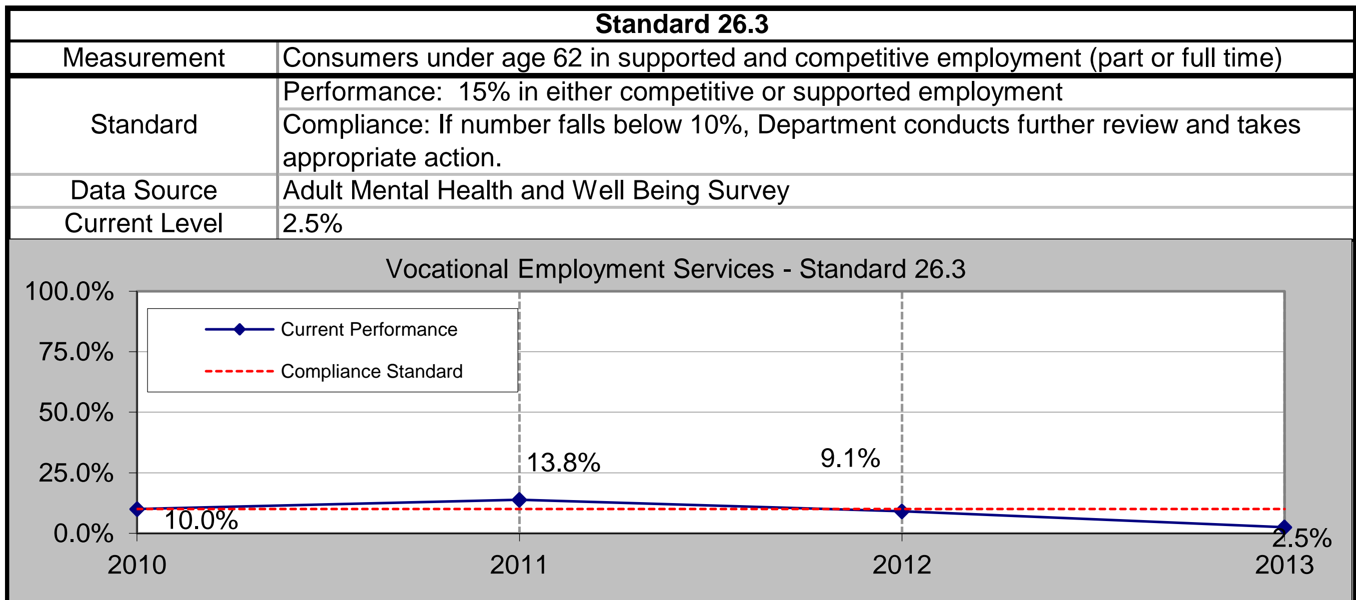


Standard 26.1	
Measurement	Class members with ISP identified unmet vocational/employment support needs.
Standard	Performance: 10% or fewer
Data Source	ISP RDS Data
Current Level	3.1% (36 out of 1169)



Standard 26.2	
Measurement	Class members younger than age 62 in competitive employment in the community.
Standard	Performance: 15% of class members employed in competitive employment.
	Compliance: 13% or Baseline (10.8%).
Data Source	ISP RDS Data
Current Level	6.0% (59 out of 989)

Community Resources and Treatment Services
Vocational Employment Services



Standard 26.3	
Measurement	Consumers under age 62 in supported and competitive employment (part or full time)
Standard	Performance: 15% in either competitive or supported employment
	Compliance: If number falls below 10%, Department conducts further review and takes appropriate action.
Data Source	Adult Mental Health and Well Being Survey
Current Level	2.5%

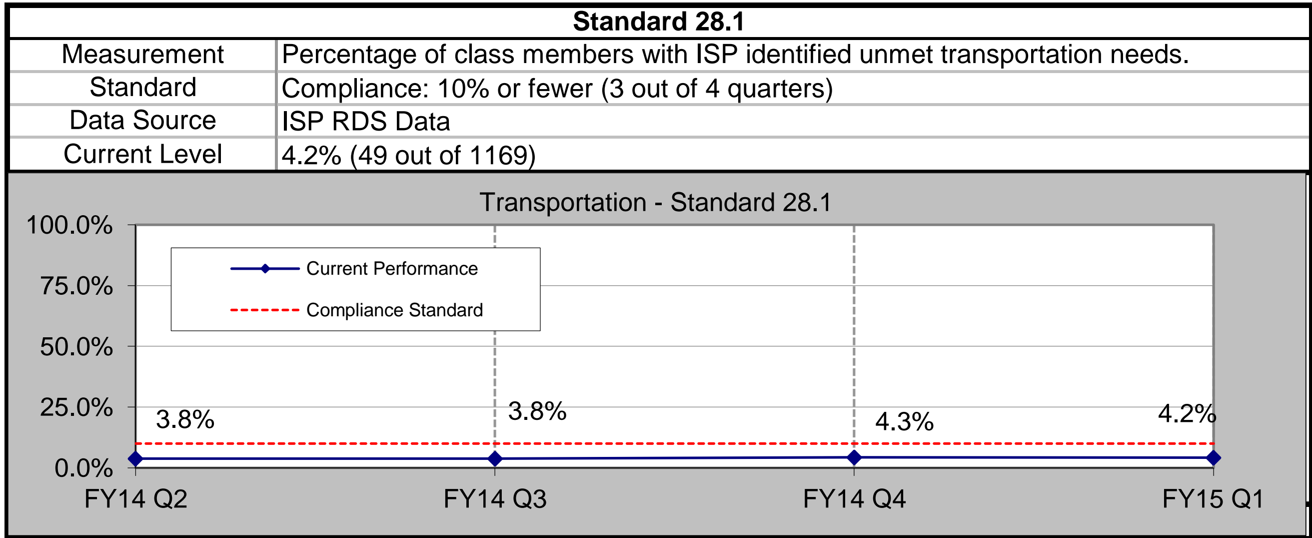
Discussion:

This standard factored out those persons responding to the Adult Mental Health and Well Being Survey employment questions who are 62 and older, indicated they were retired or indicated they were not looking for work

The response rate for the Adult Mental Health survey was very low in 2013. The Department is working on performance measures in contracts around employment.

Community Resources and Treatment Services
Transportation

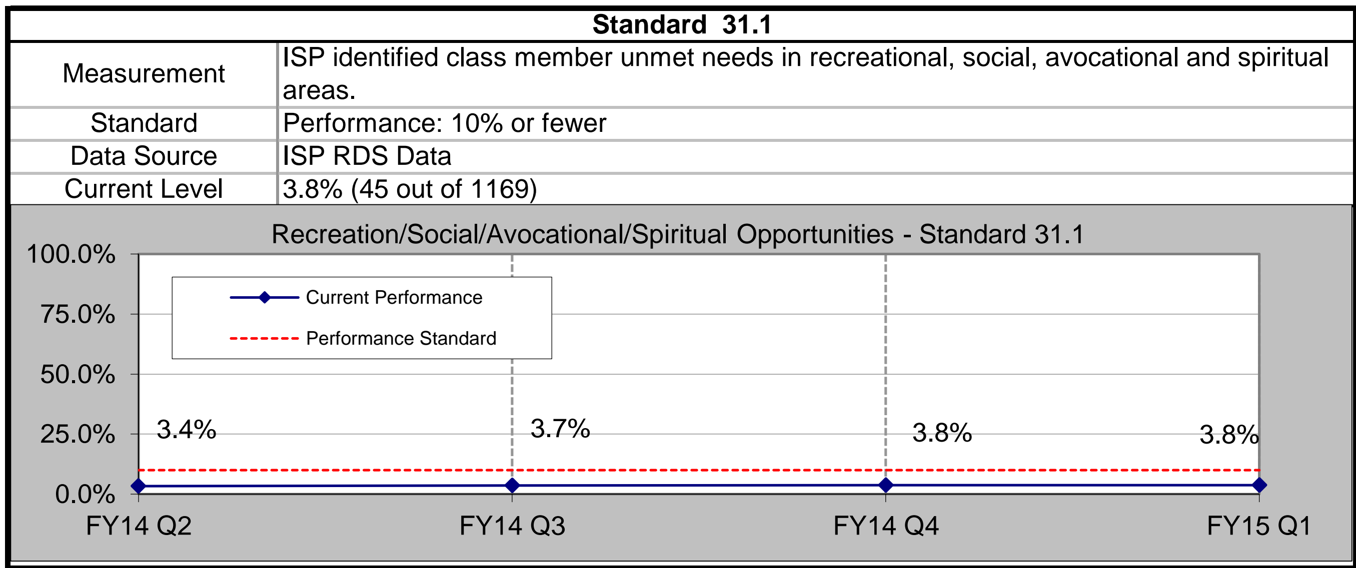
Standard 28 - Reasonable efforts to identify and resolve transportation problems that may limit access to services



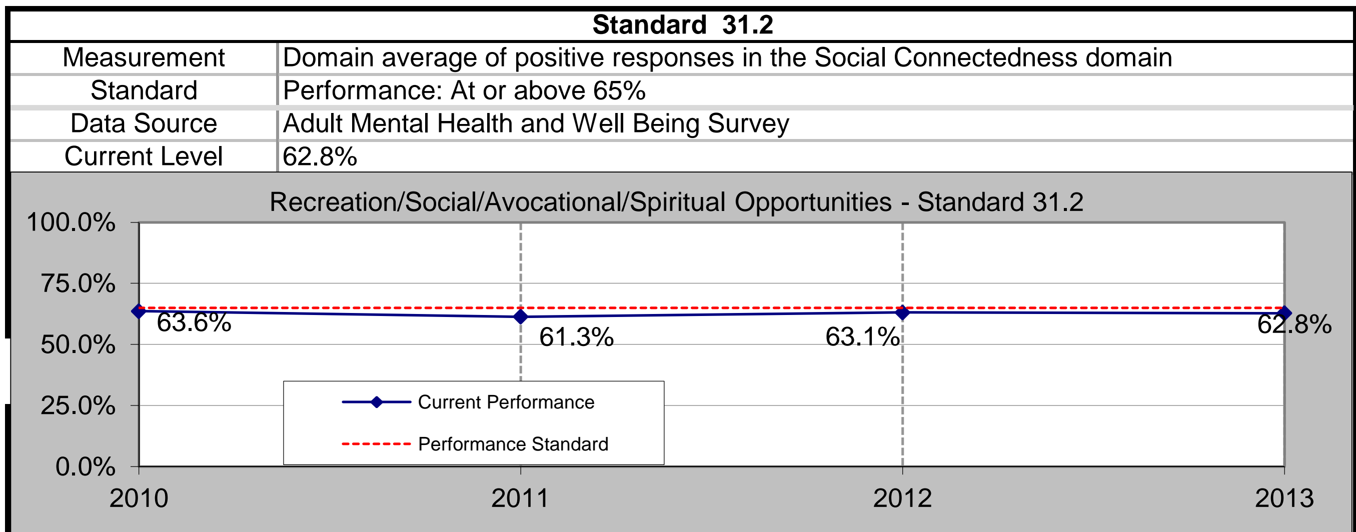
Standard 28.1	
Measurement	Percentage of class members with ISP identified unmet transportation needs.
Standard	Compliance: 10% or fewer (3 out of 4 quarters)
Data Source	ISP RDS Data
Current Level	4.2% (49 out of 1169)

Standard 31 - Class member involvement in personal growth activities and community life.

Standard 31.1	
Measurement	ISP identified class member unmet needs in recreational, social, avocational and spiritual areas.
Standard	Performance: 10% or fewer
Data Source	ISP RDS Data
Current Level	3.8% (45 out of 1169)



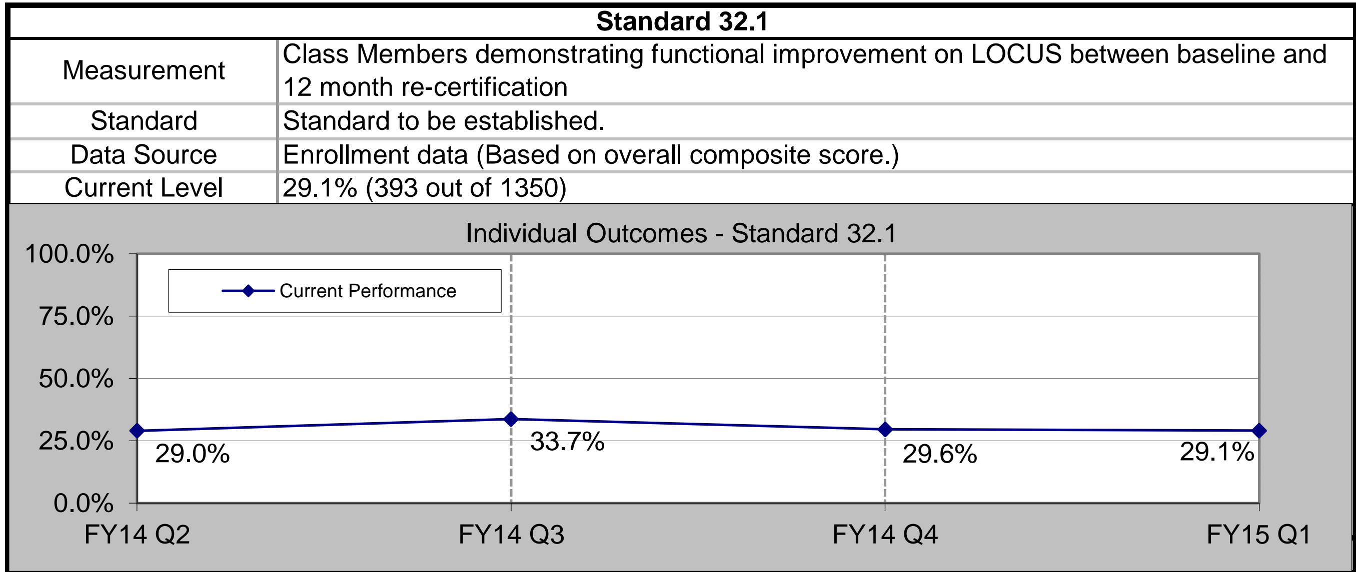
Standard 31.2	
Measurement	Domain average of positive responses in the Social Connectedness domain
Standard	Performance: At or above 65%
Data Source	Adult Mental Health and Well Being Survey
Current Level	62.8%



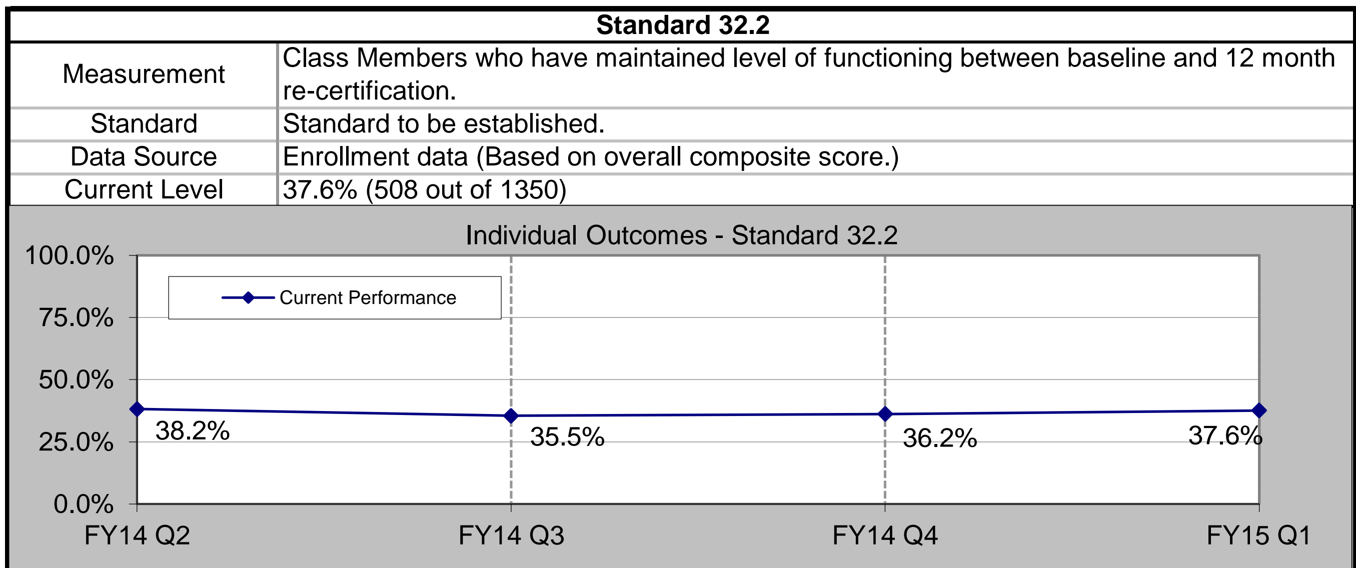
System Outcomes: Supporting the Recovery of Adults with Mental Illness
Recovery

Standard 32 - Functional improvements in the lives of class members receiving services

Standard 32.1	
Measurement	Class Members demonstrating functional improvement on LOCUS between baseline and 12 month re-certification
Standard	Standard to be established.
Data Source	Enrollment data (Based on overall composite score.)
Current Level	29.1% (393 out of 1350)

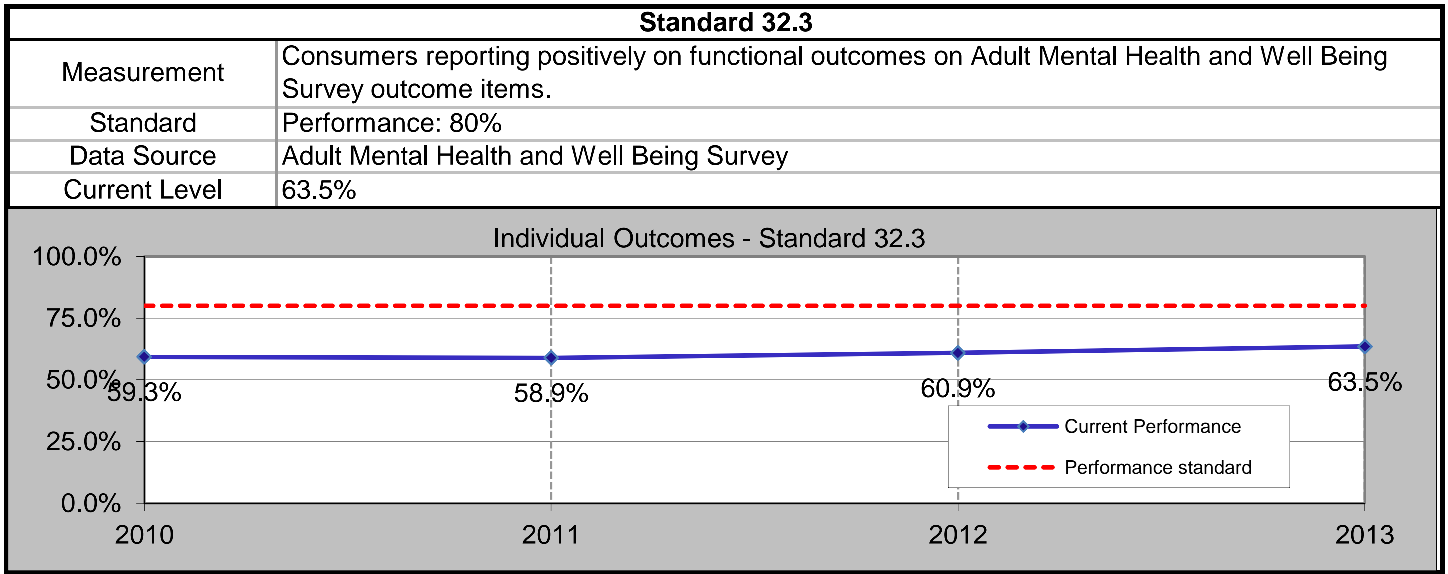


Standard 32.2	
Measurement	Class Members who have maintained level of functioning between baseline and 12 month re-certification.
Standard	Standard to be established.
Data Source	Enrollment data (Based on overall composite score.)
Current Level	37.6% (508 out of 1350)



System Outcomes: Supporting the Recovery of Adults with Mental Illness
Recovery

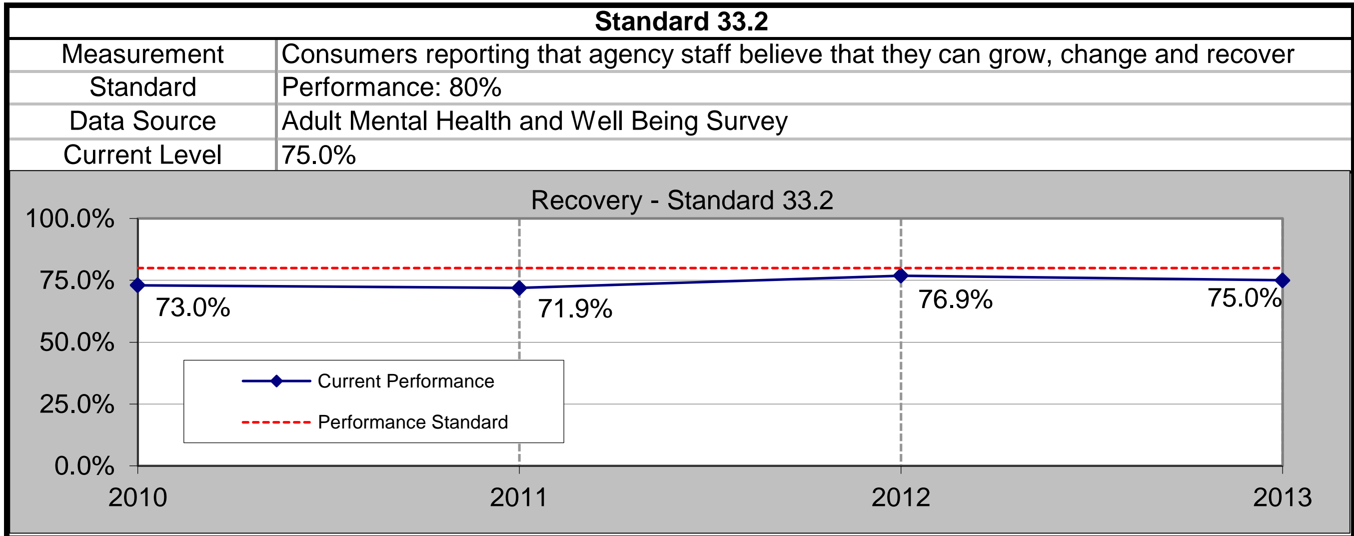
Standard 32.3	
Measurement	Consumers reporting positively on functional outcomes on Adult Mental Health and Well Being Survey outcome items.
Standard	Performance: 80%
Data Source	Adult Mental Health and Well Being Survey
Current Level	63.5%



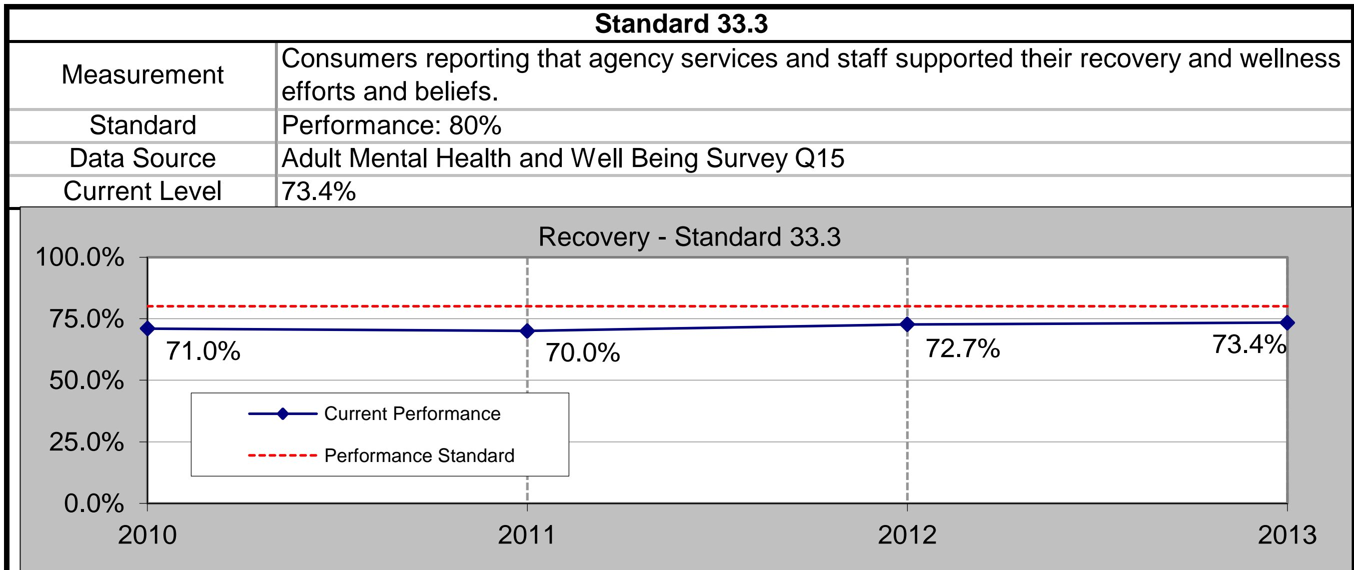
System Outcomes: Supporting the Recovery of Adults with Mental Illness Recovery

Standard 33 - Demonstrate that consumers are supported in their recovery process

Standard 33.2	
Measurement	Consumers reporting that agency staff believe that they can grow, change and recover
Standard	Performance: 80%
Data Source	Adult Mental Health and Well Being Survey
Current Level	75.0%

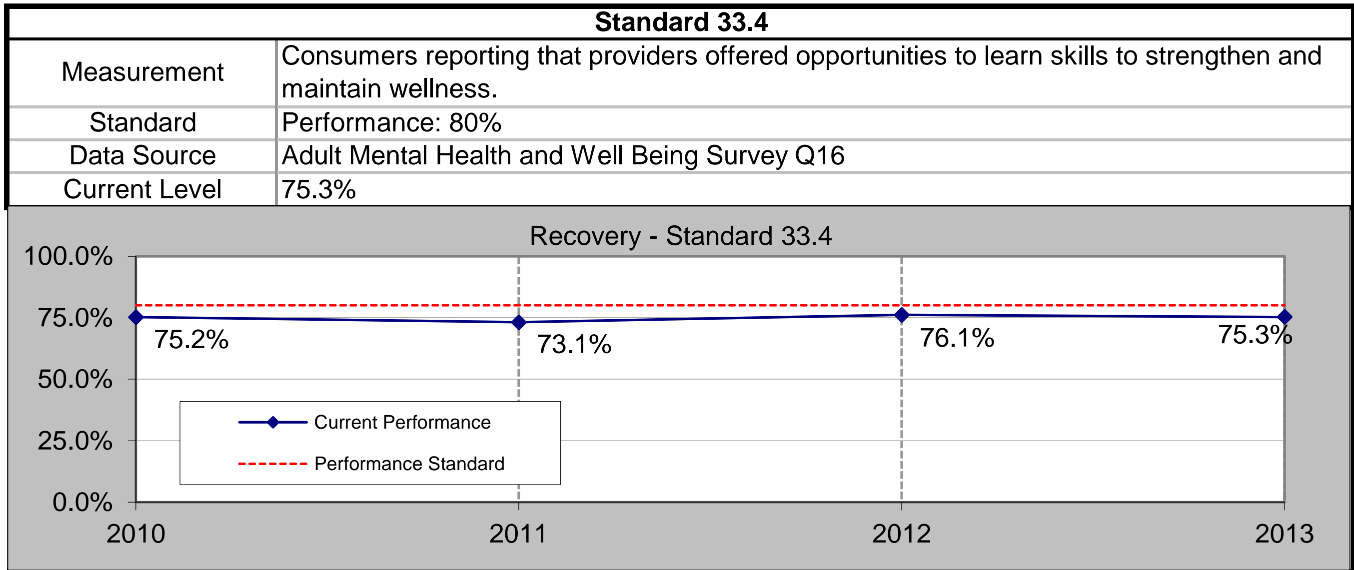


Standard 33.3	
Measurement	Consumers reporting that agency services and staff supported their recovery and wellness efforts and beliefs.
Standard	Performance: 80%
Data Source	Adult Mental Health and Well Being Survey Q15
Current Level	73.4%

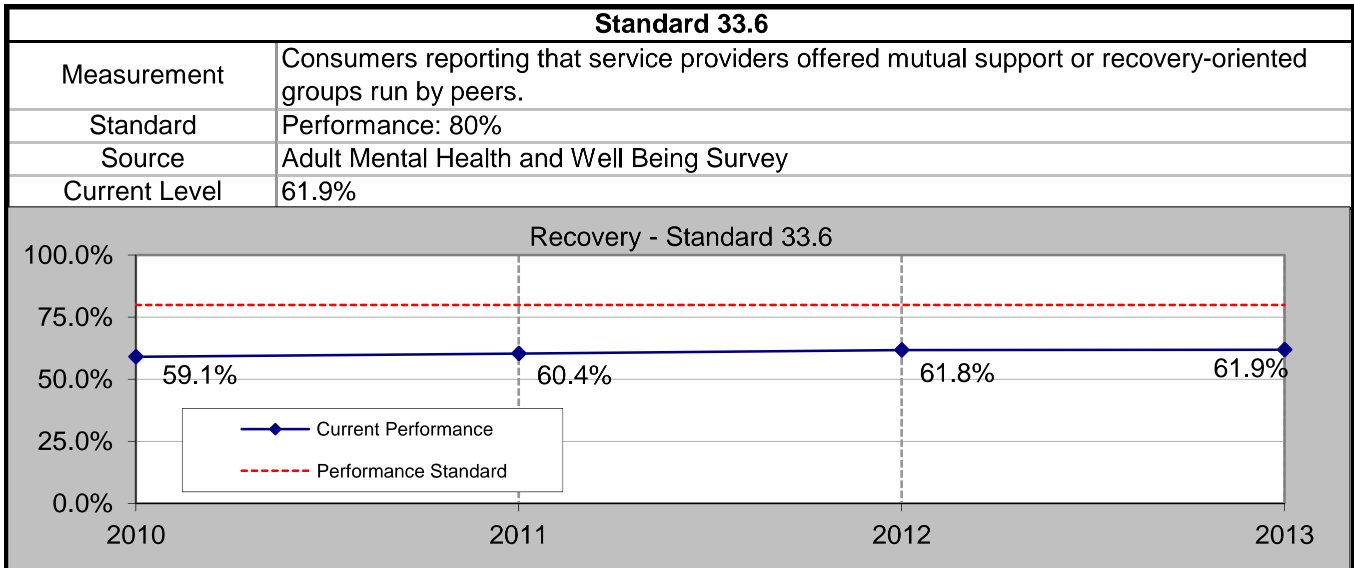


System Outcomes: Supporting the Recovery of Adults with Mental Illness
Recovery

Standard 33.4	
Measurement	Consumers reporting that providers offered opportunities to learn skills to strengthen and maintain wellness.
Standard	Performance: 80%
Data Source	Adult Mental Health and Well Being Survey Q16
Current Level	75.3%



Standard 33.6	
Measurement	Consumers reporting that service providers offered mutual support or recovery-oriented groups run by peers.
Standard	Performance: 80%
Source	Adult Mental Health and Well Being Survey
Current Level	61.9%



Consent Decree Performance and Quality Improvement Standard 5

Report for: 2015 Q1
(July, August, September 2014)
(Class Members)

Measurement			
Method 1	Percent of class members requesting a worker who were assigned one.		
	2014 Q2	100.0%	(102 of 102)
	2014 Q3	100.0%	(94 of 94)
	2014 Q4	98.4%	(123 of 125)
	2015 Q1	100.0%	(157 of 157)
Method 2	Percent of hospitalized class members who were assigned a worker within 2 days.		
	2014 Q2	77.8%	(7 of 9)
	2014 Q3	61.5%	(8 of 13)
	2014 Q4	75.0%	(15 of 20)
	2015 Q1	70.0%	(14 of 20)
Method 3	Percent of non-hospitalized class members assigned a worker within 3 days.		
	2014 Q2	77.4%	(72 of 93)
	2014 Q3	79.0%	(64 of 81)
	2014 Q4	65.0%	(67 of 103)
	2015 Q1	77.4%	(106 of 137)
Method 4	Percent of class members in hospital or community not assigned on time but were assigned within 1-7 additional days.		
	2014 Q2	30.4%	(7 of 23)
	2014 Q3	40.9%	(9 of 22)
	2014 Q4	39.0%	(16 of 41)
	2015 Q1	27.0%	(10 of 37)
Method 5	ISP completed within 30 days of service request.		
	2014 Q2	85.7%	(54 of 63)
	2014 Q3	78.7%	(37 of 47)
	2014 Q4	79.0%	(49 of 62)
	2015 Q1	86.9%	(53 of 61)
Method 6	90 Day ISP review completed within specified timeframe.		
	2014 Q2	63.8%	(694 of 1,087)
	2014 Q3	66.3%	(650 of 981)
	2014 Q4	66.6%	(719 of 1,080)
	2015 Q1	66.1%	(654 of 990)

Method 7	Initial ISPs not developed within 30 days, but were developed within 60 days.		
	2014 Q2	55.6%	(5 of 9)
	2014 Q3	30.0%	(3 of 10)
	2014 Q4	61.5%	(8 of 13)
	2015 Q1	50.0%	(4 of 8)

Method 8	ISPs that were not reviewed within 90 days, but were reviewed within 120 days.		
	2014 Q2	70.7%	(278 of 393)
	2014 Q3	78.5%	(260 of 331)
	2014 Q4	81.4%	(294 of 361)
	2015 Q1	76.8%	(258 of 336)

As of: Jan 13, 2015 Run By: Brandi.Giguere

Starting with Fiscal Year 2015 Quarter 1, Standard 5.1 – 5.4 will now be calculated using CI, ACT, CRS and BHH data. Prior to this quarter, only CI was used in calculations

Performance Indicators and Quality Improvement Standards

APPENDIX: ADULT MENTAL HEALTH DATA SOURCES

Adult Health and Well- Survey (Data Infrastructure Grant):

Data Type/Method: Handout Survey
Target Population: All people who receive a Community Integration or Behavioral Health Home services.
Approximate Sample Size Responses: 1200

The Maine DHHS/SAMHS consumer survey is an adapted version of the National Mental Health Statistics Improvement (MHSIP) Consumer Survey that was specifically designed for use by adult recipients of mental health services. The survey was administered in the fall. The survey was designed to assess consumer experiences and satisfaction with their services and support in four primary domains, including: 1) Access to Services; 2) Quality and Appropriateness; 3) General Satisfaction; and 4) Outcomes. Additional questions were added regarding employment. There were also additional questions added from a new model *Perception of Care* developed by the New York Office of Alcoholism and Substance Abuse that will replace the National Mental Health Statistics Improvement in the future.

Community Hospital Utilization Review Summary:

Data Type/Method: Service Review/Document Review
Target Population: Individuals admitted to community inpatient psychiatric hospitals on an emergency involuntary basis.
Approximate Sample Size: 120 per quarter.

The Regional Utilization Review Nurses perform clinical reviews of all individuals who were involuntarily admitted who have MaineCare or do not have a payer source. Utilization Review Nurses review all community discharges for appropriateness of the admission, including: compliance with active treatment guidelines; whether medical necessity was established; Blue Paper process completed; and patients rights were maintained, etc. The data collected as part of the clinical review is entered into EIS.

Community Support Enrollment Data:

Data Type/Method: Demographic, clinical and diagnostic data for all consumers in Adult Mental Health Community Support Services (community integration, ACT, Community Rehabilitation Services and Behavioral Health Homes) maintained and reported from the Department's EIS (Enterprise Information System). Data is collected by APS Healthcare as part of its prior authorization process and fed into EIS twice a month.
Target Population: Adult Mental Health Consumers receiving Community Support approximately 18,900 with approximately 1200 are class members..

Community Support Services Census/Staffing Data:

Data Type/Method: Provider Completed Survey; Completed by supervisors of Assertive Community Treatment (ACT) and Community Integration (CI).

Target Population: Consumers receiving CI/ACT/CRS/BHH from DHHS/SAMHS contracted agencies.
Approximate Sample Size: Collected from all providers of these services on a quarterly basis.
SAMHS data specialists collect census/staffing data quarterly from contracted agencies that provide ACT, CI, CRS and BHH services. This data source provides a snapshot of case management staff vacancies as well as consumer to worker ratios.

Grievance Tracking Data:

Data Type/Method: Information pertaining to Level II and Level III Grievances.
Target Population: Consumers receiving any community based mental health service licensed, contracted or funded by DHHS and consumers who are patients at Riverview Psychiatric Center or Dorothea Dix Psychiatric Center.

The Data Tracking System contains grievances and rights violations for consumers in Adult Mental Health Services. The data system tracks the type of grievance, remedies, resolution and timeliness.

Class Member Treatment Planning Review:

Data Type/Method: Service Review/Document Review
Target Population: Class Members receiving Community Support Services (ACT, CI, CRS and BHH)
Approximate Sample Size: As of the 3rd quarter FY11, sample size has been decreased to 50 per quarter, utilizing the random sampling methodology as previously developed. This allows the new SAMHS Division of Quality Management the time to assess and develop a new system of document reviews, not solely focused on treatment planning, that can be implemented across program areas and provide data for a wider group of individuals utilizing mental health services.

Two Quality Management Specialists now carry responsibility for this review of class members receiving Community Support Services. Data collected as part of the review is captured regionally and entered into a database within EIS. The Treatment Planning Review focuses on: education on and use of authorizations, assessment of domains, incorporation of strengths and barriers, crisis planning, needed resources including the identification of unmet needs and service agreements.

Individualized Support Plan (ISP) Resource Data Summary (ISP RDS) tracking System:

Data Type/Method: ISP RDS submitted by Community Support providers and collected by APS Healthcare as a component of their authorization process. Data is then fed into EIS twice a month.
Target Population: Adult Mental Health Consumers who receive Community Support Services (ACT, CI, CRS and BHH).

The data is maintained and reported on through the DHHS Enterprise Information System (EIS). The ISP RDS captures ISP completion dates and consumer demographic data. The ISP RDS also captures data on the current housing/living situation of the person receiving services as well as the current vocational and employment statuses. Needed resources are tracked and include the following categories; Mental Health Services, Peer, Recovery and Support Services, Substance Abuse Services, Housing Resources, Health Care Resources, Legal Resources, Financial Resources, Educational Resources, Vocational Resources, Living Skills Resources, Transportation Resources, Personal Growth Resources and Other. The ISP RDS calculates unmet needs data by comparing current 90 day reviews to previous 90 days reviews.

Quarterly Contract Performance Measures Data:

Data Type/Method: Performance Measures
Target Population: All consumers receiving DHHS/SAMHS contracted services.
Approximate Sample Size: All consumers receiving DHHS/SAMHS contracted services.

Performance measures are in 13 mental health contracts and will be in all direct service contracts starting FY16.

Department of Health and Human Services (DHHS)
Office of Substance Abuse and Mental Health Services (SAMHS)
Report on Unmet Needs and Quality Improvement Initiatives
February, 2015

Attached Report:

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

Population Covered:

- Persons receiving Community Integration (CI), Community Rehabilitation Services (CRS), Assertive Community Treatment (ACT) and Behavioral Health Homes (BHH)
- Class and non-class members

Data Sources:

Enrollment data and RDS (resource data summary) data collected by APS Healthcare, with data fed into and reported from the DHHS EIS data system

Unmet Resource Need Definition

Unmet resource needs are defined by 'Table 1. Response Times and Unmet Resource Needs' found on page 17 of the approved DHHS/OAMHS Adult Mental Health Services Plan of October 13, 2006. Unmet resource needs noted in the tables were found to be 'unmet' at some point within the quarter and may have been met at the time of the report.

Quality Improvement Measures

The Office of Substance Abuse and Mental Health Services is undertaking a series of quality improvement measures to address unmet needs among the covered population for the Consent Decree.

The improvement measures are designed to address both specific and generic unmet needs of consumers using the established array of needs:

A. Mental Health Services
B. Mental Health Crisis Planning
C. Peer, Recovery and Support
D. Substance Abuse Services
E. Housing
F. Health Care
G. Legal
H. Financial Security
I. Education
J. Vocational/Employment
K. Living Skills
L. Transportation
M. Personal Growth/Community

Ongoing Quality Improvement Initiatives

SAMHS Website – Redesign. A taskforce has been formed to design and implement a new SAMHS website. SAMHS currently has the legacy websites for Adult Mental Health Services and Office of Substance Abuse. Changes to the website will be incremental based on a schedule that is being developed. All aspects of the new site should be rolled-out in July 2015.
Identified Need: A, B, C, D, E, F,G, H, I, J, K, L,M

The Motion to Amend Settlement Agreement, Paragraph 27 and 257 was signed on December 10, 2014 by Justice Horton.

Paragraph 27 of the Settlement Agreement was deleted in its entirety and replaced with the following:

> 27. Defendants shall maintain a data base of all complaints and of all grievances appealed to the Superintendent of the Riverview Psychiatric Center, the Director of the Office of Substance Abuse and Mental Health Services, and the Commissioner. The data base will summarize the issues raised, findings made, and remedial action taken, and data will be made available to the master and to counsel for plaintiffs on request.

Paragraph 257 of the Settlement Agreement was deleted in its entirety and replaced with the following:

> 257. Active caseloads for caseworkers assigned to class member public wards shall not exceed 40 cases.

The Motion to Amend Stipulated Order was signed on December 10, 2014 by Justice Horton

The stipulated Order of February 6, 1997 is deleted in its entirety and replaces with the following:

1. The defendants will review multiple sources of information on a regular basis in an effort to maintain a current list of class member addresses. The defendants will monitor the total number of unverified addresses for living class members, excluding from the calculation those class members approved by the court master for a no-contact list, and will report the results to the court master promptly if the number of unverified addresses exceeds 15%. The court master will then review the adequacy of the defendants' ongoing efforts to maintain current class member addresses, and will issue a recommendation under paragraph 298 of the Settlement Agreement for steps necessary to improve the accuracy of the address list, which recommendation may include a requirement a to mail notices periodically to class members not in service to inform them of services that may be available to them in Maine.
2. Upon request, the defendants will make a list of class member addresses available to the court master, plaintiffs' counsel, and the court.

Identified Need: A, G

Contract Performance Measures. SAMHS has instituted contract performance measures for fourteen service areas for FY15 contracts. Where appropriate, the measures are in alignment with standards under the Consent Decree Plan. In a meeting with the DHHS Office of Quality Management, we agreed on a three year schedule for full implementation of measures; year one will

be to validate the measures, year two to establish baselines, year 3 to test full implementation. All consumer based contracts will have performance measures starting FY16.
Identified Need: A, B, C, D

Contract Review Initiative. The Data/Quality Management staff is working with field service teams to ensure they have up-to-date, accurate service encounter data when they review progress toward meeting contract goals and establishing benchmarks for new contracts. SAMHS has built an easy query tool to help office staff identify service utilization patterns across three sources of funding. Also a tool was built to assist providers in sending their data to SAMHS. This entire project has been completed but Data/Quality Management staff continue to monitor to assure providers data is being sent successfully,
Identified Need: A, B, D, E, I, J, L

Mental Health Rehabilitation/Crisis Service Provider Review. The Mental Health Rehabilitation/ Crisis Service Provider (MHRT/CSP) certification was developed by the crisis providers (Maine Crisis Network) over the past several years in collaboration with DHHS (adult mental health and children's behavioral health) and the Muskie School. The MHRT/CSP is now ready to be implemented with providers. A review team consisting of two representatives from the Maine Crisis Network, two representatives from Children's Behavioral Health and two representatives from SAMHS will work together to conduct reviews at contracted agencies. Muskie staff collected the data and has produced a summary report which is in review at this time.
Identified Need: B

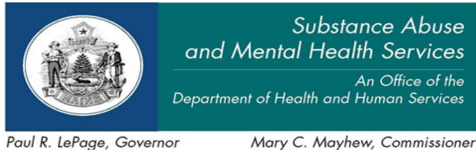
NIATx Quality Improvement Initiative

- SAMHS and the Muskie Institute developed a survey-monkey assessment tool with our Mental Health Learning Collaborate partners for a MHRT/C redesign. We sent out the survey-monkey to providers and have been using their responses to continue the work on the redesign.
- Agencies will now be getting their Waitlists directly from APS Healthcare. The Field Service Managers and Field Service Specialist will still be following up weekly with the agencies regarding their Waitlists.
- SAMHS staff called all consumers who have been on the Waitlist for 60 days or longer and if they were unable to reach the consumer then the consumer was sent a letter. SAMHS staff waited for 14 days and if there was no response APS Healthcare was asked to administratively close them. There was little response from those waiting 60 or longer so SAMHS staff called and/or sent letters to those on the Waitlist for 30 days or longer. Staff was able to reach a few more but still there were many they could not be reached by either phone or letter. The next round, staff will call those who have been on the Waitlist for 20 days or more. If SAMHS staff is able to reach the consumer they have the option of SAMHS staff assisting them in getting services immediately or they can stay on the agencies Waitlist.

Identified Need: A, B

SAMHS Quality Management Plan 2015-2020 A team in the Data and Quality Management division is undertaking the development of a new SAMHS comprehensive quality management plan for 2015-2020 . The team members are engaging with division leaders in the four pillars of SAMHS services (prevention, intervention, treatment and recovery) to develop profiles of programs, specific initiatives, evidence based or promising practice services being offered and

standardized performance measures.   The scope of the final plan will be inclusive of all SAMHS services and the required Consent Decree services will be imbedded within the larger document. There has been significant progress on the plan this quarter. The expectation is to have a draft complete by the end of February.
Identified Need: A,B,C,D,E,F,G,H,I,J,K,L,M



Substance Abuse and Mental Health Services
41 Anthony Ave, Augusta, ME 04333
Tel: (207)-287-4243 or (207)-287-4250
http://www.maine.gov/dhhs/mh/index.shtml

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1
July, August, September, 2014

Purpose of Report:

This report examines:
a.) level of unmet resource needs for 14 categories
b.) geographical variations in the reports of unmet resource needs
c.) trends across quarters

Data for this report is compiled from individuals who indicate a need on their ISP (individualized support plan) for a resource that is not available within prescribed timeframes. Some needs classified as unmet may have subsequently been met before the end of the quarter. Compiled data is based on:

- the client's address
- completed RDS (Resource Data Summary) reports by case managers (CI, ACT, CRS and BHH)
- both class members and non-class members

Data collection and reporting:

Enrollment and RDS data is entered by providers into APS Healthcare's CareConnection at the time of the Initial Prior Authorization (PA) request and at all Continuing Stay Reviews. Data is then fed to the EIS Database on a monthly basis.

Unmet resource need data is reported and reviewed one quarter after the quarter ends as this method gives a more accurate picture of unmet resource needs.

Statewide data is reported first, followed by individual CSN reports.

As of Sept 19, 2011 all "other" categories within each major resource need category were no longer an available option for reporting within APS CareConnections. There remains one stand alone "other resource need" category for those resources that are not available within any other category. As a result of this change, OAMHS will no longer be reporting on those "other" categories within each resource need category.

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

Table 1: Distinct People with a Resource Data Summary (RDS) by CSN

CSN	Counties	Distinct People
CSN 1	Aroostook	463
CSN 2	Hancock, Penobscot, Piscataquis & Washington	1,938
CSN 3	Kennebec & Somerset	2,249
CSN 4	Knox, Lincoln, Sagadahoc & Waldo	933
CSN 5	Androscoggin, Franklin & Oxford	2,130
CSN 6	Cumberland	2,180
CSN 7	York	851
Not Assigned	No legal address	364
Statewide		11,108

Table 2: Distinct People and Unmet Resource Needs across four Quarters

	2014 Q2			2014 Q3			2014 Q4			2015 Q1		
	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
CSN 1	141	428	32.9%	129	383	33.7%	132	438	30.1%	134	463	28.9%
CSN 2	469	1,825	25.7%	423	1,653	25.6%	463	1,894	24.4%	482	1,938	24.9%
CSN 3	365	2,092	17.4%	308	1,836	16.8%	356	2,143	16.6%	421	2,249	18.7%
CSN 4	205	853	24.0%	187	760	24.6%	248	897	27.6%	284	933	30.4%
CSN 5	622	2,086	29.8%	575	1,863	30.9%	600	2,130	28.2%	610	2,130	28.6%
CSN 6	652	2,044	31.9%	569	1,839	30.9%	654	2,086	31.4%	635	2,180	29.1%
CSN 7	212	614	34.5%	206	567	36.3%	338	853	39.6%	337	851	39.6%
N/A	106	432	24.5%	98	362	27.1%	108	384	28.1%	96	364	26.4%
Total	2,772	10,374	26.7%	2,495	9,263	26.9%	2,899	10,825	26.8%	2,999	11,108	27.0%

Report Run: Jan 14, 2015

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

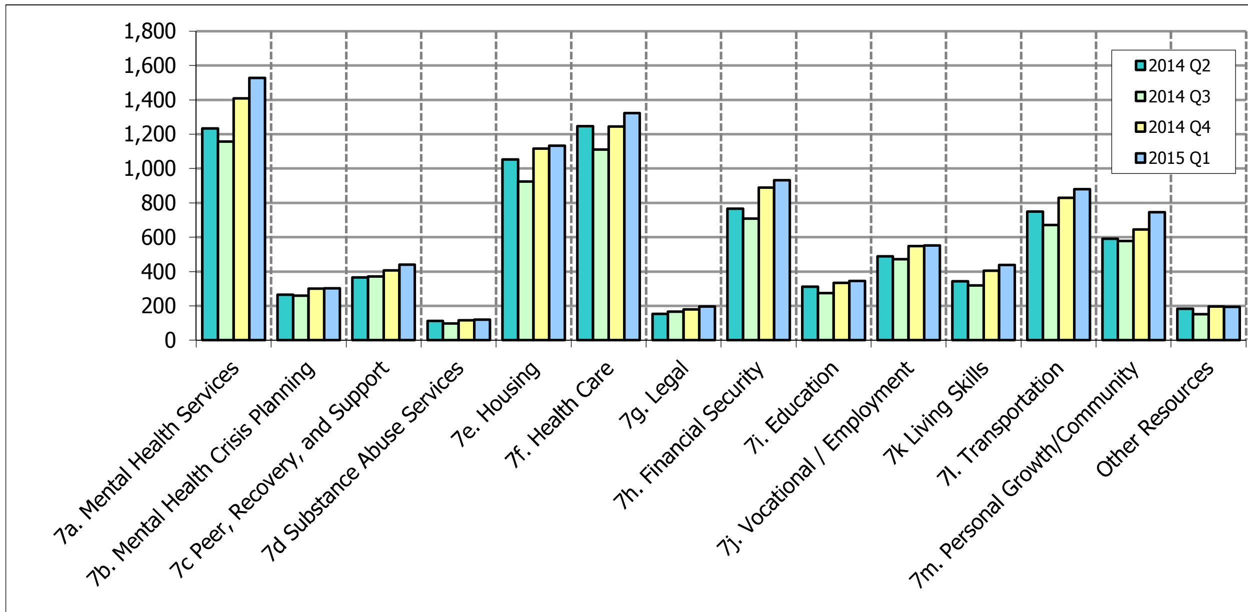


Table 3: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	1,233	1,157	1,409	1,528
7b. Mental Health Crisis Planning	266	259	300	302
7c Peer, Recovery, and Support	365	372	407	440
7d Substance Abuse Services	113	98	116	119
7e. Housing	1,053	924	1,117	1,133
7f. Health Care	1,247	1,110	1,244	1,323
7g. Legal	154	167	179	197
7h. Financial Security	767	708	890	932
7i. Education	312	275	334	346
7j. Vocational / Employment	489	471	549	552
7k Living Skills	343	319	404	439
7l. Transportation	749	671	829	880
7m. Personal Growth/Community	592	579	645	745
Other Resources	184	152	196	194
Total Statewide Unmet Needs	7,867	7,262	8,619	9,130

Report Run: Jan 14, 2015

Report of Unmet Resource Needs

Statewide
(Class Members and Non-Class Member)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	10,374	9,263	10,825	11,108
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	79	69	101	95
7a-iii Dialectical Behavioral Therapy	44	47	66	72
7a-iv Family Psycho-Educational Treatment	11	11	12	19
7a-v Group Counseling	53	41	53	64
7a-vi Individual Counseling	520	465	569	600
7a-vii Inpatient Psychiatric Facility	6	7	8	5
7a-viii Intensive Case Management	37	36	55	68
7a-x Psychiatric Medication Management	483	481	545	605
Total Unmet Resource Needs	1,233	1,157	1,409	1,528
Distinct Clients with Unmet Resource Needs	946	890	1,055	1,147
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	212	205	235	237
7b-ii Mental Health Advance Directives	54	54	65	65
Total Unmet Resource Needs	266	259	300	302
Distinct Clients with Unmet Resource Needs	244	239	272	272
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	40	45	50	43
7c-ii Recovery Workbook Group	5	7	5	6
7c-iii Social Club	121	125	145	162
7c-iv Peer-Run Trauma Recovery Group	42	35	34	32
7c-v Wellness Recovery and Action Planning	35	36	35	35
7c-vi Family Support	122	124	138	162
Total Unmet Resource Needs	365	372	407	440
Distinct Clients with Unmet Resource Needs	293	290	320	352
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	97	87	95	102
7d-ii Residential Treatment Substance Abuse Services	16	11	21	17
Total Unmet Resource Needs	113	98	116	119
Distinct Clients with Unmet Resource Needs	110	97	112	115

Report Run: Jan 14, 2015

Report of Unmet Resource Needs

Statewide
(Class Members and Non-Class Member)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	10,374	9,263	10,825	11,108
7e. Housing				
7e-i Supported Apartment	127	106	130	124
7e-ii Community Residential Facility	33	28	41	38
7e-iii Residential Treatment Facility (group home)	17	14	20	24
7e-iv Assisted Living Facility	56	49	66	52
7e-v Nursing Home	4	5	3	4
7e-vi Residential Crisis Unit	2	2	3	1
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	814	720	854	890
Total Unmet Resource Needs	1,053	924	1,117	1,133
Distinct Clients with Unmet Resource Needs	962	846	1,014	1,041
7f. Health Care				
7f-i Dental Services	630	555	635	656
7f-ii Eye Care Services	251	230	236	251
7f-iii Hearing Services	50	41	43	45
7f-iv Physical Therapy	42	39	49	53
7f-v Physician/Medical Services	274	245	281	318
Total Unmet Resource Needs	1,247	1,110	1,244	1,323
Distinct Clients with Unmet Resource Needs	929	821	927	983
7g. Legal				
7g-i Advocate	109	120	119	139
7g-ii Guardian (private)	34	38	45	44
7g-iii Guardian (public)	11	9	15	14
Total Unmet Resource Needs	154	167	179	197
Distinct Clients with Unmet Resource Needs	145	160	168	189
7h. Financial Security				
7h-i Assistance with Managing Money	414	381	505	548
7h-ii Assistance with Securing Public Benefits	304	276	336	339
7h-iii Representative Payee	49	51	49	45
Total Unmet Resource Needs	767	708	890	932
Distinct Clients with Unmet Resource Needs	672	611	772	814

Report Run: Jan 14, 2015

Report of Unmet Resource Needs

Statewide
(Class Members and Non-Class Member)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	10,374	9,263	10,825	11,108
7i. Education				
7i-i Adult Education (other than GED)	67	53	70	79
7i-ii GED	77	81	90	91
7i-iii Literacy Assistance	27	27	34	39
7i-iv Post High School Education	120	96	122	118
7i-v Tuition Reimbursement	21	18	18	19
Total Unmet Resource Needs	312	275	334	346
Distinct Clients with Unmet Resource Needs	291	247	293	300
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	43	52	43	46
7j-ii Club House and/or Peer Vocational Support	44	42	46	46
7j-iii Competitive Employment (no supports)	73	73	109	97
7j-iv Supported Employment	54	52	59	64
7j-v Vocational Rehabilitation	275	252	292	299
Total Unmet Resource Needs	489	471	549	552
Distinct Clients with Unmet Resource Needs	421	394	463	463
7k. Living Skills				
7k-i Daily Living Support Services	224	208	262	294
7k-ii Day Support Services	26	23	32	37
7k-iii Occupational Therapy	11	9	12	15
7k-iv Skills Development Services	82	79	98	93
Total Unmet Resource Needs	343	319	404	439
Distinct Clients with Unmet Resource Needs	313	290	355	380
7l. Transportation				
7l-i Transportation to ISP-Identified Services	390	355	419	466
7-ii Transportation to Other ISP Activities	196	159	209	232
7-iii After Hours Transportation	163	157	201	182
Total Unmet Resource Needs	749	671	829	880
Distinct Clients with Unmet Resource Needs	537	479	577	606
7m. Personal Growth/Community				
7m-i Avocational Activities	31	30	26	40

Report Run: Jan 14, 2015

Report of Unmet Resource Needs

Statewide
(Class Members and Non-Class Member)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	10,374	9,263	10,825	11,108
7m. Personal Growth/Community				
7m-ii Recreation Activities	158	158	175	190
7m-iii Social Activities	337	331	374	431
7m-iv Spiritual Activities	66	60	70	84
Total Unmet Resource Needs	592	579	645	745
Distinct Clients with Unmet Resource Needs	427	400	454	512
Other Resources				
Other Resources	184	152	196	194
Total Unmet Resource Needs	184	152	196	194
Distinct Clients with Unmet Resource Needs	184	152	196	194
Statewide Totals				
Total Unmet Resource Needs	7,867	7,262	8,619	9,130
Distinct Clients With any Unmet Resource Need	2,772	2,495	2,899	2,999
Distinct Clients with a RDS	10,374	9,263	10,825	11,108

Report Run: Jan 14, 2015

CSN 1 - Aroostook

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
141	428	32.9%	129	383	33.7%	132	438	30.1%	134	463	28.9%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

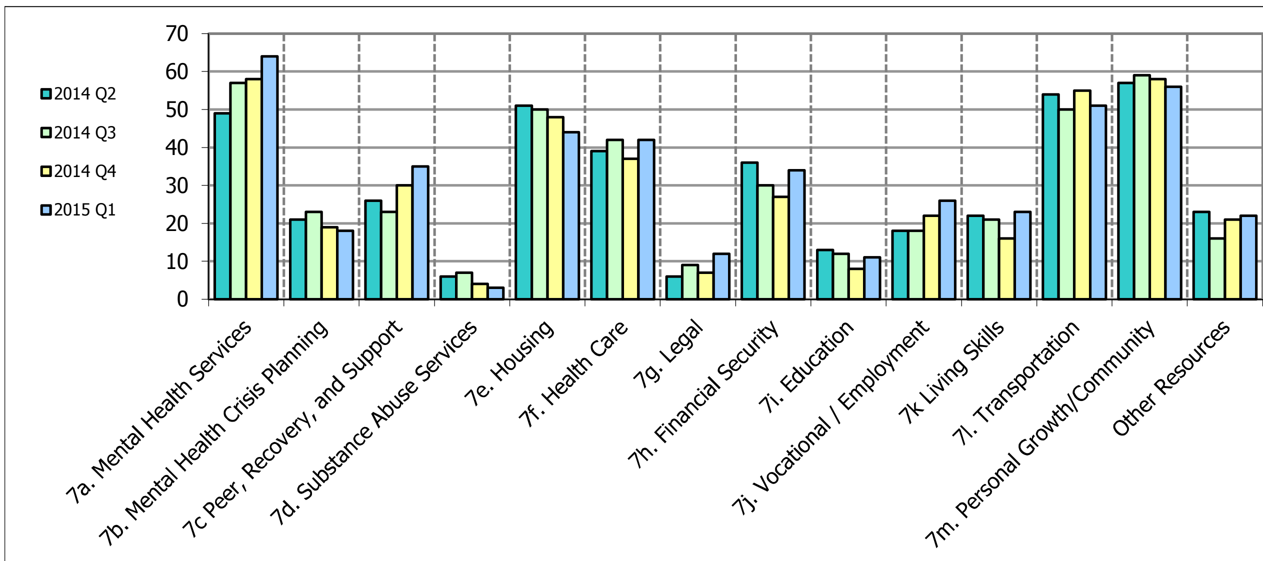


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	49	57	58	64
7b. Mental Health Crisis Planning	21	23	19	18
7c Peer, Recovery, and Support	26	23	30	35
7d. Substance Abuse Services	6	7	4	3
7e. Housing	51	50	48	44
7f. Health Care	39	42	37	42
7g. Legal	6	9	7	12
7h. Financial Security	36	30	27	34
7i. Education	13	12	8	11
7j. Vocational / Employment	18	18	22	26
7k Living Skills	22	21	16	23
7l. Transportation	54	50	55	51
7m. Personal Growth/Community	57	59	58	56
Other Resources	23	16	21	22
Total CSN 1 Unmet Needs	421	417	410	441

Report Run: Jan 13, 2015

Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN 1
(Aroostook)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	428	383	438	463
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	0	2	1	2
7a-iii Dialectical Behavioral Therapy	4	3	6	4
7a-iv Family Psycho-Educational Treatment	0	0	1	2
7a-v Group Counseling	4	4	6	10
7a-vi Individual Counseling	15	16	15	19
7a-vii Inpatient Psychiatric Facility	0	0	0	0
7a-viii Intensive Case Management	1	1	2	3
7a-x Psychiatric Medication Management	25	31	27	24
Total Unmet Resource Needs	49	57	58	64
Distinct Clients with Unmet Resource Needs	40	48	47	55
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	17	19	16	16
7b-ii Mental Health Advance Directives	4	4	3	2
Total Unmet Resource Needs	21	23	19	18
Distinct Clients with Unmet Resource Needs	19	21	17	17
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	1	1	2	1
7c-ii Recovery Workbook Group	0	0	0	0
7c-iii Social Club	20	18	19	19
7c-iv Peer-Run Trauma Recovery Group	2	2	3	4
7c-v Wellness Recovery and Action Planning	2	2	2	2
7c-vi Family Support	1	0	4	9
Total Unmet Resource Needs	26	23	30	35
Distinct Clients with Unmet Resource Needs	24	21	24	27
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	6	7	4	3
7d-ii Residential Treatment Substance Abuse Services	0	0	0	0
Total Unmet Resource Needs	6	7	4	3
Distinct Clients with Unmet Resource Needs	6	7	4	3

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 1
(Aroostook)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	428	383	438	463
7e. Housing				
7e-i Supported Apartment	14	11	10	10
7e-ii Community Residential Facility	1	2	2	3
7e-iii Residential Treatment Facility (group home)	2	2	2	2
7e-iv Assisted Living Facility	6	5	5	3
7e-v Nursing Home	0	0	0	0
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	28	30	29	26
Total Unmet Resource Needs	51	50	48	44
Distinct Clients with Unmet Resource Needs	40	42	42	37
7f. Health Care				
7f-i Dental Services	16	20	16	19
7f-ii Eye Care Services	7	10	8	10
7f-iii Hearing Services	2	0	0	0
7f-iv Physical Therapy	0	3	2	1
7f-v Physician/Medical Services	14	9	11	12
Total Unmet Resource Needs	39	42	37	42
Distinct Clients with Unmet Resource Needs	29	29	28	32
7g. Legal				
7g-i Advocate	4	6	5	7
7g-ii Guardian (private)	1	2	1	4
7g-iii Guardian (public)	1	1	1	1
Total Unmet Resource Needs	6	9	7	12
Distinct Clients with Unmet Resource Needs	6	9	7	12
7h. Financial Security				
7h-i Assistance with Managing Money	15	13	15	16
7h-ii Assistance with Securing Public Benefits	21	16	12	18
7h-iii Representative Payee	0	1	0	0
Total Unmet Resource Needs	36	30	27	34
Distinct Clients with Unmet Resource Needs	33	26	25	30

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 1
(Aroostook)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	428	383	438	463
7i. Education				
7i-i Adult Education (other than GED)	0	0	0	1
7i-ii GED	5	5	3	2
7i-iii Literacy Assistance	2	1	1	2
7i-iv Post High School Education	5	5	4	6
7i-v Tuition Reimbursement	1	1	0	0
Total Unmet Resource Needs	13	12	8	11
Distinct Clients with Unmet Resource Needs	13	12	8	11
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	2	3	2	2
7j-ii Club House and/or Peer Vocational Support	1	0	1	1
7j-iii Competitive Employment (no supports)	1	1	2	2
7j-iv Supported Employment	6	5	7	6
7j-v Vocational Rehabilitation	8	9	10	15
Total Unmet Resource Needs	18	18	22	26
Distinct Clients with Unmet Resource Needs	15	15	16	22
7k. Living Skills				
7k-i Daily Living Support Services	10	8	7	11
7k-ii Day Support Services	0	0	0	2
7k-iii Occupational Therapy	0	1	0	0
7k-iv Skills Development Services	12	12	9	10
Total Unmet Resource Needs	22	21	16	23
Distinct Clients with Unmet Resource Needs	19	18	14	19
7l. Transportation				
7l-i Transportation to ISP-Identified Services	29	26	25	24
7-ii Transportation to Other ISP Activities	11	9	11	8
7-iii After Hours Transportation	14	15	19	19
Total Unmet Resource Needs	54	50	55	51
Distinct Clients with Unmet Resource Needs	38	35	35	37
7m. Personal Growth/Community				
7m-i Avocational Activities	4	5	3	1

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 1
(Aroostook)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	428	383	438	463
7m. Personal Growth/Community				
7m-ii Recreation Activities	12	16	15	13
7m-iii Social Activities	36	35	36	39
7m-iv Spiritual Activities	5	3	4	3
Total Unmet Resource Needs	57	59	58	56
Distinct Clients with Unmet Resource Needs	44	40	42	42
Other Resources				
Other Resources	23	16	21	22
Total Unmet Resource Needs	23	16	21	22
Distinct Clients with Unmet Resource Needs	23	16	21	22
CSN 1 Totals				
Total Unmet Resource Needs	421	417	410	441
Distinct Clients With any Unmet Resource Need	141	129	132	134
Distinct Clients with a RDS	428	383	438	463

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 2 - Hancock, Washington, Penobscot, Piscataquis

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
469	1,825	25.7%	423	1,653	25.6%	463	1,894	24.4%	482	1,938	24.9%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

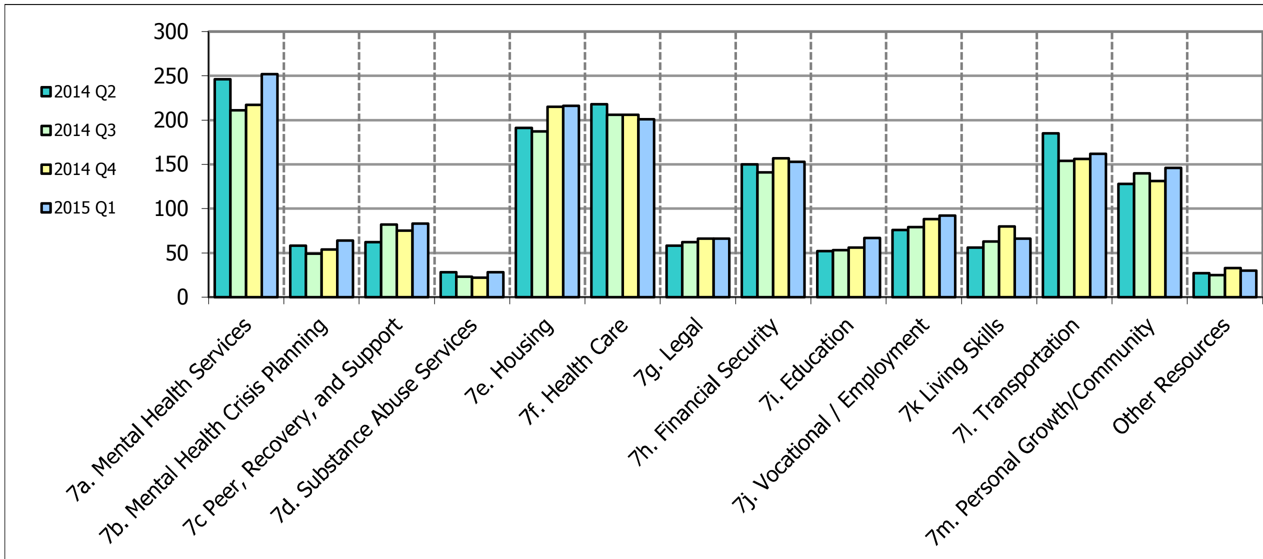


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	246	211	217	252
7b. Mental Health Crisis Planning	58	49	54	64
7c Peer, Recovery, and Support	62	82	75	83
7d. Substance Abuse Services	28	23	22	28
7e. Housing	191	187	215	216
7f. Health Care	218	206	206	201
7g. Legal	58	62	66	66
7h. Financial Security	150	141	157	153
7i. Education	52	53	56	67
7j. Vocational / Employment	76	79	88	92
7k Living Skills	56	63	80	66
7l. Transportation	185	154	156	162
7m. Personal Growth/Community	128	140	131	146
Other Resources	27	25	33	30
Total CSN 2 Unmet Needs	1,535	1,475	1,556	1,626

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 2
(Hancock, Washington, Penobscot, Piscataquis)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	1,825	1,653	1,894	1,938
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	7	5	4	5
7a-iii Dialectical Behavioral Therapy	1	3	1	4
7a-iv Family Psycho-Educational Treatment	4	3	4	5
7a-v Group Counseling	12	13	10	12
7a-vi Individual Counseling	124	94	102	119
7a-vii Inpatient Psychiatric Facility	2	2	1	1
7a-viii Intensive Case Management	8	9	6	7
7a-x Psychiatric Medication Management	88	82	89	99
Total Unmet Resource Needs	246	211	217	252
Distinct Clients with Unmet Resource Needs	174	146	148	173
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	52	40	43	51
7b-ii Mental Health Advance Directives	6	9	11	13
Total Unmet Resource Needs	58	49	54	64
Distinct Clients with Unmet Resource Needs	54	45	48	55
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	5	8	6	5
7c-ii Recovery Workbook Group	0	1	1	1
7c-iii Social Club	14	22	20	28
7c-iv Peer-Run Trauma Recovery Group	9	8	8	6
7c-v Wellness Recovery and Action Planning	8	10	8	8
7c-vi Family Support	26	33	32	35
Total Unmet Resource Needs	62	82	75	83
Distinct Clients with Unmet Resource Needs	51	58	52	60
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	26	21	17	25
7d-ii Residential Treatment Substance Abuse Services	2	2	5	3
Total Unmet Resource Needs	28	23	22	28
Distinct Clients with Unmet Resource Needs	27	23	21	27

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 2
(Hancock, Washington, Penobscot, Piscataquis)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	1,825	1,653	1,894	1,938
7e. Housing				
7e-i Supported Apartment	21	15	22	19
7e-ii Community Residential Facility	4	6	3	3
7e-iii Residential Treatment Facility (group home)	0	1	1	1
7e-iv Assisted Living Facility	13	12	14	14
7e-v Nursing Home	0	1	0	0
7e-vi Residential Crisis Unit	1	2	3	1
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	152	150	172	178
Total Unmet Resource Needs	191	187	215	216
Distinct Clients with Unmet Resource Needs	178	171	197	200
7f. Health Care				
7f-i Dental Services	89	83	82	78
7f-ii Eye Care Services	45	50	48	42
7f-iii Hearing Services	7	7	7	8
7f-iv Physical Therapy	11	11	13	14
7f-v Physician/Medical Services	66	55	56	59
Total Unmet Resource Needs	218	206	206	201
Distinct Clients with Unmet Resource Needs	157	144	143	144
7g. Legal				
7g-i Advocate	31	30	29	31
7g-ii Guardian (private)	25	29	33	32
7g-iii Guardian (public)	2	3	4	3
Total Unmet Resource Needs	58	62	66	66
Distinct Clients with Unmet Resource Needs	52	58	63	63
7h. Financial Security				
7h-i Assistance with Managing Money	80	81	92	85
7h-ii Assistance with Securing Public Benefits	60	50	58	61
7h-iii Representative Payee	10	10	7	7
Total Unmet Resource Needs	150	141	157	153
Distinct Clients with Unmet Resource Needs	120	115	124	123

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 2
(Hancock, Washington, Penobscot, Piscataquis)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	1,825	1,653	1,894	1,938
7i. Education				
7i-i Adult Education (other than GED)	8	8	11	15
7i-ii GED	4	6	8	9
7i-iii Literacy Assistance	3	2	0	3
7i-iv Post High School Education	29	29	30	32
7i-v Tuition Reimbursement	8	8	7	8
Total Unmet Resource Needs	52	53	56	67
Distinct Clients with Unmet Resource Needs	49	48	50	54
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	11	10	11	11
7j-ii Club House and/or Peer Vocational Support	4	10	5	4
7j-iii Competitive Employment (no supports)	20	17	23	24
7j-iv Supported Employment	7	9	12	14
7j-v Vocational Rehabilitation	34	33	37	39
Total Unmet Resource Needs	76	79	88	92
Distinct Clients with Unmet Resource Needs	61	63	70	73
7k. Living Skills				
7k-i Daily Living Support Services	33	36	48	44
7k-ii Day Support Services	3	3	3	4
7k-iii Occupational Therapy	2	2	2	3
7k-iv Skills Development Services	18	22	27	15
Total Unmet Resource Needs	56	63	80	66
Distinct Clients with Unmet Resource Needs	50	51	67	57
7l. Transportation				
7l-i Transportation to ISP-Identified Services	93	81	77	87
7-ii Transportation to Other ISP Activities	44	35	36	38
7-iii After Hours Transportation	48	38	43	37
Total Unmet Resource Needs	185	154	156	162
Distinct Clients with Unmet Resource Needs	121	101	104	109
7m. Personal Growth/Community				
7m-i Avocational Activities	10	10	6	14

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 2
(Hancock, Washington, Penobscot, Piscataquis)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	1,825	1,653	1,894	1,938
7m. Personal Growth/Community				
7m-ii Recreation Activities	41	46	38	44
7m-iii Social Activities	63	71	73	75
7m-iv Spiritual Activities	14	13	14	13
Total Unmet Resource Needs	128	140	131	146
Distinct Clients with Unmet Resource Needs	85	88	84	97
Other Resources				
Other Resources	27	25	33	30
Total Unmet Resource Needs	27	25	33	30
Distinct Clients with Unmet Resource Needs	27	25	33	30
CSN 2 Totals				
Total Unmet Resource Needs	1,535	1,475	1,556	1,626
Distinct Clients With any Unmet Resource Need	469	423	463	482
Distinct Clients with a RDS	1,825	1,653	1,894	1,938

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 3 - Kennebec and Somerset

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
365	2,092	17.4%	308	1,836	16.8%	356	2,143	16.6%	421	2,249	18.7%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

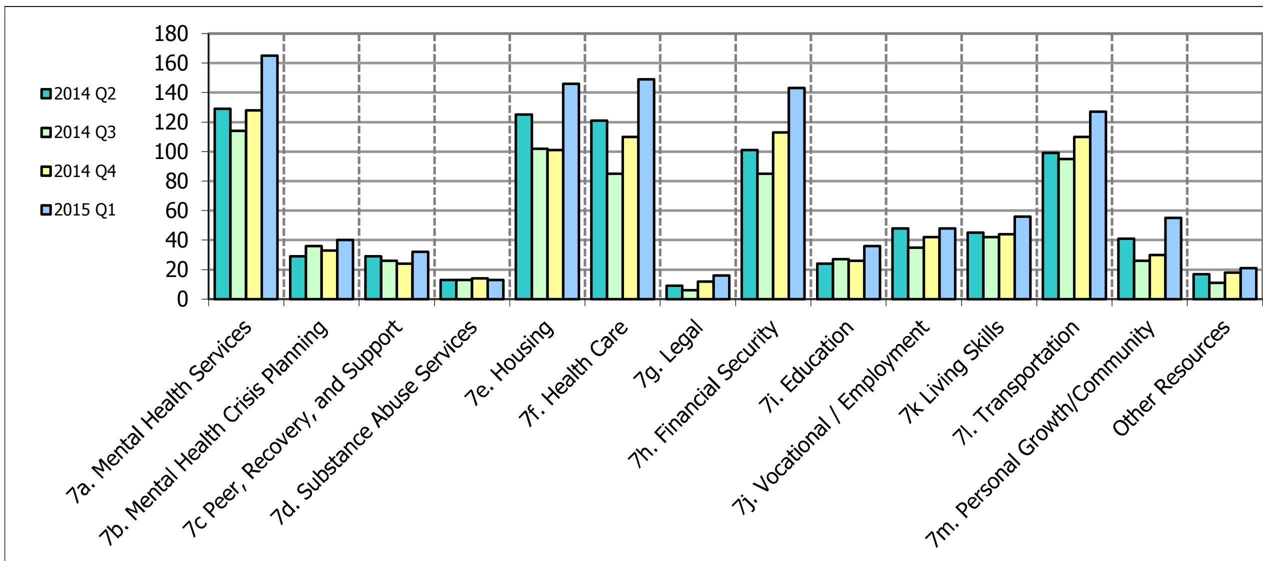


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	129	114	128	165
7b. Mental Health Crisis Planning	29	36	33	40
7c Peer, Recovery, and Support	29	26	24	32
7d. Substance Abuse Services	13	13	14	13
7e. Housing	125	102	101	146
7f. Health Care	121	85	110	149
7g. Legal	9	6	12	16
7h. Financial Security	101	85	113	143
7i. Education	24	27	26	36
7j. Vocational / Employment	48	35	42	48
7k Living Skills	45	42	44	56
7l. Transportation	99	95	110	127
7m. Personal Growth/Community	41	26	30	55
Other Resources	17	11	18	21
Total CSN 3 Unmet Needs	830	703	805	1,047

Report Run: Jan 13, 2015

Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN 3
(Kennebec, Somerset)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,092	1,836	2,143	2,249
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	3	2	2	2
7a-iii Dialectical Behavioral Therapy	2	2	3	2
7a-iv Family Psycho-Educational Treatment	1	1	0	1
7a-v Group Counseling	1	1	4	6
7a-vi Individual Counseling	50	49	53	67
7a-vii Inpatient Psychiatric Facility	1	1	2	2
7a-viii Intensive Case Management	1	0	3	4
7a-x Psychiatric Medication Management	70	58	61	81
Total Unmet Resource Needs	129	114	128	165
Distinct Clients with Unmet Resource Needs	96	86	100	128
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	20	27	24	28
7b-ii Mental Health Advance Directives	9	9	9	12
Total Unmet Resource Needs	29	36	33	40
Distinct Clients with Unmet Resource Needs	25	31	28	34
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	4	3	4	4
7c-ii Recovery Workbook Group	0	0	0	0
7c-iii Social Club	6	4	5	8
7c-iv Peer-Run Trauma Recovery Group	3	2	3	3
7c-v Wellness Recovery and Action Planning	3	4	2	1
7c-vi Family Support	13	13	10	16
Total Unmet Resource Needs	29	26	24	32
Distinct Clients with Unmet Resource Needs	22	22	20	27
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	10	10	10	9
7d-ii Residential Treatment Substance Abuse Services	3	3	4	4
Total Unmet Resource Needs	13	13	14	13
Distinct Clients with Unmet Resource Needs	12	12	12	11

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 3
(Kennebec, Somerset)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,092	1,836	2,143	2,249
7e. Housing				
7e-i Supported Apartment	10	9	6	8
7e-ii Community Residential Facility	4	2	3	5
7e-iii Residential Treatment Facility (group home)	1	0	2	4
7e-iv Assisted Living Facility	3	4	3	4
7e-v Nursing Home	0	1	1	1
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	107	86	86	124
Total Unmet Resource Needs	125	102	101	146
Distinct Clients with Unmet Resource Needs	120	96	96	138
7f. Health Care				
7f-i Dental Services	60	37	54	67
7f-ii Eye Care Services	25	18	18	24
7f-iii Hearing Services	8	5	6	5
7f-iv Physical Therapy	3	1	1	4
7f-v Physician/Medical Services	25	24	31	49
Total Unmet Resource Needs	121	85	110	149
Distinct Clients with Unmet Resource Needs	102	72	93	128
7g. Legal				
7g-i Advocate	5	4	6	10
7g-ii Guardian (private)	1	1	3	2
7g-iii Guardian (public)	3	1	3	4
Total Unmet Resource Needs	9	6	12	16
Distinct Clients with Unmet Resource Needs	7	5	8	14
7h. Financial Security				
7h-i Assistance with Managing Money	44	40	51	78
7h-ii Assistance with Securing Public Benefits	50	37	55	57
7h-iii Representative Payee	7	8	7	8
Total Unmet Resource Needs	101	85	113	143
Distinct Clients with Unmet Resource Needs	95	75	99	124

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 3
(Kennebec, Somerset)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,092	1,836	2,143	2,249
7i. Education				
7i-i Adult Education (other than GED)	5	3	5	10
7i-ii GED	8	9	6	7
7i-iii Literacy Assistance	3	4	5	6
7i-iv Post High School Education	6	9	8	10
7i-v Tuition Reimbursement	2	2	2	3
Total Unmet Resource Needs	24	27	26	36
Distinct Clients with Unmet Resource Needs	22	26	23	31
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	2	2	3	2
7j-ii Club House and/or Peer Vocational Support	10	5	9	12
7j-iii Competitive Employment (no supports)	3	3	2	2
7j-iv Supported Employment	3	2	2	2
7j-v Vocational Rehabilitation	30	23	26	30
Total Unmet Resource Needs	48	35	42	48
Distinct Clients with Unmet Resource Needs	45	33	38	44
7k. Living Skills				
7k-i Daily Living Support Services	35	32	30	42
7k-ii Day Support Services	2	2	3	3
7k-iii Occupational Therapy	0	0	0	0
7k-iv Skills Development Services	8	8	11	11
Total Unmet Resource Needs	45	42	44	56
Distinct Clients with Unmet Resource Needs	43	41	42	55
7l. Transportation				
7l-i Transportation to ISP-Identified Services	64	64	74	84
7-ii Transportation to Other ISP Activities	20	18	24	30
7-iii After Hours Transportation	15	13	12	13
Total Unmet Resource Needs	99	95	110	127
Distinct Clients with Unmet Resource Needs	82	76	84	96
7m. Personal Growth/Community				
7m-i Avocational Activities	1	2	3	2

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 3
(Kennebec, Somerset)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,092	1,836	2,143	2,249
7m. Personal Growth/Community				
7m-ii Recreation Activities	5	3	6	10
7m-iii Social Activities	33	21	20	39
7m-iv Spiritual Activities	2	0	1	4
Total Unmet Resource Needs	41	26	30	55
Distinct Clients with Unmet Resource Needs	35	23	23	41
Other Resources				
Other Resources	17	11	18	21
Total Unmet Resource Needs	17	11	18	21
Distinct Clients with Unmet Resource Needs	17	11	18	21
CSN 3 Totals				
Total Unmet Resource Needs	830	703	805	1,047
Distinct Clients With any Unmet Resource Need	365	308	356	421
Distinct Clients with a RDS	2,092	1,836	2,143	2,249

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 4 - Knox, Lincoln, Sagadahoc, Waldo

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
205	853	24.0%	187	760	24.6%	248	897	27.6%	284	933	30.4%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

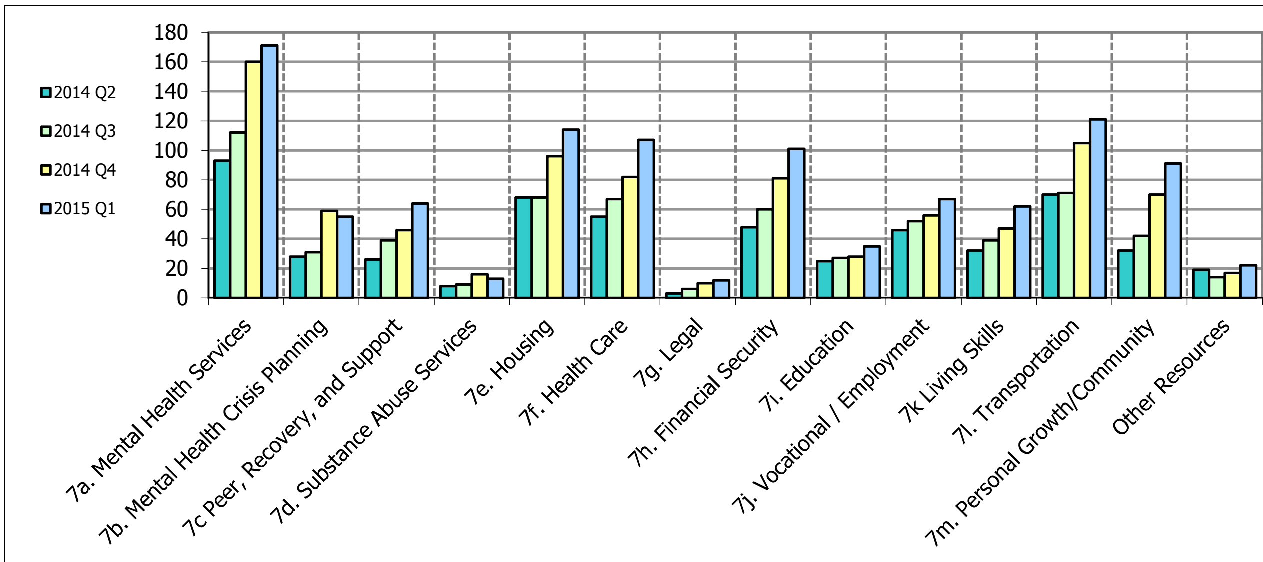


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	93	112	160	171
7b. Mental Health Crisis Planning	28	31	59	55
7c Peer, Recovery, and Support	26	39	46	64
7d. Substance Abuse Services	8	9	16	13
7e. Housing	68	68	96	114
7f. Health Care	55	67	82	107
7g. Legal	3	6	10	12
7h. Financial Security	48	60	81	101
7i. Education	25	27	28	35
7j. Vocational / Employment	46	52	56	67
7k Living Skills	32	39	47	62
7l. Transportation	70	71	105	121
7m. Personal Growth/Community	32	42	70	91
Other Resources	19	14	17	22
Total CSN 4 Unmet Needs	553	637	873	1,035

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 4
(Knox, Lincoln, Sagadahoc, Waldo)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	853	760	897	933
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	10	12	20	16
7a-iii Dialectical Behavioral Therapy	0	2	1	1
7a-iv Family Psycho-Educational Treatment	1	1	3	4
7a-v Group Counseling	4	2	5	8
7a-vi Individual Counseling	36	46	78	82
7a-vii Inpatient Psychiatric Facility	0	1	1	0
7a-viii Intensive Case Management	3	3	3	2
7a-x Psychiatric Medication Management	39	45	49	58
Total Unmet Resource Needs	93	112	160	171
Distinct Clients with Unmet Resource Needs	75	82	121	123
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	22	30	49	46
7b-ii Mental Health Advance Directives	6	1	10	9
Total Unmet Resource Needs	28	31	59	55
Distinct Clients with Unmet Resource Needs	25	31	55	51
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	5	5	7	6
7c-ii Recovery Workbook Group	1	1	0	0
7c-iii Social Club	6	11	15	23
7c-iv Peer-Run Trauma Recovery Group	1	0	0	2
7c-v Wellness Recovery and Action Planning	3	3	3	4
7c-vi Family Support	10	19	21	29
Total Unmet Resource Needs	26	39	46	64
Distinct Clients with Unmet Resource Needs	18	30	38	57
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	8	9	16	13
7d-ii Residential Treatment Substance Abuse Services	0	0	0	0
Total Unmet Resource Needs	8	9	16	13
Distinct Clients with Unmet Resource Needs	8	9	16	13

Report Run: Jan 13, 2015

Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN 4
(Knox, Lincoln, Sagadahoc, Waldo)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	853	760	897	933
7e. Housing				
7e-i Supported Apartment	9	11	16	15
7e-ii Community Residential Facility	3	2	3	4
7e-iii Residential Treatment Facility (group home)	4	3	4	6
7e-iv Assisted Living Facility	5	3	6	5
7e-v Nursing Home	1	0	0	0
7e-vi Residential Crisis Unit	1	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	45	49	67	84
Total Unmet Resource Needs	68	68	96	114
Distinct Clients with Unmet Resource Needs	57	62	83	102
7f. Health Care				
7f-i Dental Services	33	33	45	55
7f-ii Eye Care Services	12	13	13	16
7f-iii Hearing Services	2	2	3	3
7f-iv Physical Therapy	0	3	1	1
7f-v Physician/Medical Services	8	16	20	32
Total Unmet Resource Needs	55	67	82	107
Distinct Clients with Unmet Resource Needs	43	53	65	86
7g. Legal				
7g-i Advocate	2	4	8	12
7g-ii Guardian (private)	1	2	2	0
7g-iii Guardian (public)	0	0	0	0
Total Unmet Resource Needs	3	6	10	12
Distinct Clients with Unmet Resource Needs	3	6	9	12
7h. Financial Security				
7h-i Assistance with Managing Money	27	29	45	57
7h-ii Assistance with Securing Public Benefits	18	26	29	38
7h-iii Representative Payee	3	5	7	6
Total Unmet Resource Needs	48	60	81	101
Distinct Clients with Unmet Resource Needs	42	48	67	89

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 4
(Knox, Lincoln, Sagadahoc, Waldo)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	853	760	897	933
7i. Education				
7i-i Adult Education (other than GED)	2	3	5	6
7i-ii GED	8	11	9	11
7i-iii Literacy Assistance	0	1	2	4
7i-iv Post High School Education	14	12	12	14
7i-v Tuition Reimbursement	1	0	0	0
Total Unmet Resource Needs	25	27	28	35
Distinct Clients with Unmet Resource Needs	23	25	26	33
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	6	7	3	5
7j-ii Club House and/or Peer Vocational Support	1	1	1	0
7j-iii Competitive Employment (no supports)	4	7	10	12
7j-iv Supported Employment	5	2	5	4
7j-v Vocational Rehabilitation	30	35	37	46
Total Unmet Resource Needs	46	52	56	67
Distinct Clients with Unmet Resource Needs	37	44	46	60
7k. Living Skills				
7k-i Daily Living Support Services	24	31	39	50
7k-ii Day Support Services	1	1	1	2
7k-iii Occupational Therapy	1	0	0	1
7k-iv Skills Development Services	6	7	7	9
Total Unmet Resource Needs	32	39	47	62
Distinct Clients with Unmet Resource Needs	29	35	43	55
7l. Transportation				
7l-i Transportation to ISP-Identified Services	39	41	62	73
7-ii Transportation to Other ISP Activities	18	20	30	34
7-iii After Hours Transportation	13	10	13	14
Total Unmet Resource Needs	70	71	105	121
Distinct Clients with Unmet Resource Needs	45	47	67	80
7m. Personal Growth/Community				
7m-i Avocational Activities	2	1	0	0

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 4
(Knox, Lincoln, Sagadahoc, Waldo)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	853	760	897	933
7m. Personal Growth/Community				
7m-ii Recreation Activities	8	13	17	24
7m-iii Social Activities	20	25	42	51
7m-iv Spiritual Activities	2	3	11	16
Total Unmet Resource Needs	32	42	70	91
Distinct Clients with Unmet Resource Needs	24	30	46	58
Other Resources				
Other Resources	19	14	17	22
Total Unmet Resource Needs	19	14	17	22
Distinct Clients with Unmet Resource Needs	19	14	17	22
CSN 4 Totals				
Total Unmet Resource Needs	553	637	873	1,035
Distinct Clients With any Unmet Resource Need	205	187	248	284
Distinct Clients with a RDS	853	760	897	933

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 5 - Androscoggin, Franklin, Oxford (Includes: Bridgton, Harrison, Naples, Casco)

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
622	2,086	29.8%	575	1,863	30.9%	600	2,130	28.2%	610	2,130	28.6%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

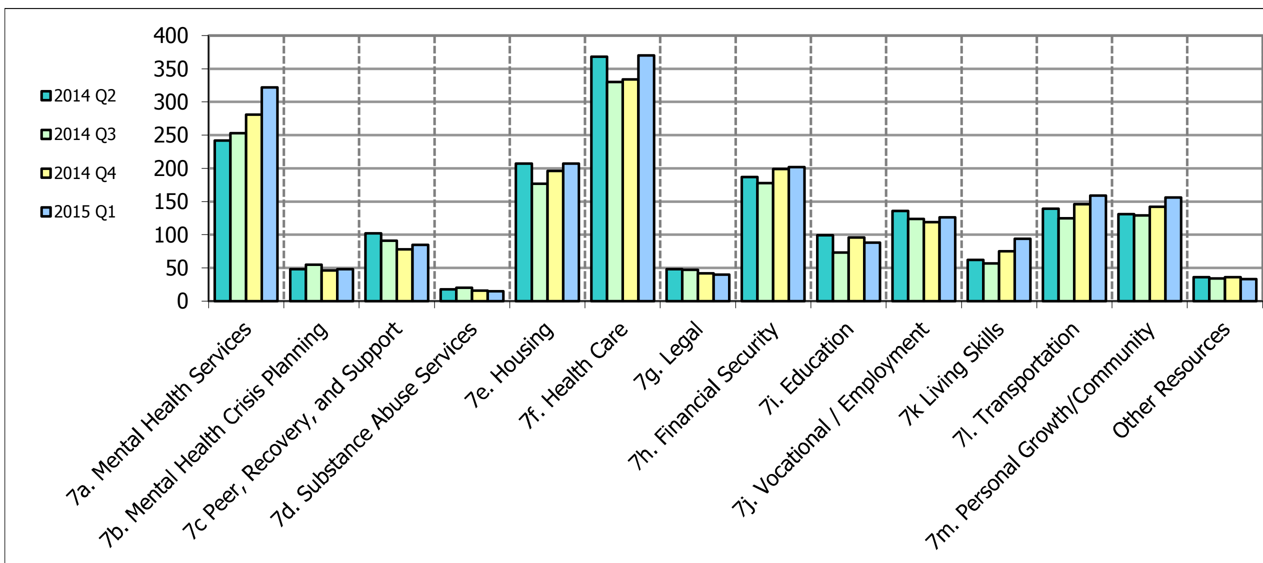


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	242	253	281	322
7b. Mental Health Crisis Planning	48	55	46	48
7c Peer, Recovery, and Support	102	91	78	85
7d. Substance Abuse Services	18	20	16	15
7e. Housing	207	177	196	207
7f. Health Care	368	330	334	370
7g. Legal	48	47	42	40
7h. Financial Security	187	178	199	202
7i. Education	99	73	96	88
7j. Vocational / Employment	136	124	119	126
7k Living Skills	62	57	75	94
7l. Transportation	139	125	146	159
7m. Personal Growth/Community	131	129	142	156
Other Resources	36	34	36	33
Total CSN 5 Unmet Needs	1,823	1,693	1,806	1,945

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 5
(Androscoggin, Franklin, Oxford)
(Includes: Bridgton, Harrison, Naples, Casco)
Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,086	1,863	2,130	2,130
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	6	10	18	16
7a-iii Dialectical Behavioral Therapy	23	24	25	29
7a-iv Family Psycho-Educational Treatment	2	2	1	3
7a-v Group Counseling	9	8	5	10
7a-vi Individual Counseling	101	95	109	110
7a-vii Inpatient Psychiatric Facility	2	2	2	1
7a-viii Intensive Case Management	2	5	7	13
7a-x Psychiatric Medication Management	97	107	114	140
Total Unmet Resource Needs	242	253	281	322
Distinct Clients with Unmet Resource Needs	215	213	225	258
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	29	35	29	31
7b-ii Mental Health Advance Directives	19	20	17	17
Total Unmet Resource Needs	48	55	46	48
Distinct Clients with Unmet Resource Needs	44	51	43	45
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	8	10	6	6
7c-ii Recovery Workbook Group	3	3	2	3
7c-iii Social Club	32	31	25	32
7c-iv Peer-Run Trauma Recovery Group	9	9	6	4
7c-v Wellness Recovery and Action Planning	7	5	7	4
7c-vi Family Support	43	33	32	36
Total Unmet Resource Needs	102	91	78	85
Distinct Clients with Unmet Resource Needs	87	79	69	75
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	17	18	13	13
7d-ii Residential Treatment Substance Abuse Services	1	2	3	2
Total Unmet Resource Needs	18	20	16	15
Distinct Clients with Unmet Resource Needs	18	20	16	15

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 5
(Androscoggin, Franklin, Oxford)
(Includes: Bridgton, Harrison, Naples, Casco)
Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,086	1,863	2,130	2,130
7e. Housing				
7e-i Supported Apartment	16	13	12	18
7e-ii Community Residential Facility	4	3	4	5
7e-iii Residential Treatment Facility (group home)	1	3	2	1
7e-iv Assisted Living Facility	6	5	4	3
7e-v Nursing Home	0	0	0	0
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	180	153	174	180
Total Unmet Resource Needs	207	177	196	207
Distinct Clients with Unmet Resource Needs	195	166	186	196
7f. Health Care				
7f-i Dental Services	196	167	174	182
7f-ii Eye Care Services	78	71	73	83
7f-iii Hearing Services	17	14	14	16
7f-iv Physical Therapy	12	9	12	17
7f-v Physician/Medical Services	65	69	61	72
Total Unmet Resource Needs	368	330	334	370
Distinct Clients with Unmet Resource Needs	265	236	237	246
7g. Legal				
7g-i Advocate	43	45	39	39
7g-ii Guardian (private)	2	1	1	0
7g-iii Guardian (public)	3	1	2	1
Total Unmet Resource Needs	48	47	42	40
Distinct Clients with Unmet Resource Needs	48	47	42	40
7h. Financial Security				
7h-i Assistance with Managing Money	118	103	113	123
7h-ii Assistance with Securing Public Benefits	61	65	80	73
7h-iii Representative Payee	8	10	6	6
Total Unmet Resource Needs	187	178	199	202
Distinct Clients with Unmet Resource Needs	170	162	179	186

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 5
(Androscoggin, Franklin, Oxford)
(Includes: Bridgton, Harrison, Naples, Casco)
Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,086	1,863	2,130	2,130
7i. Education				
7i-i Adult Education (other than GED)	24	15	23	23
7i-ii GED	33	27	34	32
7i-iii Literacy Assistance	10	8	11	7
7i-iv Post High School Education	27	18	22	22
7i-v Tuition Reimbursement	5	5	6	4
Total Unmet Resource Needs	99	73	96	88
Distinct Clients with Unmet Resource Needs	92	63	77	76
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	6	11	9	9
7j-ii Club House and/or Peer Vocational Support	15	15	12	13
7j-iii Competitive Employment (no supports)	10	12	15	19
7j-iv Supported Employment	18	15	11	13
7j-v Vocational Rehabilitation	87	71	72	72
Total Unmet Resource Needs	136	124	119	126
Distinct Clients with Unmet Resource Needs	121	106	104	105
7k. Living Skills				
7k-i Daily Living Support Services	45	40	49	64
7k-ii Day Support Services	7	6	8	10
7k-iii Occupational Therapy	2	2	1	4
7k-iv Skills Development Services	8	9	17	16
Total Unmet Resource Needs	62	57	75	94
Distinct Clients with Unmet Resource Needs	59	55	70	78
7l. Transportation				
7l-i Transportation to ISP-Identified Services	63	56	54	71
7-ii Transportation to Other ISP Activities	42	35	45	49
7-iii After Hours Transportation	34	34	47	39
Total Unmet Resource Needs	139	125	146	159
Distinct Clients with Unmet Resource Needs	104	87	96	101
7m. Personal Growth/Community				
7m-i Avocational Activities	3	3	5	7

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 5
(Androscoggin, Franklin, Oxford)
(Includes: Bridgton, Harrison, Naples, Casco)
Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,086	1,863	2,130	2,130
7m. Personal Growth/Community				
7m-ii Recreation Activities	33	26	34	34
7m-iii Social Activities	69	75	79	90
7m-iv Spiritual Activities	26	25	24	25
Total Unmet Resource Needs	131	129	142	156
Distinct Clients with Unmet Resource Needs	88	87	99	107
Other Resources				
Other Resources	36	34	36	33
Total Unmet Resource Needs	36	34	36	33
Distinct Clients with Unmet Resource Needs	36	34	36	33
CSN 5 Totals				
Total Unmet Resource Needs	1,823	1,693	1,806	1,945
Distinct Clients With any Unmet Resource Need	622	575	600	610
Distinct Clients with a RDS	2,086	1,863	2,130	2,130

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 6 - Cumberland

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
652	2,044	31.9%	569	1,839	30.9%	654	2,086	31.4%	635	2,180	29.1%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

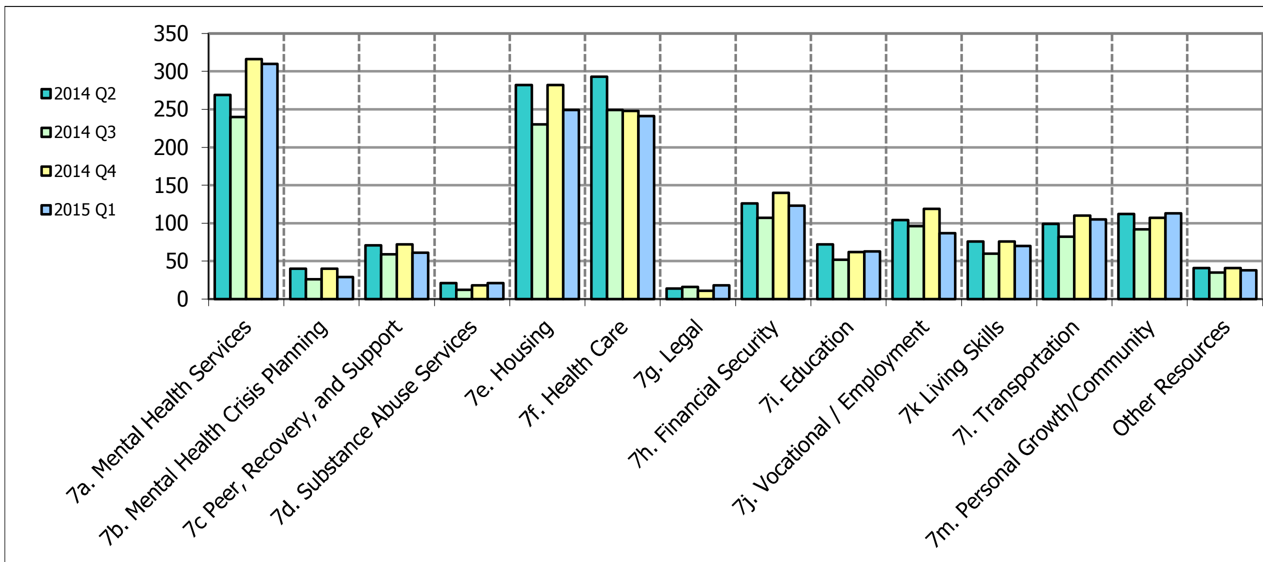


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	269	240	316	310
7b. Mental Health Crisis Planning	40	26	40	29
7c Peer, Recovery, and Support	71	59	72	61
7d. Substance Abuse Services	21	12	18	21
7e. Housing	282	230	282	249
7f. Health Care	293	249	248	241
7g. Legal	14	16	11	18
7h. Financial Security	126	107	140	123
7i. Education	72	52	62	63
7j. Vocational / Employment	104	96	119	87
7k Living Skills	76	60	76	70
7l. Transportation	99	82	110	105
7m. Personal Growth/Community	112	92	107	113
Other Resources	41	35	41	38
Total CSN 6 Unmet Needs	1,620	1,356	1,642	1,528

Report Run: Jan 13, 2015

Substance Abuse and Mental Health Services

An Office of the Department of Health and Human Services

Paul R. LePage, Governor — Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN 6
(Cumberland)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,044	1,839	2,086	2,180
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	39	32	44	44
7a-iii Dialectical Behavioral Therapy	3	3	4	9
7a-iv Family Psycho-Educational Treatment	3	3	3	2
7a-v Group Counseling	14	8	13	12
7a-vi Individual Counseling	102	91	118	111
7a-vii Inpatient Psychiatric Facility	1	1	1	1
7a-viii Intensive Case Management	16	17	25	28
7a-x Psychiatric Medication Management	91	85	108	103
Total Unmet Resource Needs	269	240	316	310
Distinct Clients with Unmet Resource Needs	201	180	230	226
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	35	23	36	27
7b-ii Mental Health Advance Directives	5	3	4	2
Total Unmet Resource Needs	40	26	40	29
Distinct Clients with Unmet Resource Needs	36	24	37	27
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	14	12	15	13
7c-ii Recovery Workbook Group	1	2	1	1
7c-iii Social Club	30	23	32	26
7c-iv Peer-Run Trauma Recovery Group	7	5	3	1
7c-v Wellness Recovery and Action Planning	6	5	5	4
7c-vi Family Support	13	12	16	16
Total Unmet Resource Needs	71	59	72	61
Distinct Clients with Unmet Resource Needs	53	42	54	47
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	14	8	12	15
7d-ii Residential Treatment Substance Abuse Services	7	4	6	6
Total Unmet Resource Needs	21	12	18	21
Distinct Clients with Unmet Resource Needs	21	12	18	21

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 6
(Cumberland)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,044	1,839	2,086	2,180
7e. Housing				
7e-i Supported Apartment	42	36	42	37
7e-ii Community Residential Facility	10	9	18	13
7e-iii Residential Treatment Facility (group home)	7	5	7	9
7e-iv Assisted Living Facility	16	12	23	16
7e-v Nursing Home	2	2	1	2
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	205	166	191	172
Total Unmet Resource Needs	282	230	282	249
Distinct Clients with Unmet Resource Needs	254	206	250	225
7f. Health Care				
7f-i Dental Services	172	153	153	148
7f-ii Eye Care Services	55	46	37	37
7f-iii Hearing Services	8	9	3	7
7f-iv Physical Therapy	6	4	4	3
7f-v Physician/Medical Services	52	37	51	46
Total Unmet Resource Needs	293	249	248	241
Distinct Clients with Unmet Resource Needs	223	191	202	191
7g. Legal				
7g-i Advocate	12	13	7	13
7g-ii Guardian (private)	1	1	2	2
7g-iii Guardian (public)	1	2	2	3
Total Unmet Resource Needs	14	16	11	18
Distinct Clients with Unmet Resource Needs	14	16	11	18
7h. Financial Security				
7h-i Assistance with Managing Money	67	55	79	69
7h-ii Assistance with Securing Public Benefits	48	43	48	41
7h-iii Representative Payee	11	9	13	13
Total Unmet Resource Needs	126	107	140	123
Distinct Clients with Unmet Resource Needs	116	97	130	112

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 6
(Cumberland)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,044	1,839	2,086	2,180
7i. Education				
7i-i Adult Education (other than GED)	19	15	14	13
7i-ii GED	17	16	15	20
7i-iii Literacy Assistance	6	7	8	10
7i-iv Post High School Education	27	12	22	18
7i-v Tuition Reimbursement	3	2	3	2
Total Unmet Resource Needs	72	52	62	63
Distinct Clients with Unmet Resource Needs	68	48	57	57
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	9	9	9	7
7j-ii Club House and/or Peer Vocational Support	5	3	5	2
7j-iii Competitive Employment (no supports)	23	21	28	16
7j-iv Supported Employment	10	13	15	14
7j-v Vocational Rehabilitation	57	50	62	48
Total Unmet Resource Needs	104	96	119	87
Distinct Clients with Unmet Resource Needs	91	81	98	73
7k. Living Skills				
7k-i Daily Living Support Services	42	36	47	41
7k-ii Day Support Services	8	6	9	9
7k-iii Occupational Therapy	4	2	3	2
7k-iv Skills Development Services	22	16	17	18
Total Unmet Resource Needs	76	60	76	70
Distinct Clients with Unmet Resource Needs	71	56	67	62
7l. Transportation				
7l-i Transportation to ISP-Identified Services	51	43	61	55
7-ii Transportation to Other ISP Activities	30	20	27	29
7-iii After Hours Transportation	18	19	22	21
Total Unmet Resource Needs	99	82	110	105
Distinct Clients with Unmet Resource Needs	75	64	86	78
7m. Personal Growth/Community				
7m-i Avocational Activities	3	3	3	6

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 6
(Cumberland)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	2,044	1,839	2,086	2,180
7m. Personal Growth/Community				
7m-ii Recreation Activities	35	27	32	28
7m-iii Social Activities	68	55	67	71
7m-iv Spiritual Activities	6	7	5	8
Total Unmet Resource Needs	112	92	107	113
Distinct Clients with Unmet Resource Needs	86	70	84	85
Other Resources				
Other Resources	41	35	41	38
Total Unmet Resource Needs	41	35	41	38
Distinct Clients with Unmet Resource Needs	41	35	41	38
CSN 6 Totals				
Total Unmet Resource Needs	1,620	1,356	1,642	1,528
Distinct Clients With any Unmet Resource Need	652	569	654	635
Distinct Clients with a RDS	2,044	1,839	2,086	2,180

Report Run: Jan 13, 2015

Statewide Report of Unmet Resource Needs for Fiscal Year 2015 Quarter 1

CSN 7 - York

Table 1: Distinct People and Unmet Resource Needs across four Quarters

2014 Q2			2014 Q3			2014 Q4			2015 Q1		
People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs	People with Unmet Needs	Distinct People	% With Unmet Needs
212	567	37.4%	206	853	24.2%	338	853	39.6%	337	851	39.6%

Graph 1: Number of Unmet Resource Needs by Category over four Quarters

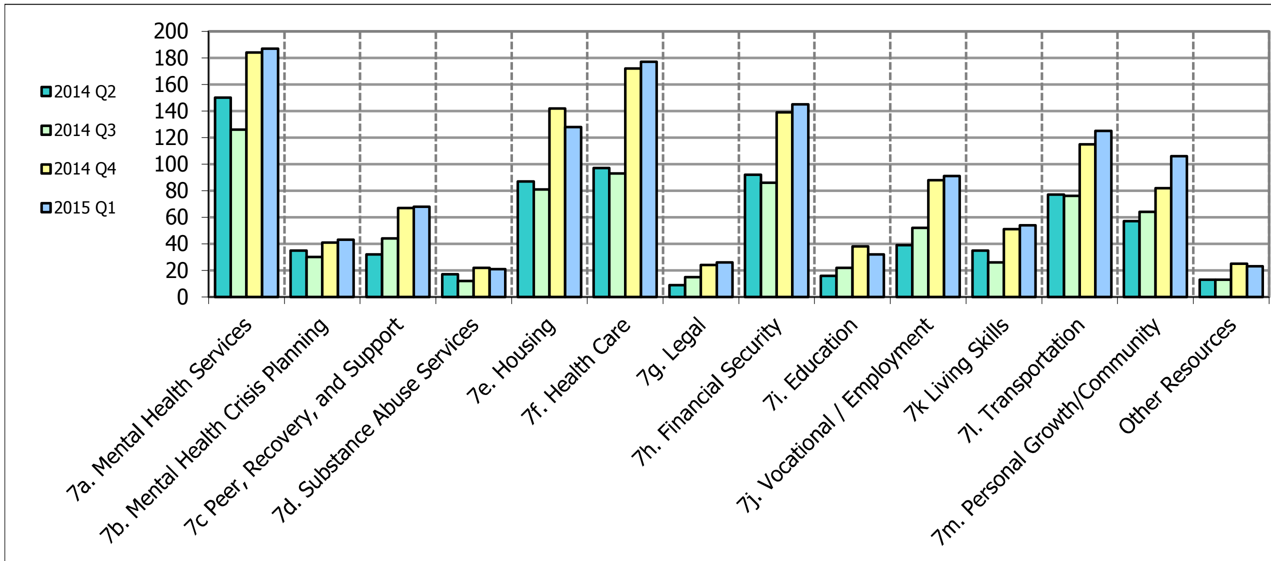


Table 2: Total Number of Unmet Resource Needs Reported

Reported Unmet Resource Needs	2014 Q2	2014 Q3	2014 Q4	2015 Q1
7a. Mental Health Services	150	126	184	187
7b. Mental Health Crisis Planning	35	30	41	43
7c Peer, Recovery, and Support	32	44	67	68
7d. Substance Abuse Services	17	12	22	21
7e. Housing	87	81	142	128
7f. Health Care	97	93	172	177
7g. Legal	9	15	24	26
7h. Financial Security	92	86	139	145
7i. Education	16	22	38	32
7j. Vocational / Employment	39	52	88	91
7k Living Skills	35	26	51	54
7l. Transportation	77	76	115	125
7m. Personal Growth/Community	57	64	82	106
Other Resources	13	13	25	23
Total CSN 7 Unmet Needs	756	740	1,190	1,226

Report Run: Jan 13, 2015

Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN 7
(York)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	614	567	853	851
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	11	4	9	9
7a-iii Dialectical Behavioral Therapy	9	9	24	22
7a-iv Family Psycho-Educational Treatment	0	0	0	2
7a-v Group Counseling	5	4	6	4
7a-vi Individual Counseling	66	57	67	68
7a-vii Inpatient Psychiatric Facility	0	0	1	0
7a-viii Intensive Case Management	4	0	3	5
7a-x Psychiatric Medication Management	55	52	74	77
Total Unmet Resource Needs	150	126	184	187
Distinct Clients with Unmet Resource Needs	106	100	139	143
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	32	26	35	36
7b-ii Mental Health Advance Directives	3	4	6	7
Total Unmet Resource Needs	35	30	41	43
Distinct Clients with Unmet Resource Needs	34	28	37	38
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	2	6	9	8
7c-ii Recovery Workbook Group	0	0	1	1
7c-iii Social Club	11	14	26	23
7c-iv Peer-Run Trauma Recovery Group	7	7	9	10
7c-v Wellness Recovery and Action Planning	1	5	5	9
7c-vi Family Support	11	12	17	17
Total Unmet Resource Needs	32	44	67	68
Distinct Clients with Unmet Resource Needs	28	32	52	51
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	15	12	19	19
7d-ii Residential Treatment Substance Abuse Services	2	0	3	2
Total Unmet Resource Needs	17	12	22	21
Distinct Clients with Unmet Resource Needs	16	12	21	20

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 7
(York)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	614	567	853	851
7e. Housing				
7e-i Supported Apartment	9	7	18	15
7e-ii Community Residential Facility	3	2	7	4
7e-iii Residential Treatment Facility (group home)	1	0	2	1
7e-iv Assisted Living Facility	4	5	7	5
7e-v Nursing Home	1	1	0	0
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	69	66	108	103
Total Unmet Resource Needs	87	81	142	128
Distinct Clients with Unmet Resource Needs	82	75	125	115
7f. Health Care				
7f-i Dental Services	41	42	83	88
7f-ii Eye Care Services	17	14	31	34
7f-iii Hearing Services	1	1	6	4
7f-iv Physical Therapy	8	7	13	11
7f-v Physician/Medical Services	30	29	39	40
Total Unmet Resource Needs	97	93	172	177
Distinct Clients with Unmet Resource Needs	70	66	123	130
7g. Legal				
7g-i Advocate	8	13	20	23
7g-ii Guardian (private)	0	1	1	1
7g-iii Guardian (public)	1	1	3	2
Total Unmet Resource Needs	9	15	24	26
Distinct Clients with Unmet Resource Needs	9	13	22	24
7h. Financial Security				
7h-i Assistance with Managing Money	47	48	87	99
7h-ii Assistance with Securing Public Benefits	36	30	43	42
7h-iii Representative Payee	9	8	9	4
Total Unmet Resource Needs	92	86	139	145
Distinct Clients with Unmet Resource Needs	73	68	118	123

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 7
(York)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	614	567	853	851
7i. Education				
7i-i Adult Education (other than GED)	7	6	5	7
7i-ii GED	2	5	11	6
7i-iii Literacy Assistance	2	4	6	6
7i-iv Post High School Education	5	7	16	12
7i-v Tuition Reimbursement	0	0	0	1
Total Unmet Resource Needs	16	22	38	32
Distinct Clients with Unmet Resource Needs	14	17	35	26
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	5	8	6	8
7j-ii Club House and/or Peer Vocational Support	6	7	12	13
7j-iii Competitive Employment (no supports)	9	10	26	19
7j-iv Supported Employment	3	4	5	9
7j-v Vocational Rehabilitation	16	23	39	42
Total Unmet Resource Needs	39	52	88	91
Distinct Clients with Unmet Resource Needs	31	39	77	72
7k. Living Skills				
7k-i Daily Living Support Services	23	16	32	34
7k-ii Day Support Services	3	3	5	5
7k-iii Occupational Therapy	2	2	5	4
7k-iv Skills Development Services	7	5	9	11
Total Unmet Resource Needs	35	26	51	54
Distinct Clients with Unmet Resource Needs	28	23	38	41
7l. Transportation				
7l-i Transportation to ISP-Identified Services	40	36	50	56
7-ii Transportation to Other ISP Activities	22	18	27	35
7-iii After Hours Transportation	15	22	38	34
Total Unmet Resource Needs	77	76	115	125
Distinct Clients with Unmet Resource Needs	53	53	84	87
7m. Personal Growth/Community				
7m-i Avocational Activities	6	4	4	8

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN 7
(York)

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	614	567	853	851
7m. Personal Growth/Community				
7m-ii Recreation Activities	15	18	25	30
7m-iii Social Activities	31	36	45	54
7m-iv Spiritual Activities	5	6	8	14
Total Unmet Resource Needs	57	64	82	106
Distinct Clients with Unmet Resource Needs	42	45	61	68
Other Resources				
Other Resources	13	13	25	23
Total Unmet Resource Needs	13	13	25	23
Distinct Clients with Unmet Resource Needs	13	13	25	23
CSN 7 Totals				
Total Unmet Resource Needs	756	740	1,190	1,226
Distinct Clients With any Unmet Resource Need	212	206	338	337
Distinct Clients with a RDS	614	567	853	851

Report Run: Jan 13, 2015

Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN Not Assigned

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	432	362	384	364
7a. Mental Health Services				
7a-i Assertive Community Treatment (ACT)	3	2	3	1
7a-iii Dialectical Behavioral Therapy	2	1	2	1
7a-iv Family Psycho-Educational Treatment	0	1	0	0
7a-v Group Counseling	4	1	4	2
7a-vi Individual Counseling	26	17	27	24
7a-vii Inpatient Psychiatric Facility	0	0	0	0
7a-viii Intensive Case Management	2	1	6	6
7a-x Psychiatric Medication Management	18	21	23	23
Total Unmet Resource Needs	55	44	65	57
Distinct Clients with Unmet Resource Needs	39	35	45	41
7b. Mental Health Crisis Planning				
7b-i Development of Mental Health Crisis Plan	5	5	3	2
7b-ii Mental Health Advance Directives	2	4	5	3
Total Unmet Resource Needs	7	9	8	5
Distinct Clients with Unmet Resource Needs	7	8	7	5
7c Peer, Recovery, and Support				
7c-i Peer Recovery Center	1	0	1	0
7c-ii Recovery Workbook Group	0	0	0	0
7c-iii Social Club	2	2	3	3
7c-iv Peer-Run Trauma Recovery Group	4	2	2	2
7c-v Wellness Recovery and Action Planning	5	2	3	3
7c-vi Family Support	5	2	6	4
Total Unmet Resource Needs	17	8	15	12
Distinct Clients with Unmet Resource Needs	10	6	11	8
7d Substance Abuse Services				
7d-i Outpatient Substance Abuse Services	1	2	4	5
7d-ii Residential Treatment Substance Abuse Services	1	0	0	0
Total Unmet Resource Needs	2	2	4	5
Distinct Clients with Unmet Resource Needs	2	2	4	5

Report Run: Jan 13, 2015

Paul R. LePage, Governor Mary C. Mayhew, Commissioner

Report of Unmet Resource Needs

CSN Not Assigned

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	432	362	384	364
7e. Housing				
7e-i Supported Apartment	6	4	4	2
7e-ii Community Residential Facility	4	2	1	1
7e-iii Residential Treatment Facility (group home)	1	0	0	0
7e-iv Assisted Living Facility	3	3	4	2
7e-v Nursing Home	0	0	1	1
7e-vi Residential Crisis Unit	0	0	0	0
7e-vii Rent Subsidy (Section 8, BRAP, Shelter Plus)	28	20	27	23
Total Unmet Resource Needs	42	29	37	29
Distinct Clients with Unmet Resource Needs	36	28	35	28
7f. Health Care				
7f-i Dental Services	23	20	28	19
7f-ii Eye Care Services	12	8	8	5
7f-iii Hearing Services	5	3	4	2
7f-iv Physical Therapy	2	1	3	2
7f-v Physician/Medical Services	14	6	12	8
Total Unmet Resource Needs	56	38	55	36
Distinct Clients with Unmet Resource Needs	40	30	36	26
7g. Legal				
7g-i Advocate	4	5	5	4
7g-ii Guardian (private)	3	1	2	3
7g-iii Guardian (public)	0	0	0	0
Total Unmet Resource Needs	7	6	7	7
Distinct Clients with Unmet Resource Needs	6	6	6	6
7h. Financial Security				
7h-i Assistance with Managing Money	16	12	23	21
7h-ii Assistance with Securing Public Benefits	10	9	11	9
7h-iii Representative Payee	1	0	0	1
Total Unmet Resource Needs	27	21	34	31
Distinct Clients with Unmet Resource Needs	23	20	30	27

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

CSN Not Assigned

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	432	362	384	364
7i. Education				
7i-i Adult Education (other than GED)	2	3	7	4
7i-ii GED	0	2	4	4
7i-iii Literacy Assistance	1	0	1	1
7i-iv Post High School Education	7	4	8	4
7i-v Tuition Reimbursement	1	0	0	1
Total Unmet Resource Needs	11	9	20	14
Distinct Clients with Unmet Resource Needs	10	8	17	12
7j. Vocational / Employment				
7j-i Benefits Counseling Related to Employment	2	2	0	2
7j-ii Club House and/or Peer Vocational Support	2	1	1	1
7j-iii Competitive Employment (no supports)	3	2	3	3
7j-iv Supported Employment	2	2	2	2
7j-v Vocational Rehabilitation	13	8	9	7
Total Unmet Resource Needs	22	15	15	15
Distinct Clients with Unmet Resource Needs	20	13	14	14
7k. Living Skills				
7k-i Daily Living Support Services	12	9	10	8
7k-ii Day Support Services	2	2	3	2
7k-iii Occupational Therapy	0	0	1	1
7k-iv Skills Development Services	1	0	1	3
Total Unmet Resource Needs	15	11	15	14
Distinct Clients with Unmet Resource Needs	14	11	14	13
7l. Transportation				
7l-i Transportation to ISP-Identified Services	11	8	16	16
7-ii Transportation to Other ISP Activities	9	4	9	9
7-iii After Hours Transportation	6	6	7	5
Total Unmet Resource Needs	26	18	32	30
Distinct Clients with Unmet Resource Needs	19	16	21	18
7m. Personal Growth/Community				
7m-i Avocational Activities	2	2	2	2

Report Run: Jan 13, 2015

Report of Unmet Resource Needs

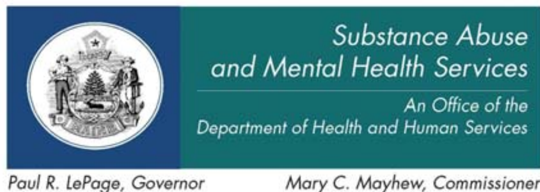
CSN Not Assigned

Fiscal Year 2015 Quarter 1
(July, Aug, Sept 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Distinct Clients with a RDS	432	362	384	364
7m. Personal Growth/Community				
7m-ii Recreation Activities	9	9	8	7
7m-iii Social Activities	17	13	12	12
7m-iv Spiritual Activities	6	3	3	1
Total Unmet Resource Needs	34	27	25	22
Distinct Clients with Unmet Resource Needs	23	17	15	14
Other Resources				
Other Resources	8	4	5	5
Total Unmet Resource Needs	8	4	5	5
Distinct Clients with Unmet Resource Needs	8	4	5	5

CSN Not Assigned Totals				
Total Unmet Resource Needs	329	241	337	282
Distinct Clients With any Unmet Resource Need	106	98	108	96
Distinct Clients with a RDS	432	362	384	364

Report Run: Jan 13, 2015



Paul R. LePage, Governor Mary C. Mayhew, Commissioner

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Substance Abuse and Mental Health Services
32 Blossom Lane, Marquardt Building, 2nd Floor
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Bridging Rental Assistance Program (BRAP)
Monitoring Report
Quarter 2 FY2015 (October, November, December 2014)

The Bridging Rental Assistance Program (BRAP) has been established in recognition that recovery can only begin in a safe, healthy, and decent environment, a place one can call home. The Office of Substance Abuse and Adult Mental Health Services recognizes the necessity for rental assistance for persons with mental illness, particularly those being discharged from hospitals, group homes, homeless shelters,and places considered substandard for human habitation. There is not a single housing market in the country where a person receiving Social Security as his or her sole income source can afford to rent even a modest one-bedroom apartment. According to a report issued by the Technical Assistance Collaborative, *Priced out in 2012* in Maine, 95% of a person's SSI standard monthly payment is needed to pay for the average one-bedroom apartment statewide. In Cumberland County the amount is 94% and Sagadahoc 98%. In the City of Portland 115% of a person's SSI is necessary to pay for the average one-bedroom apartment and in the KEYS area (Kittery, Elliot, York and South Berwick) 110%.

BRAP is designed to assist individuals who have a psychiatric disability with housing costs for up to 24 months or until the individuals are awarded a Housing Choice Voucher (aka Section 8 Voucher), another federal subsidy, or until the individuals have an alternative housing placement. All units subsidized by BRAP funding must meet the U.S. Department of Housing and Urban Development's Housing Quality Standards and Fair Market Rents. Following a ***Housing First*** model, initial BRAP recipients are encouraged, but not required to accept the provision of services to go hand in hand with the voucher.

The monitoring of the Bridging Rental Assistance Program (BRAP) is the responsibility of the Office of Substance Abuse and Adult Mental Health Services (SAMHS) and particularly the Data, Quality Management, and Resource Development team.

The bullets below highlight some of the details regarding persons who are currently waiting for a BRAP voucher: The percentage terms reflect the percentage of relative change compared to the last report.

- Priority #1 applicants (Discharge from a psychiatric hospital within the last 6 months). Riverview and Dorothea Dix consumers are typically not waiting more than 3 business days from the date of a completed application. Statewide priority 1 vouchers decreased from 17 to 0.
- Priority #2 applicants (Homeless) have decreased from 227 to 58 persons.
- Priority #3 applicants (Substandard Housing) have decreased from 4 to 0 persons.
- Priority #4 applicants (Community Residential Facility) decreased from 17 to 4 persons.
- Persons on the waitlist greater than 90 days have substantially increased from 188 persons to 45 persons—over the next quarter, state staff will attempt contact with these persons to confirm their whereabouts and determine their continued desire to remain on the waitlist.

Since inception of the wait list, there has been a total of 3,098 BRAP vouchers awarded broken down as follows: Priority #1, 1,450; Priority #2, 1,318; Priority #3, 40; Priority #4, 269. Note that 21 vouchers have been awarded to persons with no priority. In the last quarter 106 vouchers were awarded.

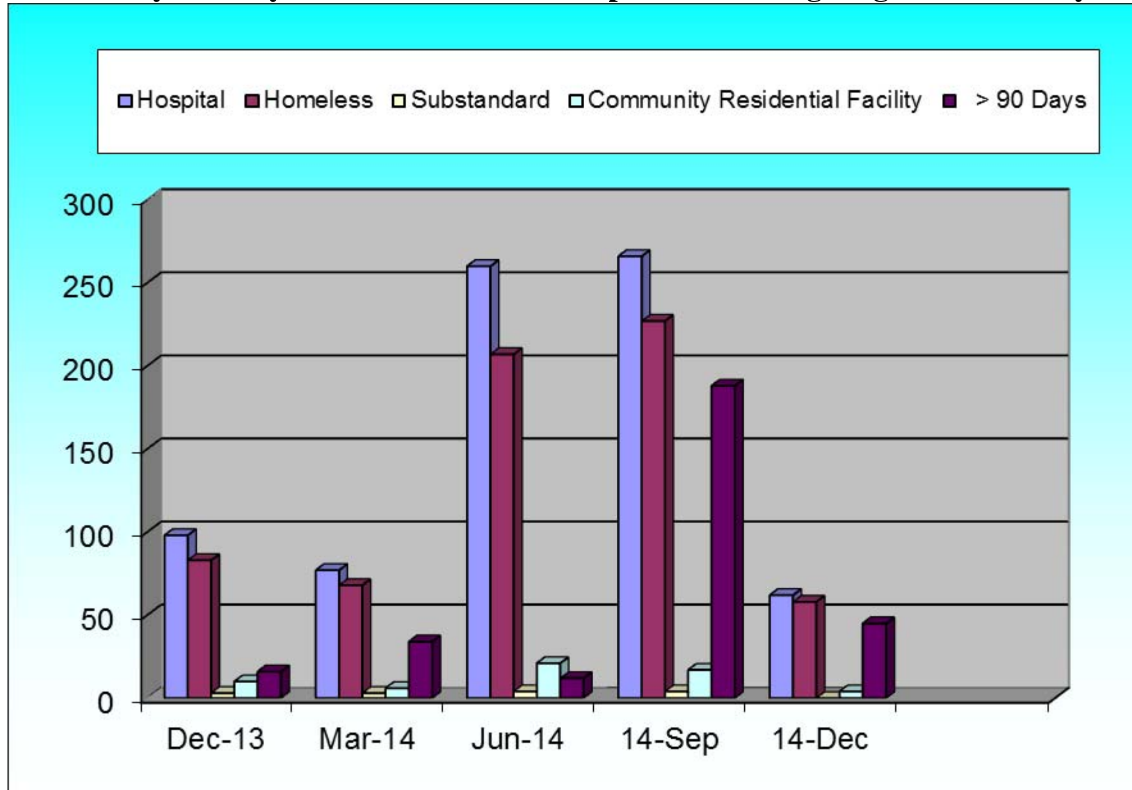
The BRAP census as of December 31, 2014 is 756 vouchers with an additional 165 persons looking.

The overall BRAP budget for FY 15 is now a part of the baseline budget at SAMHS and remains at $5,372,414.00. Depending on regional demand for vouchers, we anticipate the census being able to support between 930 to 975 vouchers at any given time statewide.

The number of persons on the program for greater than 24 months remains steady at 50% of the entire program. This is principally a result of decades of federal and state cuts to low-income and supportive housing programs, including persons who will not qualify for Section 8 due to criminal history. The lack of availability of these resources, particularly Section 8 at the federal level, has translated to increased pressures on state programs such as BRAP.

SAMHS administers a substantial number of Shelter Plus Care vouchers, more than any other state on a per-capita basis. The census as of December 31, 2014 is 1,043 vouchers. This program is funded by the U.S. Department of Housing and Urban Development and has seen significant growth over the last decade, the result of SAMHS aggressively applying for and receiving new grants each year. Despite reductions in overall HUD funding, the City of Portland requested that DHHS submit a new Shelter Plus Care application that, if funded, will provide housing and supports for 17 Chronically homeless persons in Portland.

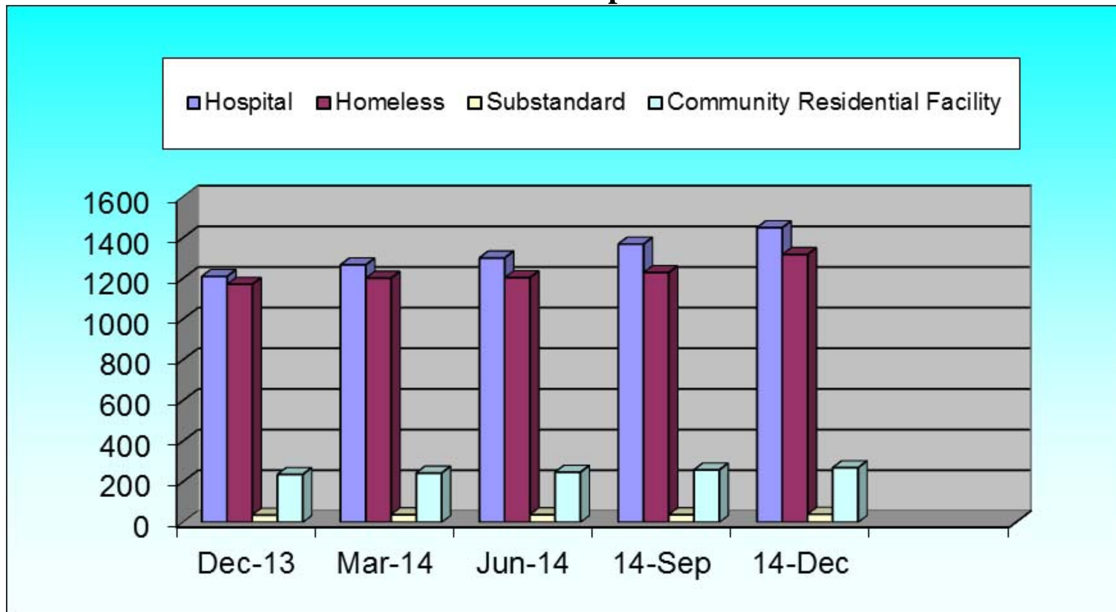
BRAP Waitlist Status--Graph:
Detail by Priority Status to include those persons waiting longer than 90 Days



BRAP Waitlist Status—Table:
Detail by Priority Status to include those persons waiting longer than 90 Days

Reporting Period	Dec-13	Mar-14	Jun-14	14-Sep	14-Dec		% Change relative to Last Report
Total number of persons waiting for BRAP	98	77	260	266	62		-77%
Priority 1—Discharge from state or private psychiatric hospital within last 6 months	2	0	26	17	0		
Priority 2—Homeless (HUD Transitional Definition)	83	68	207	227	58		-74%
Priority 3—Sub-standard Housing	3	3	4	4	0		
Priority 4—Leaving a Community Residential living facility	10	6	21	17	4		-76%
Total number of persons on wait list more than 90 days awaiting voucher	16	34	12	188	45		-76%

BRAP Awards—Graph
Cumulative Since Inception of Waitlist



BRAP Awards—Table
Cumulative Since Inception of Waitlist

Reporting Periods	Dec-13	Mar-14	Jun-14	14-Sep	14-Dec		% Change relative to Last Report
Cumulative number of persons awarded BRAP	2668	2767	2808	2914	3098		6%
Priority 1—Discharge from state or private psychiatric hospital within last 6 months	1210	1267	1301	1369	1450		6%
Priority 2—Homeless (HUD Transitional Definition)	1171	1202	1204	1229	1318		7%
Priority 3—Sub-standard Housing	36	38	38	38	40		5%
Priority 4—Leaving a DHHS funded living facility	236	243	247	258	269		4%

*Note: 21 persons awarded with no priority

Class Member Treatment Planning Review

For the 2nd Quarter of Fiscal Year 2015

(October, November, December, 2014)

Total Plans Reviewed		2014 Q3 53	2014 Q4 51	2015 Q1 25	2015 Q2 50
I Releases					
1A	Does the record document that the agency has planned with and educated the consumer regarding releases of information at intake/initial treatment planning process?	100.0% 16 of 16	100.0% 12 of 12	100.0% 5 of 5	85.7% 12 of 14
1B	Does the record document that the agency has planned with and educated the consumer regarding releases of information during each treatment plan review?	88.2% 45 of 51	74.0% 37 of 50	95.8% 23 of 24	90.0% 45 of 50
1C	Does the record document that the consumer has a primary care physician (PCP)?	88.7% 47 of 53	96.1% 49 of 51	88.0% 22 of 25	95.9% 47 of 49
1D	If 1C. is yes, has there been an attempt to obtain releases signed by the consumer for the sharing of information with the PCP?	83.0% 39 of 47	89.8% 44 of 49	86.4% 19 of 22	85.1% 40 of 47
II Treatment Plan					
2A	Does the record document that the domains of housing, financial, social, recreational, transportation, vocational, educational, general health, dental, emotional/psychological, and psychiatric were assessed with the consumer in treatment planning?	100.0% 52 of 52	100.0% 50 of 50	92.0% 23 of 25	100.0% 49 of 49
2C	Does the record document that the treatment plan goals reflect the barriers of the consumer receiving services?	98.1% 52 of 53	100.0% 51 of 51	100.0% 24 of 24	98.0% 48 of 49
2I	Does the record document that the consumer has a mental health advance directive?	5.7% 3 of 53	2.0% 1 of 51	20.8% 5 of 24	12.0% 6 of 50
2J	If 2I. is yes, has the advance directive been reviewed at least annually by the CSW and consumer?	0.0% 0 of 3	0.0% 0 of 1	40.0% 2 of 5	83.3% 5 of 6
2K	If 2I. is no, is the reason why documented?	100.0% 50 of 50	100.0% 50 of 50	100.0% 19 of 19	100.0% 44 of 44
III Needed Resources					
3A	Does the record document that natural supports (family/friends) are being accessed as a resource?	90.6% 48 of 53	98.0% 48 of 49	76.0% 19 of 25	86.0% 43 of 50
3B	If 3A. is no, has the worker discussed with the consumer the consideration of natural supports as a resource?	100.0% 5 of 5	100.0% 1 of 1	100.0% 6 of 6	100.0% 7 of 7
3C	Does the record document that generic resources (those resources that anyone can access) are being accessed?	94.3% 50 of 53	100.0% 51 of 51	96.0% 24 of 25	95.9% 47 of 49
3D	If 3C. is no, has the worker discussed with the consumer the consideration of generic resources as a resource?	0.0% 0 of 3	N/A 0 of 0	0.0% 0 of 1	0.0% 0 of 2
3E	Does the record document a resource need that has not been provided according to/within the expected response time?	7.5% 4 of 53	8.0% 4 of 50	25.0% 6 of 24	4.0% 2 of 50
3F	Does the treatment plan reflect interim planning?	75.0% 3 of 4	75.0% 3 of 4	66.7% 4 of 6	50.0% 1 of 2

3G	Does the record document that the treatment team reconvened after the unmet need was identified?	50.0%	2 of 4	75.0%	3 of 4	50.0%	3 of 6	50.0%	1 of 2
IV Service Agreements									
4A	Does the record document that service agreements are required for this plan? (see paragraph 69 protocol for definitions)	49.1%	26 of 53	51.0%	25 of 49	40.0%	10 of 25	30.6%	15 of 49
4B	If 4A. is yes, have service agreements been acquired?	80.8%	21 of 26	48.0%	12 of 25	80.0%	8 of 10	53.3%	8 of 15
4C	If 4A. is yes, are the service agreements current?	57.7%	15 of 26	36.0%	9 of 25	80.0%	8 of 10	53.3%	8 of 15
V Vocational Services									
5A	Does the record document that the vocational domain is addressed with the consumer on their initial/annual assessments?	100.0%	53 of 53	100.0%	51 of 51	100.0%	24 of 24	91.7%	44 of 48
5B	Does the record document that the vocational domain is being addressed with the consumer at each 90 day treatment plan review?	94.3%	50 of 53	90.2%	46 of 51	88.0%	22 of 25	85.7%	42 of 49
VI Comments									
6A	Plan of correction requested?	37.7%	20 of 53	51.0%	26 of 51	16.0%	4 of 25	26.0%	13 of 50
6A.1.	Plan of correction for section 2A. (required when not all domains assessed) included?	N/A	0 of 0	N/A	0 of 0	100.0%	2 of 2	N/A	0 of 0
6C	Plan of correction received?	70.0%	14 of 20	69.2%	18 of 26	100.0%	4 of 4	46.2%	6 of 13
6D	Were corrections made to the satisfaction of the CDC?	100.0%	14 of 14	100.0%	18 of 18	100.0%	4 of 4	100.0%	6 of 6

Report Run by: Johanna.Buzzell Report Run on: Jan 14, 2015 at 8:42:45 AM

Community Hospital Utilization Review for Involuntary Admissions

For the 1st Quarter of Fiscal Year 2015

(July, August, September, 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Total Admissions	24	19	22	18
Hospital				
Hospitalized in Local Area	66.7% (16 of 24)	78.9% (15 of 19)	90.9% (20 of 22)	77.8% (14 of 18)
Hospitalization Made Voluntary	62.5% (15 of 24)	52.6% (10 of 19)	54.5% (12 of 22)	38.9% (7 of 18)
Quality Care				
Active Treatment Within Guidelines	100.0% (24 of 24)	100.0% (19 of 19)	100.0% (22 of 22)	100.0% (18 of 18)
Individual Service Plans				
Receiving Case Management Services	54.2% (13 of 24)	52.6% (10 of 19)	50.0% (11 of 22)	44.4% (8 of 18)
Case Manager Involved with Discharge Planning	100.0% (13 of 13)	100.0% (10 of 10)	100.0% (11 of 11)	100.0% (8 of 8)
Total Clients who Authorized Hospital to Obtain ISP	100.0% (13 of 13)	100.0% (10 of 10)	100.0% (11 of 11)	100.0% (8 of 8)
Hospital Obtained ISP when authorized	0.0% (0 of 13)	10.0% (1 of 10)	18.2% (2 of 11)	0.0% (0 of 8)
Treatment and Discharge Plan Consistant with ISP	N/A (0 of 0)	100.0% (1 of 1)	100.0% (2 of 2)	N/A (0 of 0)

Report Run: Jan 21, 2015

For questions, contact the Data Specialist Team at the Office of Adult Mental Health Services

Community Hospital Utilization Review for Involuntary Admissions

Class Member and Non Class Member

For the 1st Quarter of Fiscal Year 2015

(July, August, September, 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Total Admissions	115	105	114	100
Hospital				
Hospitalized in Local Area	80.9% (93 of 115)	81.9% (86 of 105)	86.8% (99 of 114)	92.0% (92 of 100)
Hospitalization Made Voluntary	80.9% (93 of 115)	79.0% (83 of 105)	76.3% (87 of 114)	78.0% (78 of 100)
Quality Care				
Active Treatment Within Guidelines	100.0% (115 of 115)	100.0% (105 of 105)	100.0% (114 of 114)	100.0% (100 of 100)
Individual Service Plans				
Receiving Case Management Services	27.8% (32 of 115)	25.7% (27 of 105)	32.5% (37 of 114)	16.0% (16 of 100)
Case Manager Involved with Discharge Planning	100.0% (32 of 32)	100.0% (27 of 27)	100.0% (37 of 37)	93.8% (15 of 16)
Total Clients who Authorized Hospital to Obtain ISP	100.0% (32 of 32)	100.0% (27 of 27)	100.0% (37 of 37)	100.0% (16 of 16)
Hospital Obtained ISP when authorized	6.2% (2 of 32)	3.7% (1 of 27)	10.8% (4 of 37)	6.2% (1 of 16)
Treatment and Discharge Plan Consistant with ISP	100.0% (2 of 2)	100.0% (1 of 1)	100.0% (4 of 4)	100.0% (1 of 1)

Report Run: Jan 21, 2015

For questions, contact the Data Specialist Team at the Office of Adult Mental Health Services

Community Hospital Utilization Review for Involuntary Admissions

Performance Standard 18-1,2,3 by Hospital: Class Member

For the 1st Quarter of Fiscal Year 2015

(July, August, September, 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Number of Admissions	18	14	12	10
Involuntarily Admitted Clients who were Receiving CSS Services	13	10	7	7
Number of ISPs Hospitals were Authorized to Obtain	13	10	7	7
Number of ISPs Hospitals Obtained	0	1	2	0

FY QTR	Hospital	Admissions	Receiving Community Support Services	Hospital Obtained ISP when authorized	Treatment and Discharge Plan Consistant with ISP	Case Worker Involved with Treatment and Discharge Planning
2014 Q2	Acadia	5	40.0% (2 of 5)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)
	Maine General - Augusta	1	0.0% (0 of 1)	NA (0 of 0)	NA (0 of 0)	NA (0 of 0)
	Maine Medical Center	1	100.0% (1 of 1)	100.0% (1 of 1)	NA (0 of 0)	100.0% (1 of 1)
	PenBay Medical Center	1	100.0% (1 of 1)	100.0% (1 of 1)	NA (0 of 0)	100.0% (1 of 1)
	Southern Maine Medical Center	3	66.7% (2 of 3)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)
	Spring Harbor	7	100.0% (7 of 7)	100.0% (7 of 7)	NA (0 of 0)	100.0% (7 of 7)
2014 Q3	Acadia	2	50.0% (1 of 2)	100.0% (1 of 1)	NA (0 of 0)	100.0% (1 of 1)
	Maine General - Augusta	1	100.0% (1 of 1)	100.0% (1 of 1)	100.0% (1 of 1)	100.0% (1 of 1)
	Mid-coast Hospital	1	100.0% (1 of 1)	100.0% (1 of 1)	NA (0 of 0)	100.0% (1 of 1)
	Southern Maine Medical Center	1	0.0% (0 of 1)	NA (0 of 0)	NA (0 of 0)	NA (0 of 0)
	Spring Harbor	7	71.4% (5 of 7)	100.0% (5 of 5)	NA (0 of 0)	100.0% (5 of 5)
	St. Mary's	2	100.0% (2 of 2)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)
2014 Q4	Acadia	2	100.0% (2 of 2)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)
	Maine General - Augusta	3	66.7% (2 of 3)	100.0% (2 of 2)	100.0% (2 of 2)	100.0% (2 of 2)
	Spring Harbor	7	42.9% (3 of 7)	100.0% (3 of 3)	NA (0 of 0)	100.0% (3 of 3)
2015 Q1	Acadia	2	100.0% (2 of 2)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)
	Maine General - Augusta	1	0.0% (0 of 1)	NA (0 of 0)	NA (0 of 0)	NA (0 of 0)
	Spring Harbor	4	75.0% (3 of 4)	100.0% (3 of 3)	NA (0 of 0)	100.0% (3 of 3)
	St. Mary's	3	66.7% (2 of 3)	100.0% (2 of 2)	NA (0 of 0)	100.0% (2 of 2)

Report Run: Jan 21, 2015

For questions, contact the Data Specialist Team at the Office of Adult Mental Health Services

Community Hospital Utilization Review for Involuntary Admissions

Performance Standard 18-1,2,3 by Hospital: Class Member and Non-Class Member

For the 1st Quarter of Fiscal Year 2015

(July, August, September, 2014)

	2014 Q2	2014 Q3	2014 Q4	2015 Q1
Number of Admissions	115	105	114	100
Involuntarily Admitted Clients who were Receiving CSS Services	32	27	37	16
Number of ISPs Hospitals were Authorized to Obtain	32	27	37	16
Number of ISPs Hospitals Obtained	2	1	4	1

FY QTR	Hospital	Admissions	Receiving Community Support Services	Hospital Obtained ISP when authorized	Treatment and Discharge Plan Consistant with ISP	Case Worker Involved with Treatment and Discharge Planning
2014 Q2	Acadia	37	32.4% (12 of 37)	0.0% (0 of 12)	N/A (0 of 0)	100.0% (12 of 12)
	Maine General - Augusta	11	18.2% (2 of 11)	100.0% (2 of 2)	100.0% (2 of 2)	100.0% (2 of 2)
	Maine Medical Center	1	100.0% (1 of 1)	0.0% (0 of 1)	N/A (0 of 0)	100.0% (1 of 1)
	Mid-coast Hospital	3	0.0% (0 of 3)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
	PenBay Medical Center	9	11.1% (1 of 9)	0.0% (0 of 1)	N/A (0 of 0)	100.0% (1 of 1)
	Southern Maine Medical Center	10	40.0% (4 of 10)	0.0% (0 of 4)	N/A (0 of 0)	100.0% (4 of 4)
	Spring Harbor	35	34.3% (12 of 35)	0.0% (0 of 12)	N/A (0 of 0)	100.0% (12 of 12)
	St. Mary's	9	0.0% (0 of 9)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
2014 Q3	Acadia	35	20.0% (7 of 35)	0.0% (0 of 7)	N/A (0 of 0)	100.0% (7 of 7)
	Maine General - Augusta	2	50.0% (1 of 2)	100.0% (1 of 1)	100.0% (1 of 1)	100.0% (1 of 1)
	Mid-coast Hospital	7	42.9% (3 of 7)	0.0% (0 of 3)	N/A (0 of 0)	100.0% (3 of 3)
	PenBay Medical Center	5	0.0% (0 of 5)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
	Southern Maine Medical Center	6	0.0% (0 of 6)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
	Spring Harbor	42	31.0% (13 of 42)	0.0% (0 of 13)	N/A (0 of 0)	100.0% (13 of 13)
	St. Mary's	8	37.5% (3 of 8)	0.0% (0 of 3)	N/A (0 of 0)	100.0% (3 of 3)
2014 Q4	Acadia	29	44.8% (13 of 29)	7.7% (1 of 13)	100.0% (1 of 1)	100.0% (13 of 13)
	Maine General - Augusta	8	37.5% (3 of 8)	100.0% (3 of 3)	100.0% (3 of 3)	100.0% (3 of 3)
	Mid-coast Hospital	7	42.9% (3 of 7)	0.0% (0 of 3)	N/A (0 of 0)	100.0% (3 of 3)
	PenBay Medical Center	5	20.0% (1 of 5)	0.0% (0 of 1)	N/A (0 of 0)	100.0% (1 of 1)
	Southern Maine Medical Center	12	25.0% (3 of 12)	0.0% (0 of 3)	N/A (0 of 0)	100.0% (3 of 3)
	Spring Harbor	44	25.0% (11 of 44)	0.0% (0 of 11)	N/A (0 of 0)	100.0% (11 of 11)
	St. Mary's	9	33.3% (3 of 9)	0.0% (0 of 3)	N/A (0 of 0)	100.0% (3 of 3)
2015 Q1	Acadia	19	26.3% (5 of 19)	20.0% (1 of 5)	100.0% (1 of 1)	100.0% (5 of 5)
	Maine General - Augusta	1	0.0% (0 of 1)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
	Mid-coast Hospital	3	0.0% (0 of 3)	N/A (0 of 0)	N/A (0 of 0)	N/A (0 of 0)
	PenBay Medical Center	10	20.0% (2 of 10)	0.0% (0 of 2)	N/A (0 of 0)	100.0% (2 of 2)
	Southern Maine Medical Center	21	9.5% (2 of 21)	0.0% (0 of 2)	N/A (0 of 0)	50.0% (1 of 2)
	Spring Harbor	39	12.8% (5 of 39)	0.0% (0 of 5)	N/A (0 of 0)	100.0% (5 of 5)
	St. Mary's	7	28.6% (2 of 7)	0.0% (0 of 2)	N/A (0 of 0)	100.0% (2 of 2)

Report Run: Jan 21, 2015

For questions, contact the Data Specialist Team at the Office of Adult Mental Health Services

Substance Abuse and Mental Health Services
An Office of the Department of Health and Human Services
Paul R. LePage, Governor   Mary C. Mayhew, Commissioner

Maine Department of Health and Human Services

Integrated Quarterly Crisis Report

STATEWIDE with GRAPHS

QTR 2 (October, November and December) SFY 15

I. Consumer Demographics (Unduplicated Counts - All Face-To-Face)

Gender	Children	Males	679	Females	749				
	Adults	Males	2,329	Females	2,464				
Age Range	Children	< 5	13	5 - 9	166	10 - 14	551	15-17	698
	Adults	18 - 21	499	22 - 35	1,462	36 - 60	2,343	>60	489
Payment Source	Children	MaineCare	971	Private Ins.	376	Uninsured	80	Medicare	0
	Adults	MaineCare	2,465	Private Ins.	795	Uninsured	1,371	Medicare	162

II. Summary Of All Crisis Contacts

	Children	Adults
a. Total number of telephone contacts	8,048	33,164
b. Total number of all Initial face-to-face contacts	1,229	3,921
c. Number in II.b. who are children/youth with Mental Retardation/Autism/Pervasive Dev. Disorder	98	
d. Number of face-to-face contacts that are ongoing support for crisis resolution/stabilization	197	921

III. Initial Crisis Contact Infomation

	Children		Adults	
a. Total number of Initial face-to-face contacts in which a wellness plan, crisis plan, ISP or advanced directive plan previously developed with the individual was used	119	9.7%	110	2.8%
b. Number of Initial face-to-face contacts who have a Community Support Worker (CI,CRS,ICM, ACT,TCM)	424	34.5%	1,064	27.1%
c. Number of Initial face-to-face contacts who have a Comm. Support Worker that was notified of crisis	407	96.0%	984	92.5%
d. SUM time in minutes for all Initial face-to-face contacts in II.b. from determination of need for face-to-face contact or when individual was ready and able to be seen to Initial face-to-face contact			114,164	29
e. Number of Initial face-to-face contacts in Emergency Department with final disp. within 8 hours			1,994	50.9%
f. Number of Initial face-to-face contacts not in Emergency Department with final disp. within 8 hours			1,446	36.9%

CHILDREN ONLY: Time from determination of need for face-to-face contact or when individual was ready and able to be seen to initial face to face contact.

Less Than 1 Hour.	1045	1 to 2 Hours	148	2 to 4 Hours	25	More Than 4 Hours	11
Percent	85.0%	Percent	12.0%	Percent	2.0%	Percent	0.9%

CHILDREN ONLY: Time between completion of Initial face-to-face crisis assessment contact and final disposition/resolution of crisis

Less Than 3 Hours	556	3 to 6 Hours	482	6 to 8 Hours	36	8 to 14 Hours	62	> 14	93
Percent	45.2%	Percent	39.2%	Percent	2.9%	Percent	5.0%	Percen	7.6%

IV. Site Of Initial Face-To-Face Contacts

	Children		Adults	
a. Primary Care Residence (Home)	166	13.5%	330	8.4%
b. Family/Relative/Other Residence	61	5.0%	45	1.1%
c. Other Community Setting (Work, School, Police Dept, Public Place)	110	9.0%	71	1.8%
d. SNF, Nursing Home, Boarding Home	0	0.0%	14	0.4%
e. Residential Program (Congregate Community Residence, Apartment Program)	1	0.1%	83	2.1%
f. Homeless Shelter	1	0.1%	34	0.9%
g. Provider Office	39	3.2%	161	4.1%
h. Crisis Office	182	14.8%	583	14.9%
i. Emergency Department	661	53.8%	2,392	61.0%
j. Other Hospital Location	7	0.6%	136	3.5%
k. Incarcerated (Local Jail, State Prison, Juvenile Correction Facility)	1	0.1%	72	1.8%
Totals:	1,229	100%	3,921	100%

V. Crisis Resolution - Initial Encounters (Mutually Exclusive Exhaustive)

	Children		Adults	
a. Crisis stabilization with no referral for mental health/substance abuse follow-up	26	2.1%	221	5.6%
b. Crisis stabilization with referral to new provider for mental health/substance abuse follow up	233	19.0%	673	17.2%
c. Crisis stabilization with referral back to current provider for mental health/substane abuse follow up	456	37.1%	1,333	34.0%
d. Admission to Crisis Stabilization Unit	167	13.6%	468	11.9%
e. Inpatient Hospitalization Medical	22	1.8%	127	3.2%
f. Voluntary Psychiatric Hospitalization	324	26.4%	857	21.9%
g. Involuntary Psychiatric Hospitalization	1	0.1%	147	3.7%
h. Admission to Detox Unit	0	0.0%	95	2.4%
Totals:	1,229	100%	3,921	100%

QUARTERLY REPORT ON ORGANIZATIONAL PERFORMANCE EXCELLENCE

SECOND STATE FISCAL QUARTER 2015
October, November, December 2014

Robert J. Harper
Superintendent

January 23, 2015

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Glossary of Terms, Acronyms & Abbreviations

ADC	Automated Dispensing Cabinets (for medications)
ADON	Assistant Director of Nursing
AOC	Administrator on Call
CCM	Continuation of Care Management (Social Work Services)
CCP	Continuation of Care Plan
CH/CON	Charges/Convicted
CMS	Centers for Medicare & Medicaid Services
CIVIL	Voluntary, No Criminal Justice Involvement
CIVIL-INVOL	Involuntary Civil Court Commitment (No Criminal Justice Involvement)
CoP	Community of Practice or Conditions of Participation (CMS)
CPI	Continuous Process (or Performance) Improvement
CPR	Cardio-Pulmonary Resuscitation
CSP	Comprehensive Service Plan
DCC	Involuntary District Court Committed
DCC-PTP	Involuntary District Court Committed, Progressive Treatment Plan
GAP	Goal, Assessment, Plan Documentation
HOC	Hand off communications.
IMD	Institute for Mental Disease
ICDCC	Involuntary Civil District Court Commitment
ICDCC-M	Involuntary Civil District Court Commitment, Court Ordered Medications
ICDCC-PTP	Involuntary Civil District Court Commitment, Progressive Treatment Plan
IC-PTP+M	Involuntary Commitment, Progressive Treatment Plan, Court Ordered Medications
ICRDCC	Involuntary Criminal District Court Commitment
INVOL CRIM	Involuntary Criminal Commitment
INVOL-CIV	Involuntary Civil Commitment
ISP	Individualized Service Plan
IST	Incompetent to Stand Trial
LCSW	Licensed Clinical Social Worker
LEGHOLD	Legal Hold
LPN	License Practical Nurse
TJC	The Joint Commission (formerly JCAHO, Joint Commission on Accreditation of Healthcare Organizations)
MAR	Medication Administration Record
MHW	Mental Health Worker
MRDO	Medication Resistant Disease Organism (MRSA, VRE, C-Dif)
NAPPI	Non Abusive Psychological and Physical Intervention
NASMHPD	National Association of State Mental Health Program Directors
NCR	Not Criminally Responsible
NOD	Nurse on Duty
NP	Nurse Practitioner

Glossary of Terms, Acronyms & Abbreviations

NPSG	National Patient Safety Goals (established by the Joint Commission)
NRI	NASMHPD Research Institute, Inc.
OPS	Outpatient Services Program (Formally the ACT Team)
OT	Occupational Therapist
PA or PA-C	Physician's Assistant (Certified)
PCHDCC	Pending Court Hearing
PCHDCC+M	Pending Court Hearing for Court Ordered Medications
PPR	Periodic Performance Review – a self-assessment based upon TJC standards that are conducted annually by each department head.
PSD	Program Services Director
PTP	Progressive Treatment Plan
PRET	Pretrial Evaluation
R.A.C.E.	Rescue/Alarm/Confine/Extinguish
RN	Registered Nurse
RT	Recreation Therapist
SA	Substance Abuse
SAMHSA	Substance Abuse and Mental Health Services Administration (Federal)
SAMHS	Substance Abuse and Mental Health Services, Office of (Maine DHHS)
SBAR	Acronym for a model of concise communications first developed by the US Navy Submarine Command. S = Situation, B = Background, A = Assessment, R = Recommendation
SD	Standard Deviation – a measure of data variability.
Seclusion, Locked	Client is placed in a secured room with the door locked.
Seclusion, Open	Client is placed in a room and instructed not to leave the room.
SRC	Single Room Care (seclusion)
STAGE III	60 Day Forensic Evaluation
URI	Upper respiratory infection
UTI	Urinary tract infection
VOL	Voluntary – Self
VOL-OTHER	Voluntary – Others (Guardian)

INTRODUCTION

The Riverview Psychiatric Center Quarterly Report on Organizational Performance Excellence has been created to highlight the efforts of the hospital and its staffs to provide evidence of a commitment to client recovery, safety in culture and practices and fiscal accountability. The report is structure to reflect a philosophy and contemporary practices in addressing overall organizational performance in a systems improvement approach instead of a purely compliance approach. The structure of the report also reflects a focus on meaningful measures of organizational process improvement while maintaining measures of compliance that are mandated though regulatory and legal standards.

The methods of reporting are driven by a national accepted focused approach that seeks out areas for improvement that were clearly identified as performance priorities. The American Society for Quality, National Quality Forum, Baldrige National Quality Program and the National Patient Safety Foundation all recommend a systems-based approach where organizational improvement activities are focused on strategic priorities rather than compliance standards.

There are three major sections that make up this report:

The first section reflects compliance factors related to the Consent Decree and includes those performance measure described in the Order Adopting Compliance Standards dated October 29, 2007. Comparison data is not always available for the last month in the quarter and is included in the next report.

The second section describes the hospital's performance with regard to Joint Commission performance measures that are derived from the Hospital-Based Inpatient Psychiatric Services (HBIPS) that are reflected in the Joint Commissions quarterly ORYX Report and priority focus areas that are referenced in the Joint Commission standards;

I. Data Collection (PI.01.01.01)
II. Data Analysis (PI.02.01.01, PI.02.01.03)
III. Performance Improvement (PI.03.01.01)

The third section encompasses those departmental process improvement projects that are designed to improve the overall effectiveness and efficiency of the hospital's operations and contribute to the system's overall strategic performance excellence. Several departments and work areas have made significant progress in developing the concepts of this new methodology.

As with any change in how organizations operate, there are early adopters and those whose adoption of system changes is delayed. It is anticipated that over the next year, further contributors to this section of strategic performance excellence will be added as opportunities for improvement and methods of improving operational functions are defined.

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CONSENT DECREE

Consent Decree Plan

V1) The Consent Decree Plan, established pursuant to paragraphs 36, 37, 38, and 39 of the Settlement Agreement in Bates v. DHHS defines the role of Riverview Psychiatric Center in providing consumer-centered inpatient psychiatric care to Maine citizens with serious mental illness that meets constitutional, statutory, and regulatory standards.

The following elements outline the hospital's processes for ensuring substantial compliance with the provisions of the Settlement Agreement as stipulated in an Order Adopting Compliance Standards dated October 29, 2007.

Client Rights

V2) Riverview produces documentation that clients are routinely informed of their rights upon admission in accordance with ¶ 150 of the Settlement Agreement;

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Clients are routinely informed of their rights upon admission	100% 44/45 (100%, 15/15 for Lower Saco)	100% 26/32 (97%, 27/29 for Lower Saco)	97% 44/45 (100%, 14/15 for Lower Saco)	97% 57/59 (All four units)

Clients are informed of their rights and asked to sign that information has been provided to them. If they refuse, the staff documents the refusal and sign, date & time the refusal.

3Q2014: 1 refused
4Q2014: 3 refused, 3 lacked capacity (Lower Saco: 1 refused, 1 not accounted for)
1Q2015: 1 refused (Lower Saco)
2Q2015: 1 form was blank in chart, 1 form was missing from chart

V3) Grievance tracking data shows that the hospital responds to 90% of **Level II** grievances within five working days of the date of receipt or within a five-day extension.

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Level II grievances responded to by RPC on time.	N/A	100% 2/2	100% 1/1	100% 3/3
2. Level I grievances responded to by RPC on time.	97% 67/69	100% 51/51	100% 86/86	100% 65/65

CONSENT DECREE

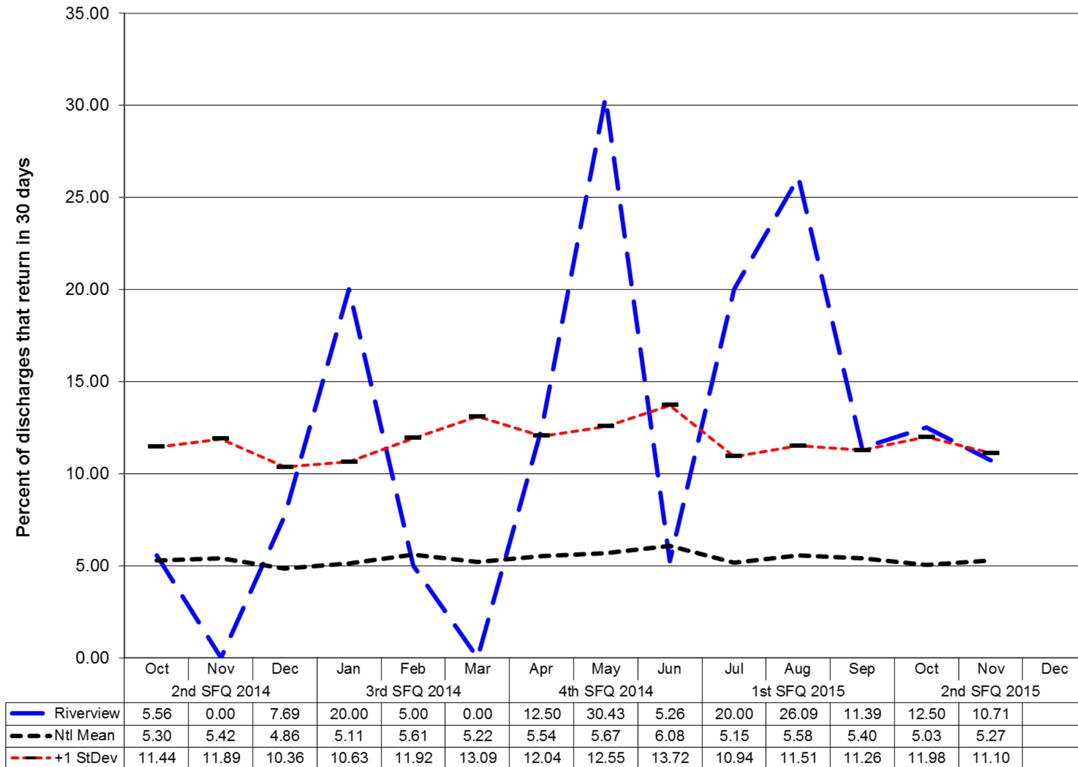
Admissions

V4) Quarterly performance data shows that in 4 consecutive quarters, 95% of admissions to Riverview meet legal criteria;

Legal Status on Admission	3Q2014	4Q2014	1Q2015	2Q2015	Total
CIVIL:	**31**	**26**	**35**	**41**	**111**
VOL	1			2	**1**
CIVIL-INVOL		1	8	6	**11**
DCC	28	24	25	33	**92**
DCC PTP	2	1	2		**7**
FORENSIC:	**30**	**25**	**33**	**28**	**116**
STAGE III	19	18	20	14	**76**
JAIL TRANS	2	2	1	1	**4**
IST	8	5	7	8	**27**
NCR	1	0	5	5	**8**
GRAND TOTAL	**61**	**51**	**68**	**69**	**227**

CONSENT DECREE

V5) Quarterly performance data shows that in 3 out of 4 consecutive quarters, the % of readmissions within 30 days of discharge does not exceed one standard deviation from the national mean as reported by NASMHPD



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	5.56	0.00	7.69	20.00	5.00	0.00	12.50	30.43	5.26	20.00	26.09	11.39	12.50	10.71	
Ntl Mean	5.30	5.42	4.86	5.11	5.61	5.22	5.54	5.67	6.08	5.15	5.58	5.40	5.03	5.27	
+1 StDev	11.44	11.89	10.36	10.63	11.92	13.09	12.04	12.55	13.72	10.94	11.51	11.26	11.98	11.10	

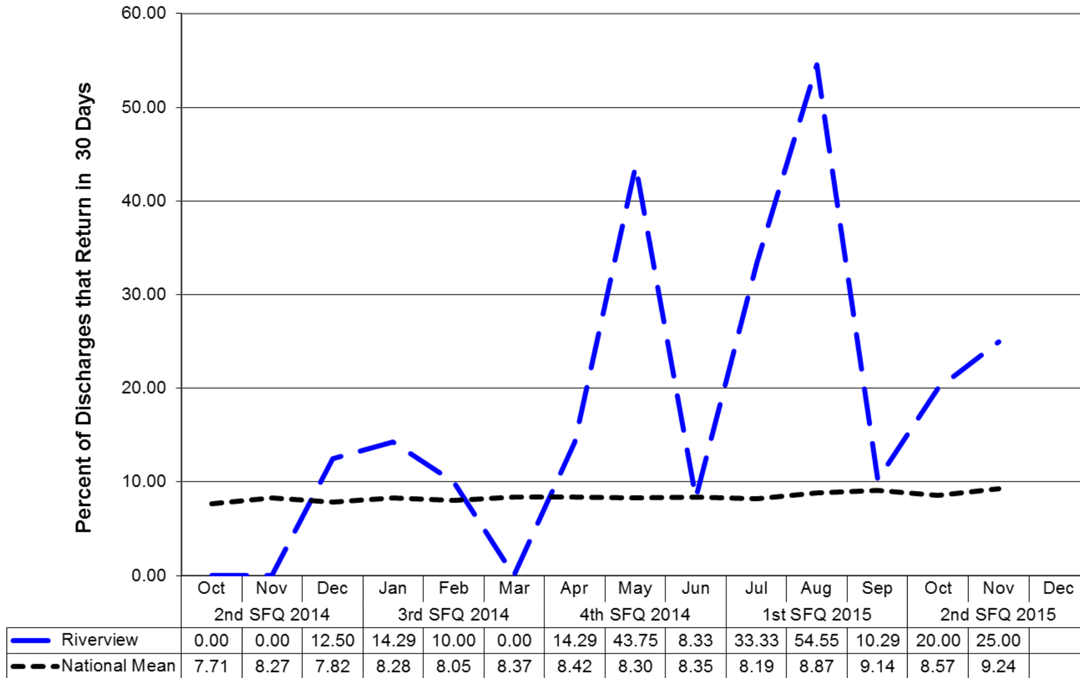
This graph depicts the percent of discharges from the facility that returned within 30 days of a discharge of the same client from the same facility. For example; a rate of 10.0 means that 10% of all discharges were readmitted within 30 days.

The graphs shown on the next page depict the percent of discharges from the facility that returned within 30 days of a discharge of the same client from the same facility stratified by forensic or civil classifications. For example; a rate of 10.0 means that 10% of all discharges were readmitted within 30 days. The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

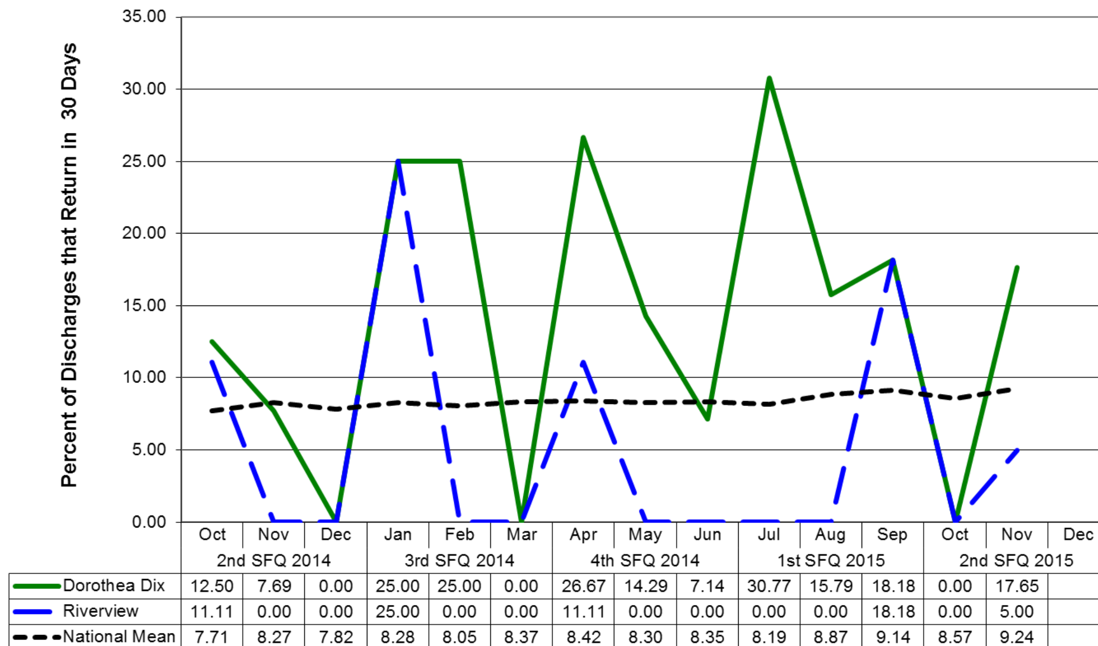
Reasons for client readmission are varied and may include decompensating or lack of compliance with a PTP to name a few. Specific causes for readmission are reviewed with each client upon their return. These graphs are intended to provide an overview of the readmission picture and do not provide sufficient granularity in data elements to determine trends for causes of readmission.

Note: Between August 2013 and November 2014 the Lower Saco unit was decertified. Patients had to be discharged and readmitted in our Meditech Electronic Medical Record system whenever they transferred units in the hospital (either from or to Lower Saco), which caused them to show up in this graph as a 30 Day Readmission, even though they technically never left the hospital.

CONSENT DECREE



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	12.50	14.29	10.00	0.00	14.29	43.75	8.33	33.33	54.55	10.29	20.00	25.00	
National Mean	7.71	8.27	7.82	8.28	8.05	8.37	8.42	8.30	8.35	8.19	8.87	9.14	8.57	9.24	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Dorothea Dix	12.50	7.69	0.00	25.00	25.00	0.00	26.67	14.29	7.14	30.77	15.79	18.18	0.00	17.65	
Riverview	11.11	0.00	0.00	25.00	0.00	0.00	11.11	0.00	0.00	0.00	0.00	18.18	0.00	5.00	
National Mean	7.71	8.27	7.82	8.28	8.05	8.37	8.42	8.30	8.35	8.19	8.87	9.14	8.57	9.24	

CONSENT DECREE

V6) Riverview documents, as part of the Performance Improvement & Quality Assurance process, that the Director of Social Work reviews all readmissions occurring within 60 days of the last discharge; and for each client who spent fewer than 30 days in the community, evaluated the circumstances to determine whether the readmission indicated a need for resources or a change in treatment and discharge planning or a need for different resources and, where such a need or change was indicated, that corrective action was taken;

REVIEW OF READMISSION OCCURRING WITHIN 60 DAYS

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
Director of Social Services reviews all readmissions occurring within 60 days of the last discharge and for each client who spent fewer than 30 days in the community, evaluated the circumstances of the readmission to determine an indicated need for resources or a change in treatment and discharge planning or the need for alternative resources. In cases where such a need or change was indicated that corrective action was taken.	N/A	100% 1/1	100% 3/3	100% 4/4

Current Quarterly Summary

Over the course of the quarter we had 4 patients return from the community who spent less than 30 days in the community. The patients spent 8, 10, 17 and 18 days in the community before returning. All readmissions were reviewed.

CONSENT DECREE

REDUCTION OF RE-HOSPITALIZATION FOR OUTPATIENT SERVICES PRORAM (OPS) CLIENTS

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. The Program Service Director of the Outpatient Services Program will review all client cases of re-hospitalization from the community for patterns and trends of the contributing factors leading to re-hospitalization each quarter. The following elements are considered during the review: a. Length of stay in community b. Type of residence (i.e.: group home, apartment, etc) c. Geographic location of residence d. Community support network e. Client demographics (age, gender, financial) f. Behavior pattern/mental status g. Medication adherence h. Level of communication with Outpatient Treatment	100% 1 client was returned to DDPC for psychiatric instability, client remains in DDPC	100% 1 client returned to RPC for psychiatric instability from group home, remains in RPC on Upper Saco	100% 2 clients returned to RPC for psychiatric instability manifested by assault of staff in their residence. Both remain in RPC.	100% 3 clients returned to RPC; one for elopement and use of alcohol, one for assault (who was admitted twice in this period) and one for suspicion of illegal activity. All remain in RPC. 1 client was arrested by US Marshalls and is in Somerset Co. Jail awaiting sentencing.
2. Outpatient Treatment will work closely with inpatient treatment team to create and apply discharge plan incorporating additional supports determined by review noted in #1.	100%	100%	100% Attendance at all treatment team meetings.	100% Attendance at RPC meetings and maintained contact while in jail.

Current Quarter Summary

1. The three patients readmitted to Riverview are male, 40, 43 and 53 years of age respectively. The client now in Somerset County Jail is 52 years of age. The three clients returned to Riverview were living in group homes in Augusta for over six months; however the 52-year-old had recently moved from one group home to another and had not re-stabilized from his previous hospitalization three weeks prior. This client is also the most socio-economically impoverished, has a history of traumatic brain injury and is cognitively impaired. The 40-year-old client had been managing thoughts of using alcohol by requesting to have his unsupervised time rescinded, yet this did not work well over time as he used unsupervised time to go to a bar and drink alcohol and was apprehended soon after it was discovered he had eloped. He is being assessed for additional substance abuse treatment options in and out of RPC. The 43-year-old client is being assessed in terms of criminogenic features and psychiatric symptoms to develop an appropriate outpatient plan.

2. RPC OS is working closely with the Upper and Lower Saco units to determine a) criteria by which the 43-year-old can be released back into the community safely, b) suitable housing for the 53-year-old to minimize stressors, and c) appropriate treatment provision for substance abuse and recovery goals for the 40-year-old. The 52-year-old will remain in Somerset County Jail until his sentencing which may supersede his NCR court order by resulting in a prison term.

CONSENT DECREE

V7) Riverview certifies that no more than 5% of patients admitted in any year have a primary diagnosis of mental retardation, traumatic brain injury, dementia, substance abuse or dependence.

Client Admission Diagnoses	3Q14	4Q14	1Q15	2Q15	TOT
ANXIETY STATE NOS		3	1	4	**8**
BIPOLAR DISORDER, SINGLE MANIC EPISODE, UNSPEC	1				**1**
BIPOL I DIS, MOST RECENT EPIS (OR CURRENT) MANIC, UNSPEC			1		**1**
BIPOL I, MOST RECENT EPISODE (OR CURRENT) MIXED, UNSPEC			1		**1**
BIPOL I, REC EPIS OR CURRENT MANIC, SEVERE, SPEC W PSYCH BEH	2		1	4	**7**
BIPOLAR DISORDER, UNSPECIFIED	5	3	6	7	**21**
DELUSIONAL DISORDER	1	2	2		**5**
DEPRESS DISORDER-UNSPEC			1		**1**
DEPRESSIVE DISORDER NEC	4		5	1	**10**
DRUG ABUSE NEC-IN REMISS	1				**1**
HEBEPHRENIA-UNSPEC			1		**1**
INTERMITT EXPLOSIVE DIS	1	1			**2**
MILD INTELLECTUAL DISABILITIES	1				**1**
OTH AND UNSPECIFIED BIPOLAR DISORDERS, OTHER		1	2		**3**
OTH SPEC PERVASIVE DEVELOPMETN DIS, CURRENT OR ACT STATE				1	**1**
PARANOID SCHIZO-CHRONIC	2	6	8	5	**21**
PARANOID SCHIZO-UNSPEC	4	1		1	**6**
POSTTRAUMATIC STRESS DISORDER	5	1	4	3	**13**
PSYCHOSIS NOS	11	8	6	11	**36**
RECURR DEPR DISORD-UNSP				1	**1**
SCHIZOAFFECTIVE DISORDER, UNSPECIFIED	12	12	16	19	**59**
SCHIZOPHRENIA NOS-CHR	1	2	2	1	**6**
SCHIZOPHRENIA NOS-UNSPEC	1	1	1	4	**7**
SCHIZOPHRENIFORM DISORDER, UNSPECIFIED		2	1		**3**
UNSPECIFIED ALCOHOL-INDUCTED MENTAL DISORDERS			1	1	**2**
UNSPECIFIED EPISODIC MOOD DISORDER	9	8	8	6	**31**
Total Admissions	**61**	**51**	**68**	**69**	**249**
Admitted with primary diagnosis of mental retardation, traumatic brain injury, dementia, substance abuse or dependence.	**1.64%**	**0.00%**	**0.00%**	**0.00%**	**0.4%**

CONSENT DECREE

Peer Supports

Quarterly performance data shows that in 3 out of 4 consecutive quarters:

V8) 100% of all clients have documented contact with a peer specialist during hospitalization;

V9) 80% of all treatment meetings involve a peer specialist.

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Attendance at Comprehensive Treatment Team meetings. (v9)	86% 395/458	89% 417/466	*45% 183/404	*91% 381/482
2. Attendance at Service Integration meetings. (v8)	86% 55/64	100% 46/46	100% 80/80	No longer indicator
3. Contact during admission. (v8)	100% 64/64	100% 62/62	100% 80/80	100% 72/72
4. Community Integration / Bridging Inpatient & OPS Inpatient trips OPS				100% 63 130
5. Peer Support will make an attempt to assist all patients in recognizing their personal medicine and filling out form				100% 72/72
6. Peer Support will make a documented attempt to have patients fill out a survey before discharge or annually to evaluate the effectiveness of the peer support relationship during hospitalization.				30% 19/64
7. Grievances responded to on time by peer support, within 1 day of receipt.				100% 65/65

Current Quarter Summary

1. Out of 482 treatment team meetings held, Peer Support was available to attend, the client did not want Peer Support there at 59 of them. This happened on two units experiencing a variety of changes over the last couple of months. Peer Support does not count these against their average for the quarter.

2. This indicator was mistakenly removed from the do Peer Support Service contract. It has been added back into the contract and will be reported on in the next quarterly report.

CONSENT DECREE

Treatment Planning

V10) 95% of clients have a preliminary treatment and transition plan developed within 3 working days of admission;

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Service Integration meeting and form completed by the end of the 3rd day	100% 30/30	100% 30/30	100% 30/30	100% 45/45
2.Client Participation in Service Integration meeting.	100% 30/30	100% 30/30	93% 28/30	95% 43/45
3.Social Worker Participation in Service Integration meeting.	100% 30/30	100% 30/30	100% 30/30	100% 45/45
4.Client's Family Member and/or Natural Support (e.g., peer support, advocacy, attorney) participation in Service Integration meeting	100% 30/30	80% 24/30	100% 30/30	0%
5 .Initial Comprehensive Psychosocial Assessments completed within 7 days of admission.	93% 28/30	86% 26/30	86% 26/30	95% 43/45
6. Initial Comprehensive Assessment contains summary narrative with conclusion and recommendations for discharge and social worker role	100% 30/30	100% 30/30	100% 30/30	100% 45/45
7. Annual Psychosocial Assessment completed and current in chart	100% 15/15	100% 15/15	100% 30/30	100% 15/15

Current Quarter Summary

2. Two clients declined to meet for the Service Integration Meeting and declined on follow up.

4. This area was previously removed from data collection and has no results this quarter, it will be added back in for 3Q2015 report.

5. Two Comprehensive Psychosocial Assessments were not completed within the 7 day timeframe they were completed at 8 and 12 days respectively.

CONSENT DECREE

V11) 95% of clients also have individualized treatment plans in their records within 7 days thereafter;

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Progress notes in GAP/Incidental/Contact format will indicate at minimum weekly 1:1 meeting with all clients on assigned **CCM** caseload.	86% 26/30	83% 25/30	88% 40/45	91% 41/45
2. Treatment plans will have measurable goals and interventions listing client strengths and areas of need related to transition to the community or transition back to a correctional facility.	96% 29/30	86% 26/30	100% 45/45	100% 45/45

Current Quarter Summary:

1. There were 4 records that did not indicate a note was done during a weekly period. This was caused by staffing issues within the Social Work Department, we are working on hiring staff.

V12) Riverview certifies that all treatment modalities required by ¶155 are available.

The treatment modalities listed below as listed in ¶155 are offered to all clients according to the individual client's ability to participate in a safe and productive manner as determined by the treatment team and established in collaboration with the client during the formulation of the individualized treatment plan.

	Provision of Services Normally by….			
Treatment Modality	**Medical Staff Psychology**	**Nursing**	**Social Services**	**Rehabilitation Services/ Treatment Mall**
Group and Individual Psychotherapy	X			
Psychopharmacological Therapy	X			
Social Services			X	
Physical Therapy				X
Occupational Therapy				X
ADL Skills Training		X		X
Recreational Therapy				X
Vocational/Educational Programs				X
Family Support Services and Education		X	X	X
Substance Abuse Services	X			
Sexual/Physical Abuse Counseling	X			
Intro to Basic Principles of Health, Hygiene, and Nutrition		X		X

CONSENT DECREE

An evaluation of treatment planning and implementation, performed in accordance with **Attachment D**, demonstrates that, for 90% of the cases reviewed:

V13) The treatment plans reflect

- Screening of the patient's needs in all the domains listed in ¶61;
- Consideration of the patient's need for the services listed in ¶155;
- Treatment goals for each area of need identified, unless the patient chooses not, or is not yet ready, to address that treatment goal;
- Appropriate interventions to address treatment goals;
- Provision of services listed in ¶155 for which the patient has an assessed need;
- Treatment goals necessary to meet discharge criteria; and
- Assessments of whether the patient is clinically safe for discharge;

V14) The treatment provided is consistent with the individual treatment plans;

V15) If the record reflects limitations on a patient's rights listed in ¶159, those limitations were imposed consistent with the Rights of Recipients of Mental Health Services

An abstraction of pertinent elements of a random selection of charts is periodically conducted to determine compliance with the compliance standards of the consent decree outlined in parts V13, V14, and V15.

This review of randomly selected charts revealed substantial compliance with the consent decree elements. Individual charts can be reviewed by authorized to validate this chart review.

CONSENT DECREE

Medications

V16) Riverview certifies that the pharmacy computer database system for monitoring the use of psychoactive medications is in place and in use, and that the system as used meets the objectives of ¶168.

Riverview utilizes a Pyxis Medstation 4000 System for the dispensing of medications on each client care unit. A total of six devices, one on each of the four main units and in each of the two special care units, provide access to all medications used for client care, the pharmacy medication record, and allow review of dispensing and administration of pharmaceuticals.

A database program, HCS Medics, contains records of medication use for each client and allows access by an after-hours remote pharmacy service to these records, to the Pyxis Medstation 4000 System. The purpose of this after-hours service is to maintain 24 hour coverage and pharmacy validation and verification services for prescribers.

Records of transactions are evaluated by the Director of Pharmacy and the Medical Director to validate the appropriate utilization of all medication classes dispensed by the hospital. The Pharmacy and Therapeutics Committee, a multidisciplinary group of physicians, pharmacists, and other clinical staff evaluate issues related to the prescribing, dispensing, and administration of all pharmaceuticals.

The system as described is capable of providing information to process reviewers on the status of medications management in the hospital and to ensure the appropriate use of psychoactive and other medications.

The effectiveness and accuracy of the Pyxis Medstation 4000 System is analyzed regularly through the conduct of process improvement and functional efficiency studies. These studies can be found in the Medication Management and Pharmacy Services sections of this report.

CONSENT DECREE

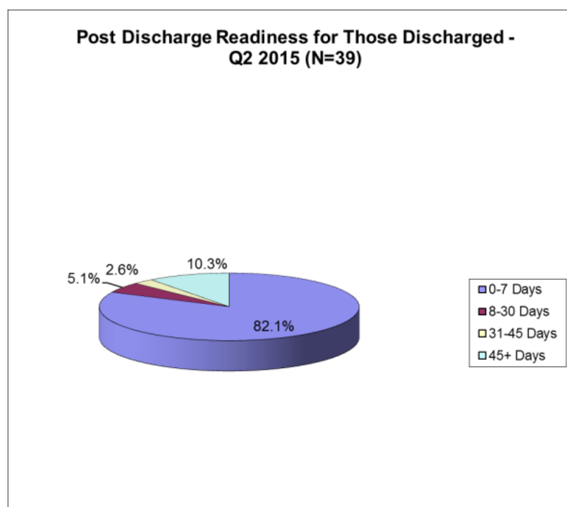
Discharges

Quarterly performance data shows that in 3 consecutive quarters:

V17) 70% of clients who remained ready for discharge were transitioned out of the hospital within 7 days of a determination that they had received maximum benefit from inpatient care;

V18) 80 % of clients who remained ready for discharge were transitioned out of the hospital within 30 days of a determination that they had received maximum benefit from inpatient care;

V19) 90% of clients who remained ready for discharge were transitioned out of the hospital within 45 days of a determination that they had received maximum benefit from inpatient care (with certain clients excepted, by agreement of the parties and court master).



Cumulative percentages & targets are as follows:

Within 7 days = (32) 82.1% (target 70%)
Within 30 days = (34) 87.2% (target 80%)
Within 45 days = (35) 89.7% (target 90%)
Post 45 days = (4) 10.3% (target 0%)

Barriers to Discharge Following Clinical Readiness

Residential Supports (0)

No barriers in this area

Treatment Services (0)

No barriers in this area

Housing (5) 13%

- 2 clients discharged 8-30 days post clinical readiness/housing barrier (11 & 12 days)
- 1 client discharged 31-45 days post clinical readiness/housing barrier (35 days)
- 4 clients discharged 45+ days post clinical readiness/housing barrier (48, 87, 87, & 93 days)

Other (0)

No barriers in this area

The previous four quarters are displayed in the table below

		Within 7 days	Within 30days	Within 45 days	45 +days
	Target >>	**70%**	**80%**	**90%**	**< 10%**
1Q2015	N=38	81.6%	92.1%	94.7%	5.3%
4Q2014	N=17	70.6%	94.1%	94.1%	5.9%
3Q2014	N=24	73.1%	84.6%	92.3%	7.7%
2Q2014	N=20	73.1%	84.6%	92.3%	7.7%

CONSENT DECREE

An evaluation of treatment and discharge planning, performed in accordance with **Attachment D**, demonstrates that, for 90% of the cases reviewed:

V20) Treatment and discharge plans reflect interventions appropriate to address discharge and transition goals;

V20a) For patients who have been found not criminally responsible or not guilty by reason of insanity, appropriate interventions include timely reviews of progress toward the maximum levels allowed by court order; and the record reflects timely reviews of progress toward the maximum levels allowed by court order;

V21) Interventions to address discharge and transition planning goals are in fact being implemented;

V21a) For patients who have been found not criminally responsible or not guilty by reason of insanity, this means that, if the treatment team determines that the patient is ready for an increase in levels beyond those allowed by the current court order, Riverview is taking reasonable steps to support a court petition for an increase in levels.

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. The Client Discharge Plan Report will be updated/reviewed by each **Social Worker minimally one time per week.**	100% 9/9	91% 11/12	100% 13/13	100% 11/11
2. The Client Discharge Plan Report will be reviewed/updated minimally one time per week by the Director of Social Services.	100% 9/9	91% 11/12	76% 10/13	100% 11/11
2a. The Client Discharge Plan Report will be sent out weekly as indicated in the approved court plan.	100% 9/9	91% 11/12	76% 10/13	100% 11/11
3. Each week the Social Work team and Director will meet and discuss current housing options provided by the respective regions and prioritize referrals.	100% 9/9	91% 11/12	100% 13/13	100% 11/11

CONSENT DECREE

V22) The Department demonstrates that 95% of the annual reports for forensic patients are submitted to the Commissioner and forwarded to the court on time.

Indicators	3Q2014	4Q2014	1Q2015	2Q2015
1. Institutional Reports will be completed, reviewed internally, and delivered to the court within 10 business days of request.	0% 0/2	50% 3/6	25% 1/4	0% 0/5
2. The assigned **CCM** will review the new court order with the client and document the meeting in a progress note or treatment team note.	100% 3/3	100% 4/4	100% 6/6	100% 3/3
3. Annual Reports (due Dec) to the commissioner for all inpatient NCR clients are submitted annually	N/A	N/A	N/A	100% 25/25

Current Quarter Summary

1. Five Institutional Reports were done in the quarter. None of the reports were completed in the 10 business day timeframe. We are meeting as a team to create a better process for monitoring and completing this task with Upper Saco.

CONSENT DECREE

Staffing and Staff Training

V23) Riverview performance data shows that 95% of direct care staff have received 90% of their annual training.

Indicators	1Q2015	2Q2015	3Q2015	4Q2015	YTD Findings
1. Riverview and Contract staff will attend CPR training bi-annually.	100% 62/62	100% 37/37			100%
2. Riverview and Contract staff will attend Annual training.	96% 109/113	83% 72/87			91%
3. Riverview and contract staff will attend MOAB training bi-annually	92% 389/424	87% 393/451			90%

1Q2015

1. Employees who are out of compliance have been notified and corrective action is being taken.
2. MOAB was initiated in January 2014. Since the initiation date 398 staff have been trained leaving 35 employees still in need of training. MOAB is offered at least monthly.

2Q2015

1. Employees out of compliance were due in December 2014. Those employees who are out of compliance have been notified and corrective action is being taken.

2. MOAB was initiated in January 2014. Since the initiation date 393 current employees have received MOAB training. 58 current employees are in need training. Eight of the employees in need of training provide direct support to patients, the remainder are support staff with minimal or no patient contact. MOAB continues to be offered at least monthly.

Staffing and Staff Training

Goal #1: SD will provide opportunities for employees to gain, develop and renew skills knowledge and aptitudes.

Objective: 100% of employees will be provided with an opportunity both formal and informal training and/or learning experiences that contribute to individual growth and improved performance in current position.

SD will survey staff annually and develop trainings to address training needs as identified by staff.

Current Status:

1Q2015:

- Motivational Interviewing was provided in September 2014.

2Q2015:

- Motivational Interviewing was presented twice in December 2014 for Treatment Team Members
- Mental Health First Aid was provided in October, November and December 2014
- Beginning in November 2014, *The Science of Mindfulness: A Research-Based Path to Well-Being. A Series from The Great Courses,* Video Sessions are being shown Monday Wednesdays and Fridays of each week.
- HIPPA/HITECH/Confidentiality Trainings were provided twice each month in October, November and December 2014.
- Staff and Organizational Development in conjunction with the Education Committee are in the process of developing a survey to identify staff needs and assess staff attitudes around safety. We expect the survey to be developed and submitted to employees by the end of the third quarter for FY 2015.

Goal #2: SD will develop and implement a comprehensive mentoring program to assist new employees in gaining the skills necessary to do their job.

Objective: 100% of new Mental Health Workers will be paired with a mentor and will satisfactorily complete 12 competency areas on the unit orientation prior to being assigned regular duties requiring direct care of patients.

Current Status:

1Q2015: 100% of new Mental Health Workers were paired with a mentor and satisfactorily completed competency areas in the Unit Orientation.

2Q2015: 100% of new Mental Health Workers were paired with a mentor and satisfactorily completed competency areas in the Unit Orientation.

CONSENT DECREE

V24) Riverview certifies that 95% of professional staff have maintained professionally-required continuing education credits and have received the ten hours of annual cross-training required by ¶216;

DATE	HRS	TITLE	PRESENTER
DATE	HRS	TITLE	PRESENTER
3Q2012	14	January - March 2012	Winter Semester (see1Q13 Quarterly Report)
4Q2012	11	April – June 2012	Spring Semester (see1Q13 Quarterly Report)
1Q2013	3	July – September 2012	Summer Hiatus (see1Q13 Quarterly Report)
2Q2013	9	October – December 2012	Fall Semester (see2Q13 Quarterly Report)
3Q2013	11	January – March 2013	Winter Semester (see 3Q13 Quarterly Report)
4Q2013	12	April – June 2013	Spring Semester (see 4Q13 Quarterly Report)
1Q2014	5.5	July - September 2013	Summer Semester (see 1Q14 Quarterly Report)
2Q2014	7	October – December 2013	Fall Semester (see 2Q14 Quarterly Report)
3Q2014	15	January – March 2014	Winter Semester (see 3Q14 Quarterly Report)
4Q2014	16	April – June 2014	Spring Semester (see 4Q14 Quarterly Report)
1Q2015	18	July - September 2014	Summer Semester (see 1Q15 Quarterly Report)
10/2/2014	1	"What are you thinking?" Behind the Crimes and Misbehavior	Susan Newkirk-Sanborn, PhD
10/9/2014	1	"God & Medication" A Riverview NCR Recovery Story	Teresa Mayo, PhD
10/16/2014	1	Forgiveness and Mental Health Recovery: Challenges to patient progression	James Weathersby
10/30/2014	1	Make it a Stiff One: Lessons Learned from an Adverse Drug Reaction	Miranda Cole, PharmD
11/6/2014	1	Mr. D: Anosognosia, Delusion and Frustration	Dan Filene, MD
11/13/2014	1	Some Clinical Observations on Self-Regulating Systems and Reasons They Become Dysregulated	Ken Beattie, PhD
11/18/2014	1	Peer Review Committee	Brendan Kirby, MD
11/20/2014	1	Schizophrenia: Ready for Retirement?	Doug Noordsy, MD
12/4/2014	2	Case Review of DB	Art DiRocco, PhD Will Torrey, MD Alex DeNesnera, MD Matthew Friedman, MD
12/11/2014	1	Tardive Dyskinesia: a review and look at possible treatment options	Mitchell Manin, MD Miranda Cole, PharmD
12/16/2014	1	Peer Review Committee	Brendan Kirby, MD
12/18/2014	1	Vitamin D and its significance for Riverview patients and for the general population	George Davis, MD

CONSENT DECREE

V25) Riverview certifies that staffing ratios required by ¶202 are met, and makes available documentation that shows actual staffing for up to one recent month;

Staff Type	Consent Decree Ratio
General Medicine Physicians	1:75
Psychiatrists	1:25
Psychologists	1:25
Nursing	1:20
Social Workers	1:15
Mental Health Workers	1:6
Recreational/Occupational Therapists/Aides	1:8

With 92 beds, Riverview regularly meets or exceeds the staffing ratio requirements of the consent decree.

Staffing levels are most often determined by an analysis of unit acuity, individual monitoring needs of the clients who residing on specific units, and unit census.

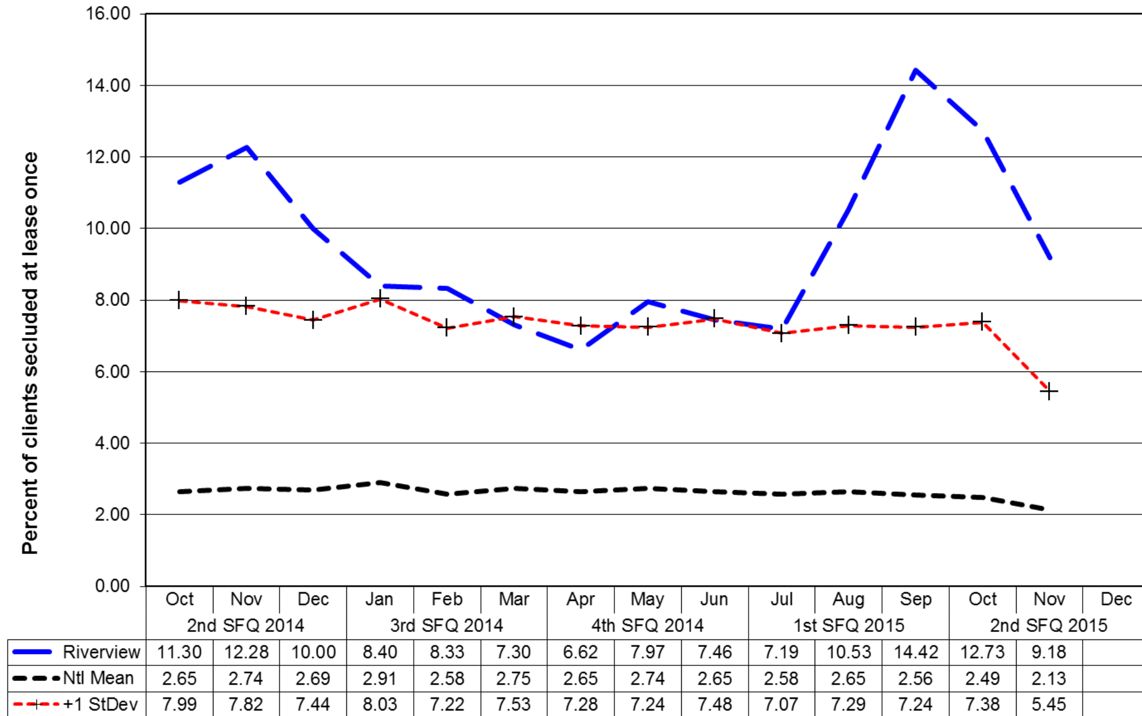
V26) The evaluation of treatment and discharge planning, performed in accordance with **Attachment D**, demonstrates that staffing was sufficient to provide patients access to activities necessary to achieve the patients' treatment goals, and to enable patients to exercise daily and to recreate outdoors consistent with their treatment plans.

Treatment teams regularly monitor the needs of individual clients and make recommendations for ongoing treatment modalities. Staffing levels are carefully monitored to ensure that all treatment goals, exercise needs, and outdoor activities are achievable. Staffing does not present a barrier to the fulfillment of client needs. Staffing deficiencies that may periodically be present are rectified through utilization of overtime or mandated staff members.

CONSENT DECREE

Use of Seclusion and Restraints

V27) Quarterly performance data shows that, in 5 out of 6 quarters, total seclusion and restraint hours do not exceed one standard deviation from the national mean as reported by NASMHPD;



This graph depicts the percent of unique clients who were secluded at least once. For example, rates of 3.0 means that 3% of the unique clients served were secluded at least once.

The following graphs depict the percent of unique clients who were secluded at least once stratified by forensic or civil classifications. For example; rates of 3.0 means that 3% of the unique clients served were secluded at least once.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

(Glossary of Terms, Acronyms & Abbreviations)
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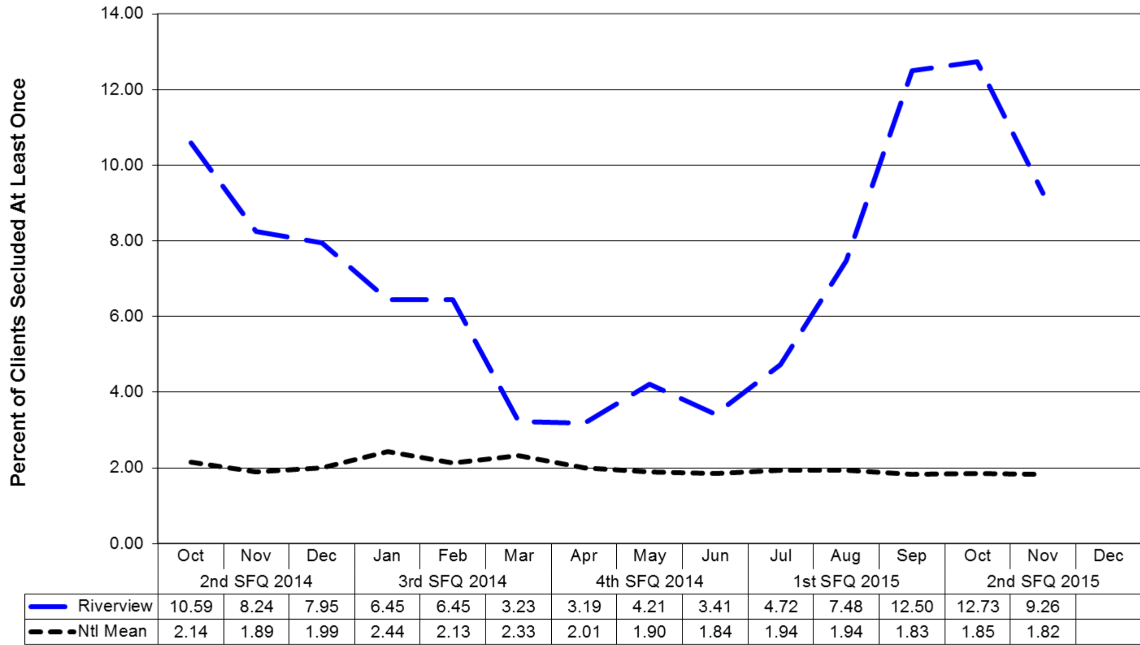
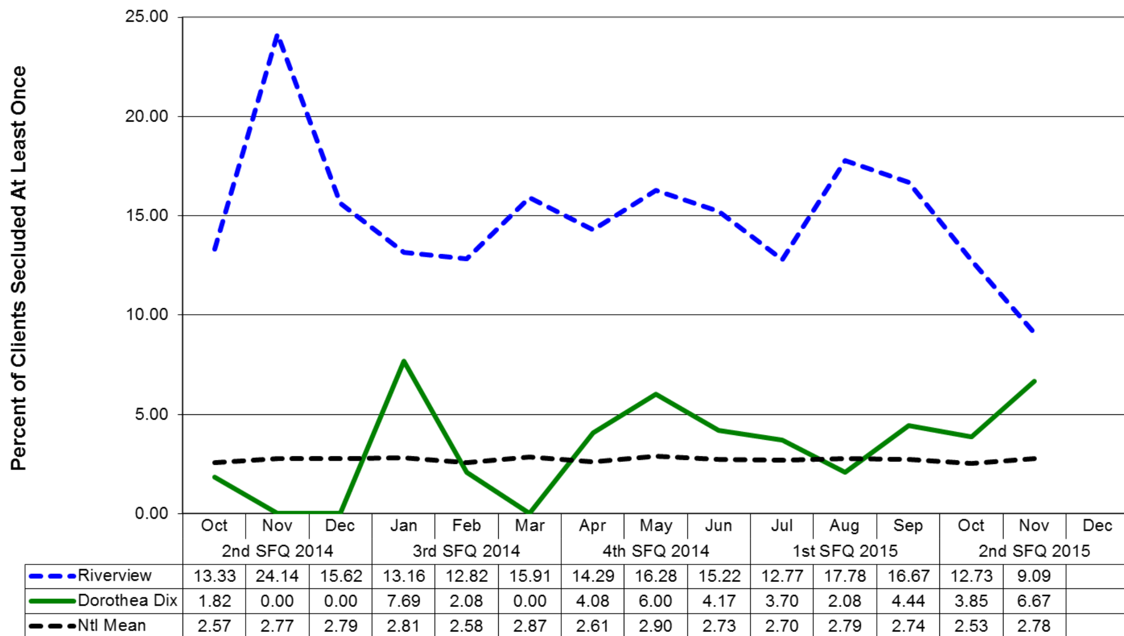
CONSENT DECREE

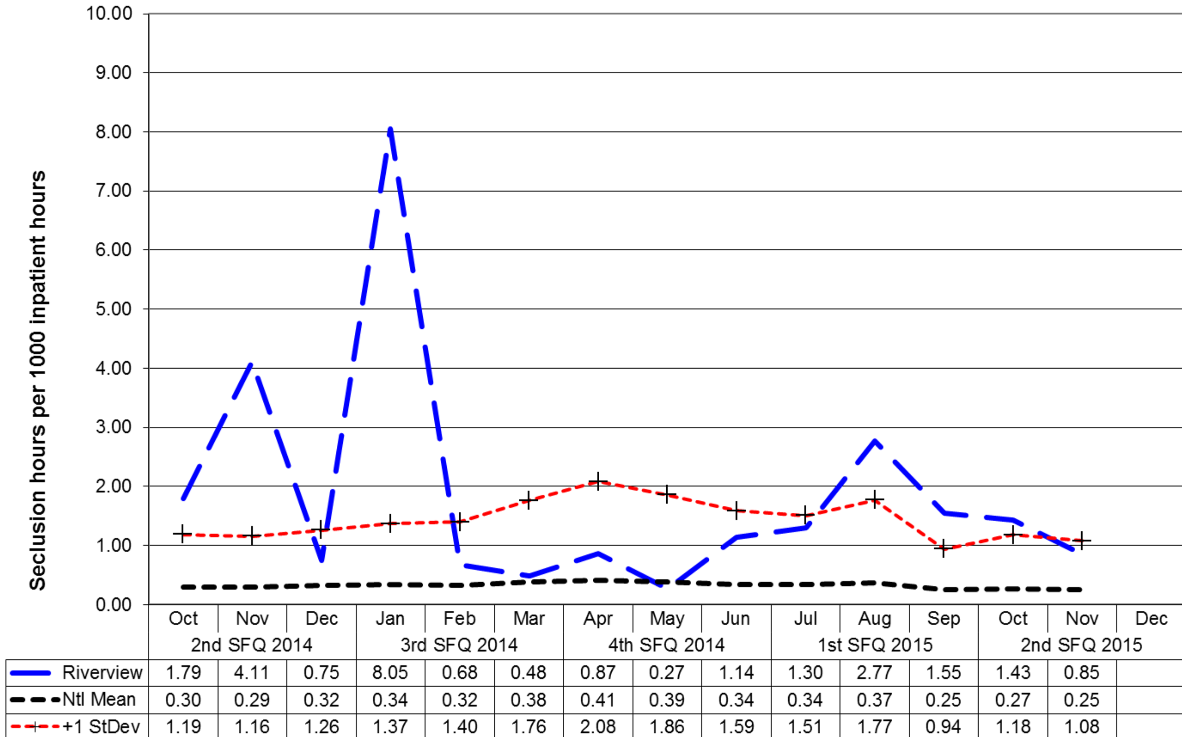


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	10.59	8.24	7.95	6.45	6.45	3.23	3.19	4.21	3.41	4.72	7.48	12.50	12.73	9.26	
Ntl Mean	2.14	1.89	1.99	2.44	2.13	2.33	2.01	1.90	1.84	1.94	1.94	1.83	1.85	1.82	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	13.33	24.14	15.62	13.16	12.82	15.91	14.29	16.28	15.22	12.77	17.78	16.67	12.73	9.09	
Dorothea Dix	1.82	0.00	0.00	7.69	2.08	0.00	4.08	6.00	4.17	3.70	2.08	4.44	3.85	6.67	
Ntl Mean	2.57	2.77	2.79	2.81	2.58	2.87	2.61	2.90	2.73	2.70	2.79	2.74	2.53	2.78	

CONSENT DECREE



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	1.79	4.11	0.75	8.05	0.68	0.48	0.87	0.27	1.14	1.30	2.77	1.55	1.43	0.85	
Ntl Mean	0.30	0.29	0.32	0.34	0.32	0.38	0.41	0.39	0.34	0.34	0.37	0.25	0.27	0.25	
+1 StDev	1.19	1.16	1.26	1.37	1.40	1.76	2.08	1.86	1.59	1.51	1.77	0.94	1.18	1.08	

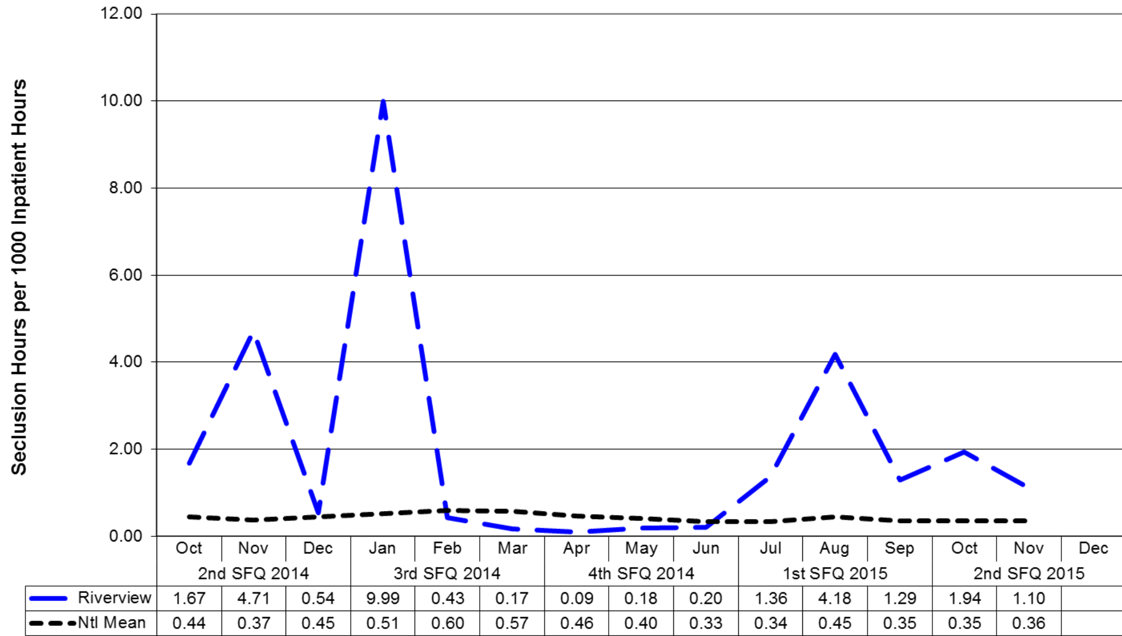
This graph depicts the number of hours clients spent in seclusion for every 1000 inpatient hours. For example, a rate of 0.8 means that 1 hour was spent in seclusion for each 1250 inpatient hours.

The outlier values shown in May and June reflect the events related to a single individual during this period. This individual was in seclusion for extended periods of time due to extremely aggressive behaviors that are focused on staff. It was determined that the only way to effectively manage this client and create a safe environment for both the staff and other clients was to segregate him in an area away from other clients and to provide frequent support and interaction with staff in a manner that ensured the safety of the staff so engaged.

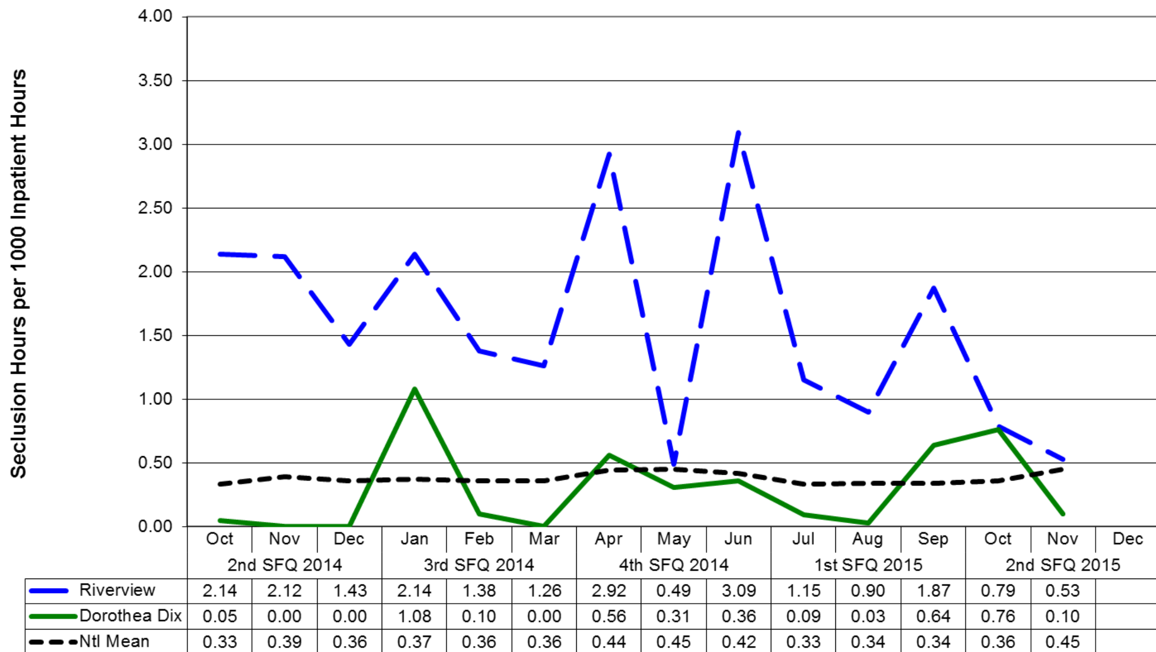
The following graphs depict the number of hours clients spent in seclusion for every 1000 inpatient hours stratified by forensic or civil classifications. For example, a rate of 0.8 means that 1 hour was spent in seclusion for each 1250 inpatient hours.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

CONSENT DECREE

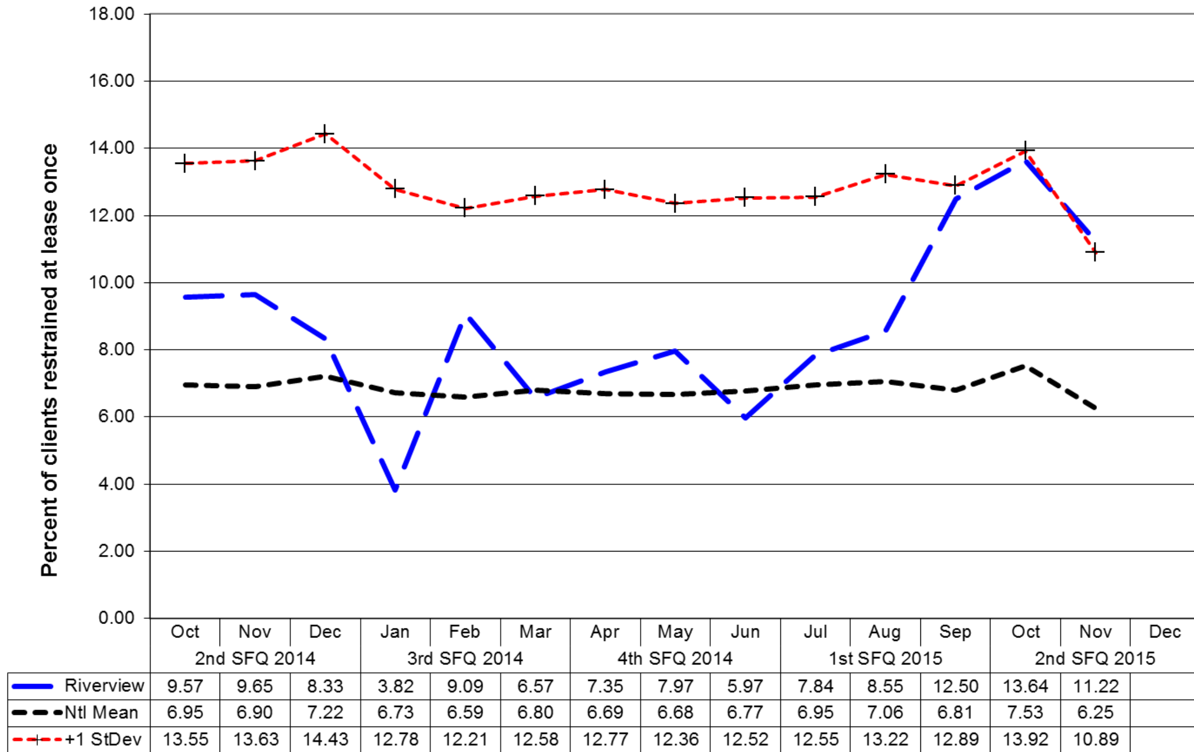


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	1.67	4.71	0.54	9.99	0.43	0.17	0.09	0.18	0.20	1.36	4.18	1.29	1.94	1.10	
Ntl Mean	0.44	0.37	0.45	0.51	0.60	0.57	0.46	0.40	0.33	0.34	0.45	0.35	0.35	0.36	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	2.14	2.12	1.43	2.14	1.38	1.26	2.92	0.49	3.09	1.15	0.90	1.87	0.79	0.53	
Dorothea Dix	0.05	0.00	0.00	1.08	0.10	0.00	0.56	0.31	0.36	0.09	0.03	0.64	0.76	0.10	
Ntl Mean	0.33	0.39	0.36	0.37	0.36	0.36	0.44	0.45	0.42	0.33	0.34	0.34	0.36	0.45	

CONSENT DECREE



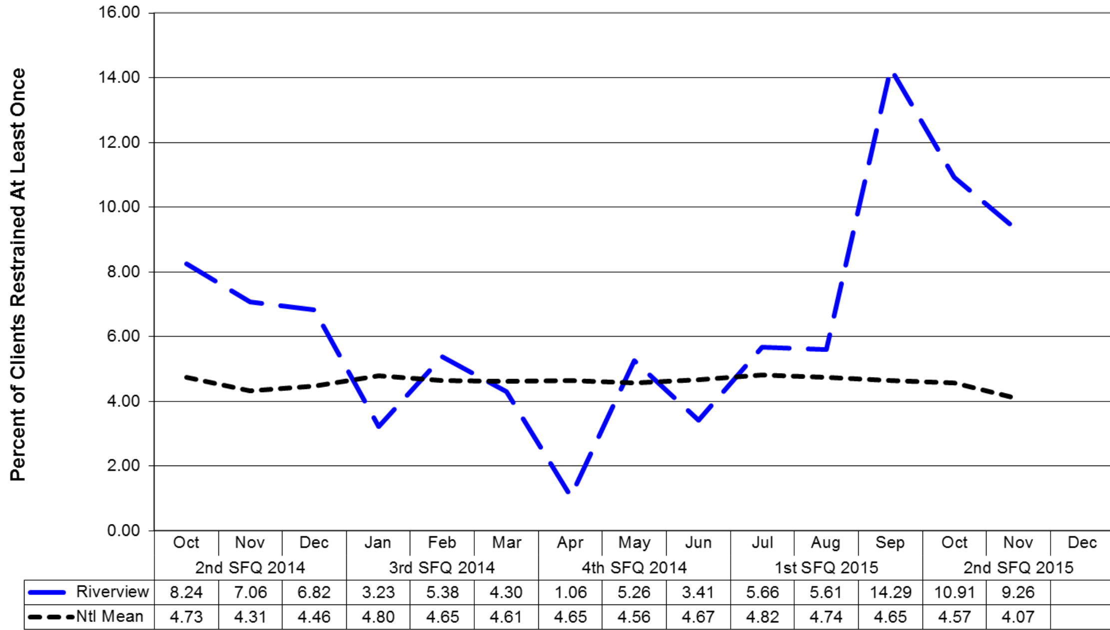
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	9.57	9.65	8.33	3.82	9.09	6.57	7.35	7.97	5.97	7.84	8.55	12.50	13.64	11.22	
Ntl Mean	6.95	6.90	7.22	6.73	6.59	6.80	6.69	6.68	6.77	6.95	7.06	6.81	7.53	6.25	
+1 StDev	13.55	13.63	14.43	12.78	12.21	12.58	12.77	12.36	12.52	12.55	13.22	12.89	13.92	10.89	

This graph depicts the percent of unique clients who were restrained at least once – includes all forms of restraint of any duration. For example; a rate of 4.0 means that 4% of the unique clients served were restrained at least once.

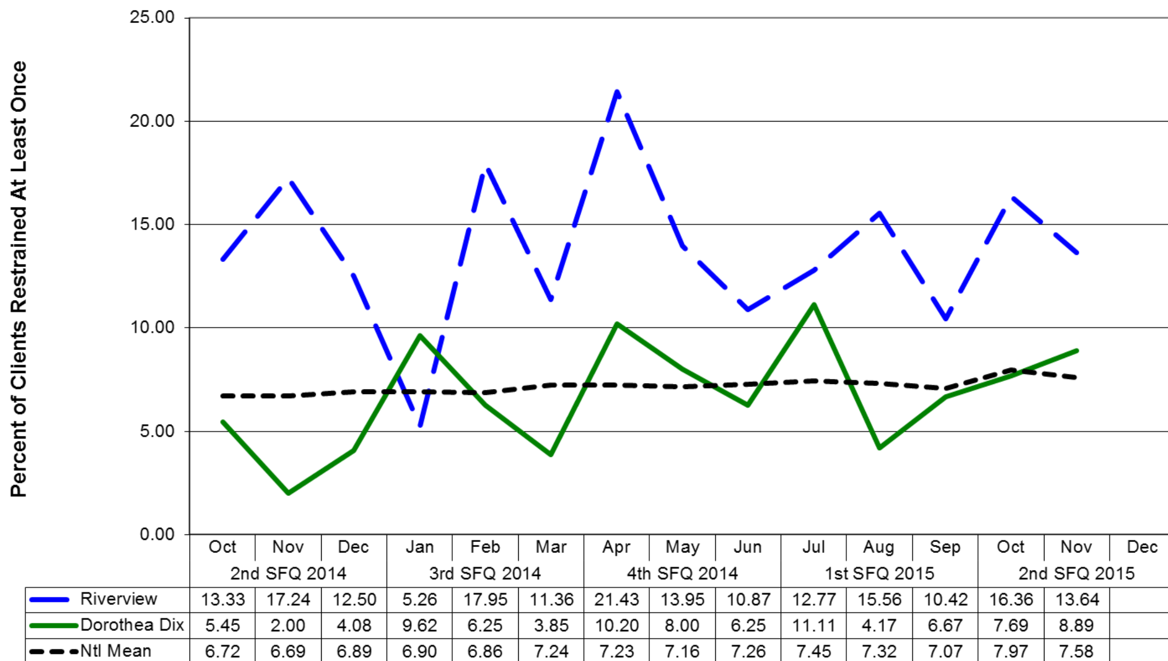
The following graphs depict the percent of unique clients who were restrained at least once stratified by forensic or civil classifications – includes all forms of restraint of any duration. For example; a rate of 4.0 means that 4% of the unique clients served were restrained at least once.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

CONSENT DECREE

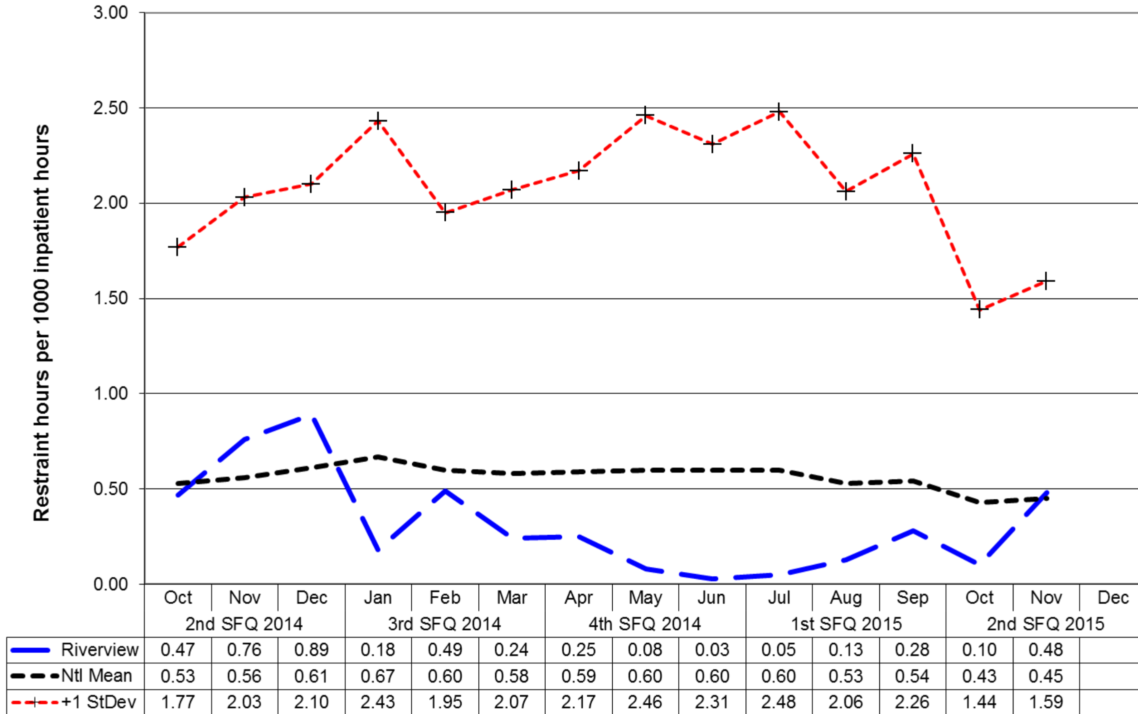


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	8.24	7.06	6.82	3.23	5.38	4.30	1.06	5.26	3.41	5.66	5.61	14.29	10.91	9.26	
Ntl Mean	4.73	4.31	4.46	4.80	4.65	4.61	4.65	4.56	4.67	4.82	4.74	4.65	4.57	4.07	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	13.33	17.24	12.50	5.26	17.95	11.36	21.43	13.95	10.87	12.77	15.56	10.42	16.36	13.64	
Dorothea Dix	5.45	2.00	4.08	9.62	6.25	3.85	10.20	8.00	6.25	11.11	4.17	6.67	7.69	8.89	
Ntl Mean	6.72	6.69	6.89	6.90	6.86	7.24	7.23	7.16	7.26	7.45	7.32	7.07	7.97	7.58	

CONSENT DECREE



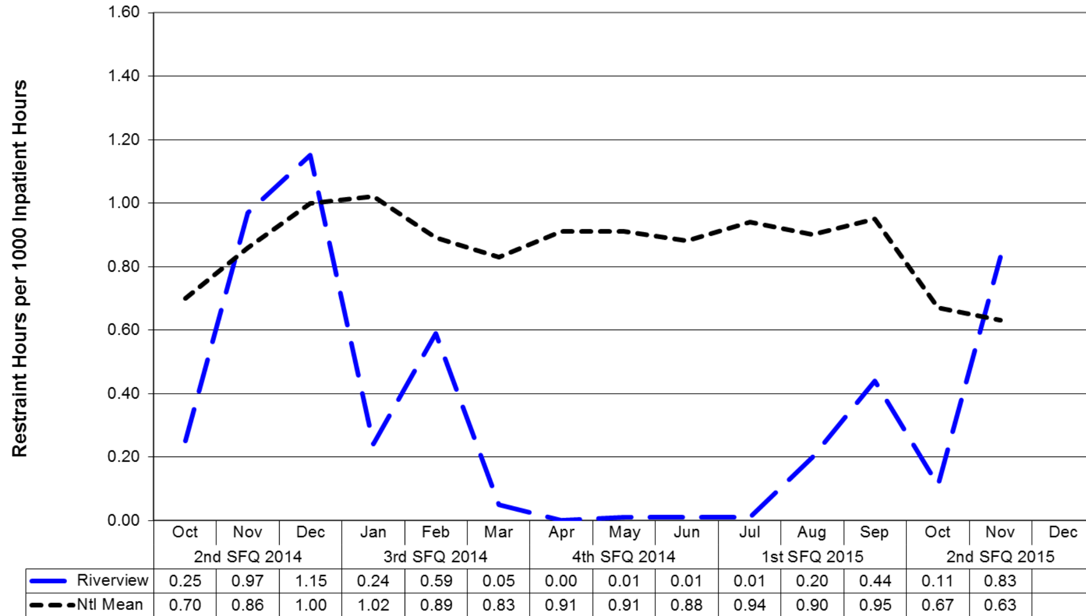
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.47	0.76	0.89	0.18	0.49	0.24	0.25	0.08	0.03	0.05	0.13	0.28	0.10	0.48	
Ntl Mean	0.53	0.56	0.61	0.67	0.60	0.58	0.59	0.60	0.60	0.60	0.53	0.54	0.43	0.45	
+1 StDev	1.77	2.03	2.10	2.43	1.95	2.07	2.17	2.46	2.31	2.48	2.06	2.26	1.44	1.59	

This graph depicts the number of hours clients spent in restraint for every 1000 inpatient hours - includes all forms of restraint of any duration. For example; a rate of 1.6 means those 2 hours were spent in restraint for each 1250 inpatient hours.

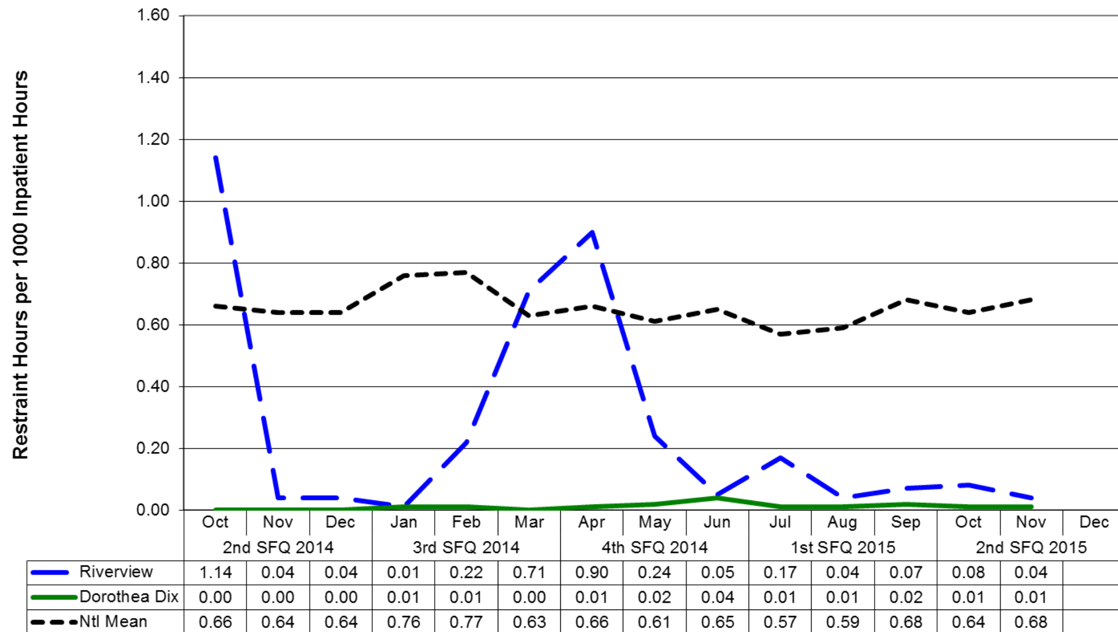
The following graphs depict the number of hours clients spent in restraint for every 1000 inpatient hours stratified by forensic or civil classifications - includes all forms of restraint of any duration. For example; a rate of 1.6 means those 2 hours were spent in restraint for each 1250 inpatient hours.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

CONSENT DECREE



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.25	0.97	1.15	0.24	0.59	0.05	0.00	0.01	0.01	0.01	0.20	0.44	0.11	0.83	
Ntl Mean	0.70	0.86	1.00	1.02	0.89	0.83	0.91	0.91	0.88	0.94	0.90	0.95	0.67	0.63	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	1.14	0.04	0.04	0.01	0.22	0.71	0.90	0.24	0.05	0.17	0.04	0.07	0.08	0.04	
Dorothea Dix	0.00	0.00	0.00	0.01	0.01	0.00	0.01	0.02	0.04	0.01	0.01	0.02	0.01	0.01	
Ntl Mean	0.66	0.64	0.64	0.76	0.77	0.63	0.66	0.61	0.65	0.57	0.59	0.68	0.64	0.68	

CONSENT DECREE

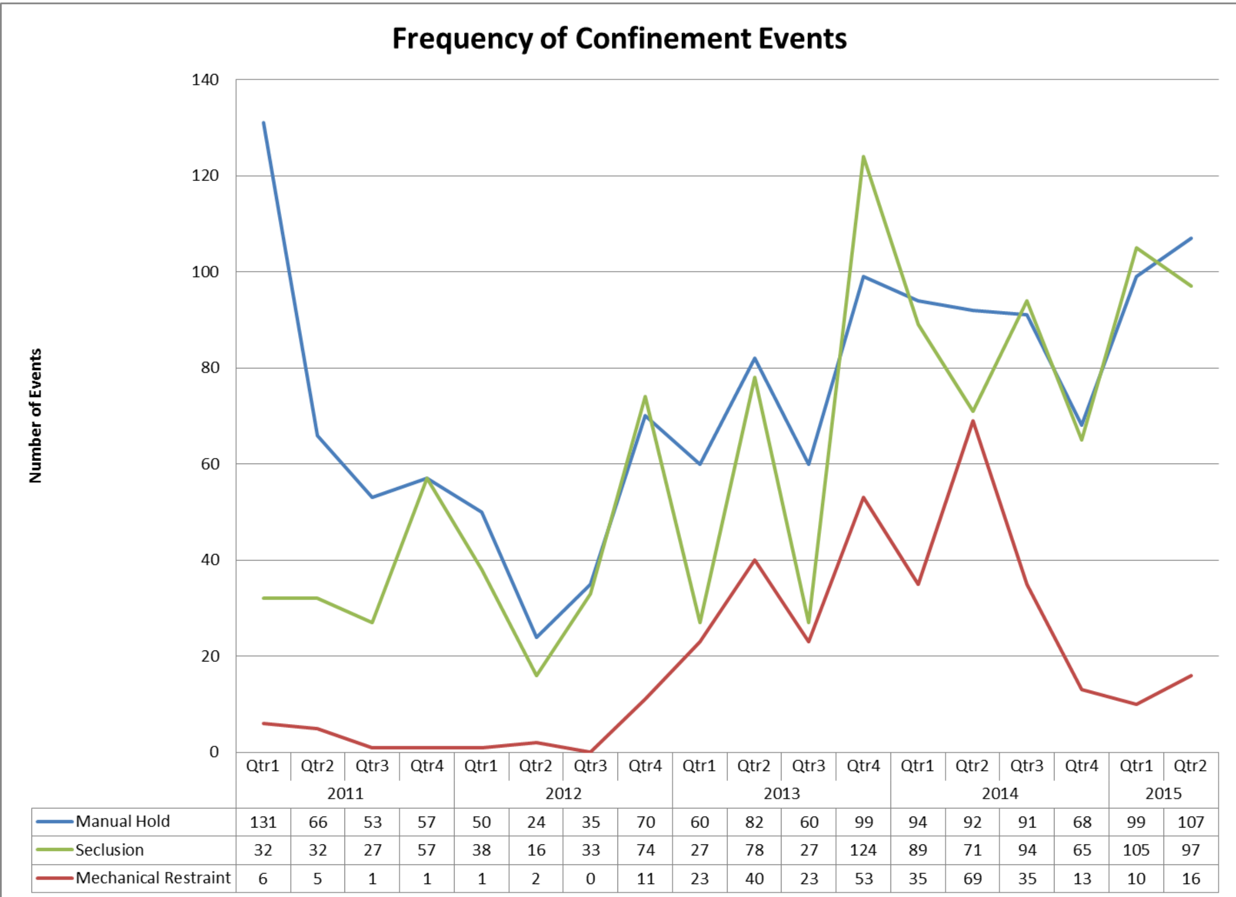
Confinement Event Detail

2nd Quarter 2015

	Manual Hold	Mechanical Restraint	Locked Seclusion	Grand Total	% of Total	Cumulative %
MR3374	18		25	43	19.55%	19.55%
MR657	18	15	2	35	15.91%	35.45%
MR5634	9		24	33	15.00%	50.45%
MR4647	11		6	17	7.73%	58.18%
MR7645	10		4	14	6.36%	64.55%
MR7607	5		6	11	5.00%	69.55%
MR2187	4		3	7	3.18%	72.73%
MR6714	4		3	7	3.18%	75.91%
MR4635	3		2	5	2.27%	78.18%
MR5199	3		1	4	1.82%	80.00%
MR698	2		2	4	1.82%	81.82%
MR7431	1		3	4	1.82%	83.64%
MR7484	2		2	4	1.82%	85.45%
MR6799	1		2	3	1.36%	86.82%
MR7375	1		2	3	1.36%	88.18%
MR7480	2		1	3	1.36%	89.55%
MR3377	1		1	2	0.91%	90.45%
MR4841	1		1	2	0.91%	91.36%
MR7363	1		1	2	0.91%	92.27%
MR7675	1		1	2	0.91%	93.18%
MR7684	1	1		2	0.91%	94.09%
MR7686	1		1	2	0.91%	95.00%
MR175	1		1	2	0.91%	95.91%
MR1416			1	1	0.45%	96.36%
MR5267			1	1	0.45%	96.82%
MR6563	1			1	0.45%	97.27%
MR6701	1			1	0.45%	97.73%
MR7409	1			1	0.45%	98.18%
MR7628	1			1	0.45%	98.64%
MR7654			1	1	0.45%	99.09%
MR7665	1			1	0.45%	99.55%
MR4	1			1	0.45%	100.00%
	107	**16**	**97**	**220**		

39% (32/83) of average hospital population experienced some form of confinement event during the 2nd fiscal quarter 2015. Five of these clients (6% of the average hospital population) accounted for 64.5% of the containment events.

CONSENT DECREE



	2011				2012				2013				2014				2015	
	Qtr1	Qtr2	Qtr3	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4	Qtr1	Qtr2
Manual Hold	131	66	53	57	50	24	35	70	60	82	60	99	94	92	91	68	99	107
Seclusion	32	32	27	57	38	16	33	74	27	78	27	124	89	71	94	65	105	97
Mechanical Restraint	6	5	1	1	1	2	0	11	23	40	23	53	35	69	35	13	10	16

CONSENT DECREE

V28) Riverview demonstrates that, based on a review of two quarters of data, for 95% of seclusion events, seclusion was employed only when absolutely necessary to protect the patient from causing physical harm to self or others or for the management of violent behavior;

Factors of Causation Related to Seclusion Events

	3Q14	4Q14	1Q15	2Q15	Total
Danger to Others/Self	92	63	17	8	**180**
Danger to Others		3	88	89	**180**
Danger to Self					**0**
% Dangerous Precipitation	100%	100%	100%	100%	**100%**
Total Events	**92**	**66**	**105**	**97**	**360**

V29) Riverview demonstrates that, based on a review of two quarters of data, for 95% of restraint events involving mechanical restraints, the restraint was used only when absolutely necessary to protect the patient from serious physical injury to self or others;

Factors of Causation Related to Mechanical Restraint Events

	3Q14	4Q14	1Q15	2Q15	Total
Danger to Others/Self	35	12	4	6	**57**
Danger to Others			4	9	**13**
Danger to Self		1	2	1	**4**
% Dangerous Precipitation	100%	100%	100%	100%	**100%**
Total Events	**35**	**13**	**10**	**16**	**74**

V30) Riverview demonstrates that, based on a review of two quarters of data, for 95% of seclusion and restraint events, the hospital achieved an acceptable rating for meeting the requirements of paragraphs 182 and 184 of the Settlement Agreement, in accordance with a methodology defined in **Attachments E-1 and E-2.**

See Pages 30 & 31

CONSENT DECREE

Confinement Events Management

Seclusion Events (97) Events

Standard	Threshold	Compliance
The record reflects that seclusion was absolutely necessary to protect the patient from causing physical harm to self or others, or if the patient was examined by a physician or physician extender prior to implementation of seclusion, to prevent further serious disruption that significantly interferes with other patients' treatment.	95%	100%
The record reflects that lesser restrictive alternatives were inappropriate or ineffective. This can be reflected anywhere in record.	90%	100%
The record reflects that the decision to place the patient in seclusion was made by a physician or physician extender.	90%	100%
The decision to place the patient in seclusion was entered in the patient's records as a medical order.	90%	100%
The record reflects that, if the physician or physician extender was not immediately available to examine the patient, the patient was placed in seclusion following an examination by a nurse.	90%	100%
The record reflects that the physician or physician extender personally evaluated the patient within 30 minutes after the patient has been placed in seclusion, and if there is a delay, the reasons for the delay.	90%	100%
The record reflects that the patient was monitored every 15 minutes. (Compliance will be deemed if the patient was monitored at least 3 times per hour.)	90%	100%
Individuals implementing seclusion have been trained in techniques and alternatives.	90%	100%
The record reflects that reasonable efforts were taken to notify guardian or designated representative as soon as possible that patient was placed in seclusion.	75%	100%

Standard	Threshold	Compliance
The medical order states time of entry of order and that number of hours in seclusion shall not exceed 4.	85%	100%
The medical order states the conditions under which the patient may be sooner released.	85%	100%
The record reflects that the need for seclusion is re-evaluated at least every 2 hours by a nurse.	90%	100%
The record reflects that the 2 hour re-evaluation was conducted while the patient was out of seclusion room unless clinically contraindicated.	70%	100%
The record includes a special check sheet that has been filled out to document reason for seclusion, description of behavior and the lesser restrictive alternatives considered.	85%	100%
The record reflects that the patient was released, unless clinically contraindicated, at least every 2 hours or as necessary for eating, drinking, bathing, toileting or special medical orders.	85%	100%
Reports of seclusion events were forwarded to medical director and advocate.	90%	100%
The record reflects that, for persons with mental retardation, the regulations governing seclusion of clients with mental retardation were met.	85%	100%
The medical order for seclusion was not entered as a PRN order.	90%	100%
Where there was a PRN order, there is evidence that physician was counseled.	95%	N/A

CONSENT DECREE

Confinement Events Management

Mechanical Restraint Events (16) Events

Standard	Threshold	Compliance
The record reflects that restraint was absolutely necessary to protect the patient from causing serious physical injury to self or others.	95%	100%
The record reflects that lesser restrictive alternatives were inappropriate or ineffective.	90%	100%
The record reflects that the decision to place the patient in restraint was made by a physician or physician extender	90%	100%
The decision to place the patient in restraint was entered in the patient's records as a medical order.	90%	100%
The record reflects that, if a physician or physician extended was not immediately available to examine the patient, the patient was placed in restraint following an examination by a nurse.	90%	100%
The record reflects that the physician or physician extender personally evaluated the patient within 30 minutes after the patient has been placed in restraint, or, if there was a delay, the reasons for the delay.	90%	100%
The record reflects that the patient was kept under constant observation during restraint.	95%	100%
Individuals implementing restraint have been trained in techniques and alternatives.	90%	100%
The record reflects that reasonable efforts taken to notify guardian or designated representative as soon as possible that patient was placed in restraint.	75%	100%
The medical order states time of entry of order and that number of hours shall not exceed four.	90%	100%
The medical order shall state the conditions under which the patient may be sooner released.	85%	100%

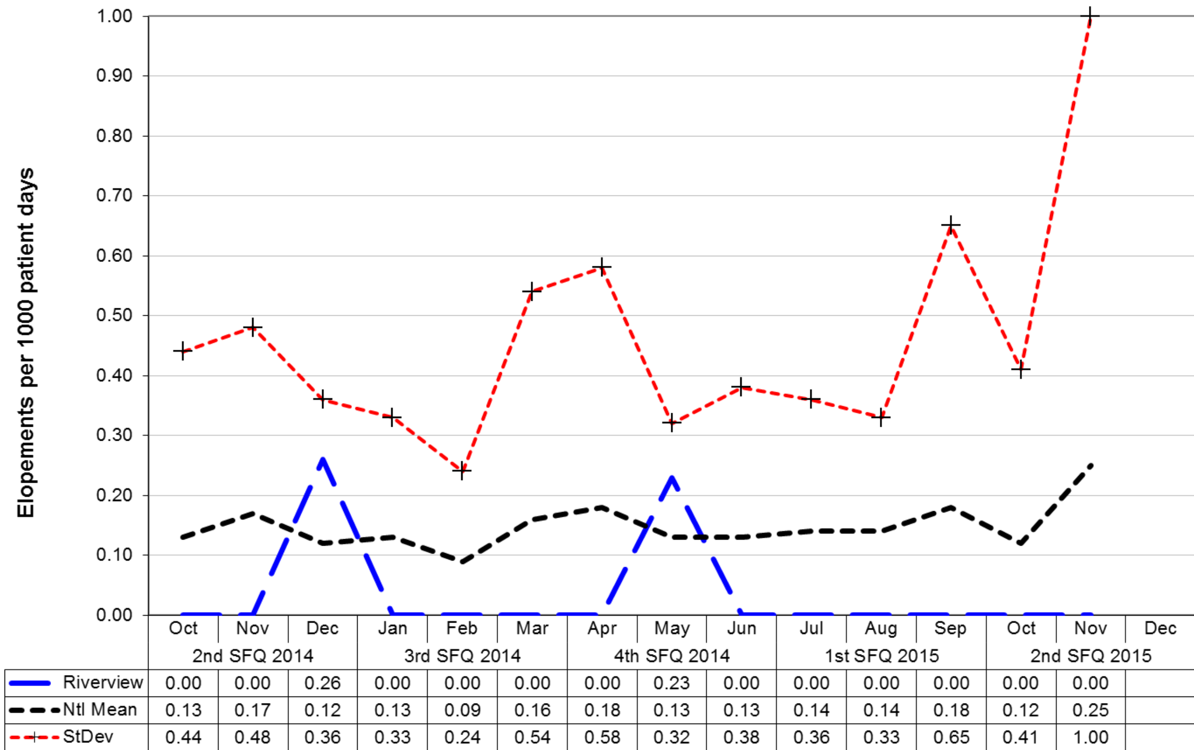
Standard	Threshold	Compliance
The record reflects that the need for restraint was re-evaluated every 2 hours by a nurse.	90%	100%
The record reflects that re-evaluation was conducted while the patient was free of restraints unless clinically contraindicated.	70%	100%
The record includes a special check sheet that has been filled out to document the reason for the restraint, description of behavior and the lesser restrictive alternatives considered.	85%	100%
The record reflects that the patient was released as necessary for eating, drinking, bathing, toileting or special medical orders.	90%	100%
The record reflects that the patient's extremities were released sequentially, with one released at least every fifteen minutes.	90%	100%
Copies of events were forwarded to medical director and advocate.	90%	100%
For persons with mental retardation, the applicable regulations were met.	85%	100%
The record reflects that the order was not entered as a PRN order.	90%	100%
Where there was a PRN order, there is evidence that physician was counseled.	95%	N/A
A restraint event that exceeds 24 hours will be reviewed against the following requirement: If total consecutive hours in restraint, with renewals, exceeded 24 hours, the record reflects that the patient was medically assessed and treated for any injuries; that the order extending restraint beyond 24 hours was entered by Medical Director (or if the Medical Director is out of the hospital, by the individual acting in the Medical Director's stead) following examination of the patient; and that the patient's guardian or representative has been notified.	90%	100%

(Glossary of Terms, Acronyms & Abbreviations)
(Back to Table of Contents)

CONSENT DECREE

Client Elopements

V31) Quarterly performance data shows that, in 5 out of 6 quarters, the number of client elopements does not exceed one standard deviation from the national mean as reported by NASMHPD.



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.26	0.00	0.00	0.00	0.00	0.23	0.00	0.00	0.00	0.00	0.00	0.00	
Ntl Mean	0.13	0.17	0.12	0.13	0.09	0.16	0.18	0.13	0.13	0.14	0.14	0.18	0.12	0.25	
StDev	0.44	0.48	0.36	0.33	0.24	0.54	0.58	0.32	0.38	0.36	0.33	0.65	0.41	1.00	

This graph depicts the number of elopements that occurred for every 1000 inpatient days. For example, a rate of 0.25 means that 1 elopement occurred for each 4000 inpatient days.

An elopement is defined as any time a client is “absent from a location defined by the client’s privilege status regardless of the client’s leave or legal status.”

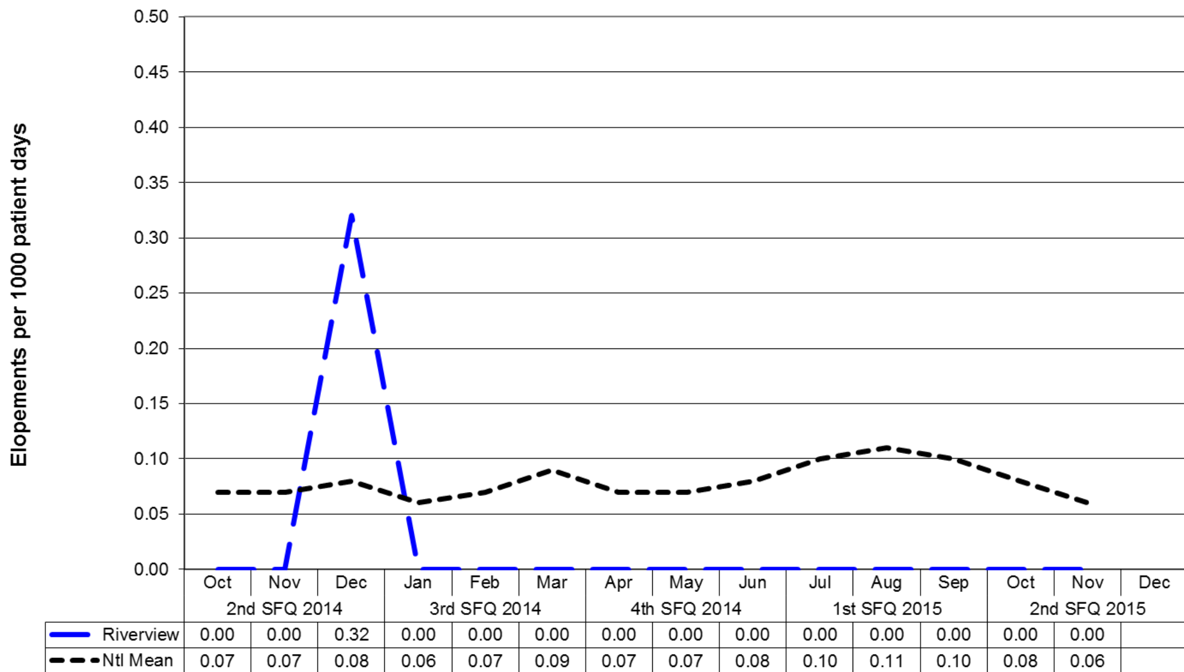
The following graphs depict the number of elopements stratified by forensic or civil classifications that occurred for every 1000 inpatient days. For example, a rate of 0.25 means that 1 elopement occurred for each 4000 inpatient days.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

CONSENT DECREE

Elopement

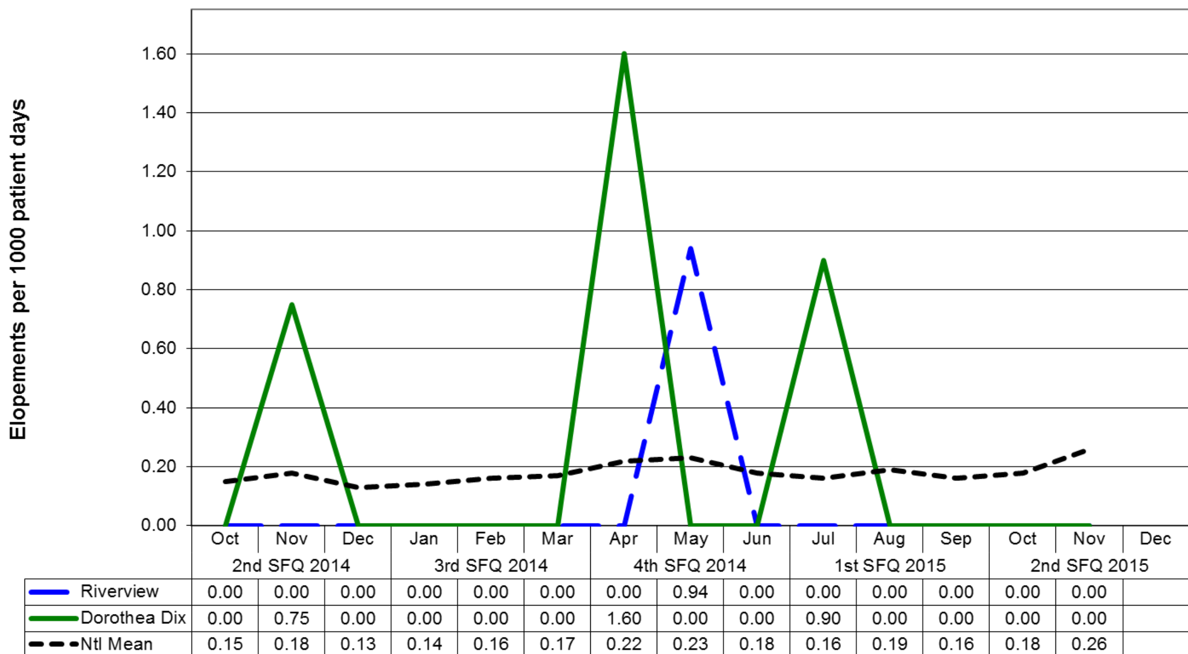
Forensic Stratification



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.32	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Ntl Mean	0.07	0.07	0.08	0.06	0.07	0.09	0.07	0.07	0.08	0.10	0.11	0.10	0.08	0.06	

Elopement

Civil Stratification



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.94	0.00	0.00	0.00	0.00	0.00	0.00	
Dorothea Dix	0.00	0.75	0.00	0.00	0.00	0.00	1.60	0.00	0.00	0.90	0.00	0.00	0.00	0.00	
Ntl Mean	0.15	0.18	0.13	0.14	0.16	0.17	0.22	0.23	0.18	0.16	0.19	0.16	0.18	0.26	

Client Injuries

V32) Quarterly performance data shows that, in 5 out of 6 quarters, the number of client injuries does not exceed one standard deviation from the national mean as reported by NASMHPD.

The NASMHPD standards for measuring client injuries differentiate between injuries that are considered reportable to the Joint Commission as a performance measure and those injuries that are of a less severe nature. While all injuries are currently reported internally, only certain types of injuries are documented and reported to NRI for inclusion in the performance measure analysis process.

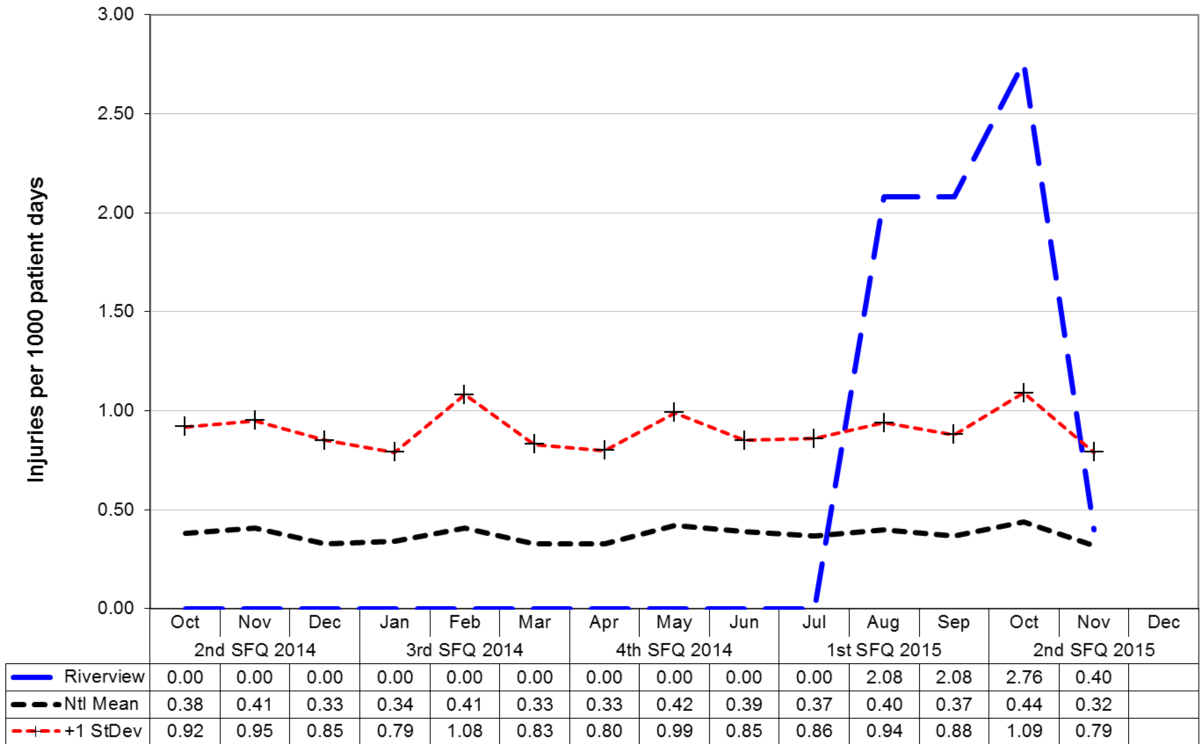
"Non-reportable" injuries include those that require: 1) No Treatment, or 2) Minor First Aid

Reportable injuries include those that require: 3) Medical Intervention, 4) Hospitalization or where, 5) Death Occurred.

- No Treatment – The injury received by a client may be examined by a clinician but no treatment is applied to the injury.
- Minor First Aid – The injury received is of minor severity and requires the administration of minor first aid.
- Medical Intervention Needed – The injury received is severe enough to require the treatment of the client by a licensed practitioner, but does not require hospitalization.
- Hospitalization Required – The injury is so severe that it requires medical intervention and treatment as well as care of the injured client at a general acute care medical ward within the facility or at a general acute care hospital outside the facility.
- Death Occurred – The injury received was so severe that if resulted in, or complications of the injury lead to, the termination of the life of the injured client.

The comparative statistics graph only includes those events that are considered "Reportable" by NASMHPD.

CONSENT DECREE



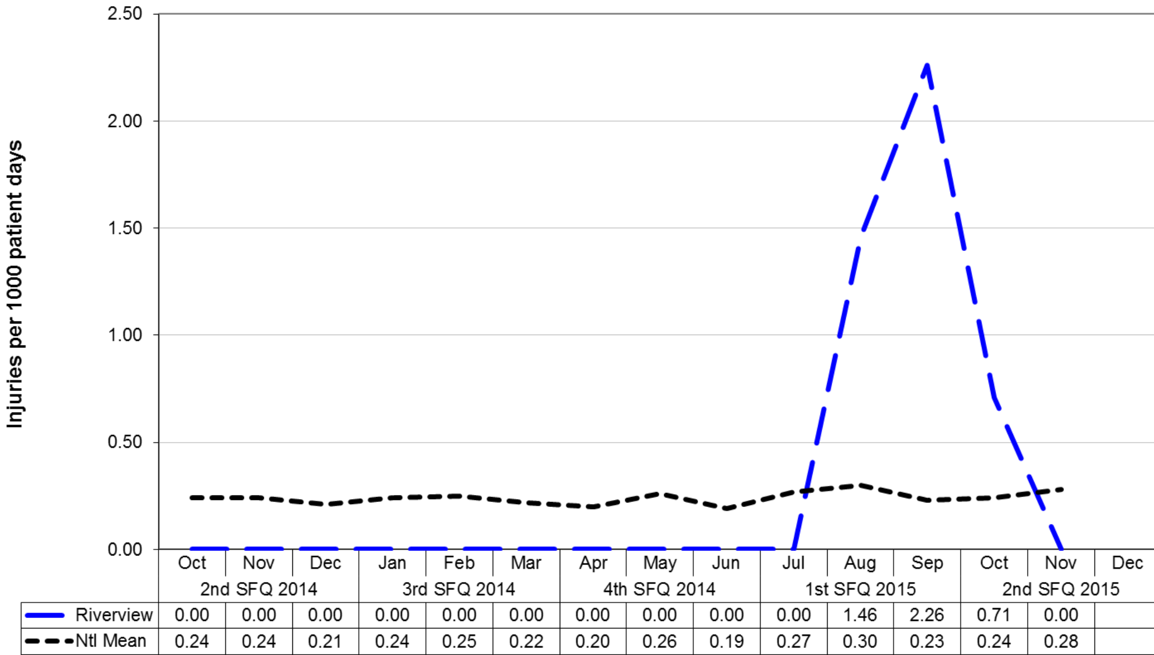
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.08	2.08	2.76	0.40	
Ntl Mean	0.38	0.41	0.33	0.34	0.41	0.33	0.33	0.42	0.39	0.37	0.40	0.37	0.44	0.32	
+1 StDev	0.92	0.95	0.85	0.79	1.08	0.83	0.80	0.99	0.85	0.86	0.94	0.88	1.09	0.79	

This graph depicts the number of client injury events that occurred for every 1000 inpatient days. For example, a rate of 0.5 means that 1 injury occurred for each 2000 inpatient days.

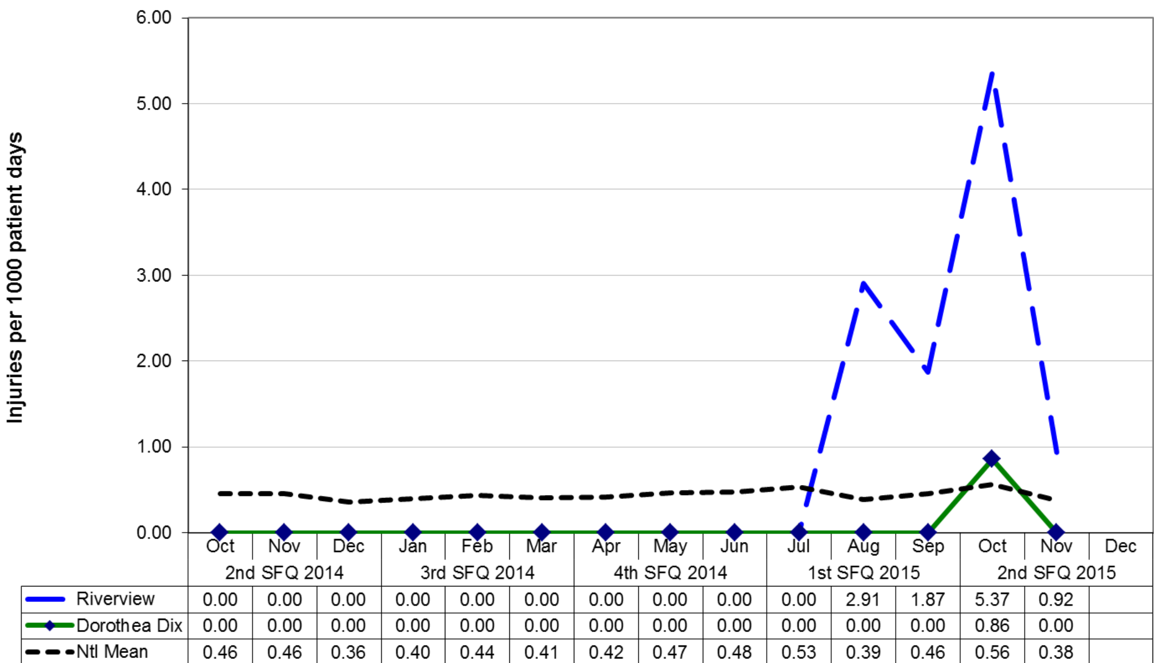
The following graphs depict the number of client injury events stratified by forensic or civil classifications that occurred for every 1000 inpatient days. For example, a rate of 0.5 means that 1 injury occurred for each 2000 inpatient days.

The hospital-wide results from the Dorothea Dix facility are compared to the civil population results at the Riverview facility due to the homogeneous nature of these two sample groups.

CONSENT DECREE



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.46	2.26	0.71	0.00	
Ntl Mean	0.24	0.24	0.21	0.24	0.25	0.22	0.20	0.26	0.19	0.27	0.30	0.23	0.24	0.28	



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.91	1.87	5.37	0.92	
Dorothea Dix	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.86	0.00	
Ntl Mean	0.46	0.46	0.36	0.40	0.44	0.41	0.42	0.47	0.48	0.53	0.39	0.46	0.56	0.38	

CONSENT DECREE

Severity of Injury by Month

Severity	OCT	NOV	DEC	2Q2015
No Treatment	5	5	4	**14**
Minor First Aid	3	4	2	**9**
Medical Intervention Required		1	4	**5**
Hospitalization Required				
Death Occurred				
Total	**8**	**10**	**10**	**28**

Type and Cause of Injury by Month

Type - Cause	OCT	NOV	DEC	2Q2015
Accident – Equipment Use	1	1		**2**
Accident – Environmental				
Accident – Fall Unwitnessed	1	1	3	**5**
Accident – Fall Witnessed		2	2	**4**
Accident – Other	4		2	**6**
Medical		1	1	**2**
Self-Injurious Behavior	2	5	2	**9**
Unknown				
Total	**8**	**10**	**10**	**28**

Note: Previous quarterly report numbers may have been higher as they included data on incidents as well as injuries. This report has been modified to only include injuries. Per NASMHPD, injuries occur when harm or damage is done.

Changes in reporting standards related to “criminal” events as defined by the “State of Maine Rules for Reporting Sentinel Events”, effective February 1, 2013 as defined the by “National Quality Forum 2011 List of Serious Reportable Events” the number of reportable “assaults” that occur as the result of client interactions increased significantly. This change is due primarily as a result of the methods and rules related to data collection and abstraction.

Falls continues to be the predominant cause of potentially injurious events not related to the assaults discussed previously. Fall incidents remain a focus of the hospital. None of the fall incidents required treatment of any kind but are address as to causation during the Falls Process Review Team Meeting held each month.

Further information on Fall Reduction Strategies can be found under the Joint Commission Priority Focus Areas section of this report.

CONSENT DECREE

Patient Abuse, Neglect, Exploitation, Injury or Death

V33) Riverview certifies that it is reporting and responding to instances of patient abuse, neglect, exploitation, injury or death consistent with the requirements of ¶¶ 192-201 of the Settlement Agreement.

Type of Allegation	3Q2014	4Q2014	1Q2015	2Q2015
Abuse Physical	6	7	8	10
Abuse Sexual	6	14	5	17
Abuse Verbal	4	2	4	4
Coercion/Exploitation	1		3	7
Neglect	1		1	1
Total23	**18**	**23**	**21**	**39**

Note: Previous data has been adjusted as we removed allegations of patient abuse, neglect, and exploitation that did not occur within the hospital and/or were not against hospital staff or patients

Riverview utilizes several vehicles to communicate concerns or allegations related to abuse, neglect or exploitation.

1. Staff members complete an incident report upon becoming aware of an incident or an allegation of any form of abuse, neglect, or exploitation.
2. Clients have the option to complete a grievance or communicate allegations of abuse, neglect, or exploitation during any interaction with staff at all levels, peer support personnel, or the client advocates.
3. Any allegation of abuse, neglect, or exploitation is reported both internally and externally to appropriate stakeholders, include:
    - Superintendent and/or AOC
    - Adult Protective Services
    - Guardian
    - Client Advocate
4. Allegations are reported to the Risk Manager through the incident reporting system and fact-finding or investigations occur at multiple levels. The purpose of this investigation is to evaluate the event to determine if the allegations can be substantiated or not and to refer the incident to the client's treatment team, hospital administration, or outside entities.
5. When appropriate to the allegation and circumstances, investigations involving law enforcement, family members, or human resources may be conducted.
6. The Human Rights Committee, a group consisting of consumers, family members, providers, and interested community members, and the Medical Executive Committee receive a report on the incidence of alleged abuse, neglect, and exploitation monthly.

CONSENT DECREE

Performance Improvement and Quality Assurance

V34) Riverview maintains Joint Commission accreditation;

Riverview successfully completed an accreditation survey with The Joint Commission on November 11-13, 2013. The Joint Commission conducted an unannounced visit on July 28-29, 2014. The hospital maintains its accreditation with the Joint Commission. The hospital will conduct a required annual self-assessment in October 2014. A triennial accreditation survey is expected to occur in November 2016 or earlier.

The hospital has 9 Measures of Success that are being monitored for the Joint Commission.

V35) Riverview maintains its hospital license;

Riverview maintains licensing status as required through the Maine Department of Health and Human Services Division of Licensing and Regulatory Services.

V36) The hospital seeks CMS certification;

The hospital was terminated from the Medicare Provider Agreement on September 2, 2013 for failing to show evidence of substantial compliance in eight areas by August 27, 2013. The hospital reapplied for certification in December 2013 and a 3 day site visit was conducted in May 2014. CMS found the hospital out of substantial compliance in one area and the hospital was denied certification. In July 2014, a Performance Improvement Team was appointed to address Treatment Planning which was the one area of substantial non-compliance. Also, in July, the hospital applied for another certification visit.

V37) Riverview conducts quarterly monitoring of performance indicators in key areas of hospital administration, in accordance with the Consent Decree Plan, the accreditation standards of the Joint Commission, and according to a QAPI plan reviewed and approved by the Advisory Board each biennium, and demonstrates through quarterly reports that management uses that data to improve institutional performance, prioritize resources and evaluate strategic operations.

Riverview complies with this element of substantial compliance as evidenced by the current Integrated Plan for Performance Excellence, the data and reports presented in this document, the work of the Integrated Performance Excellence Committee and sub-groups of this committee that are engaged in a transition to an improvement orientated methodology that is support by the Joint Commission and is consistent with modern principles of process management and strategic methods of promoting organizational performance excellence. The Advisory Board approved the Integrated Plan for Performance Excellence in August 2014 including Maine Division of Licensing and Regulatory Services required language that the hospital will comply with all federal and state hospital Conditions of Participation.

CONSENT DECREE

Maine Department of Licensing and Regulatory Services

Riverview Psychiatric Center's was provided an annual conditional license November 1, 2015. Below are the additional requirements required under the current license.

Conditional License Requirements
Status Update
January 2015

The hospital shall promote and ensure patients' rights in accordance with the Regulations, including the Rights of Recipients of Mental Health Services, and the Conditions of Participation for Hospitals.	The hospital follows the Rights of Recipients of Mental Health Services and the Conditions of Participation for Hospitals to ensure patients' rights. These standards are included in the employee training.
The hospital shall ensure that patients are free from abuse, including neglect, in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital has a policy on Patient Abuse, Neglect and Exploitation that is consistent with the Conditions of Participation for Hospitals. Any suspected cases are reported to Adult Protective Services as required by statute. Internal investigations are conducted and Risk Management staff cooperate with any external investigators.
The hospital shall provide a safe environment for all patients in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital maintains a safe environment by performing Environmental Rounds and Risk Assessments throughout the hospital.
The hospital shall ensure adequate nursing staff to meet the needs of patients, including adequate staff to provide the nursing care necessary under the patients' active treatment programs and intervene in the case of patients in crises, in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital continues to meet the minimum staffing ratio for nurses as required by the Consent Decree to ensure appropriate patient care. In the Fall of 2014, the Nurse IV Supervisor positions were filled on all four units. Additional nursing positions have been requested in the FY15 Supplemental Budget and in the biennial budget.
The hospital shall ensure that all effective, ongoing, hospital wide, data-driven quality assessment and performance improvement program has been developed in accordance with the Regulations and the Conditions for Participation for Hospitals.	The hospital's QAPI program includes monthly meetings of the IPEC Committee to review quality assurance and performance improvement indicators.
The hospital shall ensure that the Medical Staff actively participate in the development on an effective, ongoing hospital wide, data driven quality assessment and performance improvement program, in accordance with the Regulations and Conditions of Participation.	The Clinical Director worked with medical staff to develop a medical Quality Assurance and Performance Improvement plan. The results of the quality measures are reported at the monthly Integrated Performance Excellence Committee.

CONSENT DECREE

The hospital shall ensure that the facility is arranged and maintained in accordance with Life Safety Code requirements in accordance with the Regulations and the Conditions of Participation of Hospitals.	The hospital is arranged and maintained in accordance with the Life Safety Code requirements.
The hospital shall ensure that the least restrictive intervention which is effective will be utilized in cases of restraint or seclusion in accordance with the Regulations and the Conditions of Participation for Hospitals.	Policy and procedures require that least restrictive means are used to deescalate events. Documentation of the de-escalation techniques are recorded in the patient's medical record for all seclusion and restraint events.
The hospital shall ensure that all medical records are accurately written, promptly completed, properly filed and retained, and accessible in accordance with Regulation and the Conditions of Participation for Hospitals.	Medical records are audited and completion deadlines are established that meet regulations and the Conditions of Participation for hospitals. The legal health record is defined per hospital policy.
The hospital shall ensure that each patient has an individual comprehensive treatment plan, including the specific treatment modalities utilized, the responsibilities of each member of the treatment team and the documentation of all active therapeutic efforts, in accordance with the Regulations and the Conditions of Participation for Hospitals.	Each patient has a comprehensive treatment plan consistent with regulations from The Joint Commission and CMS. In 2014, the treatment plan process was redesigned based on regulatory requirements. A Performance Improvement Team worked to develop the new process. Bi-weekly audits were conducted to monitor progress. A DLRS license visit found the treatment plans to be compliant with regulatory standards.
The hospital shall assure that the Medical Director is responsible to monitor and evaluate the quality and appropriateness of the services and treatment provided by the medical staff in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Medical Director worked with the medical staff to develop quality performance measures. DLRS has reviewed the medical quality plan during their licensure visits and found the plan to be compliant.
The hospital shall assure that the Director of Nursing services demonstrates competence to direct, monitor, and evaluate the nursing care furnished to patients in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Director of Nursing oversees all nursing, acuity specialist and mental health worker staff in the hospital. The Director is enrolled in an Executive Leadership program to enhance his leadership skills. He is a clinical leader in the hospital to ensure compliance with the Conditions of Participation.
The hospital shall assure that the Director of Social Services is responsible to monitor and evaluate the quality and appropriateness of the social services furnished in accordance with the Regulations and the Conditions of Participations for Hospitals.	The Director of Social Services supervises staff to provide essential services to all patients in the hospital. Evaluation and assessment of patient needs are provided by the social services staff. Social Services staff coordinate patient discharge planning.
The hospital shall ensure that an effective, ongoing, hospital wide, data driven quality assessment and performance improvement program has been implemented in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Quality Assurance Performance Improvement program is managed by the Integrated Quality and Improvement program of the hospital. The hospital's FY2015 Quality Improvement plan was approved by the Advisory Board.

CONSENT DECREE

The hospital shall ensure that the Medical Staff is responsible for the quality of medical care provided to patients in accordance with Regulations and the Conditions of Participation for Hospitals.	The Medical Director works with the medical staff to ensure compliance with all Conditions of Participation. The medical staff quality improvement plan is used to measure compliance with regulatory standards.
The hospital shall ensure that the performance improvement activities track medical errors and adverse patient events, analyze their causes and implement preventive actions, and mechanisms that include feedback and learning throughout the hospital in accordance with the Regulations and the Conditions of Participation for Hospitals.	Adverse medical errors and adverse medical events are measured on an ongoing basis. The quality improvement plan is reviewed monthly and data is analyzed and reported to both the medical staff and the Integrated Performance Excellence Committee.
The hospital shall ensure that the Medical Staff actively participate in the implementation of an effective ongoing, hospital wide, data driven quality assessment and performance improvement program in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Medical Director is an active member of the Integrated Performance Excellence Committee which oversees quality improvement activities in the hospital.
The Governing Board shall ensure patients' rights continue to be promoted in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital has a robust system for identifying and reporting suspected patients' rights violations. All suspected violations are investigated and actions are taken when findings are substantiated.
The Governing Board shall ensure that the hospital is operated in compliance with the hospital's policies and procedures in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Advisory Board by-laws provide oversight of compliance with all regulations and Conditions of Participation.
The hospital shall maintain adequate numbers of qualified staff to evaluate patients, formulate treatment plans, provide active treatment, and engage in discharge planning, in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital constantly evaluates staffing needs for the hospital. The hospital is moving toward unit based staffing. The Governor's budget includes an expansion of staffing in nursing, mental health, acuity specialists, and quality improvement.
The Governing Board shall ensure that the Medical Staff perform ongoing case review in accordance with the Regulations and the Conditions of Participation for Hospitals.	The medical staff have representation on the Advisory Board. The Advisory Board provides oversight to all operations in the hospital.
The Governing Board shall ensure that the quality assurance and performance improvement programs actively tracks medical errors and adverse patient events, analyzes their causes, and implements preventative actions and mechanisms that include feedback and learning throughout the hospital in a timely fashion in accordance with the Conditions of Participation of Hospitals.	The hospital's Quarterly Report provides information on all quality indicators and is provided to the Advisory Board. The report is in alignment with the hospital's quality improvement plan which the board approves.

CONSENT DECREE

The hospital shall ensure that medical records permit determination of the degree and intensity of the treatment provided to patients in accordance with Regulations and the Conditions of Participation for Hospitals.	Medical record audits are an ongoing process at the hospital to ensure compliance with regulations. Treatment Team Coordinators and Ward Clerks audit charts on the unit and the Medical Records staff audit charts upon discharge.
The hospital shall ensure that an effective, ongoing, hospital wide, data driven quality assessment and performance improvement program has been maintained in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital's quality improvement plan, approved by the Advisory Board, has been reviewed by DLRS.
The hospital shall ensure that the Medical Staff actively participates in the maintenance of an effective, ongoing, hospital wide, data driven quality assessment and performance improvement program in accordance with the Regulations and the Conditions of Participation for Hospitals.	The Medical Director is a member of the hospital's Integrated Quality Excellence Performance committee which oversees all quality improvement measures at the hospital. The medical staff quality improvement plan is in alignment with the hospital's plan and the results are reported at the IPEC meetings.
The hospital shall ensure that the condition of the physical plan and the overall hospital environment is developed and maintained in a manner to assure the safety and well being of patients in accordance with the Regulations and the Conditions of Participation for Hospitals.	The hospital's physical plant is maintained to federal and state requirements to assure the safety and the well being of patients.
The hospital shall ensure that the facilities, supplies and equipment are maintained to ensure an acceptable level of safety and quality in accordance with the Regulations and the Conditions of Participation for Hospitals.	All supplies and equipment are maintained in accordance with federal and state regulations for hospitals. Records are maintained in the Support Services' Director's Office.
The monitoring of the required tasks shall be included in the facility's quality assurance and performance improvement program and made available to the Department upon request.	Departments report compliance with performance measures at the monthly IPEC meeting. Meeting records and reports are made available at all licensure visits. CY15 performance improvement indicators and quality assurance measures are currently being developed and will be included in the CY15 plan.

Continued on next page

CONSENT DECREE

The hospital shall ensure that patients are free from abuse, including neglect, in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital will create and maintain a formal, documented, and proactive approach to identify events and occurrences that may contribute to abuse and neglect. During orientation and through an ongoing training program, the hospital will provide all employees with information regarding abuse and neglect, and related reporting requirements, including prevention, intervention, and detection. The hospital will ensure, in a timely and thorough manner, objective investigations of all allegations of abuse, neglect, or mistreatment. The hospital shall ensure that any incidents of abuse, neglect, or mistreatment are reported and analyzed, and the appropriate corrective action occurs.	The hospital has a policy on protecting patients from abuse and neglect. It is maintained with all hospital polices. The hospital continues to use an Incident Reporting System. All incident reports are reviewed daily. Fact findings and investigations are conducted on suspected cases of abuse or neglect. All incidents of suspected abuse and neglect are reported to APS. In December 2014, the hospital commenced using the APS online reporting system for suspected cases of abuse and neglect. All staff have been trained on the system. Employees receive training on Client/Patient rights, Abuse, Neglect, Mistreatment and associated reporting requirements including prevention, intervention and detection during New Employee Orientation. Mental Health Workers and Nurses receive enhanced training during an extended new employee orientation period. All employees receive client/patient rights, Abuse, Neglect, Mistreatment training annually
The hospital shall ensure that restraint or seclusion may only be imposed to ensure the immediate physical safety of a patient, a staff member, or others and must be discontinued at the earliest possible time in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure the decision to use restraint or seclusion is driven by a documented and comprehensive individual patient assessment. The hospital shall ensure that once the unsafe situation ends, the use of restraint or seclusion is discontinued at the earliest possible time. The hospital shall monitor the utilization of restraint and seclusion. The hospital shall ensure that weapons (including pepper spray and Tasers) are not utilized in the application of healthcare restraint or seclusion.	The hospital policy on restraint and seclusion states that they may only be used to ensure the immediate physical safety of patients, staff, and others. Restraints and seclusions are used only when other de-escalation techniques have failed. Restraints and seclusion, by policy and practice, are ended at the earliest possible time. The Incident Reporting form used by the hospital requires staff to document the times used for any seclusion and restraint. All seclusion restraint events are documented on Incident Report forms. These are reviewed on a daily basis and follow-up is initiated as required. The hospital maintains a data base of all seclusion and restraint events; these are analyzed and reported in the quarterly report. The hospital staff will not use nor will they give permission to use weapons, including pepper spray and Tasers, in application of healthcare restraint or seclusion.

CONSENT DECREE

The hospital shall ensure that a registered nurse supervises and evaluates the nursing care for each patient, in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure that the nursing care for each patient is evaluated on admission and on an ongoing basis in accordance with accepted standards of nursing practice and hospital policies.	Buck Pushard, Director of Nursing, supervises and evaluates the nursing care for patients. All patients receive an assessment at admission and on an ongoing basis as required by standards of practice and in accordance with policies.
The hospital shall ensure that the least restrictive intervention which is effective will be utilized in cases of restraint or seclusion in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure that less restrictive interventions have been determined by staff to be ineffective to protect the patient or others from harm prior to the introduction of more restrictive measures.	Hospital policy on seclusion and restraint require the use of least restrictive means for patient intervention. Documentation is required that least restrictive means are used and are ineffective before more restrictive means are implemented. Incident reports are reviewed on a daily basis for seclusion/restraint events for required documentation on use of least restrictive means.
The hospital shall ensure that orders for restraint or seclusion are never written as a standing order, or on an as needed basis, in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure that the ongoing authorization of restraint or seclusion is not permitted.	By hospital policy, restraint and seclusion orders are never written as a standing order or PRN. Each incident of restraint or seclusion requires a separate order. Medical Staff have been trained on this policy. Charts are audited on a monthly basis to ensured compliance.
The hospital shall ensure that all medical records are accurately written, in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure that all medical records accurately and completely document all orders, test results, evaluations, care plans, treatments, interventions, care provided, and the patient's response to those treatments, interventions, and care.	Treatment team coordinators and ward clerks audit the open records daily to ensure completeness of each chart. The director of medical records conducts closed chart audits on 100% of discharges each month. The outcomes of the closed chart audits are reported to the Clinical Director, IQI, as well as the Superintendent. Trends are identified and corrective action plans developed, as necessary.
The hospital shall ensure that the Medical Staff is responsible for the quality of medical care provided to patients in accordance with the Regulations and the Conditions of Participation for Hospitals, and that the Governing Body has a sufficient method for ensuring the delivery of quality medical care. This will include all patients regardless of their location.	The Medical Staff by-laws state that the medical staff is responsible for the quality and medical care provided to patients. The hospital meets staffing standards set by the Conditions of Participation and the Consent Decree.

CONSENT DECREE

The hospital shall ensure that performance improvement activities track medical errors and adverse patient events, analyze their causes, and implement preventative actions and mechanisms that include feedback and learning throughout the hospital in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital shall ensure that the event analysis includes what happened, why it happened, and what can be done to prevent recurrence. The hospital shall ensure that an action plan is developed to include a specific plan for corrective action which incorporates evidence-based practice, responsibility for implementation, dates for completion, and ongoing monitoring of the implemented corrective actions.	All medical errors and adverse events are tracked and analyzed. Dr. Kirby, Clinical Director, reviews all errors and reports them to medical staff. The hospital uses The Joint Commission model for root cause analyses for adverse events at the hospital. Results from any root cause analyses are reported to the Executive Leadership Committee and Medical Leadership at the hospital. Action plans are developed, implemented and reviewed for compliance.
The Governing Body shall ensure that the hospital is operated in compliance with the hospital's policies and procedures in accordance with the Regulations and the Conditions of Participation for Hospitals. The hospital will ensure effective policy management through an enterprise-level process.	The Governing Board was trained in April 2014 on the High Reliability framework for Healthcare Institutions. This Joint Commission framework is being implemented throughout the hospital for quality improvement. Leadership has been trained and High Reliability is included in every employee orientation. The hospital's QAPI plan was approved by the Advisory Board at their August 2014 meeting.
The monitoring of the requirements of the Conditional License shall be included in the facility's quality assurance and performance improvement program and made available to the Department upon request.	The results of the Conditional License are reported at the IPEC meetings and are included in the performance improvement plan. Progress in meeting the standards will be reviewed at each meeting.
Subject to the Department's approval, the hospital shall obtain the services of a qualified consultant as described further herein. During the remainder of this amended Conditional License, the hospital shall consult with the qualified consultant to: Monitor the hospital to determine compliance with the amended Conditional License, Rules and applicable laws. Each month, the qualified consultant shall submit a written report to the Department, which contains detailed information about the conditions described herein, any recommendations or suggestions submitted to the hospital, and progress notes on the hospital's compliance with the Regulations and the Conditions of Participation; and Provide routine consultation and guidance to promote lasting culture change, to develop and maintain an organizational culture which advocates safety, quality, patient rights, and the Rights of Recipients of Mental Health Services.	The hospital has a contract with Dartmouth Medical School to provide consultation and guidance. Drs. Paul Gorman and Will Torrey have visited the hospital and produced an initial report of findings. The Department has a contract with Holly Harmon, R.N., to provide technical assistance to the hospital on quality improvement. The contract expires in January 2015 and the hospital will seek another qualified consultant.

JOINT COMMISSION

Hospital-Based Inpatient Psychiatric Services (ORYX Data Elements)

The Joint Commission Quality Initiatives

In 1987, The Joint Commission announced its *Agenda for Change,* which outlined a series of major steps designed to modernize the accreditation process. A key component of the *Agenda for Change* was the eventual introduction of standardized core performance measures into the accreditation process. As the vision to integrate performance measurement into accreditation became more focused, the name ORYX® was chosen for the entire initiative. The ORYX initi

data to The Joint Commission on behalf of accredited hospitals and long term care organizations. Since that time, home care and behavioral healthcare organizations have been included in the ORYX initiative.

The initial phase of the ORYX initiative provided healthcare organizations a great degree of flexibility, offering greater than 100 measurement systems capable of meeting an accredited organization's internal measurement goals and the Joint Commission's ORYX requirements. This flexibility, however, also presented certain challenges. The most significant challenge was the lack of standardization of measure specifications across systems. Although many ORYX measures appeared to be similar, valid comparisons could only be made between healthcare organizations using the same measures that were designed and collected based on standard specifications. The availability of over 8,000 disparate ORYX measures also limited the size of some comparison groups and hindered statistically valid data analyses. To address these challenges, standardized sets of valid, reliable, and evidence-based quality measures have been implemented by The Joint Commission for use within the ORYX initiative.

Hospital-Based Inpatient Psychiatric Services (HBIPS) Core Measure Set

Driven by an overwhelming request from the field, The Joint Commission was approached in late 2003 by the National Association of Psychiatric Health Systems (NAPHS), the National Association of State Mental Health Program Directors (NASMHPD) and the NASMHPD Research Institute, Inc. (NRI) to work together to identify and implement a set of core performance measures for hospital-based inpatient psychiatric services. Project activities were launched in March 2004. At this time, a diverse panel of stakeholders convened to discuss and recommend an overarching initial framework for the identification of HBIPS core performance measures. The Technical Advisory Panel (TAP) was established in March 2005 consisting of many prominent experts in the field.

The first meeting of the TAP was held May 2005 and a framework and priorities for performance measures was established for an initial set of core measures. The framework consisted of seven domains:

Assessment

Treatment Planning and Implementation

Hope and Empowerment

Patient Driven Care

Patient Safety

Continuity and Transition of Care

Outcomes

The current HIBIPS standards reflected in this report a designed to reflect these core domains in the delivery of psychiatric care.

JOINT COMMISSION

Admissions Screening (HBIPS 1)

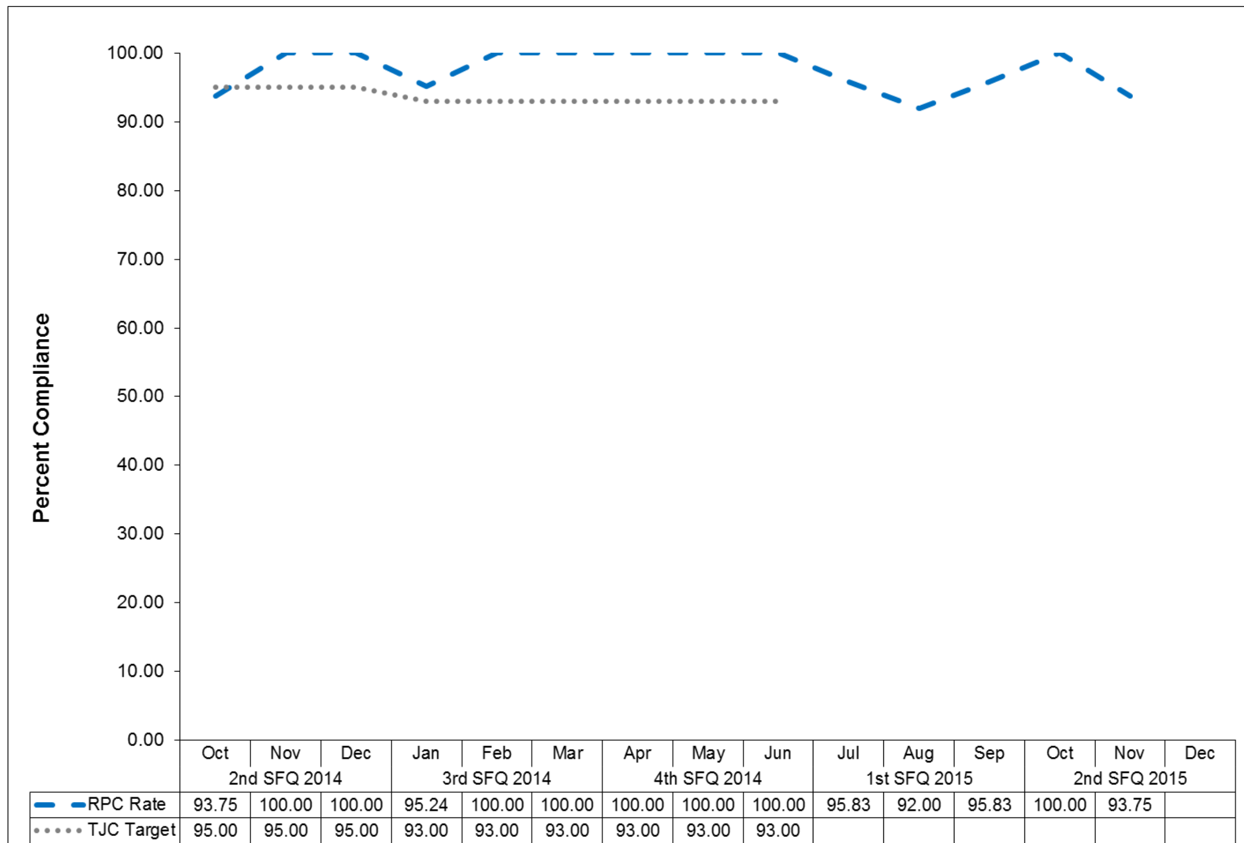
For Violence Risk, Substance Use, Psychological Trauma History, and Patient Strengths

Description

Patients admitted to a hospital-based inpatient psychiatric setting who are screened within the first three days of admission for all of the following: risk of violence to self or others, substance use, psychological trauma history and patient strengths

Rationale

Substantial evidence exists that there is a high prevalence of co-occurring substance use disorders as well as history of trauma among persons admitted to acute psychiatric settings. Professional literature suggests that these factors are under-identified yet integral to current psychiatric status and should be assessed in order to develop appropriate treatment (Ziedonis, 2004; NASMHPD, 2005). Similarly, persons admitted to inpatient settings require a careful assessment of risk for violence and the use of seclusion and restraint. Careful assessment of risk is critical to safety and treatment. Effective, individualized treatment relies on assessments that explicitly recognize patients' strengths. These strengths may be characteristics of the individuals themselves, supports provided by families and others, or contributions made by the individuals' community or cultural environment (Rapp, 1998). In the same way, inpatient environments require assessment for factors that lead to conflict or less than optimal outcomes.



	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
RPC Rate	93.75	100.00	100.00	95.24	100.00	100.00	100.00	100.00	100.00	95.83	92.00	95.83	100.00	93.75	
TJC Target	95.00	95.00	95.00	93.00	93.00	93.00	93.00	93.00	93.00						

JOINT COMMISSION

Physical Restraint (HBIPS 2)

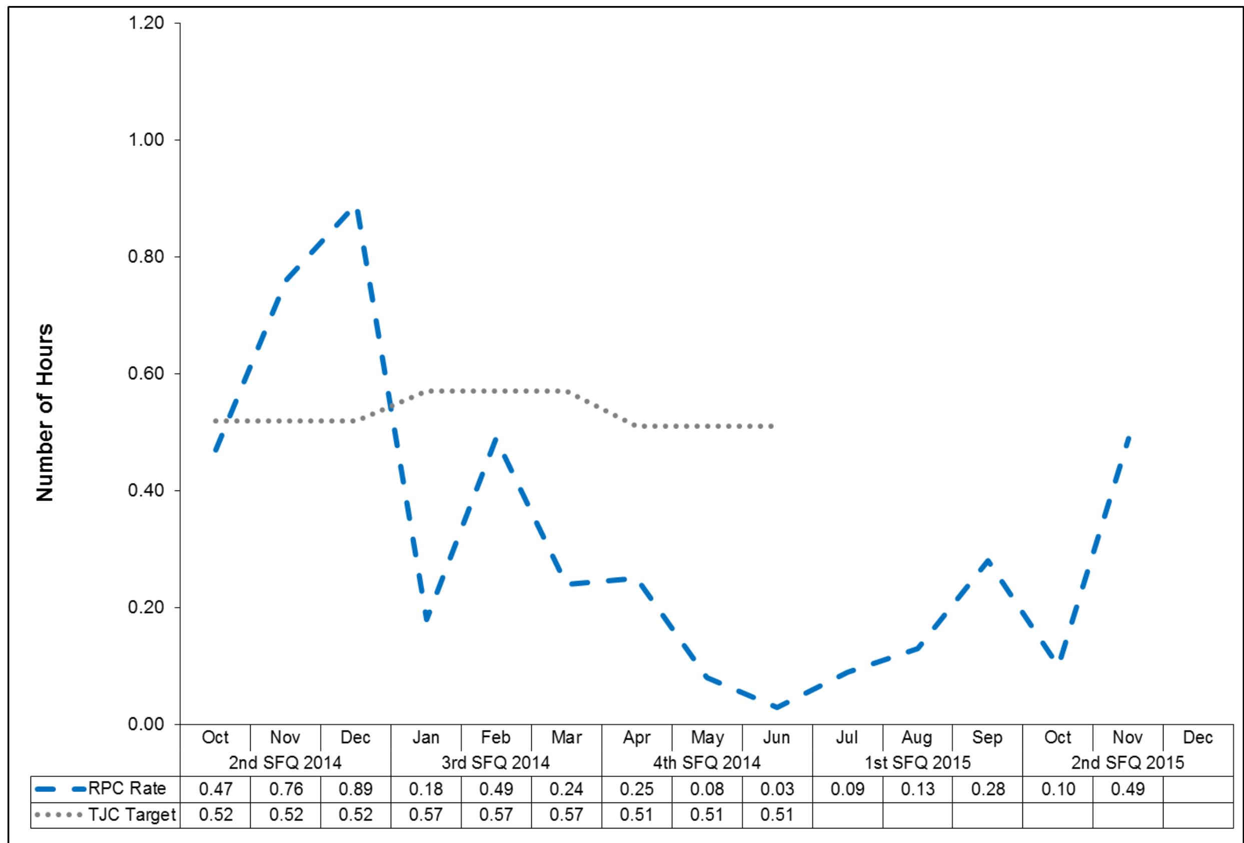
Hours of Use

Description

The total number of hours that all patients admitted to a hospital-based inpatient psychiatric setting was maintained in physical restraint

Rationale

Mental health providers that value and respect an individual's autonomy, independence and safety seek to avoid the use of dangerous or restrictive interventions at all times (Donat, 2003). The use of seclusion and restraint is limited to situations deemed to meet the threshold of imminent danger and when restraint and seclusion are used; such use is rigorously monitored and analyzed to prevent future use. Providers also seek to prevent violence or aggression from occurring in their treatment environments by focusing their attention on prevention activities that have a growing evidence base (Donat, 2003)



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
RPC Rate	0.47	0.76	0.89	0.18	0.49	0.24	0.25	0.08	0.03	0.09	0.13	0.28	0.10	0.49	
TJC Target	0.52	0.52	0.52	0.57	0.57	0.57	0.51	0.51	0.51						

JOINT COMMISSION

Seclusion (HBIPS 3)

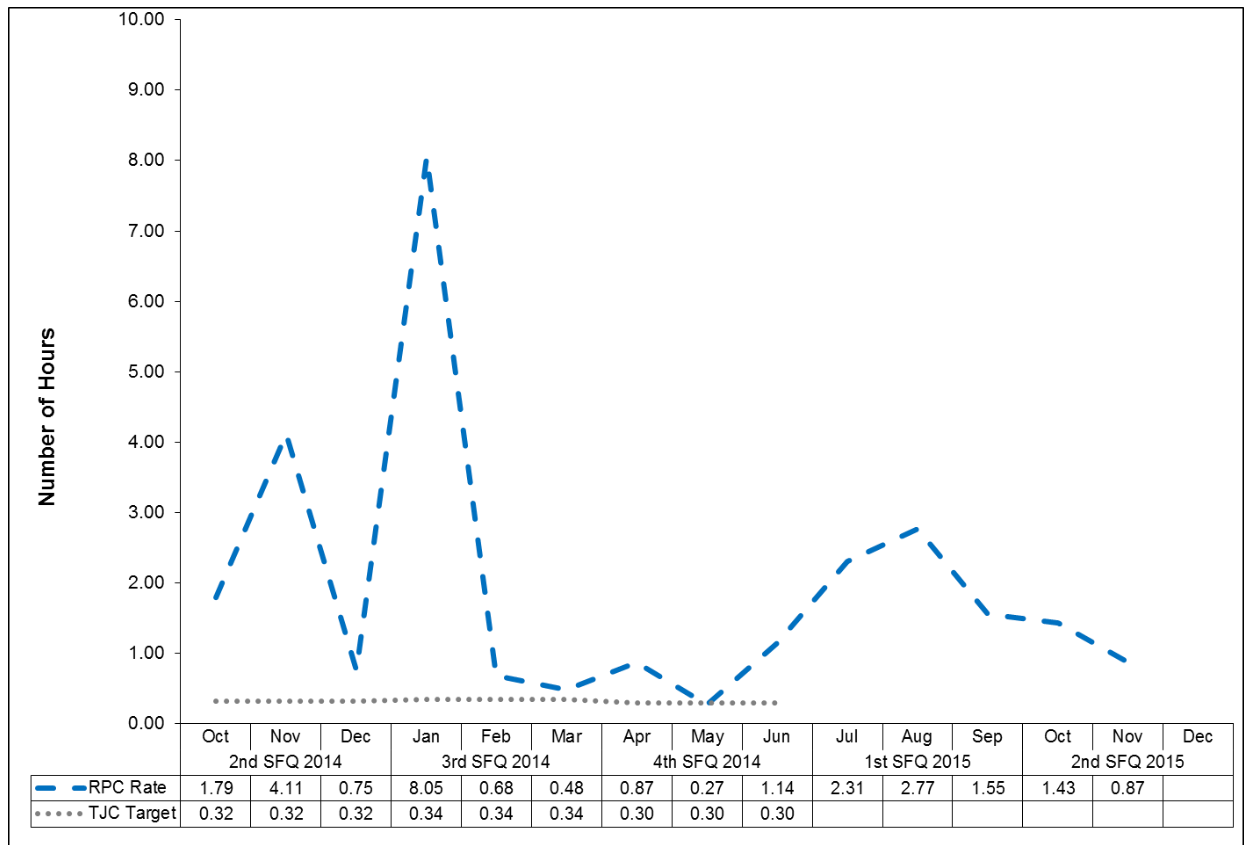
Hours of Use

Description

The total number of hours that all patients admitted to a hospital-based inpatient psychiatric setting was held in seclusion

Rationale

Mental health providers that value and respect an individual's autonomy, independence and safety seek to avoid the use of dangerous or restrictive interventions at all times (Donat, 2003). The use of seclusion and restraint is limited to situations deemed to meet the threshold of imminent danger and when restraint or seclusion are used; such use is rigorously monitored and analyzed to prevent future use. Providers also seek to prevent violence or aggression from occurring in their treatment environments by focusing their attention on prevention activities that have a growing evidence base (Donat, 2003).



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
RPC Rate	1.79	4.11	0.75	8.05	0.68	0.48	0.87	0.27	1.14	2.31	2.77	1.55	1.43	0.87	
TJC Target	0.32	0.32	0.32	0.34	0.34	0.34	0.30	0.30	0.30						

JOINT COMMISSION

Multiple Antipsychotic Medications on Discharge (HBIPS 4)

Description

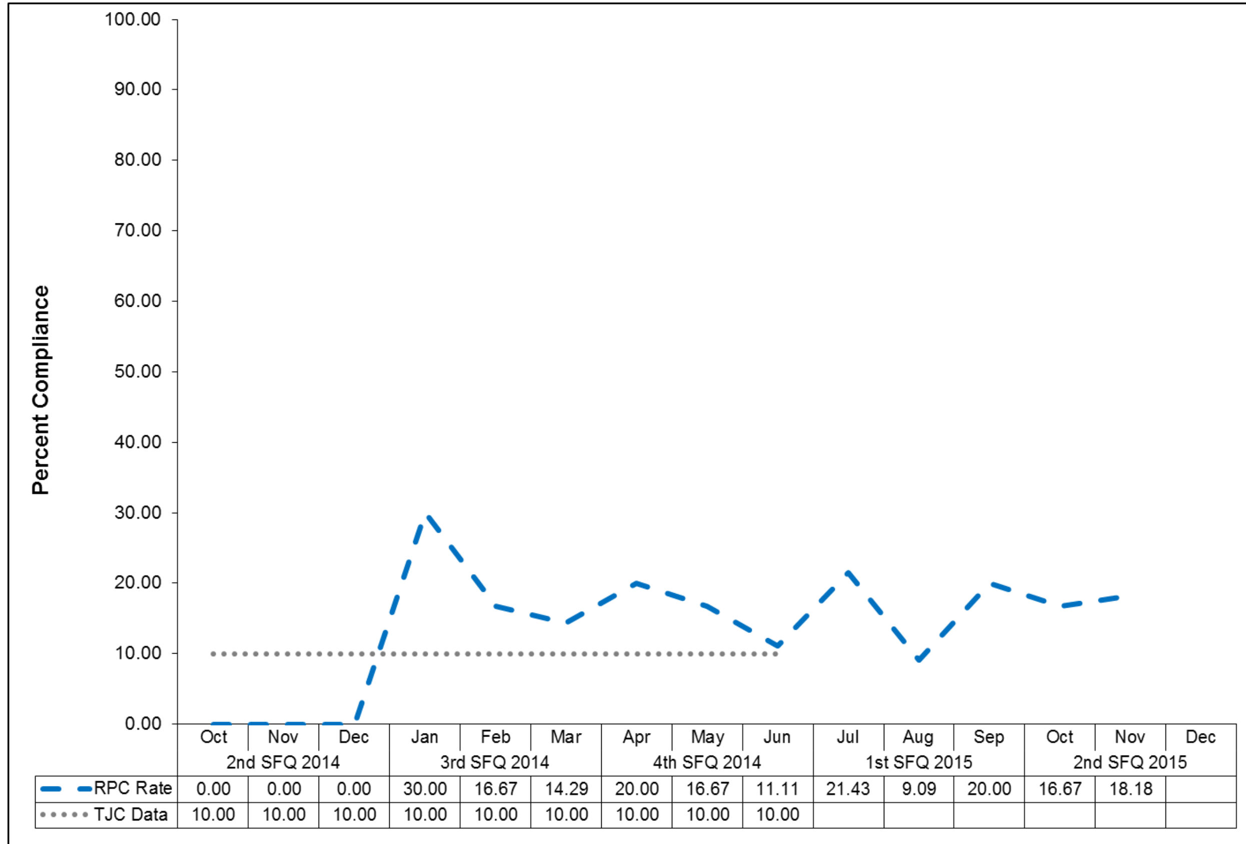
Patients discharged from a hospital-based inpatient psychiatric setting on two or more antipsychotic medications

Rationale

Research studies have found that 4-35% of outpatients and 30-50% of inpatients treated with an antipsychotic medication concurrently received 2 or more antipsychotics (Covell, Jackson, Evans, & Essock, 2002; Ganguly, Kotzan, Miller, Kennedy, & Martin, 2004; Gilmer, Dolder, Folsom, Mastin, & Jeste, 2007; Kreyenbuhl, Valenstein, McCarthy, Ganocyz, & Blow, 2006; Stahl & Grady, 2004). One study reported 4.6% of patients concurrently received 3 or more antipsychotics (Jaffe & Levine, 2003). These findings are seen across diverse sectors: state mental health authorities, the Veterans Health System and Medicaid-financed care. Antipsychotic polypharmacy can lead to greater side effects, often without improving clinical outcomes (Ananth, Parameswaran, & Gunatilake, 2004; Stahl & Grady, 2004). As a result, a range of stakeholders have called for efforts to reduce unnecessary use of multiple antipsychotics (Centorrino, Gören, Hennen, Salvatore, Kelleher, & Baldessarini, 2004; Gilmer, Dolder, Folsom, Mastin, & Jeste, 2007; National Association of State Mental Health Program Directors, 2001; University HealthSystem Consortium, 2006). Practice guidelines recommend the use of a second antipsychotic only after multiple trials of a single antipsychotic have proven inadequate (American Psychiatric Association [APA] Practice Guidelines, 2004). Randomized controlled trials (RCTs) provide some evidence to support augmentation with a second antipsychotic in *treatment resistant* patients. Most of these studies were limited to augmentation of clozapine with another second-generation antipsychotic (Tranulis, Skalli, Lalonde, & Nicole, 2008). Among patients *without* a documented history of previous treatment failures of antipsychotic monotherapy, multiple RCTs and other controlled trials failed to show a benefit of antipsychotic polypharmacy over monotherapy (Ananth, Parameswaran, & Gunatilake, 2004; Centorrino, Gören, Hennen, Salvatore, Kelleher, & Baldessarini, 2004; Potkin, Thyrum, Alva, Bera, Yeh, & Arvanitis, 2002; Shim et al., 2007; Stahl,& Grady, 2004). Clinical circumstances, such as shorter inpatient stays, may require hospitals to discharge a patient on multiple antipsychotics with an aftercare plan to transition to monotherapy. In such cases, effective communication between the inpatient and aftercare clinician is an essential element of care.

JOINT COMMISSION

Multiple Antipsychotic Medications on Discharge (HBIPS 4)



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
RPC Rate	0.00	0.00	0.00	30.00	16.67	14.29	20.00	16.67	11.11	21.43	9.09	20.00	16.67	18.18	
TJC Data	10.00	10.00	10.00	10.00	10.00	10.00	10.00	10.00	10.00						

Multiple Antipsychotic Medications at Discharge with Justification (HBIPS 5)

Description

Patients discharged from a hospital-based inpatient psychiatric setting on two or more antipsychotic medications with appropriate justification

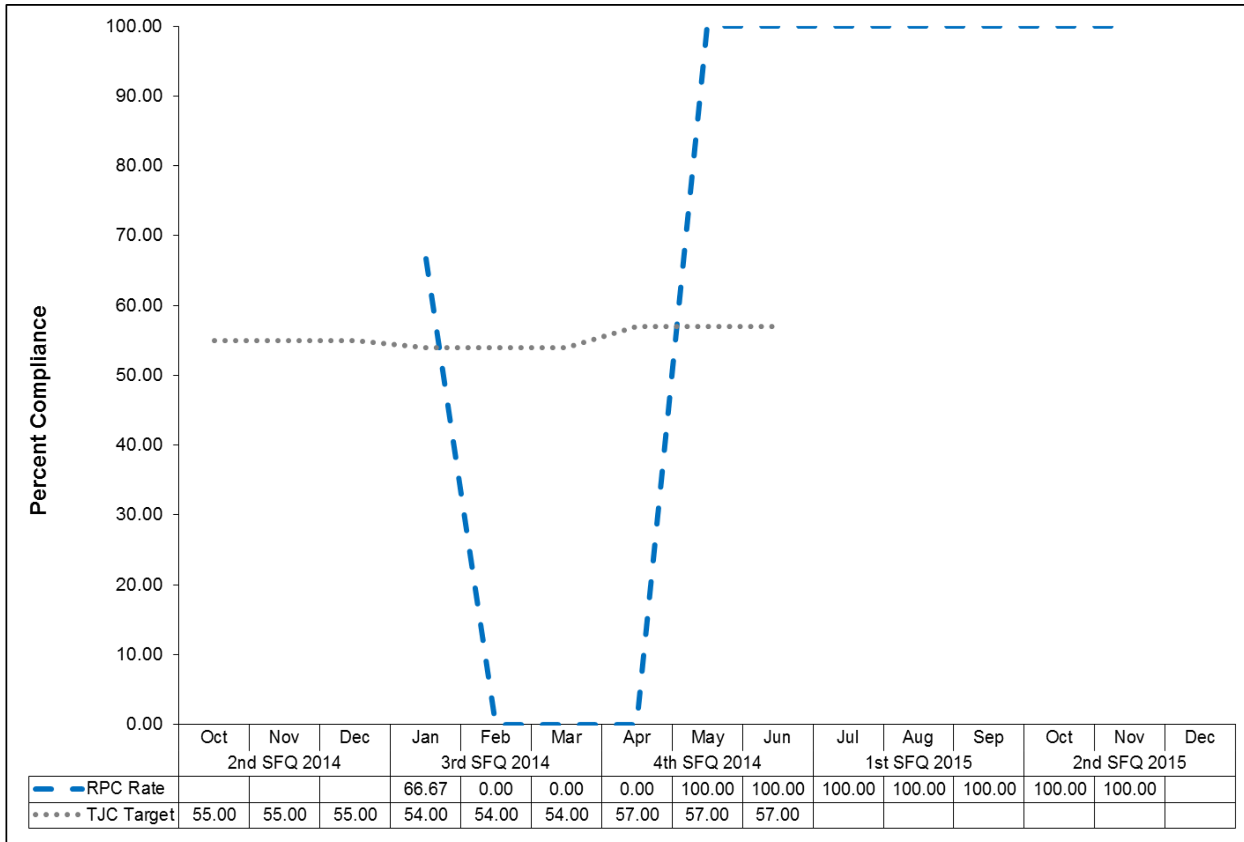
Rationale

Research studies have found that 4-35% of outpatients and 30-50% of inpatients treated with an antipsychotic medication concurrently received 2 or more antipsychotics (Covell, Jackson, Evans, & Essock, 2002; Ganguly, Kotzan, Miller, Kennedy, & Martin, 2004; Gilmer, Dolder, Folsom, Mastin, & Jeste, 2007; Kreyenbuhl, Valenstein, McCarthy, Ganocyz, & Blow, 2006; Stahl & Grady, 2004). One study reported 4.6% of patients concurrently received 3 or more antipsychotics (Jaffe & Levine, 2003). These findings are seen across diverse sectors: state mental health authorities, the Veterans Health System and Medicaid-financed care. Antipsychotic polypharmacy can lead to greater side effects, often without improving clinical outcomes (Ananth, Parameswaran, & Gunatilake, 2004; Stahl & Grady, 2004). As a result, a range of stakeholders have called for efforts to reduce unnecessary use of multiple antipsychotics (Centorrino, Gören, Hennen, Salvatore, Kelleher, & Baldessarini, 2004; Gilmer, Dolder, Folsom, Mastin, & Jeste, 2007; National Association of State Mental Health Program Directors, 2001; University HealthSystem Consortium, 2006).

Practice guidelines recommend the use of a second antipsychotic only after multiple trials of a single antipsychotic have proven inadequate (American Psychiatric Association [APA] Practice Guidelines, 2004). Randomized controlled trials (RCTs) provide some evidence to support augmentation with a second antipsychotic in *treatment resistant* patients. Most of these studies were limited to augmentation of clozapine with another second-generation antipsychotic (Tranulis, Skalli, Lalonde, & Nicole, 2008). Among patients *without* a documented history of previous treatment failures of antipsychotic monotherapy, multiple RCTs and other controlled trials failed to show a benefit of antipsychotic polypharmacy over monotherapy (Ananth, Parameswaran, & Gunatilake, 2004; Centorrino, Gören, Hennen, Salvatore, Kelleher, & Baldessarini, 2004; Potkin, Thyrum, Alva, Bera, Yeh, & Arvanitis, 2002; Shim et al., 2007; Stahl,& Grady, 2004). Clinical circumstances, such as shorter inpatient stays, may require hospitals to discharge a patient on multiple antipsychotics with an aftercare plan to transition to monotherapy. In such cases, effective communication between the inpatient and aftercare clinician is an essential element of care.

JOINT COMMISSION

Multiple Antipsychotic Medications at Discharge with Justification (HBIPS 5)



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
RPC Rate				66.67	0.00	0.00	0.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	
TJC Target	55.00	55.00	55.00	54.00	54.00	54.00	57.00	57.00	57.00						

Note: when the rate is blank for a month it means that no patients in that month were discharged on multiple antipsychotic medications.

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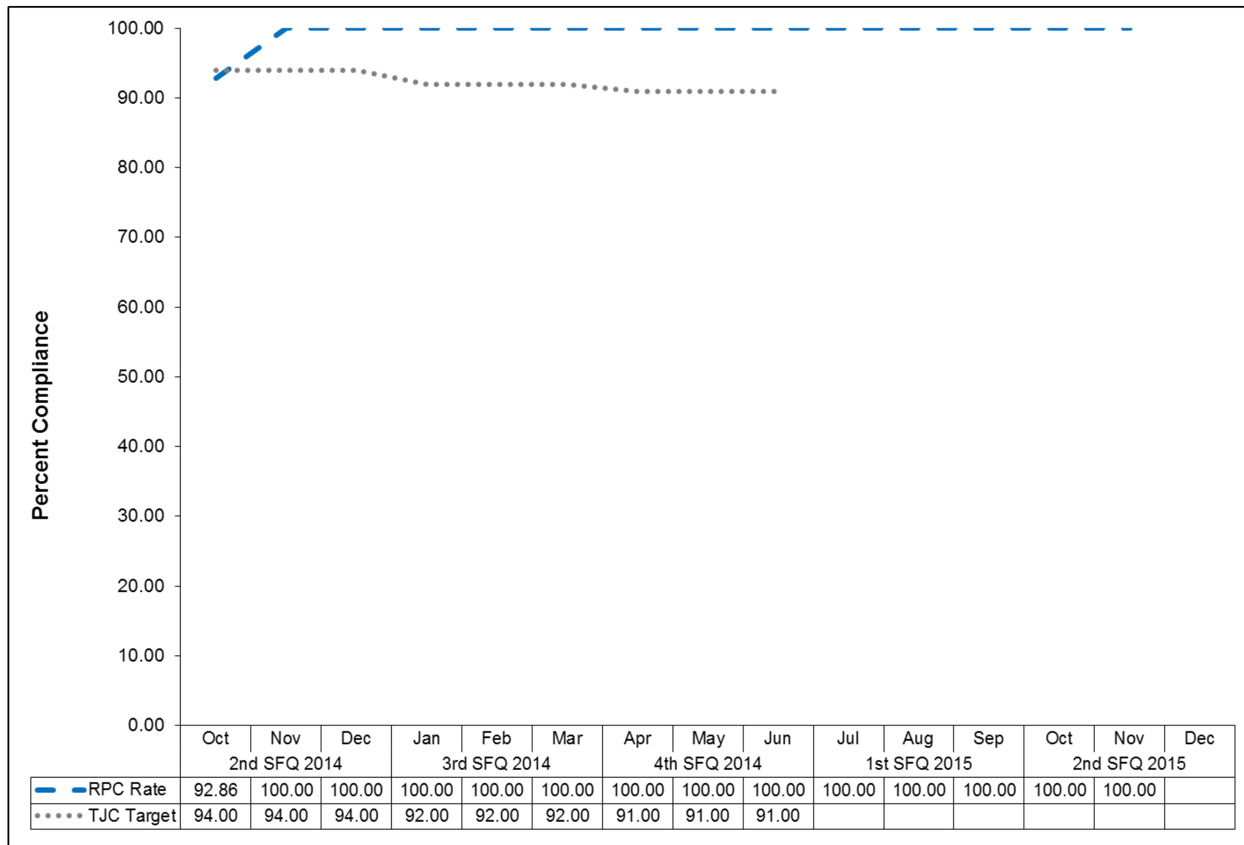
Post Discharge Continuing Care Plan (HBIPS 6)

Description

Patients discharged from a hospital-based inpatient psychiatric setting with a continuing care plan created

Rationale

Patients may not be able to fully report to their next level of care health-care provider their course of hospitalization or discharge treatment recommendations. The aftercare instructions given the patient may not be available to the next level of care provider at the patient's initial intake or follow-up appointment. In order to provide optimum care, next level of care providers need to know details of precipitating events immediately preceding hospital admission, the patient's treatment course during hospitalization, discharge medications and next level of care recommendations (American Association of Community Psychiatrists [AACP], 2001).



	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
RPC Rate	92.86	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	
TJC Target	94.00	94.00	94.00	92.00	92.00	92.00	91.00	91.00	91.00						

JOINT COMMISSION

Post Discharge Continuing Care Plan Transmitted (HBIPS 7)

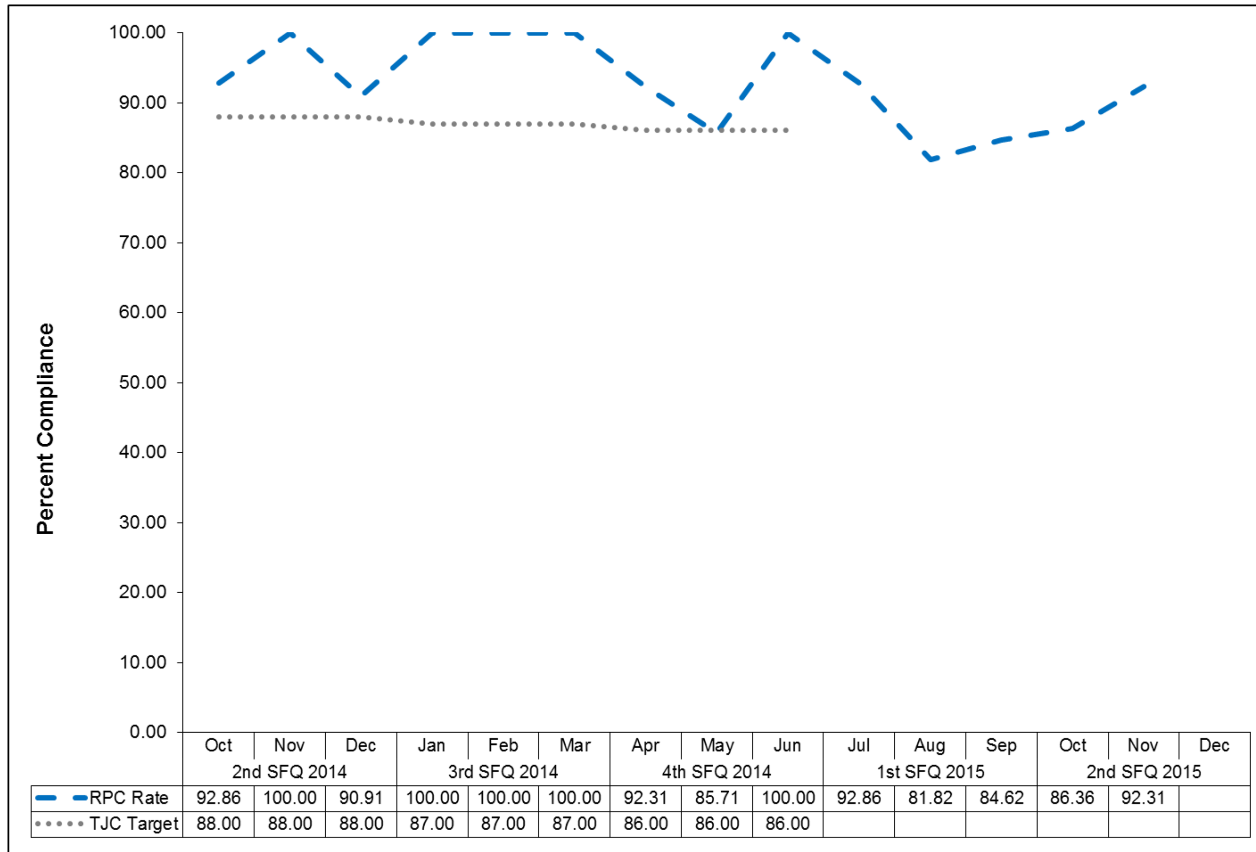
To Next Level of Care Provider on Discharge

Description

Patients discharged from a hospital-based inpatient psychiatric setting with a continuing care plan provided to the next level of care clinician or entity

Rationale

Patients may not be able to fully report to their next level of care health-care provider their course of hospitalization or discharge treatment recommendations. The aftercare instructions given the patient may not be available to the next level of care provider at the patient's initial intake or follow-up appointment. In order to provide optimum care, next level of care providers need to know details of precipitating events immediately preceding hospital admission, the patient's treatment course during hospitalization, discharge medications and next level of care recommendations (American Association of Community Psychiatrists [AACP], 2001).



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
RPC Rate	92.86	100.00	90.91	100.00	100.00	100.00	92.31	85.71	100.00	92.86	81.82	84.62	86.36	92.31	
TJC Target	88.00	88.00	88.00	87.00	87.00	87.00	86.00	86.00	86.00						

JOINT COMMISSION

Contract Performance Indicators

TJC LD.04.03.09 The same level of care should be delivered to patients regardless of whether services are provided directly by the hospital or through contractual agreement. Leaders provide oversight to make sure that care, treatment, and services provided directly are safe and effective. Likewise, leaders must also oversee contracted services to make sure that they are provided safely and effectively.

FY 2015 Quarter 2 Results		
Contractor	**Program Administrator**	**Summary of Performance**
Amistad Peer Support Services	Stephanie George-Roy Director of Social Services	All indicators exceeded standards.
Community Dental, Region II	Dr. Brendan Kirby Clinical Director	All indicators met standards.
Comprehensive Pharmacy Services	Dr. Brendan Kirby Clinical Director	All indicators met standards.
Comtec Security	Debora Proctor Executive Housekeeper	All indicators met or exceeded standards.
Cummins Northeast	Richard Levesque Director of Support Services	All indicators met standards.
Dartmouth Medical School	Robert J. Harper Acting Superintendent	All indicators exceeded standards.
Disability Rights Center	Robert J. Harper Acting Superintendent	All indicators met standards.
G & E Roofing	Richard Levesque Director of Support Services	Indicator exceeded standards.
Goodspeed & O'Donnell	Dr. Brendan Kirby Clinical Director	Did not utilize contract during 2Q2015.
Holly Harmon Consulting Services	Ricker Hamilton Deputy Commissioner of Programs	All indicators exceeded standards.
Lavallee Brensinger Architects	Richard Levesque Director of Support Services	Did not utilize contract during 2Q2015.
Liberty Healthcare – After Hours Coverage	Dr. Brendan Kirby Clinical Director	All indicators met or exceeded standards.
Liberty Healthcare – Physician Staffing	Dr. Brendan Kirby Clinical Director	All indicators met standards.
Maine General Community Care/Healthreach	Dr. Brendan Kirby Medical Director	All indicators met standards.
Maine General Medical Center – Laboratory Services	Dr. Brendan Kirby Clinical Director	All indicators met standards.
Main Security Surveillance	Debora Proctor Executive Housekeeper	All indicators met standards.
MD-IT Transcription Service	Amy Tasker Director of Health Information	All indicators met standards.
Mechanical Services	Richard Levesque Director of Support Services	All indicators met standards.
Medical Staffing and Services of Maine	Dr. Brendan Kirby Clinical Director	All indicators met standards.
Motivational Services	Dr. Brendan Kirby Clinical Director	All indicators met or exceeded standards.

JOINT COMMISSION

FY 2015 Quarter 2 Results		
Contractor	**Program Administrator**	**Summary of Performance**
Occupational Therapy Consultation and Rehabilitation Services	Janet Barrett Director of Rehabilitation	Did not utilize contract during 2Q2015.
Otis Elevator	Richard Levesque Director of Support Services	All indicators met standards.
Pine Tree Legal Assistance	Dr. Brendan Kirby Clinical Director	Did not utilize contract during 2Q2015.
Project Staffing – Outpatient Services Coordinator	Mary Beyer Program Service Director, Outpatient Services	One indicator met standards. Two did not meet standards: (1) actively participates in internal and external organization of client charts and information management in coordination with Medical Records at RPC and (2) providing audit services to outpatient services client charts to ensure they meet all licensing and accrediting body standards.
Project Staffing – Barber	Janet Barrett Director of Rehabilitation	Indicator met standards.
66Project Staffing – Multi Cultural Training Specialist	Janet Barrett Director of Rehabilitation	Indicator exceeded standards.
Project Staffing – Per Diem Nurses	Roland Pushard Director of Nursing	All indicators met standards.
Project Staffing – Post Doctoral Fellowship	Dr. Brendan Kirby Clinical Director	Did not utilize contract during 2Q2015.
Project Staffing – Pre-Doctoral Intern	Dr. Brendan Kirby Clinical Director	All indicators met or exceeded standards.
Project Staffing – Recovery Training Specialist	Susan Bundy Staff Development Coordinator	All indicators met standards.
Project Staffing – Teacher	Janet Barrett Director of Rehabilitation	All indicators met standards.
Protection One	Richard Levesque Director of Support Services	All indicators met standards.
Securitas Security Services	Philip Tricarico Safety Compliance Officer	All indicators met or exceeded standards.
Unifirst Corporation	Richard Levesque Director of Support Services	All indicators met standards.
Waste Management	Debora Proctor Executive Housekeeper	All indicators met standards.

JOINT COMMISSION

Capital Community Clinic

Adverse Reactions to Sedation or Anesthesia

TJC PI.01.01.01 EP6: The hospital collects data on the following: adverse events related to using moderate or deep sedation or anesthesia. (See also LD.04.04.01, EP 2)

Dental Clinic Timeout/Identification of Client

Indicators	3Q2014	4Q2014	1Q2015	2Q2015	Total
National Patent Safety Goals Goal 1: Improve the accuracy of Client Identification. Capital Community Dental Clinic assures accurate client identification by: asking the client to state his/her name and date of birth. A time out will be taken before the procedure to verify location and numbered tooth. The time out section is in the progress notes of the patient chart. This page will be signed by the Dentist as well as the dental assistant.	**January** 100% 2/2 **February** 100% 2/2 **March** 100% 7/7 **Total** 100% 11/11	**April** 100% 11/11 **May** N/A 0/0 **June** 100% 2/2 **Total** 100% 13/13	**July** 100% 5/5 **August** 100% 2/2 **September** 100% 3/3 **Total** 100% 10/10	**October** 100% 9/9 **November** 100% 3/3 **December** 100% 2/2 **Total** 100% 14/14	100% 48/48

Dental Clinic Post Extraction Prevention of Complications and Follow-up

Indicators	3Q2014	4Q2014	1Q2015	2Q2015	Total
1. All clients with tooth extractions, will be assessed and have teaching post procedure, on the following topics, as provided by the Dentist or Dental Assistant • Bleeding • Swelling • Pain • Muscle soreness • Mouth care • Diet • Signs/symptoms of infection 2. The client, post procedure tooth extraction, will verbalize understanding of the above by repeating instructions given by Dental Assistant/Hygienist. 3. Post dental extractions, the clients will receive a follow-up phone call from the clinic within 24hrs of procedure to assess for post procedure complications	**January** 100% 2/2 **February** 100% 2/2 **March** 100% 7/7 **Total** 100% 11/11	**April** 100% 11/11 **May** N/A 0/0 **June** 100% 2/2 **Total** 100% 13/13	**July** 100% 5/5 **August** 100% 2/2 **September** 100% 3/3 **Total** 100% 10/10	**October** 100% 9/9 **November** 100% 3/3 **December** 100% 2/2 **Total** 100% 14/14	100% 48/48

JOINT COMMISSION

Healthcare Acquired Infections Monitoring and Management

NPSG.07.03.01 Implement evidence-based practices to prevent health care–associated infections due to multidrug-resistant organisms in acute care hospitals.

Hospital Acquired Infection is any infection present, incubating or exposed to more than 72 hours **after admission** (unless the patient is off hospital grounds during that time) or declared by a physician, a physician's assistant or advanced practice nurse to be HAI.

A Community Acquired Infection is any infection present, incubating or exposed to prior to admission, while on pass; during off-site medical, dental, or surgical care; by a visitor, any prophylaxis treatment of a condition or treatment of a condition for which the patient has a history of chronic infection no matter how long the patient has been hospitalized; or declared by the physician, physician's assistant, or advanced practice nurse to be a community acquired infection.

Idiosyncratic Infection is any infection that occurs after admission and is the result of the patient's action toward himself or herself.

Indicators	2Q2015 Findings	2Q2015 Compliance	Threshold Percentile
Total number of infections (rate) per 1000 patient days.	27/4.0	100%	1 SD within the mean
Hospital Acquired (healthcare associated) infection rate, infections per 1000 patient days	9/1.3	100%	1 SD within the mean

Hospital Acquired Infection is any infection present, incubating or exposed to more than 72 hours **after admission** (unless the patient is off hospital grounds during that time) or declared by a physician, a physician's assistant or advanced practice nurse to be HAI.

A Community Acquired Infection is any infection present, incubating or exposed to prior to admission, while on pass; during off-site medical, dental, or surgical care; by a visitor, any prophylaxis treatment of a condition or treatment of a condition for which the patient has a history of chronic infection no matter how long the patient has been hospitalized; or declared by the physician, physician's assistant, or advanced practice nurse to be a community acquired infection.

Idiosyncratic Infection is any infection that occurs after admission and is the result of the patient's action toward himself or herself.

Data:

Lower Kennebec:
UTI (HAI)
Draining lesion of the left breast (CAI)
Tooth Abscess (CAI) – 2
Intertrigo, probably candida species (CAI)

Lower Kennebec SCU:
Acute Dentalgia (CAI)
Ingrown Toenail (CAI)

Lower Saco:
Conjunctivitis (HAI)
Mastoid Sinusitis (HAI)
Balanitis of the penis (CAI)
Parotitis (HAI)
Pneumonia (HAI)
Cellulitis (HAI)
Viral Pharyngitis (HAI)
Herpes Simplex – 1 (CAI)
Genital Herpes (CAI)

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Upper Kennebec:
Dental Infection (CAI) -4
Blepharitis (CAI)
Sty (Hordeolum) (CAI)

Total Patient Days: 6754

Total infections: 27/4.0
HAI: 9/1.3
CAI: 18/2.7
Idiosyncratic infections: 0

Plan:
-Ongoing surveillance
-Encourage flu shots and good hand hygiene

Lower Saco SCU:
Conjunctivitis (HAI)

Upper Saco:
Dental Infection (CAI)

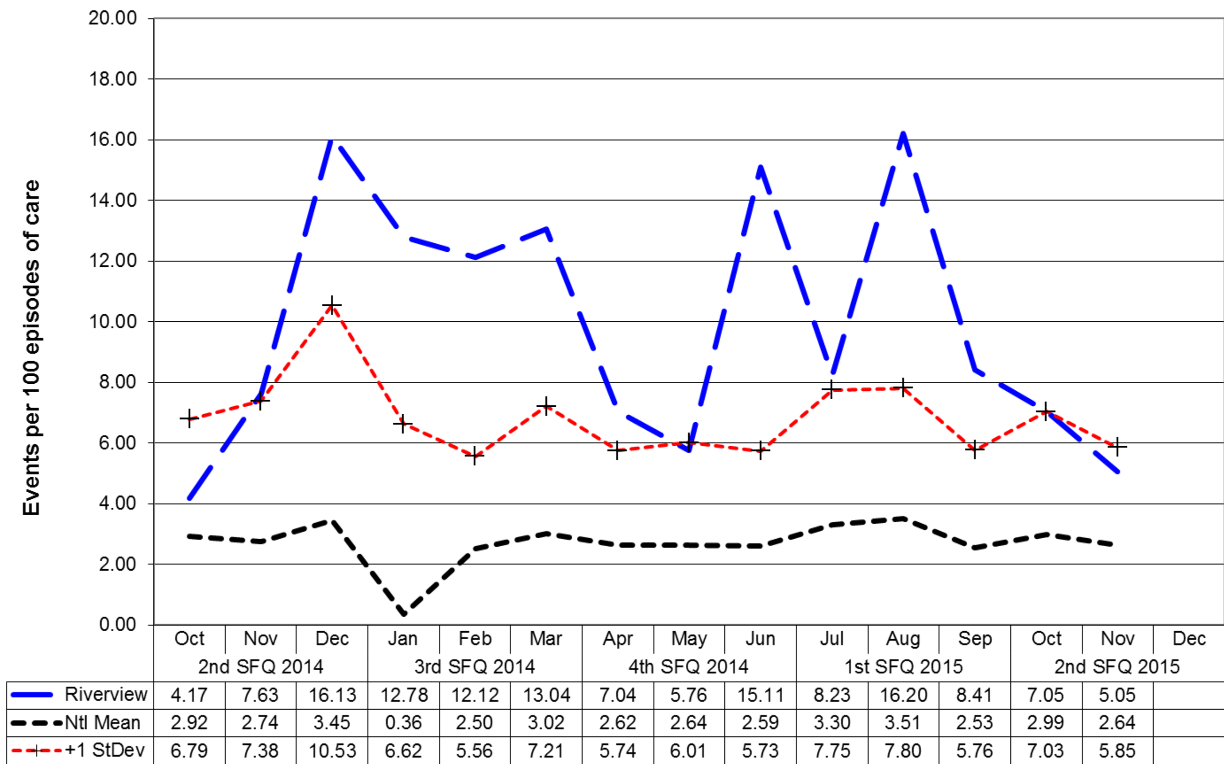
JOINT COMMISSION

Medication Management

Medication Errors and Adverse Reactions

TJC PI.01.01.01 EP14: The hospital collects data on the following: Significant medication errors. (See also LD.04.04.01, EP 2; MM.08.01.01, EP 1)

TJC PI.01.01.01 EP15: The hospital collects data on the following: Significant adverse drug reactions. (See also LD.04.04.01, EP 2; MM.08.01.01, EP 1)



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	4.17	7.63	16.13	12.78	12.12	13.04	7.04	5.76	15.11	8.23	16.20	8.41	7.05	5.05	
Ntl Mean	2.92	2.74	3.45	0.36	2.50	3.02	2.62	2.64	2.59	3.30	3.51	2.53	2.99	2.64	
+1 StDev	6.79	7.38	10.53	6.62	5.56	7.21	5.74	6.01	5.73	7.75	7.80	5.76	7.03	5.85	

This graph depicts the number of medication error events that occurred for every 100 episodes of care (duplicated client count). For example, a rate of 1.6 means that 2 medication error events occurred for each 125 episodes of care.

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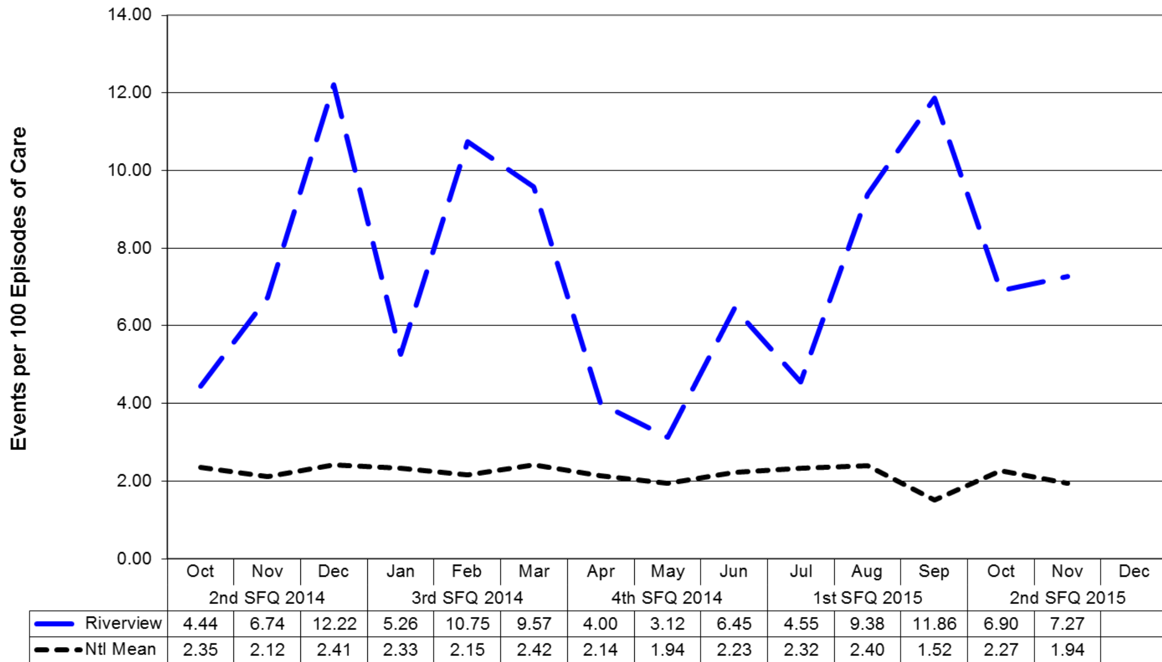
Medication Errors

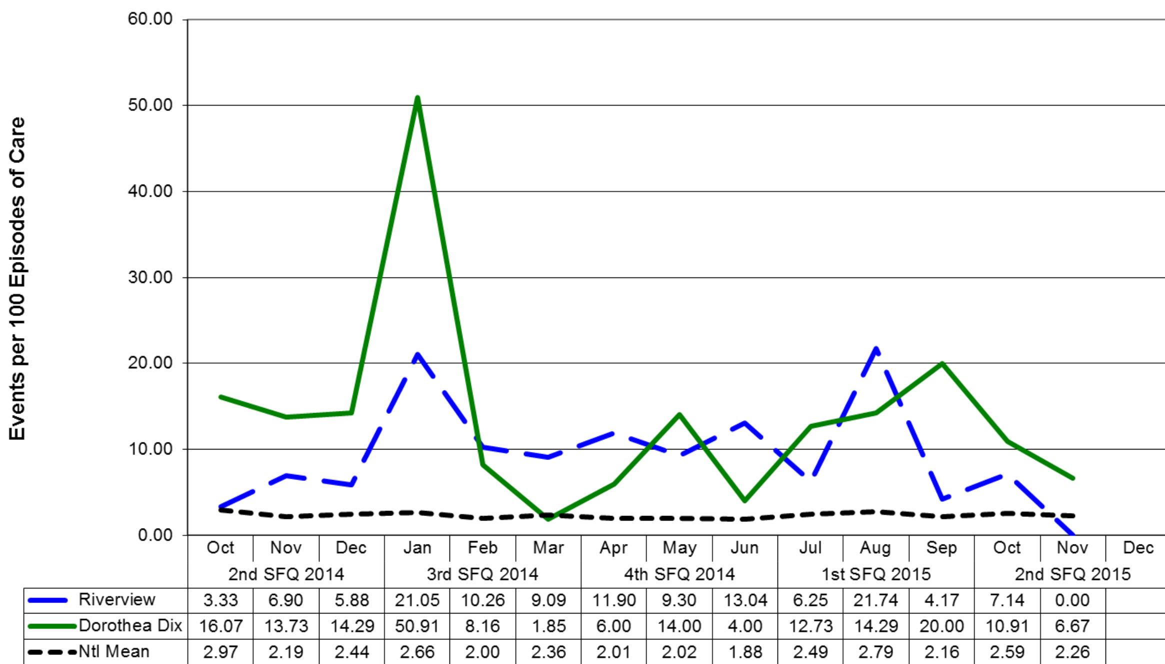
Forensic Stratification



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	4.44	6.74	12.22	5.26	10.75	9.57	4.00	3.12	6.45	4.55	9.38	11.86	6.90	7.27	
Ntl Mean	2.35	2.12	2.41	2.33	2.15	2.42	2.14	1.94	2.23	2.32	2.40	1.52	2.27	1.94	

Medication Errors

Civil Stratification



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	3.33	6.90	5.88	21.05	10.26	9.09	11.90	9.30	13.04	6.25	21.74	4.17	7.14	0.00	
Dorothea Dix	16.07	13.73	14.29	50.91	8.16	1.85	6.00	14.00	4.00	12.73	14.29	20.00	10.91	6.67	
Ntl Mean	2.97	2.19	2.44	2.66	2.00	2.36	2.01	2.02	1.88	2.49	2.79	2.16	2.59	2.26	

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Medication Management – Medication Variances

Medication variances are classified according to four major areas related to the area of service delivery. The error must have resulted in some form of variance in the desired treatment or outcome of care. A variance in treatment may involve one incident but multiple medications; each medication variance is counted separately irrespective of whether it involves one error event or many. Medication error classifications include:

Prescribing

An error of prescribing occurs when there is an incorrect selection of drug, drug dose, dosage form, quantity, route, concentration, rate of administration, or instructions for use of a drug product ordered or authorized by physician or other legitimate prescriber. Errors may occur due to improper evaluation of indications, contraindications, known allergies, existing drug therapy and other factors. Illegible prescriptions or medication orders that lead to client level errors are also defined as errors of prescribing. in identifying and ordering the appropriate medication to be used in the care of the client.

Dispensing

An error of dispensing occurs when the incorrect drug, drug dose or concentration, dosage form, or quantity is formulated and delivered for use to the point of intended use.

Administration

An error of administration occurs when there is an incorrect selection and administration of drug, drug dose, dosage form, quantity, route, concentration, rate of administration, or instructions for use of a drug product ordered or authorized by physician or other legitimate prescriber.

Complex

An error which resulted from two or more distinct errors of different types is classified as a complex error.

Review, Reporting and Follow-up Process

The Medication Variances Process Review Team (PRT) meets weekly to evaluate the causation factors related to the medication variances reported on the units and in the pharmacy and makes recommendations, through its multi-disciplinary membership, for changes to workflow, environmental factor, and client care practices. The team consists of the Medical Director (or designee), the Director of Nursing (or designee), the Director of Pharmacy (or designee), and the Clinical Risk Manager or the Performance Improvement Manager.

The activities and recommendations of the Medication Variances PRT are reported monthly to the Integrated Performance Excellence Committee.

JOINT COMMISSION

Medication Management - Administration Process

Medication Errors Related to Staffing Effectiveness

<table>
<tr><th>Date</th><th>OMIT</th><th>Co-mission</th><th>Float</th><th>New</th><th>O/T</th><th>Unit</th><th colspan="3">Staff Mix</th></tr>
<tr><td>10/4/14</td><td>N</td><td>Wrong Time</td><td>Y</td><td>Y</td><td>N</td><td>UK</td><td colspan="3">1 RN, 0 LPN, 3 MHW</td></tr>
<tr><td>10/7/14</td><td>Y</td><td>Ativan omitted x 2</td><td>Y</td><td>Y</td><td>N</td><td>UK</td><td colspan="3">1 RN, 0 LPN, 3 MHW</td></tr>
<tr><td>10/9/14</td><td>N</td><td>Wrong Time
cogentin</td><td>Y</td><td>Y</td><td>N</td><td>UK</td><td colspan="3">2 RN, 0 LPN, 4 MHW</td></tr>
<tr><td>10/10/14</td><td>Y</td><td>Omission x1
Tizandine</td><td>N</td><td>N</td><td>N</td><td>US</td><td colspan="3">3 RN, 4 MHW</td></tr>
<tr><td>10/12/14</td><td>N</td><td>Wrong Time</td><td>Y</td><td>N</td><td>N</td><td>LS</td><td colspan="3">2 RN, 0 LPN, 7 MHW</td></tr>
<tr><td>10/13/14</td><td>N</td><td>Extra Dose
Klonopin</td><td>N</td><td>N</td><td>Y</td><td>LK</td><td colspan="3">3 RN, 1 LPN, 7 MHW</td></tr>
<tr><td>10/16/14</td><td>N</td><td>Extra Dose
Diamox</td><td>N</td><td>N</td><td>N</td><td>LK</td><td colspan="3">3 RN, 1 LPN, 7 MHW</td></tr>
<tr><td>10/23/14</td><td>Y</td><td>Omission x3
Amoxicillin</td><td>N</td><td>N</td><td>N</td><td>UK</td><td colspan="3">2 RN, 1 LPN, 8 MHW</td></tr>
<tr><td>10/26/14</td><td>N</td><td>Wrong Dose
Klonopin</td><td>Y</td><td>Y</td><td>N</td><td>LK</td><td colspan="3">3 RN, 0 LPN, 7 MHW</td></tr>
<tr><td>10/31/14</td><td>Y</td><td>Omission x2
Adderall/ Clozapine</td><td>N</td><td>Y</td><td>N</td><td>US</td><td colspan="3">3 RN, 0 LPN, 4 MHW</td></tr>
<tr><td>11/13/14</td><td>Y</td><td>Omission x 1
Vitamin D</td><td>Y</td><td>Y</td><td>N</td><td>LS</td><td colspan="3">3 RN, 0 LPN, 7 MHW</td></tr>
<tr><td>11/13/14</td><td>Y</td><td>Omission x 1
Zydis</td><td>Y</td><td>Y</td><td>N</td><td>US</td><td colspan="3">3 RN, 0 LPN, 4 MHW</td></tr>
<tr><td>11/13/14</td><td>Y</td><td>Omission x 1
Ziprasidone</td><td>Y</td><td>N</td><td>N</td><td>LK</td><td colspan="3">2 RN, 1 LPN, 7 MHW</td></tr>
<tr><td>11/30/14</td><td>N</td><td>Extra Dose x2
Zyprexa</td><td>Y</td><td>Y</td><td>N</td><td>LK</td><td colspan="3">3 RN, 0 LPN, 7 MHW</td></tr>
<tr><td>12/3/14</td><td>N</td><td>Wrong Dose
Klonopin</td><td>Y</td><td>Y</td><td>N</td><td>UK</td><td colspan="3">2 RN, 0 LPN, 4 MHW</td></tr>
<tr><td>12/7/14</td><td>Y</td><td>Omission x 1
Vistaril</td><td>Y</td><td>Y</td><td>N</td><td>US</td><td colspan="3">2 RN, 4 MHW</td></tr>
<tr><td>12/7/14</td><td>Y</td><td>Omission x 1
Gabapentin</td><td>Y</td><td>Y</td><td>N</td><td>US</td><td colspan="3">2 RN, 4 MHW</td></tr>
<tr><td>12/10/14</td><td>N</td><td>Wrong Time</td><td>Y</td><td>Y</td><td>N</td><td>LS</td><td colspan="3">3 RN, 1 LPN, 8 MHW</td></tr>
<tr><td>12/12/14</td><td>N</td><td>Extra Dose
Nicotine Lozenger</td><td>N</td><td>Y</td><td>N</td><td>LK</td><td colspan="3">4 RN, 0 LPN, 7 MHW</td></tr>
<tr><td>12/24/14</td><td>N</td><td>Extra Dose
Thorazine</td><td>N</td><td>N</td><td>Y</td><td>LS</td><td colspan="3">3 RN, 1 LPN, 8 MHW</td></tr>
<tr><td>12/29/14</td><td>N</td><td>Extra Dose
Klonopin</td><td>N</td><td>Y</td><td>N</td><td>LS</td><td colspan="3">3 RN, 0 LPN, 4 MHW</td></tr>
<tr><td>Totals</td><td>13</td><td></td><td>15</td><td>17</td><td>2</td><td>LS: 5</td><td>US: 6</td><td>LK: 7</td><td>UK: 8</td></tr>
<tr><td>Percent</td><td>50%</td><td></td><td>58%</td><td>65%</td><td>8%</td><td>19%</td><td>23%</td><td>27%</td><td>31%</td></tr>
</table>

*Each dose of medication is documented as an individual variance (error)

JOINT COMMISSION

Summary

There were a total of 26 errors for this quarter.

# of Errors	% of Total	Type of Error
13	50%	Omission
7	27%	Extra dose given
4	15%	Given at wrong time
2	8%	Wrong dose given
26	**100%**	

Actions

Counseling was provided to one individual nurse who initially made several errors but was able to self-correct once the errors were shown to her and she was reminded to slow down and re-check. Nurse Pharmacy Committee meets twice monthly and we continue to discuss different functions of the Pyxis medication machine that nurses may be able to utilize to self-check for thoroughness of medication administration each shift.

RPC is also looking into obtaining a Pyxis Super user, which would be a shared position with DDPC to more regularly provide additional training to nurses on the units administering medications.

All nursing related medication errors were noted to have appropriate staffing levels. Consistency of staffing is looked at in relation to errors; not having consistent staff on each unit does appear to impact the number of errors. The RN IV for each unit continues to review errors on their assigned units with the staff who made the error.

JOINT COMMISSION

Medication Management - Dispensing Process

Medication Management	Unit	Baseline 2014	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Controlled Substance Loss Data *Daily Pyxis-CII Safe Compare Report*	All	0.875%	0%	0%	0%	0%	0%	No discrepancies between Pyxis and CII Safe transactions in Q1 and Q2
Quarterly Results			0%	0%				
Monthly CII Safe Vendor Receipt	Rx	0	0	0	0	0	0	No discrepancies between CII Safe and vendor transactions for Q1 and Q2
Quarterly Results			0	0				
Monthly Pyxis Controlled Drug discrepancies	All	22	0	0	0	0	0	Goal of “0” controlled drug discrepancies dispensed from Pxyis trended from Knowledge Portal for Q1 and Q2.
Quarterly Results			58 (19/mo)	66 (22/mo)				
Medication Management Monitoring Measures of drug reactions, adverse drug events and other management data	Rx	8/year	0	0	0	0		2 ADR’s reported in Q1 and 1 ADR in Q2
Quarterly Results			2	1				
Resource Documentation Reports of Clinical Interventions	Rx	395 reports in 2014						
Quarterly Results			84	79				

JOINT COMMISSION

Medication Management	Unit	Baseline 2014	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Psychiatric Emergency Process Monthly audit of all psych emergencies measured against 9 criteria	All	90%	100%	100%	100%	100%	100%	Goal of 100% compliance as measured by monthly audit tool
Quarterly Results			93%	95%				Follow up by RxRemote needs further improvement
Contract KPI's								
Operational Audit *Weekly audit of 3 operational indicators from CPS contract*	Rx		100%	100%	100%	100%	100%	Goal of 100% compliance as measured by monthly audit tool for Q1 and Q2
Quarterly Results			100%	100%		100%		

JOINT COMMISSION

Inpatient Consumer Survey

TJC PI.01.01.01 EP16: The hospital collects data on the following: Patient perception of the safety and quality of care, treatment, and services.

The **Inpatient Consumer Survey (ICS)** is a standardized national survey of customer satisfaction. The National Association of State Mental Health Program Directors Research Institute (NRI) collects data from state psychiatric hospitals throughout the country in an effort to compare the results of client satisfaction in five areas or domains of focus. These domains include Outcomes, Dignity, Rights, Participation, and Environment.

Inpatient Consumer Survey (ICS) has been recently endorsed by NQF, under the Patient Outcomes Phase 3: Child Health and Mental Health Project, as an outcome measure to assess the results, and thereby improve care provided to people with mental illness. The endorsement supports the ICS as a scientifically sound and meaningful measure to help standardize performance measures and assures quality of care.

Rate of Response for the Inpatient Consumer Survey

Due to the operational and safety need to refrain from complete openness regarding plans for discharge and dates of discharge for forensic clients, the process of administering the inpatient survey is difficult to administer. Whenever possible the peer support staff work to gather information from clients on their perception of the care provided to then while at Riverview Psychiatric Center.

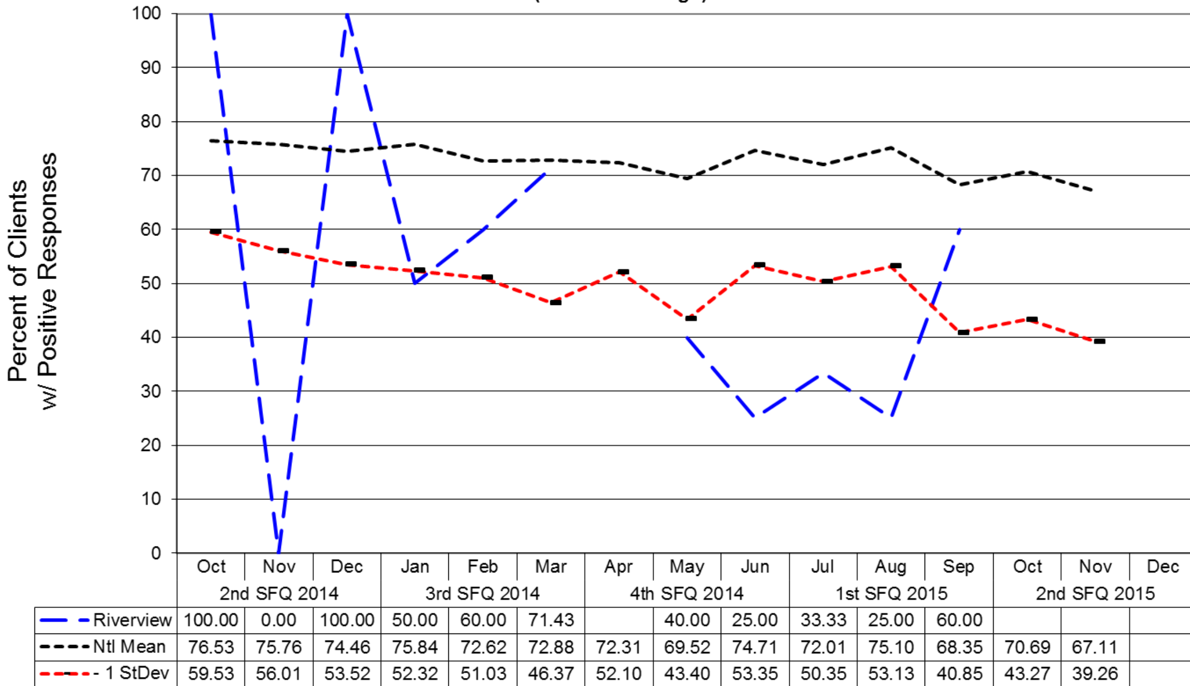
The Peer Support group has identified a need to improve the overall response rate for the survey. This process improvement project is defined and described in the section on Client Satisfaction Survey Return Rate of this report.

There is currently no aggregated date on a forensic stratification of responses to the survey.

When the Riverview field is blank for a month it means that no patients responded to the survey questions on that page in that particular month.

Please Note: Previous quarter's data has been updated as an error with how surveys were being entered into the database was found and corrected.

JOINT COMMISSION

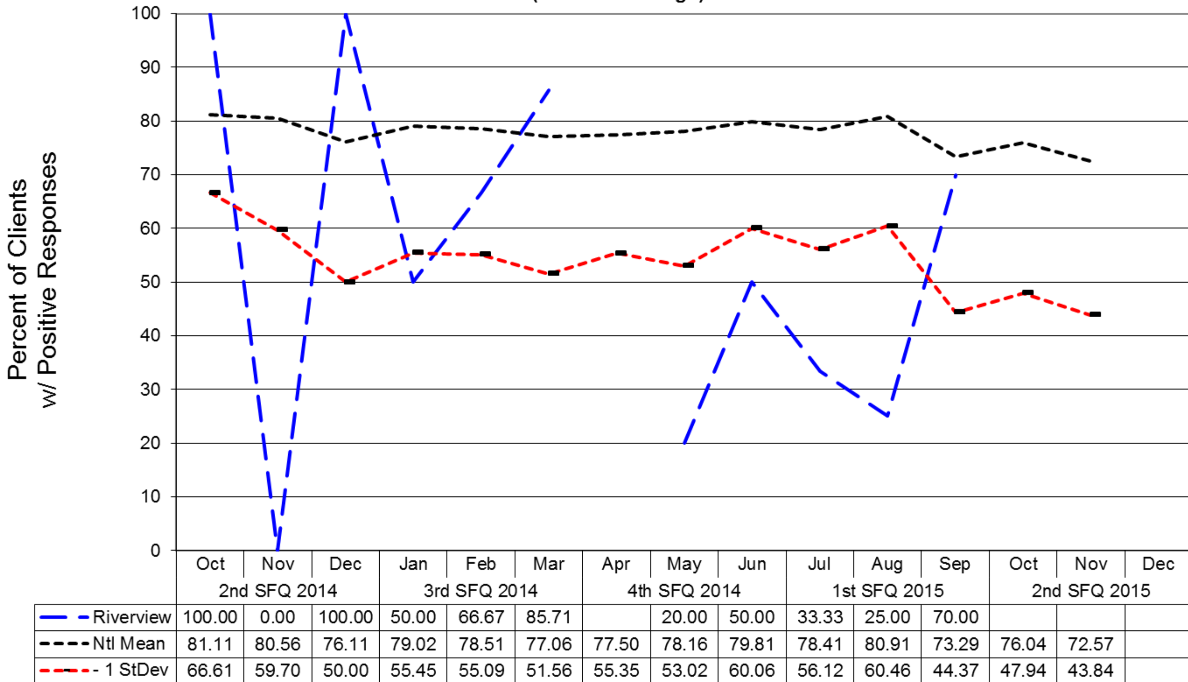


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	100.00	0.00	100.00	50.00	60.00	71.43		40.00	25.00	33.33	25.00	60.00			
Ntl Mean	76.53	75.76	74.46	75.84	72.62	72.88	72.31	69.52	74.71	72.01	75.10	68.35	70.69	67.11	
1 StDev	59.53	56.01	53.52	52.32	51.03	46.37	52.10	43.40	53.35	50.35	53.13	40.85	43.27	39.26	

Outcome Domain Questions

1. I am better able to deal with crisis.
2. My symptoms are not bothering me as much.
3. I do better in social situations.
4. I deal more effectively with daily problems.

JOINT COMMISSION



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	100.00	0.00	100.00	50.00	66.67	85.71		20.00	50.00	33.33	25.00	70.00			
Ntl Mean	81.11	80.56	76.11	79.02	78.51	77.06	77.50	78.16	79.81	78.41	80.91	73.29	76.04	72.57	
1 StDev	66.61	59.70	50.00	55.45	55.09	51.56	55.35	53.02	60.06	56.12	60.46	44.37	47.94	43.84	

Dignity Domain Questions

1. I was treated with dignity and respect.
2. Staff here believed that I could grow, change and recover.
3. I felt comfortable asking questions about my treatment and medications.
4. I was encouraged to use self-help/support groups.

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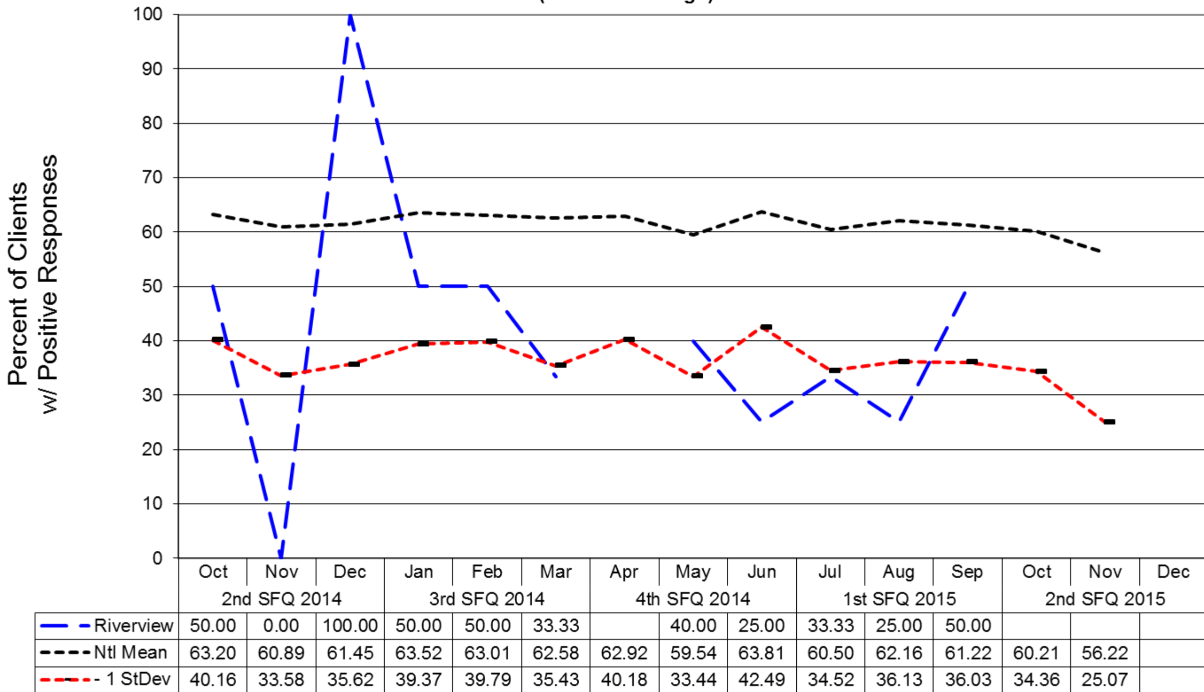
JOINT COMMISSION

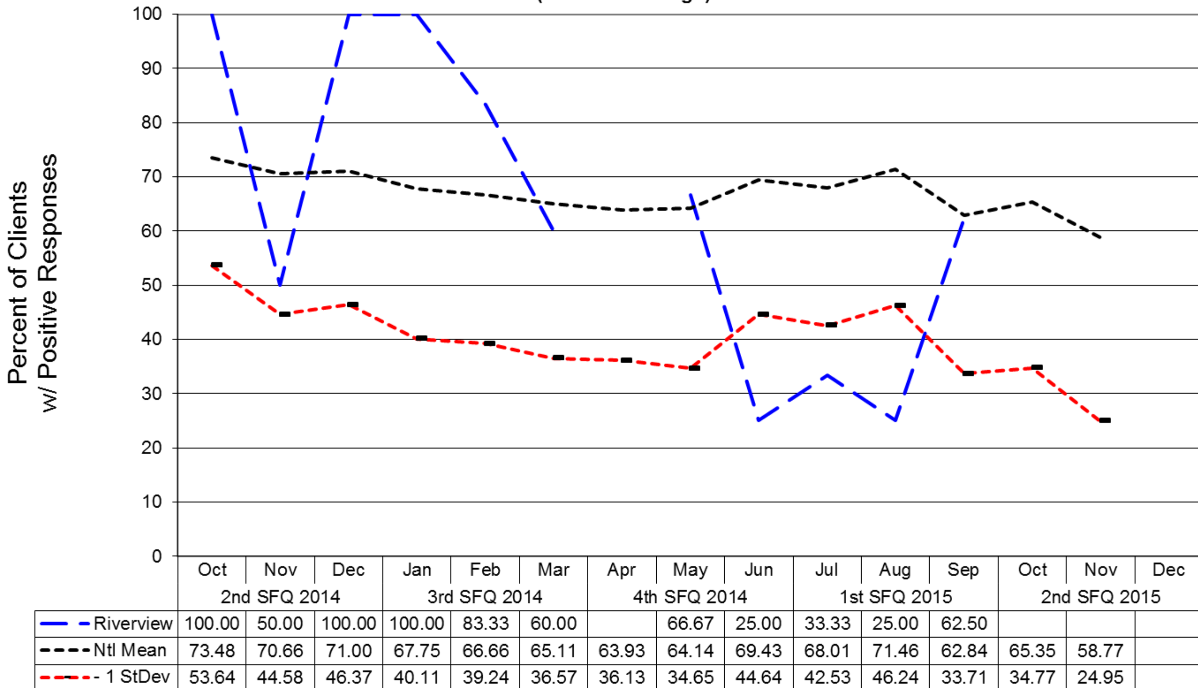


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	50.00	0.00	100.00	50.00	50.00	33.33		40.00	25.00	33.33	25.00	50.00			
Ntl Mean	63.20	60.89	61.45	63.52	63.01	62.58	62.92	59.54	63.81	60.50	62.16	61.22	60.21	56.22	
1 StDev	40.16	33.58	35.62	39.37	39.79	35.43	40.18	33.44	42.49	34.52	36.13	36.03	34.36	25.07	

Rights Domain Questions

1. I felt free to complain without fear of retaliation.
2. I felt safe to refuse medication or treatment during my hospital stay.
3. My complaints and grievances were addressed.

JOINT COMMISSION

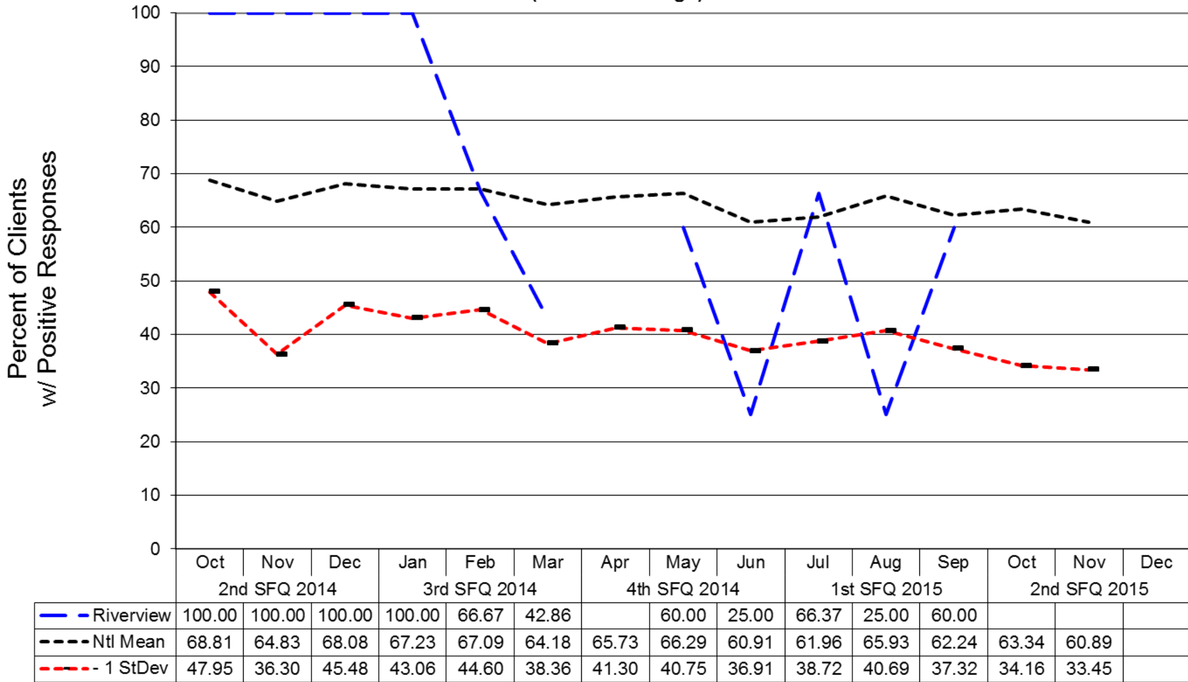


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	100.00	50.00	100.00	100.00	83.33	60.00		66.67	25.00	33.33	25.00	62.50			
Ntl Mean	73.48	70.66	71.00	67.75	66.66	65.11	63.93	64.14	69.43	68.01	71.46	62.84	65.35	58.77	
1 StDev	53.64	44.58	46.37	40.11	39.24	36.57	36.13	34.65	44.64	42.53	46.24	33.71	34.77	24.95	

Participation Domain Questions

1. I participated in planning my discharge.
2. Both I and my doctor or therapists from the community were actively involved in my hospital treatment plan.
3. I had an opportunity to talk with my doctor or therapist from the community prior to discharge.

JOINT COMMISSION



	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	2nd SFQ 2014			3rd SFQ 2014			4th SFQ 2014			1st SFQ 2015			2nd SFQ 2015		
Riverview	100.00	100.00	100.00	100.00	66.67	42.86		60.00	25.00	66.37	25.00	60.00			
Ntl Mean	68.81	64.83	68.08	67.23	67.09	64.18	65.73	66.29	60.91	61.96	65.93	62.24	63.34	60.89	
1 StDev	47.95	36.30	45.48	43.06	44.60	38.36	41.30	40.75	36.91	38.72	40.69	37.32	34.16	33.45	

Environment Domain

1. The surroundings and atmosphere at the hospital helped me get better
2. I felt I had enough privacy in the hospital.
3. I felt safe while I was in the hospital.
4. The hospital environment was clean and comfortable.

JOINT COMMISSION

Pain Management

TJC **PC.01.02.07:** The hospital assesses and manages the patient's pain.

Indicator	3Q2014	4Q2014	1Q2015	2Q2015
Pre-administration	88% 3217/3652	90% 2811/3114	84% 2481/2965	94% 3832/4082
Post-administration	78% 2866/3652	80% 2477/3114	72% 2126/2965	89% 3624/4082

SUMMARY

Total number of PRN pain medications administered increased this quarter (4082 compared to 2965 last quarter). Nursing documentation regarding PRN pain medication has significantly improved since last quarter (both pre-assessment and post- assessment of patient), with percentages of compliance being the highest of the 2014 year.

ACTIONS

Positive feedback will be given to nursing for their hard work and great improvement in documentation. Will continue to audit this area and will meet with clinical managers as well as individual nurses as needed. Will recommend having the oncoming shift check with the off going shift for any pain meds given that might require follow up assessment from the oncoming shift.

JOINT COMMISSION

Fall Reduction Strategies

TJC PI.01.01.01 EP38: The hospital evaluates the effectiveness of all fall reduction activities including assessment, interventions, and education.

TJC PC.01.02.08 The hospital assesses and manages the patient's risks for falls.
EP01: The hospital assesses the patient's risk for falls based on the patient population and setting.
EP02: The hospital implements interventions to reduce falls based on the patient's assessed risk.

Falls Risk Management Team has been created to be facilitated by a member of the team with data supplied by the Risk Manager. The role of this team is to conduct root cause analyses on each of the falls incidents and to identify trends and common contributing factors and to make recommendations for changes in the environment and process of care for those clients identified as having a high potential for falls.

Type of Fall by Client and Month

Fall Type	Client	OCTOBER	NOVEMBER	DECEMBER	2Q2015
Un-witnessed	MR3191*	3	2		**5**
	MR7185	1			**1**
	MR7448			1	**1**
	MR7665*			1	**1**
	MR6387			1	**1**
	MR7671			1	**1**
	MR4620			1	**1**
	Totals	**4**	**2**	**5**	**11**
Witnessed	MR3191*	4	2		**6**
	MR7662			2	**2**
	MR5067			2	**2**
	MR1883	1			**1**
	MR728	1			**1**
	MR7468			1	**1**
	MR3374		1		**1**
	MR7665*		1		**1**
	Totals	**6**	**4**	**5**	**15**

* Clients have experienced both witnessed and un-witnessed falls during the reporting quarter.

Note: This section includes falls that were injuries (caused harm or damage to patient) and incidents

Review, Reporting and Follow-up Process

The Falls Assessment and Prevention Process Review Team (PRT) meets monthly to evaluate the causation factors related to the falls reported on the units and makes recommendations, through its multi-disciplinary membership, for changes to workflow, environmental factor, and client care practices.

The activities and recommendations of the Falls PRT are reported monthly to the Integrated Performance Excellence Committee.

JOINT COMMISSION

Measures of Success

CTS.01.04.01
For organizations that serve adults with serious mental illness. The organization documents whether the adult has a psychiatric advance directive.

Responsible for Reporting: Program Service Director, Outpatient Services

Corrective Action Taken:

WHO: The Program Service Director, Outpatient Services, is ultimately responsible for the corrective action and overall and ongoing compliance.

WHAT: Staff training was conducted in bi-weekly administrative meeting directing all case managers to use standard Disability Rights Psychiatric (Mental Health) Advanced Directive form and to date completion or declination to complete directive.

WHEN: Care, Treatment and Services issue was discussed with case managers in all-staff meeting 12-27-13, document to be used was copied and placed in admission and annual documentation folder.

HOW: The Program Director and Team Leader will perform bi-weekly reviews of charts to assess ongoing compliance, reporting findings to staff in bi-weekly administrative meetings.
Evaluation Method: Plan for assessing effectiveness of the corrective action taken:
• Sample size: Based on an ADC of 50, 30 records will be selected using random selection.
• Random sampling method used will be to identify six charts from 5 total shelves by selecting every other chart from right to left until 30 are identified.
• Frequency of the audit will be bi-weekly, reviewing six to eight charts per session, totaling up to 48 charts reviewed by the end of four months.
• Monitor for four consecutive months (expectation a minimum of 90% compliance)
• 30 = total number of charts reviewed for psychiatric advanced directives
• 28= total number of psychiatric advanced directives present in the chart or documented as having been offered but declined by client.
• The audit results will be reported by the program Director and Team Leader to the staff at each administrative meeting, the IPEC Committee, as well as to the Social Work Program Director.

FY15 RESULTS:

July	Aug	Sept	Oct	Nov
78%	90%	100%	90%	100%

The hospital met The Joint Commission requirements for reporting in November 2014 and is no longer required to report these data.

JOINT COMMISSION

Measures of Success

CTS.02.02.07
The organization reassesses each individual served, as needed

Responsible for Reporting: Program Service Director, Outpatient Services

Corrective Action Taken:

WHO: The ACT Program Director is ultimately responsible for the corrective action and overall ongoing compliance.

WHAT: Staff training was conducted in bi-weekly administrative meeting identifying the discovery of Annual Comprehensive Assessments being worded exactly the same as the previous year, and the necessity of writing new annual assessments for each client including any changes in progress or functioning. It was also identified that there was a missing Annual Comprehensive Assessment in one reviewed record, the standard of keeping at least the current and past year's Annual Comprehensive Evaluation was reiterated.

WHEN: This corrective action was also conducted in a bi-weekly administrative meeting on 12-27-13. No further procedures or policies were needed.

HOW: The Program Director and Team Leader will perform bi-weekly reviews of records to assess ongoing compliance, reporting findings to staff in bi-weekly administrative meetings for immediate correction, if indicated.
Evaluation Method: Plan for assessing effectiveness of the corrective action taken:
• Sample size: Based on an ADC of 50, 30 records will be selected using random selection.
• Random sampling method used will be to identify six charts from 5 total shelves by selecting every other chart from left to right until 30 are identified.
• Frequency of the audit will be bi-weekly, reviewing six to eight charts per session, totaling up to 48 charts reviewed by the end of four months.
• Monitor for four consecutive months (expectation a minimum of 90% compliance)
• 30 = total number of charts reviewed for presence and accuracy of Comprehensive Annual Assessment
• 28= minimum total number of Comprehensive Annual Assessments present in the chart and distinct from previous year.
• The audit results will be reported by the program Director and Team Leader to the staff at each administrative meeting, the IPEC Committee, as well as to the Social Work Program Director.

FY15 RESULTS:

July	Aug	Sept	Oct	Nov
100%	90%	100%	100%	100%

The hospital met The Joint Commission requirements for reporting in November 2014 and is no longer required to report these data.

JOINT COMMISSION

Measures of Success

HR.01.06.01
Staff competence is assessed and documented once every three years, or more frequently as required by organization policy or in accordance with law and regulation.

Responsible for Reporting: HR Director

RESULTS:

Month/Year	Total # of performance evaluations due (with competency assessment)	Evaluation Compliance
July 2014	27	**95%**
Aug 2014	50	**97%**
Sep 2014	45	**96%**
Oct 2014	34	**96%**
Total	**156**	**96%**

The hospital met The Joint Commission requirements for reporting in October 2014 and is no longer required to report these data.

JOINT COMMISSION

Measures of Success

PC.02.03.03
The hospital helps the patient with his or her personal hygiene and grooming activities.

Responsible for Reporting: Director of Nursing

Hand Hygiene Measure: Staff will offer hand gel to clients prior to breakfast, lunch and dinner on 30 days per month.

Results:

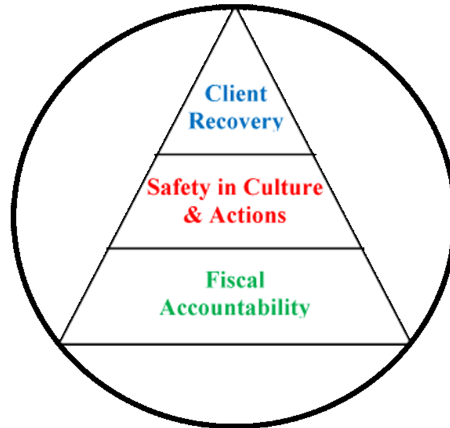
	Lower Kennebec	Lower Kennebec SCU	Upper Kennebec	Upper Saco	Lower Saco	Lower Saco SCU	Mean
July 2014	100%	100%	100%	98%	93%	99%	**98%**
Aug 2014	97%	100%	89%	96%	98%	100%	**97%**
Sept 2014	100%	98%	93%	96%	87%	93%	**95%**
Oct 2014	97%	100%	98%	87%	96%	96%	**96%**
Nov 2014	99%	99%	97%	74%	100%	96%	**94%**
Dec 2014	89%	100%	100%	100%	84%	100%	**96%**
Mean	**97%**	**99%**	**96%**	**92%**	**93%**	**97%**	**96%**

The hospital met The Joint Commission requirements for reporting in October 2014 and is no longer required to report these data.

STRATEGIC PERFORMANCE EXCELLENCE

Priority Focus Areas for Strategic Performance Excellence

In an effort to ensure that quality management methods used within the Maine Psychiatric Hospitals System are consistent with modern approaches of systems engineering, culture transformation, and process focused improvement strategies and in response to the evolution of Joint Commission methods to a more modern systems-based approach instead of compliance-based approach



Building a framework for client recovery by ensuring fiscal accountability and a culture of organizational safety through the promotion of…

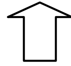
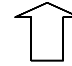
- The conviction that staffs are concerned with doing the right thing in support of client rights and recovery;
- A philosophy that promotes an understanding that errors most often occur as a result of deficiencies in system design or deployment;
- Systems and processes that strive to evaluate and mitigate risks and identify the root cause of operational deficits or deficiencies without erroneously assigning blame to system stakeholders;
- The practice of engaging staffs and clients in the planning and implementing of organizational policy and protocol as a critical step in the development of a system that fulfills ethical and regulatory requirements while maintaining a practicable workflow;
- A cycle of improvement that aligns organizational performance objectives with key success factors determined by stakeholder defined strategic imperatives.
- Enhanced communications and collaborative relationships within and between cross-functional work teams to support organizational change and effective process improvement;
- Transitions of care practices where knowledge is freely shared to improve the safety of clients before, during, and after care;
- A just culture that supports the emotional and physical needs of staffs, clients, and family members that are impacted by serious, acute, and cumulative events.

STRATEGIC PERFORMANCE EXCELLENCE

Strategic Performance Excellence Model Reporting Process

Department of Health and Human Services Goals

Protect and enhance the health and well-being of Maine people
Promote independence and self sufficiency
Protect and care for those who are unable to care for themselves
Provide effective stewardship for the resources entrusted to the department

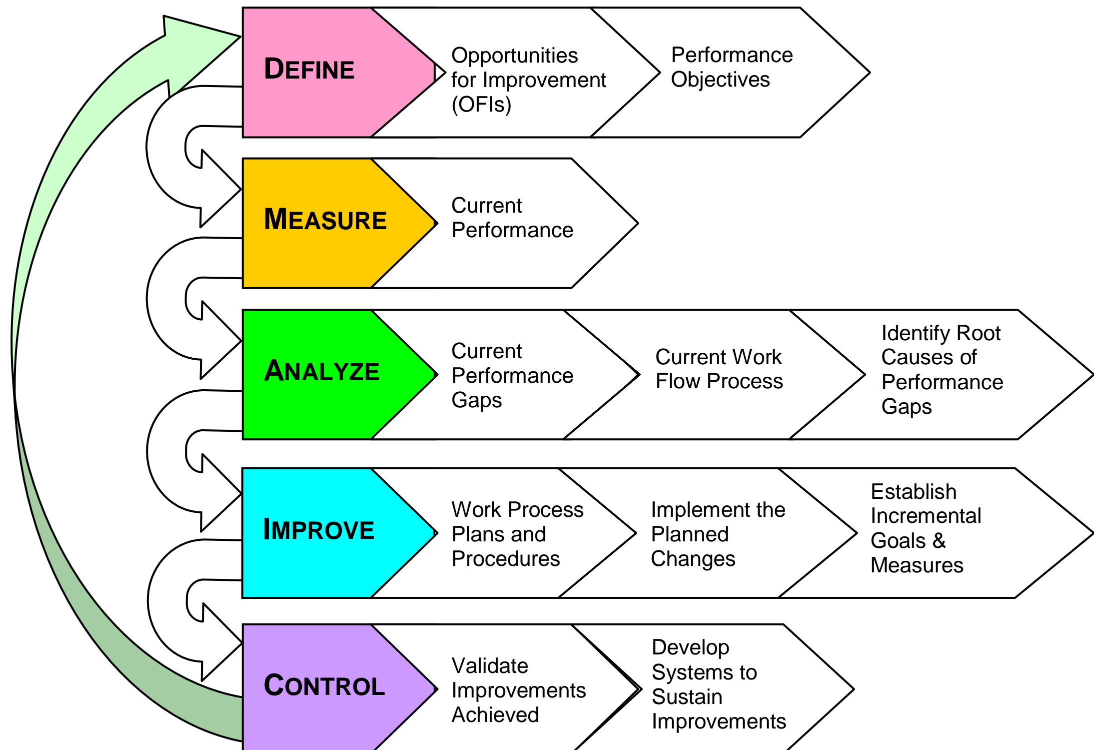
Dorothea Dix and Riverview Psychiatric Centers
Priority Focus Areas

Ensure and Promote Fiscal Accountability by…
Identifying and employing efficiency in operations and clinical practice
Promoting vigilance and accountability in fiscal decision-making.

Promote a Safety Culture by…
Improving Communication
Improving Staffing Capacity and Capability
Evaluating and Mitigating Errors and Risk Factors
Promoting Critical Thinking
Supporting the Engagement and Empowerment of Staffs

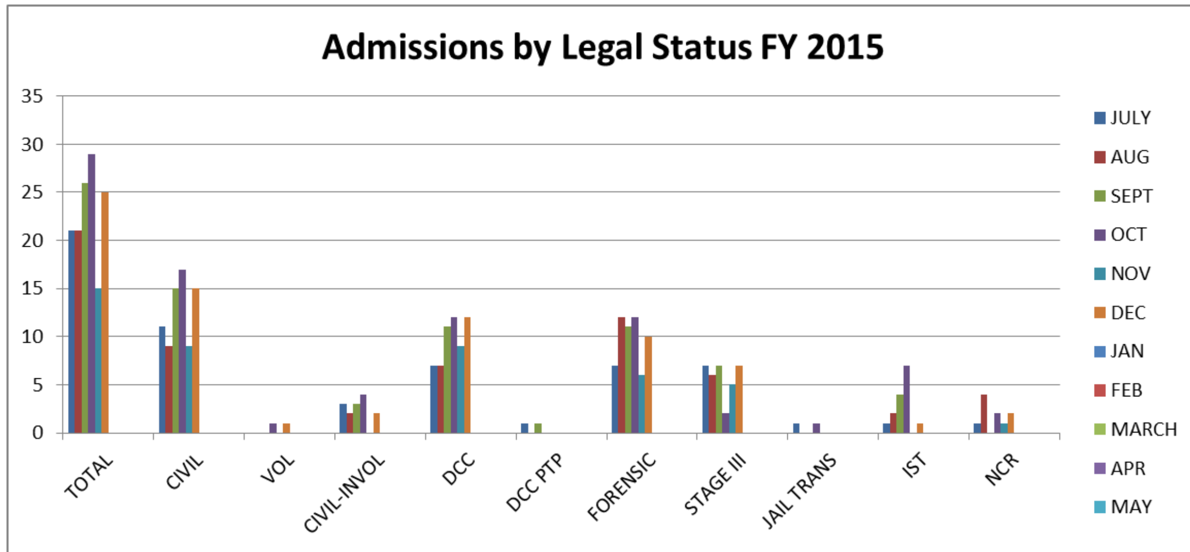
Enhance Client Recovery by…
Develop Active Treatment Programs and Options for Clients
Supporting clients in their discovery of personal coping and improvement activities.

Each Department Determines Unique Opportunities and Methods
to Address the Hospital Goals
The Quarterly Report Consists of the Following



STRATEGIC PERFORMANCE EXCELLENCE

Admissions Office Quarterly Report
2Q2015

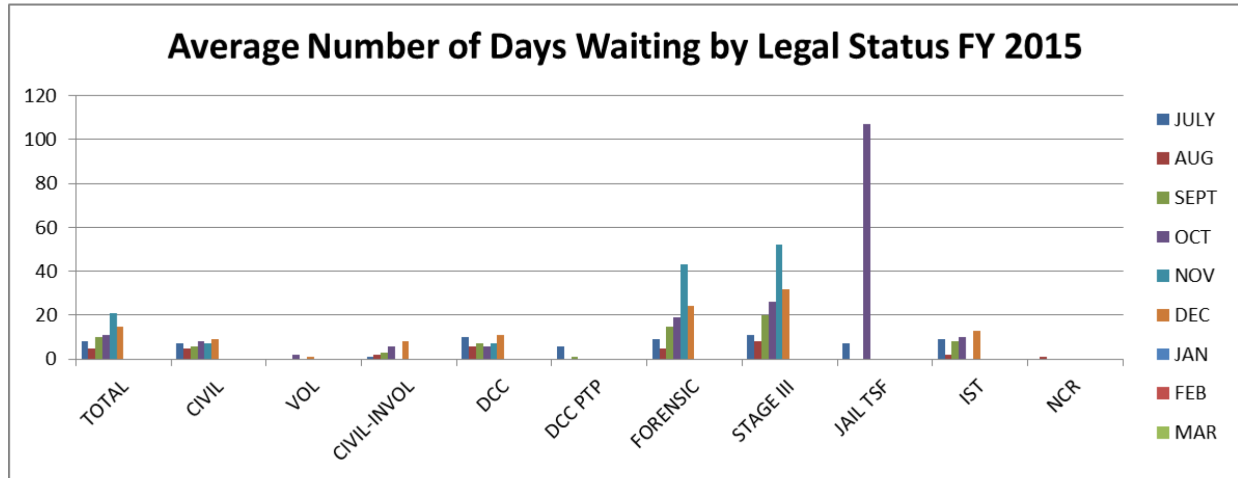


Data

ADMISSIONS	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MARCH	APR	MAY	JUNE	TOTAL
CIVIL:	**11**	**9**	**15**	**17**	**9**	**15**							**76**
VOL	0	0	0	1	0	1							2
CIVIL-INVOL	3	2	3	4	0	2							14
DCC	7	7	11	12	9	12							58
DCC PTP	1	0	1	0	0	0							2
FORENSIC:	**10**	**12**	**11**	**12**	**6**	**10**							**61**
STAGE III	7	6	7	2	5	7							34
JAIL TRANS	1	0	0	1	0	0							2
IST	1	2	4	7	0	1							15
NCR	1	4	0	2	1	2							10
TOTAL	**21**	**21**	**26**	**29**	**15**	**25**							**137**

STRATEGIC PERFORMANCE EXCELLENCE

Admissions Office Quarterly Report, continued.

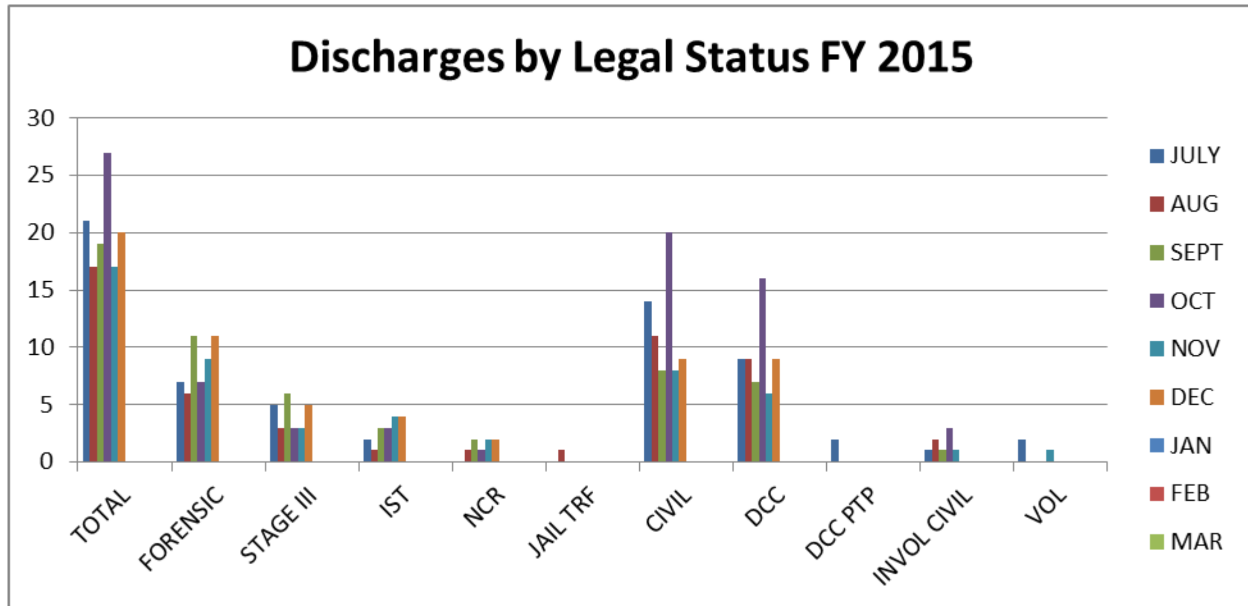


Data

WAIT	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	TOTAL
CIVIL:	**7**	**5**	**6**	**8**	**7**	**9**							**42**
VOL	0	0	0	2	0	1							3
CIVIL-INVOL	1	2	3	6	0	8							20
DCC	10	6	7	6	7	11							47
DCC PTP	6	0	1	0	0	0							7
FORENSIC:	**9**	**5**	**15**	**19**	**43**	**24**							**115**
STAGE III	11	8	20	26	52	32							149
JAIL TSF	7	0	0	107	0	0							114
IST	9	2	8	10	0	13							42
NCR	0	1	0	0	0	0							1
TOTAL	**8**	**5**	**10**	**11**	**21**	**15**							**70**

STRATEGIC PERFORMANCE EXCELLENCE

Admissions Office Quarterly Report, continued.

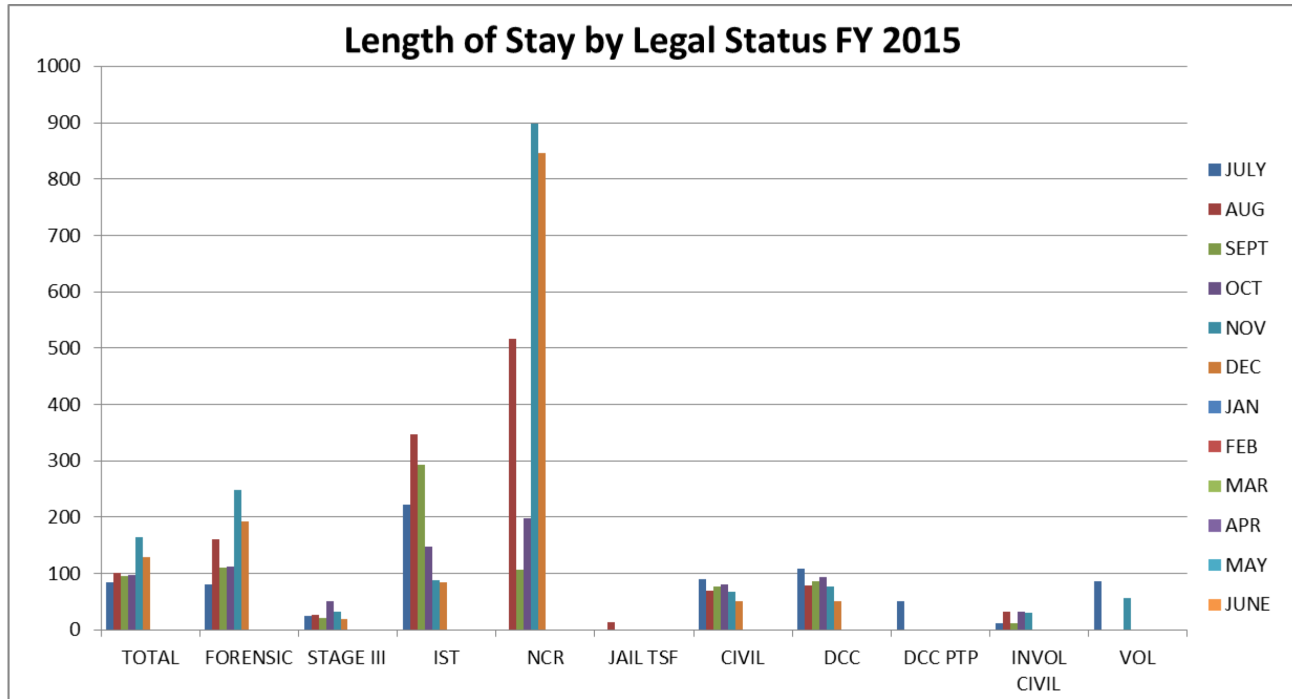


Data

DISCHARGES	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	TOTAL
FORENSIC:	**7**	**6**	**11**	**7**	**9**	**11**							**51**
STAGE III	5	3	6	3	3	5							25
IST	2	1	3	3	4	4							17
NCR	0	1	2	1	2	2							8
JAIL TRF	0	1	0	0	0	0							1
CIVIL:	**14**	**11**	**8**	**20**	**8**	**9**							**70**
DCC	9	9	7	16	6	9							56
DCC PTP	2	0	0	0	0	0							2
INVOL CIVIL	1	2	1	4	1	0							9
VOL	2	0	0	0	1	0							3
TOTAL	**21**	**17**	**19**	**27**	**17**	**20**							**121**

STRATEGIC PERFORMANCE EXCELLENCE

Admissions Office Quarterly Report, continued.



Data

LOS	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	TOTAL
FORENSIC:	**80**	**160**	**111**	**113**	**249**	**193**							**906**
STAGE III	24	27	21	50	32	19							173
IST	222	348	293	148	88	84							1183
NCR	0	517	106	198	898	847							2566
JAIL TSF	0	14	0	0	0	0							14
CIVIL:	**90**	**69**	**77**	**80**	**68**	**51**							**435**
DCC	108	78	86	94	77	51							494
DCC PTP	51	0	0	0	0	0							51
INVOL CIVIL	12	32	12	32	30	0							118
VOL	87	0	0	0	56	0							143
TOTAL	**85**	**101**	**96**	**98**	**164**	**129**							**673**

Capital Community Clinic
Performance Improvement and Quality Assurance Plan
FY 2015

I. Performance Indicators:

- Plaque Score evaluate patients oral hygiene at each appointment
    - Aid with oral hygiene education
    - Aid to discuss with staff and caretakers
    - Monitor at home hygiene
- Periodontal charting
    - Complete periodontal charting yearly to evaluate periodontal status

II. Quality Assurance Measures:

- Formulate a yearly treatment
    - Cross out/date treatment as completed
    - Write NV at the end of each progress note
- Take blood pressure and pulse at the start of each dental appointment
- Signed consent for all RCTs and EXTs
    - Completed by patient, dentist and assistant
- Time out taken prior to ALL extractions
    - Dentist initials time out and writes the initials of the assistant
- Patient re-identified by date of birth at the start of each appointment

STRATEGIC PERFORMANCE EXCELLENCE

Dietary Services

Responsible Party: Kristen Piela DSM

Strategic Objective: Safety in Culture and Actions														
Hand Hygiene Compliance: In an effort to monitor, sustain and improve hand hygiene compliance, the Dietary department measures its results through observations of Dietary staff when returning from a scheduled break.														
	1st Quarter 2015			**2nd Quarter 2015**			**3rd Quarter 2015**			**4th Quarter 2015**				**Goal**
Baseline	**Target – Baseline**	**Findings**	**Compliance**	**Target – Q1 + 12%**	**Findings**	**Compliance**	**Target – Q2 + 12%**	**Findings**	**Compliance**	**Target – Q3 + 12%**	**Findings**	**Compliance**		
53%	58%	138/ 238	58%	70%	116/ 189	61%								80-90%

Data:
116 compliant observations per 189 hand hygiene observations = 61% hand hygiene compliance rate

Summary:

- Hand hygiene compliance has increased by 3%.
- Hand hygiene observations have decreased; from 238 observations last quarter to 189 observations this first quarter.
- Decreased staffing levels affected the total number of documented observations.

Action Plan:

- Adapt the current Hand Hygiene Monitoring Tool to include specific dates as opposed to a range of dates. Ie: “date” versus “week of”.
- Include hand hygiene observation monitoring as part of the daily task assignments for supervisors.
- Encourage supervisors to remind employees to adhere to hand hygiene.
- The Food Service Manager will present this quarterly report at the departmental staff meeting.

STRATEGIC PERFORMANCE EXCELLENCE

Dietary Services

Responsible Party: Kristen Piela DSM

Strategic Objective: Safety in Culture and Actions													
Nutrition Screen Completion: In an effort to monitor, improve and sustain timely completion of the nutrition screen for all admissions to RPC. The Registered Dietitian will review each Nutrition Screen within the Initial Nursing Admission Data. This screen will be completed by Nursing within 24 hours of admission.													
	1st Quarter 2015			2nd Quarter 2015			3rd Quarter 2015			4th Quarter 2015			
Baseline	Target – Baseline	Findings	Compliance	Target – Q1 + 3%	Findings	Compliance	Target – Q2 + 2%	Findings	Compliance	Target – Q3 + 3%	Findings	Compliance	Goal
96%	96%	75/80	94%	97%	71/72	99%							95-100%

Data:
71 Nutrition screens completed w/in 24 hours of admission
72 Total Admissions = 99% of nutrition screens completed within 24 hours of admission

Summary:
- The Registered Dietitian reviewed the nutrition screens of the 72 admissions for this quarter.
- Upon review, the RD discovered 1 nutrition screen incomplete.
- RD spoke with the nurse on Upper Kennebec to facilitate/request completion of the screen. Unfortunately, the screen did not get completed.

Action Plan:
- RD will continue correspondence with unit nursing staff upon the discovery of incomplete nutrition screens and request completion, as appropriate.
- RD will continue to correspond with the Admissions Nurse to assure completion of the nutrition screens.
- Present quarterly report at departmental staff meeting and IPEC meeting.

Environment of Care

INDICATOR

GROUNDS SAFETY/SECURITY INCIDENTS

DEFINITION

DEFINITION: Safety/Security incidents occurring on the grounds at Riverview. Grounds being defined as "*outside the building footprint of the facility, being the secured yards, parking lots, pathways surrounding the footprint, unsecured exterior doors, and lawns.* Incidents being defined as, "*Acts of thefts, vandalism, injuries, mischief, contraband found, and safety / security breaches"* These incidents shall also include "*near misses, being of which if they had gone unnoticed, could have resulted in injury, an accident, or unwanted event".*

OBJECTIVE: Through inspection, observation, and aggressive incident management, an effective management process would limit or eliminate the likelihood that a safety/security incident would occur. This process would ultimately create and foster a safe environment for all staff, clients, and visitors.

THOSE RESPONSIBLE FOR MONITORING: Monitoring would be performed by Safety Officer, Security Site-Manager, Security Officers, Operations Supervisor, Operations staff, Director of Support Services, Director of Environmental Services, Environmental Services staff, Supervisors, and frontline staff.

METHODS OF MONITORING: Monitoring would be performed by;

- Direct observation
- Cameras
- Patrol media such as "Vision System"
- Assigned foot patrol

METHODS OF REPORTING: Reporting would occur by one or all of the following methods;

- Daily Activity Reports (DAR's)
- Incident Reporting System (IR's)
- Web-based media such as the Vision System

UNIT: Hospital grounds as defined above

BASELINE: 5% each Q

FY2015 Q1-Q4 TARGETS: Baseline – 5% each Q

STRATEGIC PERFORMANCE EXCELLENCE

Environment of Care

Department: Safety & Security Responsible Party: Phil Tricarico Safety Officer

Strategic Objectives								
Safety in Culture and Actions	Unit	Baseline	Q4/14 Target Actual	Q1/15 Target Actual	Q2/15 Target Actual	Q3/15 Target Actual	Q4/15 Target Actual	Goal
Grounds Safety & Security Incidents Safety/Security incidents occurring on the grounds at Riverview, which include "*Acts of thefts, vandalism, injuries, mischief, contraband found, and safety / security breaches*	# of Incidents	* Baseline of 10	(10) -5% (6)	(6) -5% (13)	(13) -5% (18)	(18) -5%	Q3 Actual -5%	Baseline -5%

SUMMARY OF EVENTS

The Q2 Target was (13); our actual number was (18). There is one area that continues to be a problem for us and is the reason we are unable to make our goal: the parking of State owned pickup trucks in an area our patients routinely walk through containing dangerous items. We are working with Capitol Police, Fleet Management and the Department of Conservation (agency the trucks are assigned to). There has been some improvement in how frequently we are finding contraband items in these trucks. We will continue to work with all parties as we seek to resolve this issue. We are pleased that in all of the events, our Security staff or clinical staff had discovered/processed the event before there was a negative impact to the organization. We feel that the reporting, which follows below, continues to provide a very clear picture of Safety and Security events, how they are handled, and that the use of surveillance equipment plays an integral part in combating safety and security threats to people and property. The aggressive rounds by Security continues to prove its worth with regard to Security's presence and patrol techniques. The stability and longevity of our Security staff along with its cohesiveness with the clinical component of the hospital has proven to be most effective in our management of practices.

EVENT	DATE	TIME	LOCATION	DISPOSTION	COMMENTS
1. Security Concern (Unlocked car with visible contraband)	10/1/14	0124	Employee Parking Lot	Capitol Police investigated.	Security discovered a car with missing side window. Noticed a box cutter in center console. Car registered to a non-RPC employee. Car left without incident.
2. Security Concern (Person in lot taking pictures of employee cars)	10/2/14	1700	Employee Parking Lot	Security went out to look for person, Capitol PD notified.	Nothing found by security or CPD. CPD checked lot throughout the evening. See IR#0724

STRATEGIC PERFORMANCE EXCELLENCE

EVENT	DATE	TIME	LOCATION	DISPOSTION	COMMENTS
3. Security Concern (Person came through the employee entrance first door, unable to get in locked second door)	10/3/14	0207	Employee Entrance	Operations recorded the incident. Capitol PD notified.	Person left the scene. Taped incident held for CPD review. See IR#0275
4. Safety Concern (Box cutter found in a shed)	10/7/14	0530	Grass area off Parking Lot near dumpsters	Box cutter secured.	While on routine outside patrol security found a box cutter in a shed without any doors. They removed the box cutter and took it to Operations. See IR#729
5. Safety and Security Concern (Car open with keys in the ignition)	10/7/14	0820	Employee Parking Lot	Security took keys and secured car as much as they could.	Employee arriving to work noticed a car with its driver's door open and keys in the ignition. CPD ran the plate and the employee could not be located. Keys turned over to Operations. See IR #730
6. Security Concern (Unauthorized car parked in employee lot)	10/13/14	2315	Employee Parking Lot	Capital PD & Augusta PD responded and handled.	CPD & APD discovered car belonged to someone on Hospital St across from RPC. Person told car would be towed if they parked here again.
7. Safety Concern (Contraband found)	10/14/14	1500	Lobby Area, Outside	Security secured and disposed of item.	Security found an empty aluminum soda can under a tree outside the main lobby entrance. They secured and disposed of it.
8. Safety Concern (Contraband items in the bed of State owned pickup trucks)	10/15/14	0115	Parking area at the rear of RPC	NOD notified, follow up to occur with Fleet Services.	Two trucks had numerous contraband items in the bed (aluminum & glass beverage containers, rope, sharp metal and scrap iron and bungee cords).

EVENT	DATE	TIME	LOCATION	DISPOSTION	COMMENTS
9. Safety Concern (Contraband items in the bed of State owned pickup trucks)	10/16/14	0315	Parking area at the rear of RPC	NOD & Capitol Police notified. Email sent to Fleet Services.	One truck had numerous contraband items in the bed (scrap metal, aluminum cans, rope, wooden spike sticks).
10. Safety Concern (Contraband in bed of State owned pickup truck)	11/11/14	0930	Parking area at rear of RPC	NOD notified.	Shovel in bed of pickup truck. Rick Levesque to personally call Fleet Services.
11. Safety Concern (Contraband in bed of State owned pickup trucks)	11/12/14	0300	Parking area in rear of RPC	NOD notified.	Shovel and bungee cords found in beds of state owned pickup trucks. Rick to personally call Fleet Services.
12. Security and Safety Concern (Open trunk of employees vehicle)	11/12/14	1940	Employee Parking Lot	NOD notified and Capitol PD on scene.	RPC employee left the trunk of their car open. Security closed trunk to secure the vehicle. Employee notified and verified the situation was taken care of.
13. Safety Concern (Unlocked dumpster)	11/15/14	1220	Rear of Building near Loading Dock	Operations contacted the person with the key signed out. They went to lock the dumpster.	Person advised to lock the dumpster after each use. See IR #754
14. Safety Concern (Contraband in bed of State owned pickup trucks)	11/19/14	0105	Parking area in rear of RPC	NOD Notified.	Long pieces of wood, bungee cords and rope found in bed of State owned pickup trucks. Rick to take issue to hospital leadership for resolution of some kind.
15. Safety Concern (Contraband in bed of State owned pickup trucks)	11/20/14	0120	Parking area in rear of RPC	NOD Notified.	RPC leadership to address these pickup trucks, and the problems with contraband in their beds, with Dept. of Conservation directly. See IR #756

STRATEGIC PERFORMANCE EXCELLENCE

EVENT	DATE	TIME	LOCATION	DISPOSTION	COMMENTS
16. Safety Concern (Contraband in bed of State owned pickup trucks)	12/3/14	0115	Parking area in rear of RPC	NOD notified.	Three State owned pickups had contraband in the bed, including metal, lumber, straps and bungee cords. See IR #763
17. Security Concern (Item stolen from employees vehicle)	12/10/14	0600	Employee Parking Lot	Building OPS Notified	Passenger side windshield wiper stolen from employee pickup truck. Nothing noted on cameras, PD not notified.
18. Safety Concern (Contraband items in bed of State owned pick up trucks)	12/24/14	0120	Parking area in rear of RPC	NOD notified.	Shovel, rake and bungee cords found in State owned pickup truck bed. See IR#774

STRATEGIC PERFORMANCE EXCELLENCE

Harbor Treatment Mall

Objectives	3Q2014	4Q2014	1Q2015	2Q2015
1. Hand-off communication sheet was received at the Harbor Mall within the designated time frame.	79% 33/42	71% 30/42	71% 30/42	76% 32/42
2. SBAR information completed from the units to the Harbor Mall.	81% 34/42	79% 33/42	81% 34/42	86% 36/42

Unit: All three units October, November, and December 2014
Accountability Area: Harbor Mall
Aspect: Harbor Mall Hand-off Communication
Overall Compliance: 81%

DEFINE: To provide the exchange of client-specific information between the client care units and the Harbor Mall for the purpose of ensuring continuity of care and safety within designated time frames.

MEASURE: Indicator number one has increased from 71% last quarter to 76% for this quarter. Indicator number two has increased from 81% last quarter to 86% this quarter.

ANALYZE: Overall compliance has increased from 77% last quarter to 81% for this quarter. Indicator number one increased, decreased and increased for the three months. Indicator number two decreased all three months. Ten HOC sheets were late for last quarter and this quarter. Continue to concentrate on both indicators to improve current performance gaps.

IMPROVE: Lisa Manwaring will review the results at Nursing Leadership.

CONTROL: The plan is to continue to monitor the data and follow up with any unit(s) who may be having difficulties in developing a consistent system that works for them to meet the objectives.

STRATEGIC PERFORMANCE EXCELLENCE

Health Information Technology (Medical Records)

Documentation and Timeliness

Indicators	2Q15 Findings	2Q15 Compliance	Threshold Percentile
Records will be completed within Joint Commission standards, state requirements and Medical Staff bylaws timeframes. *One record with no documented H&P located in paper record of EMR. See Closed chart audit for September for further details.*	There were 67 discharges. Of those, 67 were completed within 30 days.	100%	80%
Discharge summaries will be completed within 15 days of discharge.	66 out of 67 discharge summaries were completed within 15 days of discharge.	99%	100%
All forms/revisions to be placed in the medical record will be approved by the Medical Records Committee.	13 forms were approved/revised (see minutes).	100%	100%
Medical transcription will be timely and accurate.	Out of 823 dictated reports, 823 were completed within 24 hours.	100%	90%

Summary: The indicators are based on the review of all discharged records. There was 100% compliance with 30 day record completion. Weekly "charts needing attention" lists are distributed to medical staff, including the Medical Director, along with the Superintendent, Risk Manager and the Quality Improvement Manager. There was 100% compliance with timely and accurate medical transcription services.

Actions: Continue to monitor.

STRATEGIC PERFORMANCE EXCELLENCE

Health Information Technology (Medical Records)

Confidentiality

Indicators	2Q15 Findings	2Q15 Compliance	Threshold Percentile
All client information released from the Health Information department will meet all Joint Commission, State, Federal & HIPAA standards.	4,487 requests for information (163 requests for client information and 4,324 police checks) were released.	100%	100%
All new employees/contract staff will attend confidentiality/HIPAA training.	14 new employees/contract staff.	100%	100%
Confidentiality/Privacy issues tracked through incident reports.	0 privacy-related incident report during.	100%	100%

Summary: The indicators are based on the review of all requests for information, orientation for all new employees/contract staff and confidentiality/privacy-related incident reports.

No problems were found in 2Q2015 related to release of information from the Health Information department and training of new employees/contract staff, however compliance with current law and HIPAA regulations need to be strictly adhered to requiring training, education and policy development at all levels.

Actions: The above indicators will continue to be monitored.

STRATEGIC PERFORMANCE EXCELLENCE

Health Information Technology (Medical Records)

Medical Record Compliance

Indicators	December 2014 Findings	Compliance	Threshold Percentile
All Progress notes are authenticated within 7 days	449 progress notes were created for December. Out of those 0 were not authenticated within 7 days.	100%	90%
Discharge Instructions are in a manner that the client and/or family member/caregiver understand.	20 closed records were reviewed, 17 of those included the discharge pharmacy labels, 16 were documented that medication teaching was completed in client friendly language at discharge.	80%	90%

Summary: Indicators are based on 100% of progress notes created per month. Physicians' progress notes are audited to ensure authentication is occurring within 7 days of availability in the EMR per RPC's Medical Record Completion Policy (MS.3.20).

The indicators for the Discharge Instructions (consolidated aftercare form) are based on 100% of discharges occurring each month over 4 consecutive months.

Actions: The above indicators will be reviewed for 4 consecutive months (beginning in January 2014) providing review yields 90% threshold or above per TJC corrective action plan.

Health Information Technology (Medical Records)

Discharge Instructions Process Improvement

Define:
The hospital provides written discharge instructions in a manner that the patient and/or patient's family member or caregiver can understand.

Measure:
Twenty discharges in December 2014 were reviewed. The consolidated aftercare forms are being utilized as a form of discharge instruction and accompanying the aftercare forms are the pharmacy labels which clearly define the medication, its frequency, and its use.

Analyze:
After review of 20 closed charts the following was discovered; 3 charts were missing discharge pharmacy labels, 4 charts were not documented that they were given in patient friendly language. A trend found is the lack of a patient signature or documentation as to why pages 2, 3 & 5 of the aftercare are not being signed by the patient/guardian for acknowledgement.

- No pharmacy labels and no patient friendly language selected. Old version of aftercare used. (Pt. discharged to group home)
- No pharmacy labels found (Pt. discharged to Jail)
- No patient friendly language documented as well as no Pt. signature (Pt. discharged home)
- Missing page 5 of aftercare (Pt. discharged home)
- No pharmacy labels. No Pt. or SW signature on Pgs. 2 or 3 (Pt. discharged to home)
- No patient friendly language documented (Pt. discharged to jail)

Improve:
Improvements could be made by assessing the discharge process to ensure pharmacy labels are being created for all patients leaving the facility with medications. Improvement could be made by utilizing typed formats. A "page four of the aftercare" has been created and implemented as a work type in Meditech. All providers have access to use that and are encouraged to do so. Also, as we utilize the aftercare format as the discharge instruction it has been made available as a fillable form electronically. **Please note the use of abbreviations is strongly discouraged in the discharge instructions. Handwriting is also discouraged.**

Control:
100% of the closed records are being audited.

STRATEGIC PERFORMANCE EXCELLENCE

Health Information Technology (Medical Records)

Release of Information for Concealed Carry Permits

Define

The process of conducting background checks on applicants for concealed carry permits is the responsibility of the two State psychiatric hospitals. Clients admitted to private psychiatric hospitals, voluntarily or by court order, are not subject to this review. Delays in the processing of background checks has become problematic due to an increasing volume of applications and complaints received regarding delays in the processing of these requests

Analyze

Data collected for the 2Q2015 showed that we received 2094 applications. This is an increase from last quarter 1Q2015 when we received 1908 applications.

Improve

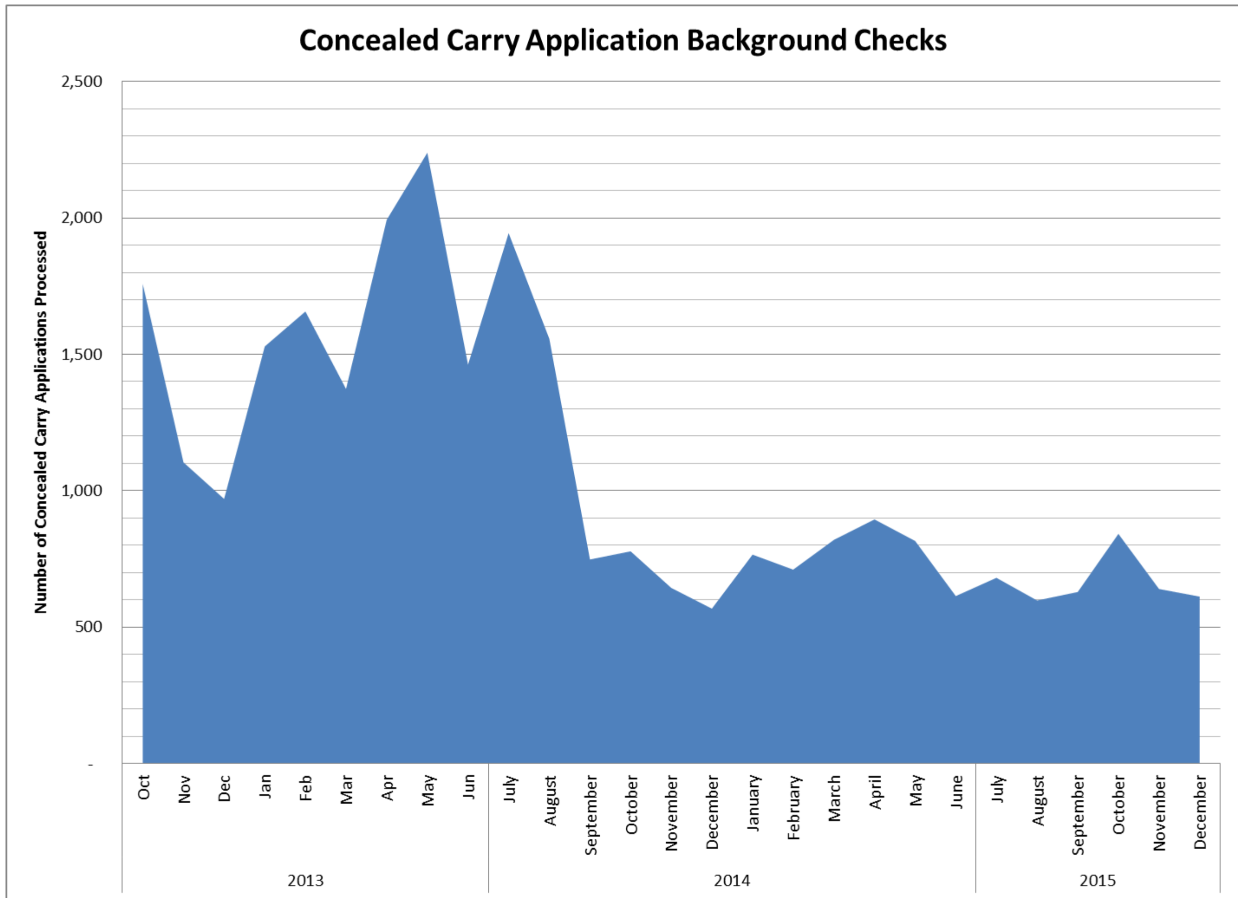
The process has been streamlined as we have been working with the state police by eliminating the mailing of the applications from them to RPC and DDPC. RPC has reactivated the medical records email to receive lists of the applicants from the state police that include the DOB and any alias they may have had. This has cut down on paper as well as time taken sorting all the applications.

NOTE: At the end of the reporting period, there were 0 police checks outstanding for Riverview Psychiatric Center. We are now processing requests for concealed weapons checks via an emailed listing from the State Police.

OIT has also created a new patient index in which we are in the process of consolidating sources we search into this one system. Over time this will decrease time spent searching as we will no longer have to search several sources. This is ongoing.

Year	FY 2014						FY 2015					
Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
# Applications Received	766	711	820	895	816	614	681	598	629	842	640	612

STRATEGIC PERFORMANCE EXCELLENCE



STRATEGIC PERFORMANCE EXCELLENCE

Human Resources

Define

Completion of performance evaluations according to scheduled due dates continues to be problematic.

Measure

Current results are consistently below the 85% average quarterly performance goal.

Analyze

A thorough analysis of the root causes for lack of compliance with this performance standard is indicated.

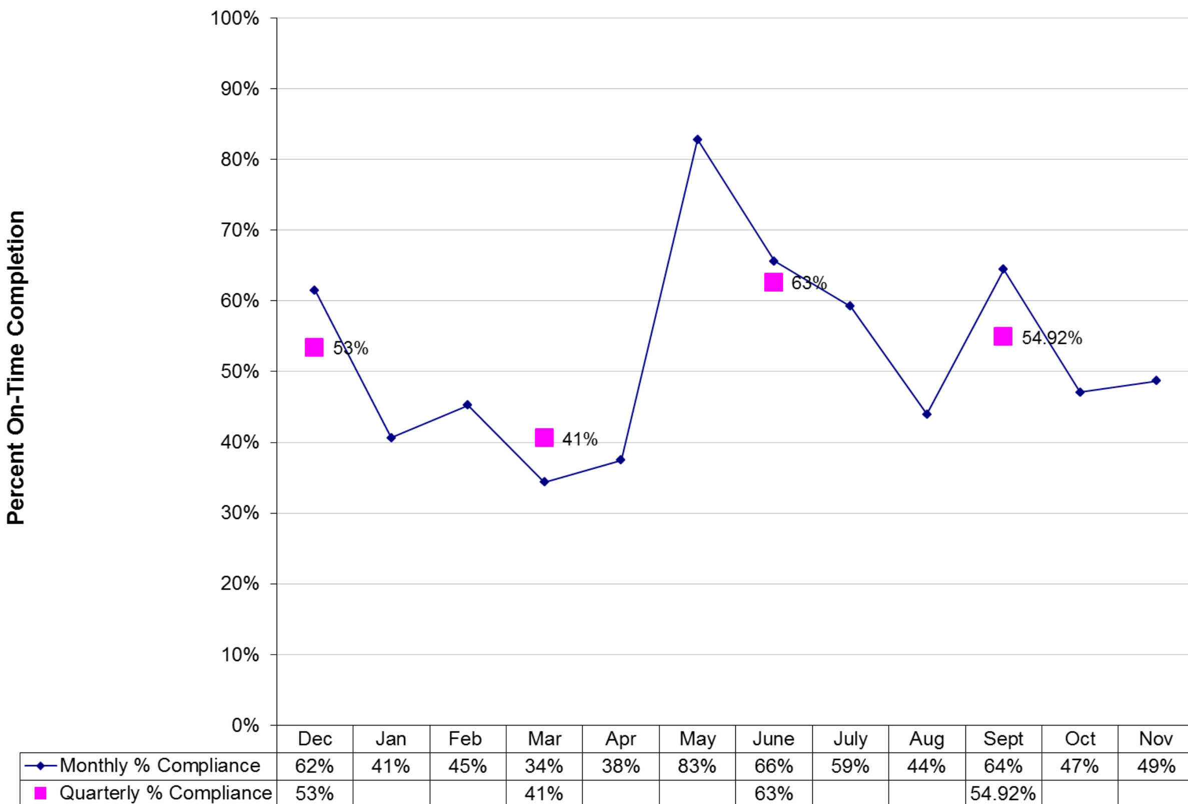
Improve

In the interim, the Personnel Director has begun the process of reporting to hospital leadership the status of performance evaluation completion at least monthly so follow-up with responsible parties can be accomplished.

Control

Plans to modify hospital performance evaluation goals for supervisory personnel will include the completion of subordinate performance evaluations in a timely manner as a critical supervisory function.

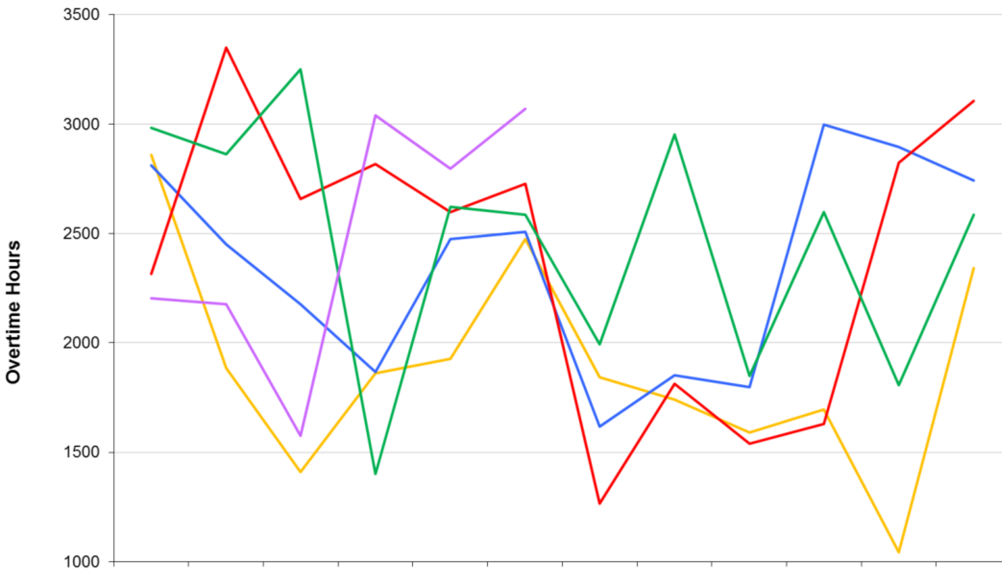
Performance Evaluation Compliance



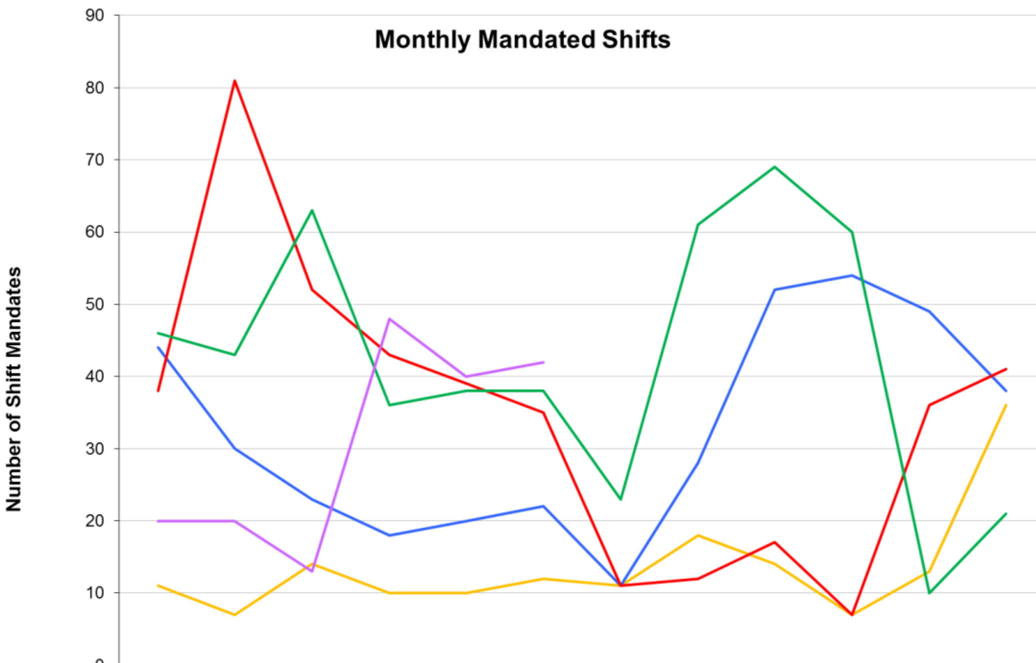
	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov
Monthly % Compliance	62%	41%	45%	34%	38%	83%	66%	59%	44%	64%	47%	49%
Quarterly % Compliance	53%			41%			63%			54.92%		

*Data not yet available for December 2014

STRATEGIC PERFORMANCE EXCELLENCE

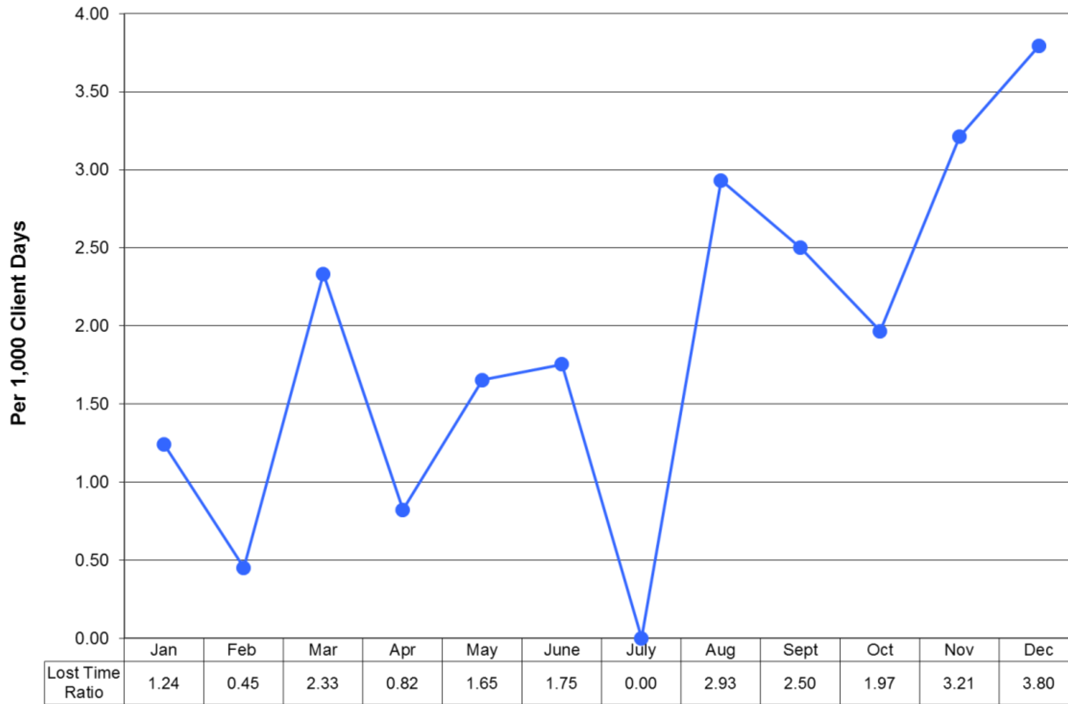


	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
FY 2011	2859	1885	1411	1860	1926	2474	1844	1740	1589	1697	1042	2342
FY 2012	2812	2451	2178	1868	2473	2507	1618	1853	1798	2999	2896	2743
FY 2013	2316	3350	2657	2817	2599	2726	1266	1812	1539	1629	2822	3106
FY 2014	2983	2861	3251	1400	2620	2586	1994	2954	1848	2599	1806	2586
FY 2015	2204	2177	1575	3040	2797	3070						

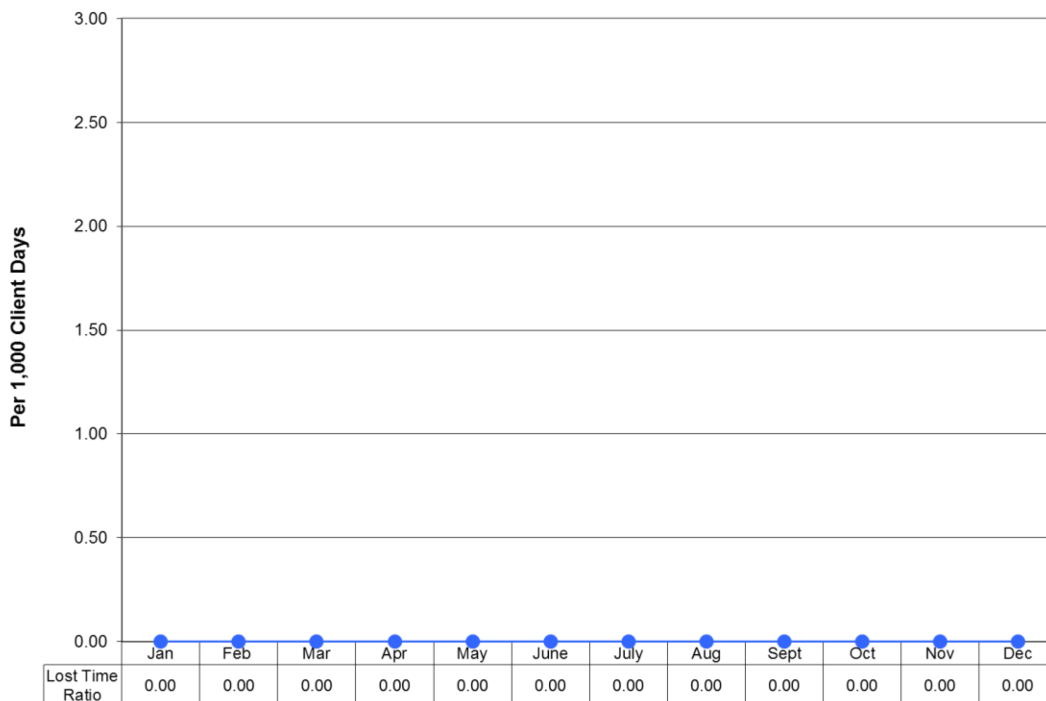


	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
FY 2011	11	7	14	10	10	12	11	18	14	7	13	36
FY 2012	44	30	23	18	20	22	11	28	52	54	49	38
FY 2013	38	81	52	43	39	35	11	12	17	7	36	41
FY 2014	46	43	63	36	38	38	23	61	69	60	10	21
FY 2015	20	20	13	48	40	42						

STRATEGIC PERFORMANCE EXCELLENCE



	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
Lost Time Ratio	1.24	0.45	2.33	0.82	1.65	1.75	0.00	2.93	2.50	1.97	3.21	3.80



	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
Lost Time Ratio	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

STRATEGIC PERFORMANCE EXCELLENCE

Medical Staff
Quality Improvement Plan
2014-2015

As specified in Article Seven of the Medical Staff Bylaws, the improvement and assurance of medical staff quality and performance is of paramount importance to the hospital. This plan insures that the standards of patient care are consistent across all clinical services and all specialties and categories of responsible practitioners. Through a combination of internal and external peer review, indicator monitoring, focused case reviews of adverse outcomes or sentinel events, routine case reviews of patients with less than optimal outcomes, and the establishment of performance improvement teams when clinical process problems arise, the medical staff will insure quality surveillance and intervention activities appropriate to the volume and complexity of Riverview's clinical workload. Medical Staff Quality Improvement efforts will be fully integrated with the hospital-wide Integrated Performance Excellence Committee (IPEC) so that information can be sent to and received from other clinical and administrative units of the hospital. The Clinical Director, assisted by the President of the Medical Staff, will serve as the primary liaison between the MEC and IPEC. Oversight of the Medical Staff Performance Improvement Plan is primarily delegated to the Clinical Director in conjunction with the President of the Medical Staff, the Director of Integrated Quality and Informatics, the Superintendent, and ultimately to the Advisory Board.

The goal of the Medical Staff Quality Improvement Plan is to provide care that is:

SAFE
EFFECTIVE
PATIENT CENTERED
TIMELY
EFFICIENT
EQUITABLE
DESIGNED TO IMPROVE CLINICAL OUTCOMES

To achieve this goal, medical staff members will participate in ongoing and systematic performance improvement efforts. The performance improvement efforts will focus on direct patient care processes and support processes that promote optimal patient outcomes. This is accomplished through peer review, clinical outcomes review, variance analysis, performance appraisals, and other appropriate quality improvement techniques.

1. **Peer Review Activities**:
   a. Regularly scheduled internal peer review by full time medical staff occurs on a monthly basis at the Peer Review and Quality Assurance Committee. The group of assembled clinicians will review case histories and treatment plans, and offer recommendations for possible changes in treatment plans, for any patient judged by the attending physician or psychologist, or others (including nursing, administration, the risk manager, or the Clinical Director) , and upon request, to not be exhibiting a satisfactory response to their medical, psychological, or psychiatric regimens. Our goal is to discuss a case monthly. Detailed minutes of these reviews will be maintained, and the effectiveness of the reviews will be determined by recording feedback from the reviewed clinician as to the helpfulness of the recommendations, and by subsequent reports of any clinical improvements or changes noted in the patients discussed over time. Such intensive case reviews can also serve as the generator of new clinical monitors if frequent or systematic problem areas are uncovered.

In addition all medical staff members (full and part-time) will have a minimum of one chart every other month peer reviewed and rated for clinical pertinence of diagnosis and treatment as well as for documentation. These may include admission histories and physicals, discharge summaries, and progress notes. The results of these chart audits are available to the reviewed practitioners and trends will be monitored by the Clinical Director as part of performance review and credentialing decisions.

b. Special internal peer review or focused review. At the direction of the Clinical Director a peer chart review is ordered for any significant adverse clinical event or significant unexpected variance. Examples would be a death, seclusion or restraint of one patient for eight or more continuous hours, patient elopement, the prescribing of three or more atypical antipsychotics for the same patient at the same time, or significant patient injury attributable to a medical intervention or error.

c. External peer review occurs regularly through contracts with the Maine Medical Association and the Community Dental Clinic program. We plan to continue our recent tradition of a biannual assessment of the psychiatry service and the medical service by peers in those clinical areas based on random record assessment of 25 cases in each service. An outside dentist from Community Dental will also review 20 charts of the hospital dentist for clinical appropriateness at least annually. Our contract with the Maine Medical Association also allows for special focused peer reviews of any unexpected death or when there is a question of a significant departure from the standard of care.

2. **MEC Subcommittee and IPEC Indicator Monitoring Activities**:

The subcommittees of the MEC and the Integrated Performance Excellence Committee are the primary methods by which the medical staff monitor and analyze for trends all hospital-wide quality performance data as well as trends more specific to medical staff performance. The subcommittees, in turn, report their findings on a monthly basis to the Medical Executive Committee and to the Clinical Director for any needed action. The respective committees monitor the following indicators:

a. Integrated Performance Excellence Committee (this is not a subcommittee of the Medical Staff but the Clinical Director serves as a member and is the primary liaison to the Medical Executive Committee).
   - Psychiatric Emergencies
   - Seclusion and Restraint Events
   - Staff or Patient Injuries
   - Priority I Incident Reports
   - Other clinical/administrative department monitoring activity

b. Pharmacy and Therapeutics Committee:
   - Medication Errors Including Unapproved abbreviations
   - Adverse Drug Reactions
   - Pharmacy Interventions
   - Antibiotic Monitoring
   - Medication Use Evaluations
   - Psychiatric Emergency process

c. Medical Records Committee:
   - Chart Completion Rate/Delinquencies
   - Clinical Pertinence of Documentation of Closed Records

d. Infection Control Committee:
   - Infection Rates (hospital acquired and community acquired)
   - Staff Vaccination Rates/Titers

e. Utilization Management Committee:
   - Admission Denials
   - Timeliness of Discharges After Denials

STRATEGIC PERFORMANCE EXCELLENCE

f. Peer Review and Quality Assurance Committee:
- Hospital-wide Core Measures and NASMHPD Data
- Patient Satisfaction Surveys
- Administrative concerns about quality
- Special quality improvement monitors for the current year (see also the Appendix and number 6 below).
- Reports from the Human Rights Committee regarding patient rights and safety issues
- Specific case reviews

3. **Performance or Process Improvement Teams**:
When requested by or initiated by other disciplines or by hospital administration, or when performance issues are identified by the medical staff itself during its monitoring activities, the Clinical Director will appoint a medical staff member to an ad hoc performance improvement team. This is generally a multidisciplinary team looking at ways to improve hospital wide processes. Currently the following performance improvement teams involving medical staff are in existence or have recently completed their reviews:
   a. Review of treatment plans
   b. Lower Saco Unit

4. **Miscellaneous Performance Improvement Activities**:
In addition to the formal monitoring and peer review activities described above, the Clinical Director is vigilant for methods to improve the delivery of clinical care in the hospital from interactions with, and feedback from, other discipline chiefs, from patients or from their complaints and grievances, and from community practitioners who interact with hospital medical staff. These interactions may result in reports to the Medical Executive Committee, in the creation of performance improvement teams, performance of a root-cause analysis, or counseling of individual practitioners.

5. **Reports of Practitioner-specific Data to Individual Practitioners**:
The office of the Clinical Director will provide confidential outcomes of practitioner-specific data to each medical staff member within 30 days of the end of the fiscal year. This information will be available without the necessity of the practitioner requesting it. It will be placed in the confidential section of the practitioner's medical staff file and freely accessible during normal business hours. The office of the Clinical Director will notify all medical staff members when the data is available for review. Each medical staff member may discuss the data with the Clinical Director at any time.

6. **Process to amend the quality improvement plan, including adding or deleting any monitors or processes:**
Upon the recommendation of the Clinical Director, upon recommendation of the MEC as a whole after a request from any member of the medical staff, from a recommendation of the Integrated Performance Excellence Committee, or upon recommendation of the Advisory Board, this plan may be amended with appropriate approvals at any time. Examples of when amendments might be necessary are the detection of new clinical problems requiring monitoring or when it is discovered that current monitors are consistently at or near target thresholds for six consecutive months. Should the number of active clinical monitors fall below four at any time, replacement monitors will be activated within two months of termination of the previous monitor (s). The Clinical Director, the Medical Staff President, and the MEC are jointly responsible for maintaining an active monitoring system at all times and to insure that all relevant clinical service areas or services are involved in monitoring. The Director of Integrated Quality will also assist in assuring the ongoing presence of appropriate monitors.

STRATEGIC PERFORMANCE EXCELLENCE

Quality Improvement Reporting Schedule to
Medical Executive Committee

IPEC:	Med. Director reports monthly
Pharmacy & Therapeutics Committee:	Chair reports monthly
Medical Records Committee:	Chair reports monthly
Infection Control Committee:	Chair reports monthly
Utilization Management Committee:	Chair reports bi-monthly
Medical Executive Committee Direct Indicators:	Clinical Director reports monthly, directly to individual provider and to the MEC
Internal Peer Review outcomes:	Clinical Director reports monthly to the Med Staff QA and Peer Review Committee, to the MEC, and to individual practitioners as necessary

STRATEGIC PERFORMANCE EXCELLENCE

APPENDIX

October, 2014

MEDICAL STAFF PHARMACY INDICATORS

MULTIPLE ANTI-PSYCHOTICS DURING HOSPITALIZATION: We continue the indicator looking at multiple antipsychotic prescriptions during the hospitalization. This performance improvement indicator has resulted in a 10 percent to 20 percent drop of multiple antipsychotic prescribing. In addition, as of the latest performance improvement meeting, no patients in the hospital are on three or more antipsychotic medications. Further, medical staff have been educated and reminded of the intent to minimize the number of people being discharged on more than one antipsychotic and that, when this occurs, it should be for one of the approved indications; i.e., three or more monotherapy trials, cross titration, or adjunctive treatment with Clozaril.

METABOLIC MONITOR: generation antipsychotics, completion of the database resulted in discussion and decision that medical staff education was the next appropriate intervention. On September 17, 2014, Miranda Cole Ph.D., Pharmacist, presented to the medical staff a monogram entitled 'Metabolic Monitoring for Patients on Antipsychotic Medications'. The response from medical staff was very positive and the upshot will be a further meeting between Dr Cole and Dr Kirby to operationalize the material discussed into a performance improvement indicator. Baseline indicates that we are 55 percent to 60 percent compliant with ensuring that our patients meet the current recommendations for metabolic monitoring. Decisions to be made include: responsibility for this testing between psychiatry and primary care physicians; whether waist circumference, a more accurate measure of metabolic problems, will be incorporated; and a decision as to when the annual monitoring for longer term patients should occur. It is hoped at October's performance improvement meeting that a suitable indicator will have been formulated at that time, and clearly it is hoped we can readily display marked improvement over our baseline.

ANTIBIOTIC PRESCRIBING: We have achieved 100 percent compliance for over 4 months with the new antibiotic order forms. This part of the performance indicator is appropriately concluded. Discussion as to whether appropriate choice of antibiotic, when necessary, should be a performance improvement indicator was discussed; however, feedback from the non-psychiatric physicians in the hospital indicated that there would be little to be gained from such a monitor as the vast majority of antibiotic choice is appropriate based on the new system. With this monitor ending, creation of a new performance improvement monitor in the pharmacy category will be discussed and implemented, again starting at the next performance improvement meeting.

PROPOSED INDICATOR - PATIENTS ON EXTREME NUMBERS OF MEDICATIONS: The monitor will focus on individuals in the hospital who are on a multitude of medications and a decision as to whether to review all patients who are one or two standard deviations above the norm will be taken when the initial data has been gathered.

ORDERS ENDING PSYCHIATRIC EMERGENCIES: Finally, a performance improvement indicator, which is run by pharmacy of direct relevance to medical staff, is ensuring that an order to end a psychiatric emergency is placed on the chart and that the emergency is not simply allowed lapse after 72 hours. Initial figures indicate that we are at a 50 percent success rate on this issue at baseline and we are monitoring the response to both e-mail and face-to-face medical staff education.
With the creation of the database looking at necessary metabolic monitoring for individuals on second-

STRATEGIC PERFORMANCE EXCELLENCE

PSYCHOLOGY FOCUSED MEDICAL STAFF PERFORMANCE IMPROVEMENT:

The COTREI, an evaluative tool for mental health acquitees, has been implemented on all inpatient NCR patients and has been carried out both by the psychiatric provider and a psychologist. Our next performance improvement indicator is to show evidence that information from this tool is incorporated into the treatment plans of all inpatients in the NCR recovery program. Dr. Kirby and Dr. DiRocco continue to meet to discuss implementation of the next phase of this indicator.

DENTAL CLINIC INDICATORS:

Dental clinic has now commenced two indicators. This occurred as a result of Dr. Kirby meeting with Dr. Ingrid Prikryl, the dentist in our clinic. Having reviewed the quality assurance and performance improvement indicators, explanation as to what performance improvement is and how it differs from, but is related to quality assurance was undertaken. Coming out of this discussion, four indicators were considered, two of which were found to be clearly appropriate for performance improvement monitoring. Both indicators are in the baseline data collection stage.

TOTAL PLAQUE SCORES: The first will be an evaluation of total plaque score on patients, followed by research with intervention and re-measurement for improvement in oral hygiene of the patient population attending the dental clinic. Research on improving hygiene in chronic psychiatric populations will be sought to define likely useful information to bring about such improvement.

PERIODONTAL CHARTING: The second issue relates to ensuring that periodontal charting by staff improves to a level ensuring that such charting occurs once a year. Currently, it appears from baseline documentation that the baseline may be starting out well below 50 percent and rapid improvement will be expected on this monitor.

FURTHER INDICATOR:

A further indicator has been added tracking the behavior of after-hours physician's assistant staff. With the engagement of our new lead physician's assistant for after-hours staff, Reid Kincaid, a monitor has been set up to look at and ensure appropriate signature of telephone orders by after-hours staff prior to leaving the building. This will be associated with the possibility, in extreme cases, that after-hours staff would lose the privilege to be able to give telephone orders, if they were not compliant with ensuring appropriate signatures by the end of their shift.

Medical Staff
Poly Antipsychotic Medication Monitoring

	October 2014	November 2014	December 2014
Census	111	98	107
Antipsychotic Orders for Clients			
No Antipsychotics	19 (17%)	15 (15%)	15 (14%)
Mono-antipsychotic therapy	72 (65%)	72 (73%)	72 (67%)
Two Antipsychotics	20 (18%)	11 (11%)	20 (19%)
Three Antipsychotics	0	0	0
Four Antipsychotics	0	0	0
At least 1 antipsychotic	92 (83%)	83 (85%)	92 (86%)
Total on Poly-antipsychotic therapy	20 (18%)	11 (11%)	20 (19%)
Percentage of poly-antipsychotic therapy amongst those with orders for antipsychotics	22% (20/92)	13% (11/83)	22% (20/92)
More than 2 antipsychotics	0	0	0
Poly-Antipsychotic therapy breakdown			
SGA + FGA	14 (70%)	8 (73%)	10 (50%)
2 SGAs (“Pine” + “Done”)	1 (5%)	2 (18%)	4 (20%)
Other (2 antipsychotic regimens)	5 (25%)	1 (9%)	6 (30%)
Other 2 Antipsychotic Regimen Details	1) Aripiprazole + quetiapine 2) Aripiprazole + paliperidone 3) Olanzapine + quetiapine 4) Pimozide + haloperidol 5) Fluphenazine + chlorpromazine	1) Aripiprazole + paliperidone	1) Aripiprazole + quetiapine (x2) 2) Aripiprazole + paliperidone 3) Aripiprazole + olanzapine 4) Haloperidol + chlorpromazine 5) Olanzapine + quetiapine
3+ Antipsychotic Regimens	N/A	N/A	N/A
Justifiable Poly-Antipsychotic Therapy	99%	100%	70% **

SGA = Second Generation Antipsychotic; FGA = First Generation Antipsychotic; “Pines” = clozapine, olanzapine, quetiapine, asenapine; “Dones” = risperidone, paliperidone, ziprasidone, lurasidone, iloperidone; prn = as needed; AP = Antipsychotic

STRATEGIC PERFORMANCE EXCELLENCE

Data Collection

All medication profiles in the hospital were reviewed for the months of October, November, and December. We were particularly interested in the proportion of patients who were receiving more than one antipsychotic medication, since practice guidelines by the American Psychiatric Association clearly discourage this practice. When a case of polypharmacy was encountered we further required the prescriber to justify the practice based on pre-agreed upon clinical elements required to make the justification.

Findings

Over the quarter we found that about 85% of patients were receiving at least one antipsychotic medication. That is consistent with the findings from the last quarter. Of these patients, about 19%, a seven percent decrease from last quarter (26%), were receiving more than one such agent, and by definition was a case of polypharmacy. Within this overall percentage we noted that the individual percentages for each month are as follows: October (22%), November (13%) and December (22%). The percentage of individuals' prescribed poly-antipsychotic therapy has steadily decreased since January 2014 at 33% to November at 11%. December saw an increase back up to 22%, more consistent with the observed changes over the year and with October's results. We are unsure as to what the potential cause(s) of the low percentage for November would be. No patients during any month of the quarter were prescribed more than 2 antipsychotics (This is 5 consecutive months). November was the only month all regimens were justified appropriately according to the HBIPS-5 and clinically/pharmacologically. October was close at 99% of the regimens being appropriately justified. However, December dipped to 70% justifiable regimens. Six of the 20 instances of poly-antipsychotic therapy did not have a justification provided. Taking a closer look at these we were able to identify that psychiatrists new to RPRC were common in all instances. These providers are less familiar with this monitor and will be provided education to improve performance.

Analysis

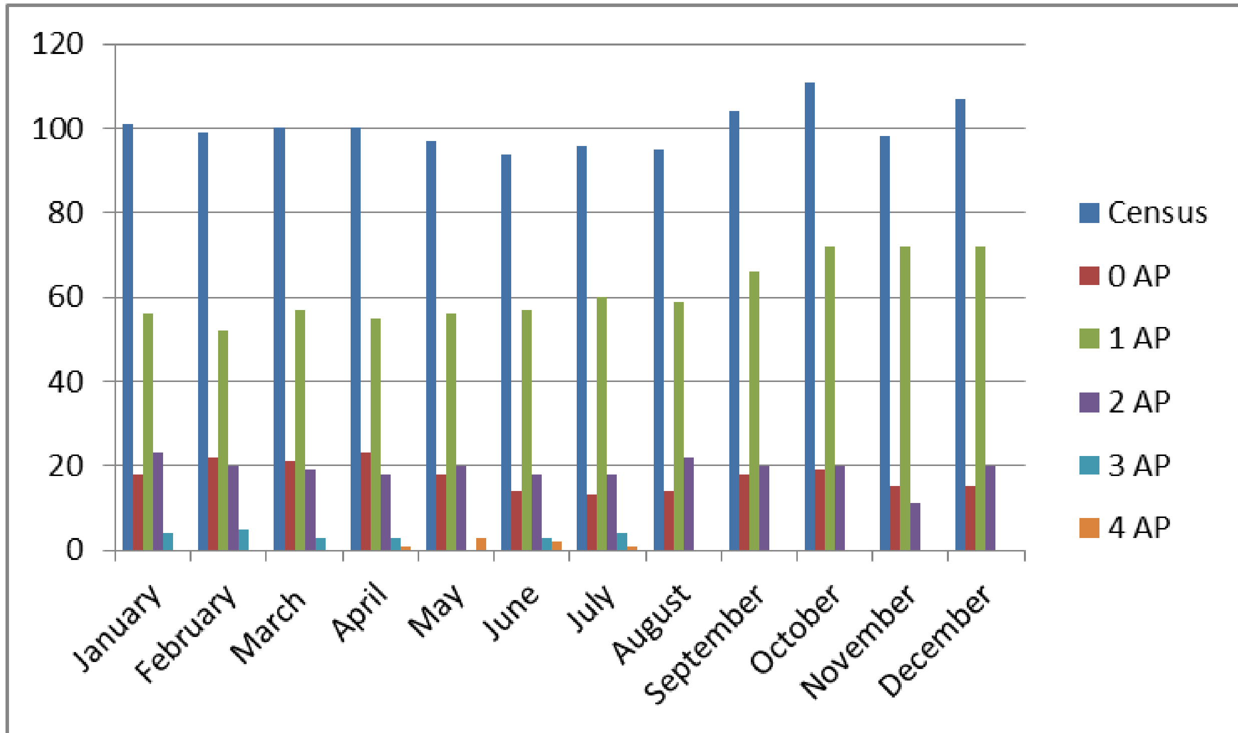
We have maintained the improved performance with this monitor through November, reaching our goal of above 90% each month. We fell short in December at 70%, likely due to unintentional shortcomings of education for new psychiatrists on justification of poly-antipsychotic therapy. The average for the quarter is, still at goal, at 90% of justified poly-antipsychotic therapy. No patients have been prescribed more than 2 antipsychotics in over 5 months.

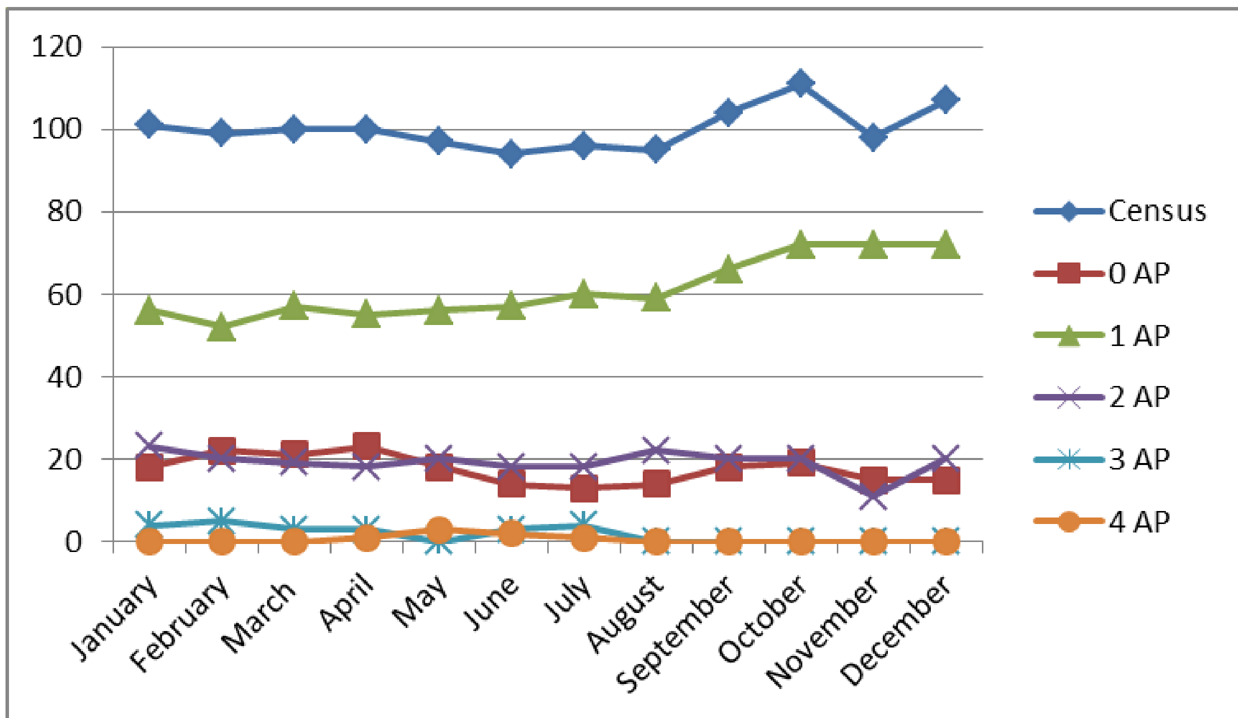
Plan

We will continue to monitor poly-antipsychotic therapy for another quarter since appropriate antipsychotic prescribing is both a common task in the hospital as well as one fraught with many potential negative sequellae. We will provide extra education to the new psychiatrists regarding this monitor and providing justification for the use of multiple antipsychotic medications. Training and education on this monitor will become part of the information received in orientation for new psychiatrists. We will continue to notify prescribers electronically of patients with multiple antipsychotic orders both on admission and with new orders. We will continue to prospectively gather data on poly-antipsychotic therapy and follow-up with prescribers regarding the documented plan of action. It is our goal to continue this pattern of justified poly-antipsychotic therapy and zero occurrences of more than two antipsychotics prescribed at the same time.

STRATEGIC PERFORMANCE EXCELLENCE

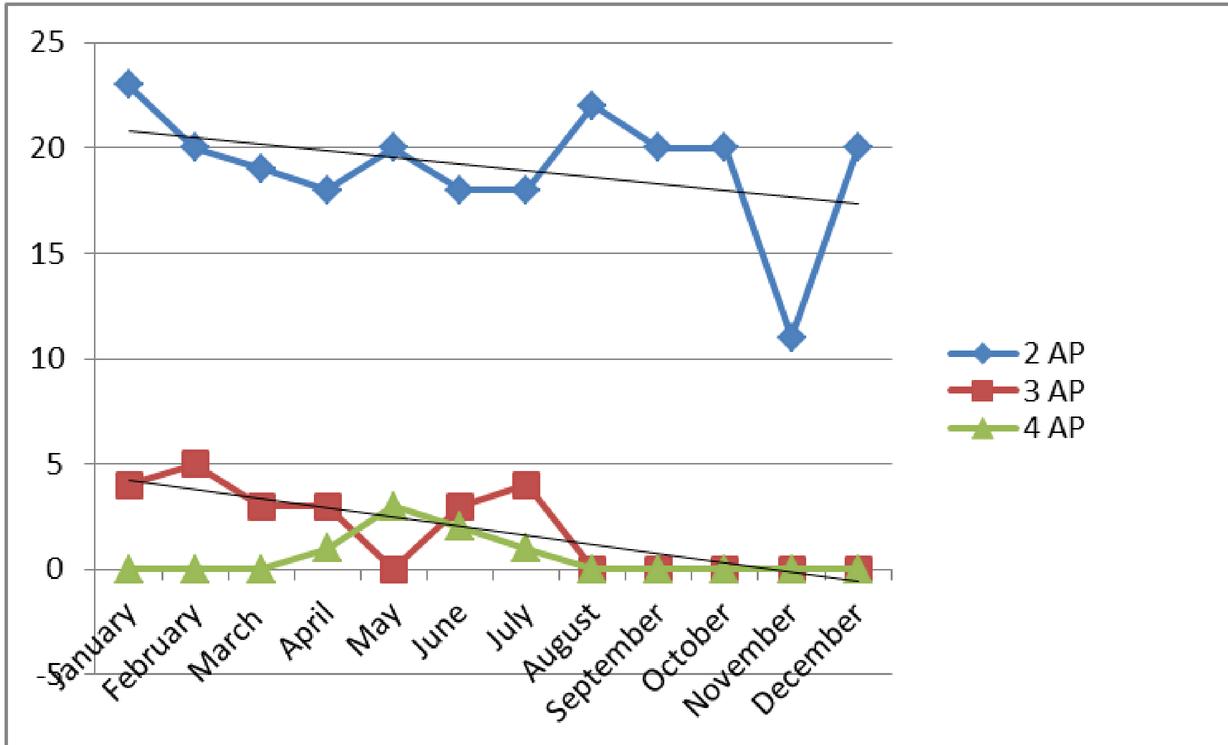
Census & Number of Patients with 0, 1, 2, 3, & 4 Orders for Antipsychotics





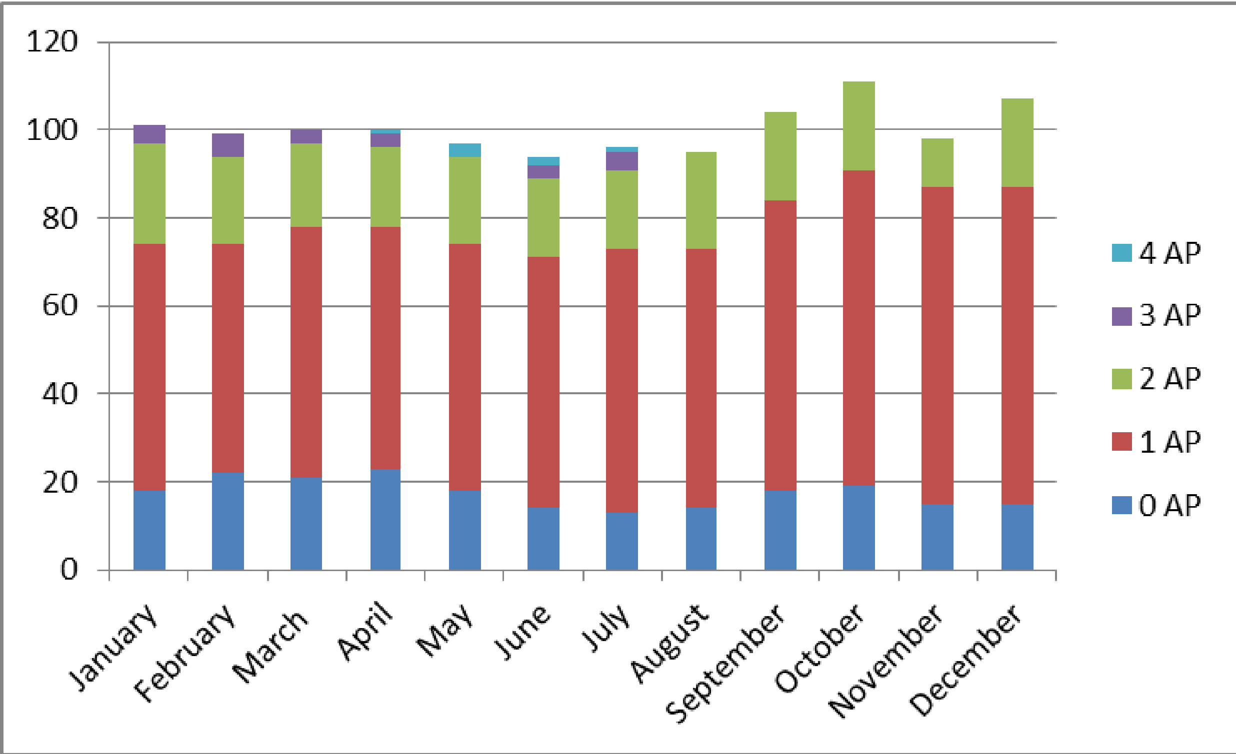
STRATEGIC PERFORMANCE EXCELLENCE

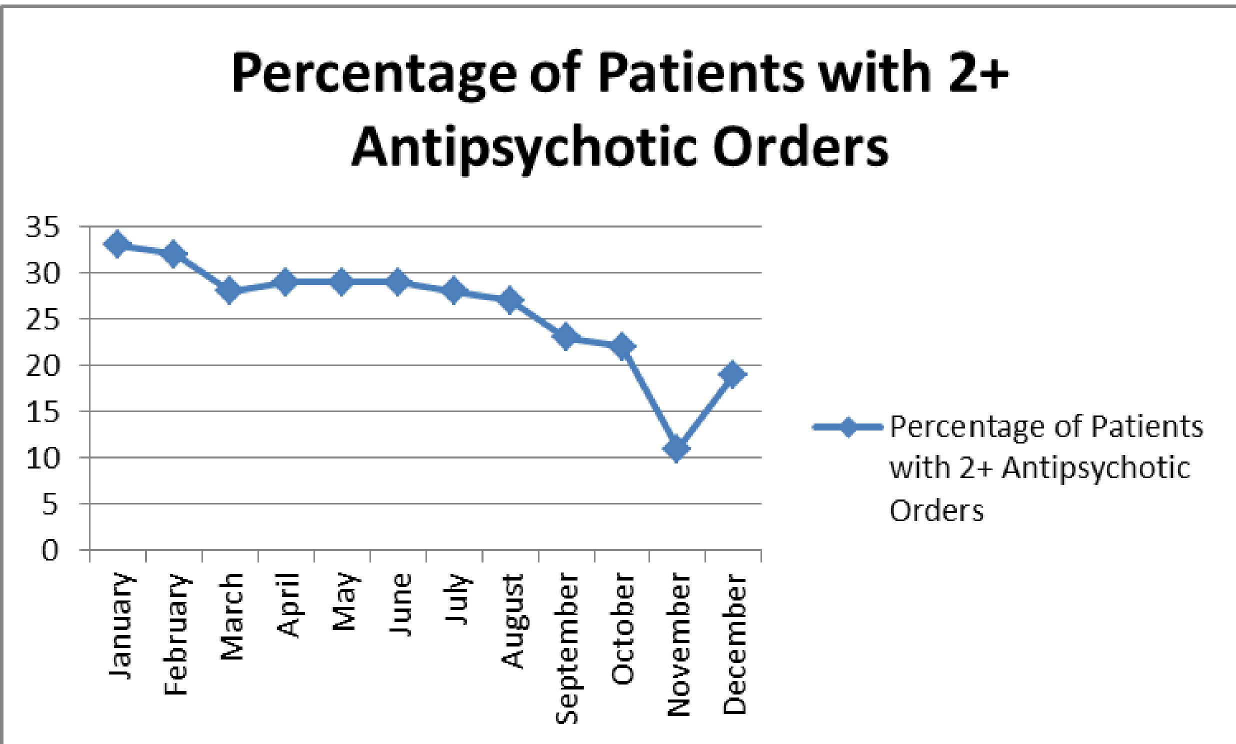
Number of Patients with 2+ Antipsychotic Orders per Month



STRATEGIC PERFORMANCE EXCELLENCE

Number of Concurrent Antipsychotic Orders Per Patient Per Month





Medical Staff
Metabolic Monitoring of Atypical Antipsychotics

Data Collection
The pharmacy completed data collection of metabolic monitoring parameters for all patients in the hospital who were receiving atypical antipsychotics during the quarter. Data elements collected on all patients included BMI (Body Mass Index) and BP (blood pressure) plus lab results including HDL cholesterol, triglycerides, fasting blood sugar, and hemoglobin A1c. This is the first data collection period after education was provided to the medical staff on Metabolic Monitoring on September 17, 2014. It was expected that our result improved this month with the addition of the education session.

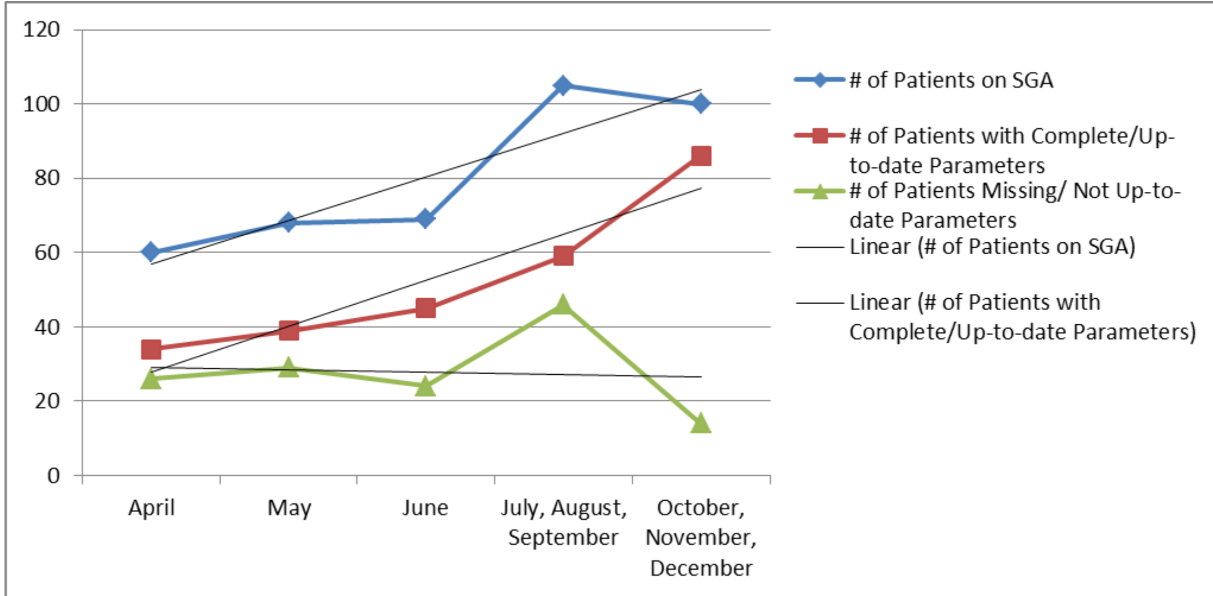
Findings
During the monitoring period there were 100 patients receiving at least one atypical antipsychotic agent. Data was completely recorded for all desired data elements for about 86% of patients prescribed second generation antipsychotics for the quarter. This is a great improvement compared with last quarters report of 56%. Only 7 patients (7%) were missing enough data elements that their metabolic status was unable to be determined. Of the 14 patients with missing metabolic parameters, about half (43%) refused measurement of the parameter, for the 8 remaining patients it is unclear whether the patients refused, the measurements were not ordered, or the patient had them obtained prior to their admission to RPC. As shown in the charts below, the majority of missing parameters require lab work (Glucose, A1c, HDL, Triglycerides) and it is missing for mostly new admissions. There were no missing weights or blood pressure readings this quarter except for one patient that declines these measures. The 4 patients without a Hemoglobin A1c also do not have a documented fasting blood glucose.

Medical Staff Performance Improvement Indicator:
Metabolic Monitoring 2014

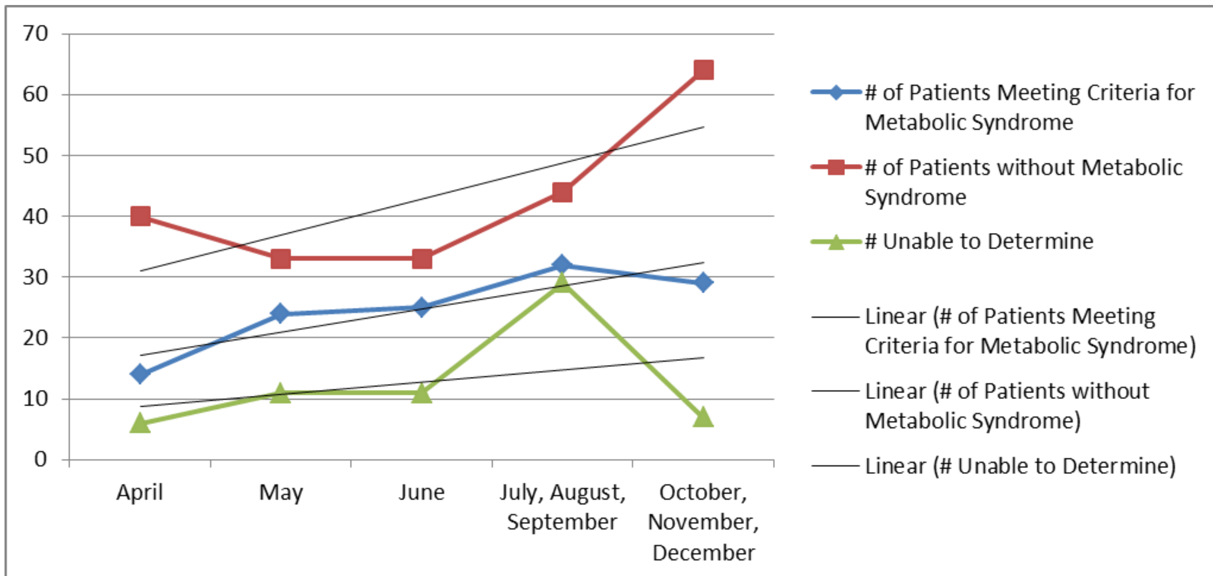
	April 2014	May 2014	June 2014	July-September 2014	October-December 2014
# of Patients on SGA	60	68	69	105	100
# of Patients with Complete/Up-to-date Parameters	34 (57%)	39 (57%)	45 (65%)	59 (56%)	86 (86%)
# of Patients Missing/ Not Up-to-date Parameters	26 (43%)	29 (43%)	24 (35%)	46 (44%)	14 (14%)
# of Patients Meeting Criteria for Metabolic Syndrome	14 (23%)	24 (35%)	25 (36%)	32 (30%)	29 (29%)
# of Patients without Metabolic Syndrome	40 (67%)	33 (49%)	33 (48%)	44 (42%)	64 (64%)
# Unable to Determine	6 (10%)	11 (16%)	11 (16%)	29 (28%)	7 (7%)

STRATEGIC PERFORMANCE EXCELLENCE

Collection of Monitoring Parameters



Evaluation of Metabolic Parameters



STRATEGIC PERFORMANCE EXCELLENCE

Missing Parameters by Unit and Current Patient vs. New Admission

Missing Parameter	Total	Current Patients	New Admissions	Lower Kennebec	Lower Saco	Upper Kennebec	Upper Saco
Weight	1	1	0	0	0	0	1
Blood Pressure	1	1	0	0	0	0	1
Glucose	4	1	3	1	2	0	1
HDL	14	6	8	5	6	2	1
Triglycerides	13	6	7	4	6	2	1
Hemoglobin A1c (also missing Glucose or glucose levels warrant A1c level)	4	1	3	1	2	0	1
Hemoglobin A1c (Total)	1	1	0	0	0	0	1

Documented Refusals – 6 (43% of the patients with incomplete information)

Analysis

We are still below our target of 95% of patients on atypical antipsychotics having a complete metabolic profile available to the pharmacist and to the medical staff. However, this quarter's results show a drastic improvement in the collection and documentation of metabolic parameters. Excluding the patients with documented refusals the Medical Staff has obtained and documented metabolic parameters for about 91% - 92% of all patients on second generation antipsychotics.

Plan

Going forward, our plan will be to continue the improvement in metabolic monitoring in the hopes of collecting the monitoring parameters for those few patients still missing information in order to best evaluate the safety of these medications. We will review the recommended metabolic monitoring frequency for each client to optimize the monitoring and prevent unnecessary lab work. We will continue to monitor the data elements of metabolic monitoring for each client prescribed a second generation antipsychotic. We will also continue to refine and improve our data entry. We will explore the concept of a metabolic clinic to better assess, identify, monitor, educate and treat clients at risk for metabolic syndrome. We will work to develop a schedule for blood draws for monitoring and perhaps add an order-set for lab work for patients prescribed second generation antipsychotics. We will utilize the APA and ADA guidelines to determine each client's recommended frequency of monitoring. We will explore the literature to determine action steps once a client is identified as having metabolic syndrome. We will collaborate with the Medical Staff on a notification process to alert them of when a patient is due or delinquent with metabolic monitoring.

STRATEGIC PERFORMANCE EXCELLENCE

Medical Staff
Polytherapy Monitoring

Data Collection

Polytherapy is defined as “combined treatment of multiple conditions with multiple medications”. This differs from polypharmacy, the “treatment of a single condition with multiple medications from the same pharmacologic class or with the same mechanism of action” which our other monitor, Poly-antipsychotic therapy, addresses. Polypharmacy can lead to complex medication regimens and increases the chances of drug-drug interactions potentially negatively impacting or inhibiting another drug from exerting it intended therapeutic effect. When five or more medications are taken together there is almost a 100% chance of a drug-drug interaction. We have assessed a baseline group of patients with regards to their total number of medications prescribed and further broken it down to number of scheduled medications and number of PRN or “as needed” medications. Each month the patient medication profiles with the highest total number of medications for each unit will be reviewed at the Peer Review Committee to assess the potential for eliminating unnecessary medications. The number of actual profiles reviewed each month will be dependent on time constraints and presence/availability of the patient’s Psychiatric and Medical providers.

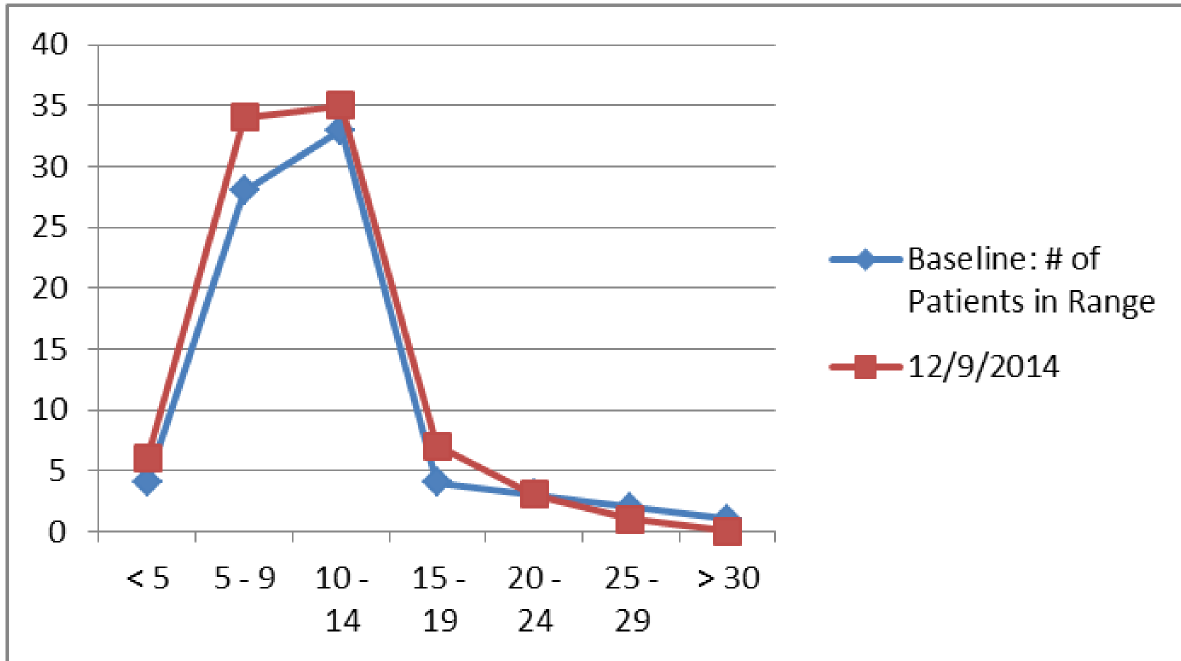
Findings

At baseline 78 patients were evaluated for their total number of medications prescribed, their total number of scheduled medications and their total number of PRN orders. At the November 18th meeting only one profile was able to be reviewed. On December 9th, just prior to the second Peer Review Committee Meeting, after the initiation of this monitor, the data was collected again on the numbers of orders for each patient. This time the census was 86 patients. A small, but noticeable, shift towards fewer medications orders per patient was observed. The average number of orders per patient decreased by 1 medication (11.4 to 10.4). The average number of scheduled medications per patient decreased from 5.5 to 4.7. The average number of PRN (as needed) medication orders per patient remained at 6. However, the max number of PRN orders in the range decreased from 22 to 11. All max numbers in the ranges for total, scheduled and PRN orders decreased. At the December 16th meeting, the original profile reviewed saw a decrease in total of number of medication orders from 21 to 11 (Scheduled orders decreased from 7 to 5 and PRNs from 14 to 7). Two other profiles were reviewed (total orders: 29;16). The Peer Review Committee attendees agreed that information on PRN usage would be more helpful to determine the necessity of PRN medication orders to remain on the profile for some patients.

	Baseline Average	Baseline Range		12/9/14 Average	12/9/14 Range
Total Orders	11.4	4 - 37		10.4	0 - 29
Scheduled	5.5	0 - 21		4.7	0 - 18
PRNs	6	1 - 22		6	0 - 11

Medication Number Range	Number of Patients (Baseline)	12/9/2014
< 5	4	6
5 – 9	28	34
10 – 14	33	35
15 – 19	4	7
20 – 24	3	3
25 – 29	2	1
> 30	1	0

STRATEGIC PERFORMANCE EXCELLENCE



Plan

Our plan is to continue to review patients with numerous medication orders at the monthly Peer Review Committee Meeting. An effort will be made to obtain more information on medication adherence and PRN usage for the patients reviewed. This monitor will be reported and discussed with the Medical Staff at the Peer Review and Pharmacy & Therapeutics (P&T) Committees.

Nursing

INDICATOR

Mandate Occurrences

DEFINITION

When no volunteers are found to cover a required staffing need, an employee is mandated to cover the staffing need according to policy. This creates difficulty for the employee who is required to unexpectedly stay at work up to 16 hours. It also creates a safety risk.

OBJECTIVE

Through collaboration among direct care staff and management, solutions will be identified to improve the staffing process in order to reduce and eventually eliminate mandate occurrences. This process will foster safety in culture and actions by improving communication, improving staffing capacity, mitigating risk factors, supporting the engagement and empowerment of staff. It will also enhance fiscal accountability by promoting accountability and employing efficiency in operations.

THOSE RESPONSIBLE FOR MONITORING

Monitoring will be performed by members of the Staffing Improvement Task Force which includes representation of Nurses and Mental Health Workers on all units, Staffing Office and Nursing Leadership.

METHODS OF MONITORING

Monitoring would be performed by;

- Staffing Office Database Tracking System

METHODS OF REPORTING

Reporting would occur by one or all of the following methods;

- Staffing Improvement Task Force
- Nursing Leadership
- Riverview Nursing Staff Communication

UNIT

Mandate shift occurrences

BASELINE

September 2013: Nurse Mandates 14 shifts, Mental Health Worker Mandates 49 shifts

MONTHLY TARGETS

10% reduction monthly x4 from baseline

Nursing Department Mandates

Staffing Improvement Task Force

Mandate Occurrences: When no volunteers are found to cover a required staffing need, an employee is mandated to cover the staffing need according to policy.

	New Baseline Sept 2013	FY14 Q3			FY14 Q4			FY15 Q1			FY15 Q2			Goal
		Jan 2014	Feb 2014	Mar 2014	Apr 2014	May 2014	June 2014	July 2014	Aug2014	Sep 2014	Oct 2014	Nov 2014	Dec 2014	
Nursing Mandates	14	3	12	15	21	2	8	4	2	1	3	1	4	10% reduction monthly x4 from baseline)
Mental Health Worker (MHW) Mandates	49	20	49	54	39	8	13	16	18	12	45	39	38	10% reduction monthly x4 from baseline)

Nursing mandates increased from 7 last quarter to 8 this quarter.
MHW mandates increased from 46 last quarter to 122 this quarter.

Summary:

After two years we are back to where we started with mandates and overtime. There are several known reasons for this. A significant number of workers out of work due to patient induced injury. For the past quarter, we have had between 15 to 22 staff members a week not at work due to workers compensation, FML or vacation time, with workers compensation being the largest portion of the vacancies.

In an attempt to improve the staffing, the hospital has offered 12 hours shifts to nurses and MHWs. Flex schedules have also been implemented to improve morale and increase staffing when needed. We continue to utilize approximately 3 contract nurses for a thirteen week period and then re-evaluate the need. RPC has a per diem pool of nurses contracted through Maine Staffing. Most recently RPC split a MHW block to accommodate two MHWs who wanted to remain working but were not able to commit to a 40 hour work week. Another incentive was a $3.00 an hour stipend to RNs to encourage recruitment and retention. Unit based staffing is another idea being considered for staff morale and improvement.

STRATEGIC PERFORMANCE EXCELLENCE

Nursing Department Initial Chart Compliance

October & November 2014
Lower Kennebec

Indicator	Findings	Compliance
1. Universal Assessment completed by RN within 24 hours	24 of 24	100%
2. All sections completed or deferred within document	24 of 24	100%
3. Initial Safety Treatment Plan initiated	24 of 24	100%
4. All sheets required signature authenticated by assessing RN	24 of 24	100%
5. Medical Care Plan initiated if Medical problems identified	16 of 24 7 n/a 1 ref.	100%
6. Informed Consent sheet signed	20 of 24 2 ref. 1 unable 1 loc.	100%
7. Potential for violence assessment upon admission	24 of 24	100%
8. Suicide potential assessed upon admission	24 of 24	100%
9. Fall Risk assessment completed upon admission	24 of 24	100%
10. Score of 5 or above incorporated into problem need list	4 of 24 20 n/a	100%
11. Dangerous Risk Tool done upon admission	24 of 24	100%
12. Score of 11 or above incorporated into Safety Problem	7 of 24 17 n/a	100%
13. Evidence that clients are routinely informed of their rights upon admission in accordance with ¶ 150 of the settlement agreement is found in the document of the charts reviewed.	21 of 24 2 ref. 1 unable	100%
14. Medication Reconciliation @ time of admission includes all medications (medical & psychiatric)	24 of 24	100%

STRATEGIC PERFORMANCE EXCELLENCE

Nursing Department Initial Chart Compliance

December 2014
Lower Kennebec

Indicator	Findings	Compliance
1. RN Assessments completed within 24 hours	14 of 14	100%
2. All sheets requiring signature authenticated by assessing RN	14 of 14	100%
3. Interim plan of care initiated within 8 hours and completed within 24 hours	14 of 14	100%
4. Medical Care Plan if medical problems are identified initiated within 24 hours	2 of 14 12 n/a	100%
5. Suicide potential assessed upon admission (TASR)	14 of 14	100%
6. Informed consent Sheet signed	14 of 14	100%
7 Potential for violence assessed upon admission	14 of 14	100%
8. Fall Risk assessed upon admission	14 of 14	100%
9. Score of 6 or above incorporated into problem need list	4 of 14 10 n/a	100%
10. Dangerous Risk Tool done upon admission	14 of 14	100%
11. Score of 11 or above incorporated into Safety Problem	9 of 14 5 n/a	100%
12. Evidence of informed of their rights documentation	14 of 14	100%
13. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	14 of 14	100%

Nursing Department Initial Chart Compliance

October & November 2014
Upper Kennebec

Indicator	Findings	Compliance
1. Universal Assessment completed by RN within 24 hours	2 of 2	100%
2. All sections completed or deferred within document	2 of 2	100%
3. Initial Safety Treatment Plan initiated	2 of 2	100%
4. All sheets required signature authenticated by assessing RN	2 of 2	100%
5. Medical Care Plan initiated if Medical problems identified	1 of 2 1 n/a	100%
6. Informed Consent sheet signed	1 of 2 1 ref.	100%
7. Potential for violence assessment upon admission	2 of 2	100%
8. Suicide potential assessed upon admission	2 of 2	100%
9. Fall Risk assessment completed upon admission	2 of 2	100%
10. Score of 5 or above incorporated into problem need list	1 of 2 1 n/a	100%
11. Dangerous Risk Tool done upon admission	2 of 2	100%
12. Score of 11 or above incorporated into Safety Problem	2 n/a	100%
13. Evidence that clients are routinely informed of their rights upon admission in accordance with ¶ 150 of the settlement agreement is found in the document of the charts reviewed.	1 of 2 1 ref.	100%
14. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	2 of 2	100%

Nursing Department Initial Chart Compliance

December 2014
Upper Kennebec

Indicator	Findings	Compliance
1. RN Assessments completed within 24 hours	1 of 1	100%
2. All sheets requiring signature authenticated by assessing RN	1 of 1	100%
3. Interim plan of care initiated within 8 hours and completed within 24 hours	1 of 1	100%
4. Medical Care Plan if medical problems are identified initiated within 24 hours	1 of 1	100%
5. Suicide potential assessed upon admission (TASR)	1 of 1	100%
6. Informed consent Sheet signed	1 lacks capacity	100%
7 Potential for violence assessed upon admission	1 of 1	100%
8. Fall Risk assessed upon admission	1 of 1	100%
9. Score of 6 or above incorporated into problem need list	1 of 1	100%
10. Dangerous Risk Tool done upon admission	1 of 1	100%
11. Score of 11 or above incorporated into Safety Problem	1 of 1	100%
12. Evidence of informed of their rights documentation	1 lacks capacity	100%
13. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	1 of 1	100%

Nursing Department Initial Chart Compliance

October & November 2014
Lower Saco

Indicator	Findings	Compliance
1. Universal Assessment completed by RN within 24 hours	19 of 19	100%
2. All sections completed or deferred within document	19 of 19	100%
3. Initial Safety Treatment Plan initiated	19 of 19	100%
4. All sheets required signature authenticated by assessing RN	19 of 19	100%
5. Medical Care Plan initiated if Medical problems identified	7 of 19 12 n/a	100%
6. Informed Consent sheet signed	16 of 19 2 ref. 1 unable	100%
7. Potential for violence assessment upon admission	19 of 19	100%
8. Suicide potential assessed upon admission	19 of 19	100%
9. Fall Risk assessment completed upon admission	19 of 19	100%
10. Score of 5 or above incorporated into problem need list	2 of 19 17 n/a	100%
11. Dangerous Risk Tool done upon admission	19 of 19	100%
12. Score of 11 or above incorporated into Safety Problem	8 of 19 11 n/a	100%
13. Evidence that clients are routinely informed of their rights upon admission in accordance with ¶ 150 of the settlement agreement is found in the document of the charts reviewed.	15 of 19 3 ref. 1 unable	100%
14. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	19 of 19	100%

Nursing Department Initial Chart Compliance

December 2014
Lower Saco

Indicator	Findings	Compliance
1. RN Assessments completed within 24 hours	10 of 10	100%
2. All sheets requiring signature authenticated by assessing RN	10 of 10	100%
3. Interim plan of care initiated within 8 hours and completed within 24 hours	10 of 10	100%
4. Medical Care Plan if medical problems are identified initiated within 24 hours	3 of 10 7 n/a	100%
5. Suicide potential assessed upon admission (TASR)	10 of 10	100%
6. Informed consent Sheet signed	10 of 10	100%
7 Potential for violence assessed upon admission	10 of 10	100%
8. Fall Risk assessed upon admission	10 of 10	100%
9. Score of 6 or above incorporated into problem need list	1 of 10 9 n/a	100%
10. Dangerous Risk Tool done upon admission	10 of 10	100%
11. Score of 11 or above incorporated into Safety Problem	6 of 10 4 n/a	100%
12. Evidence of informed of their rights documentation	10 of 10	100%
13. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	10 of 10	100%

STRATEGIC PERFORMANCE EXCELLENCE

Nursing Department Initial Chart Compliance

October & November 2014
Total – All Units

Indicator	Findings	Compliance
1. Universal Assessment completed by RN within 24 hours	45 of 45	100%
2. All sections completed or deferred within document	45 of 45	100%
3. Initial Safety Treatment Plan initiated	45 of 45	100%
4. All sheets required signature authenticated by assessing RN	45 of 45	100%
5. Medical Care Plan initiated if Medical problems identified	24 of 35 20 n/a 1 ref.	100%
6. Informed Consent sheet signed	37 of 45 5 ref. 2 unable 1 loc	100%
7. Potential for violence assessment upon admission	45 of 45	100%
8. Suicide potential assessed upon admission	45 of 45	100%
9. Fall Risk assessment completed upon admission	45 of 45	100%
10. Score of 5 or above incorporated into problem need list	7 of 45 38 n/a	100%
11. Dangerous Risk Tool done upon admission	45 of 45	100%
12. Score of 11 or above incorporated into Safety Problem	15 of 45 30 n/a	100%
13. Evidence that clients are routinely informed of their rights upon admission in accordance with ¶ 150 of the settlement agreement is found in the document of the charts reviewed.	37 of 45 6 ref. 2 unable	100%
14. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	45 of 45	100%

*Note: there were no admissions to the Upper Saco unit during this timeframe

Nursing Department Initial Chart Compliance

December 2014

Total – All Units

Indicator	Findings	Compliance
1. RN Assessments completed within 24 hours	25 of 25	100%
2. All sheets requiring signature authenticated by assessing RN	25 of 25	100%
3. Interim plan of care initiated within 8 hours and completed within 24 hours	25 of 25	100%
4. Medical Care Plan if medical problems are identified initiated within hours	6 of 25 19 n/a	100%
5. Suicide potential assessed upon admission (TASR)	25 of 25	100%
6. Informed consent Sheet signed	24 of 25 1 lacks capacity	100%
7 Potential for violence assessed upon admission	25 of 25	100%
8. Fall Risk assessed upon admission	25 of 25	100%
9. Score of 6 or above incorporated into problem need list	6 of 25 19 n/a	100%
10. Dangerous Risk Tool done upon admission	25 of 25	100%
11. Score of 11 or above incorporated into Safety Problem	16 of 25 9 n/a	100%
12. Evidence of informed of their rights documentation	24 of 25 1 lacks capacity	100%
13. Medication Reconciliation @time of admission includes all medications (medical & psychiatric)	25 of 25	100%

*Note: there were no admissions to the Upper Saco unit during this timeframe

Peer Support

INDICATOR

Client Satisfaction Survey Return Rate

DEFINITION

There is a low number of satisfaction surveys completed and returned once offered to clients due to a number of factors.

OBJECTIVE

To increase the number of surveys offered to clients, as well as increase the return rate.

THOSE RESPONSIBLE FOR MONITORING

Peer Services Director and Peer Support Team Leader will be responsible for developing tracking tools to monitor survey due dates and surveys that are offered, refused, and completed. Full-time peer support staff will be responsible for offering surveys to clients and tracking them until the responsibility can be assigned to one person.

METHODS OF MONITORING

- Biweekly supervision check-ins
- Monthly tracking sheets/reports submitted for review

METHODS OF REPORTING

- Client Satisfaction Survey Tracking Sheet
- Completed surveys entered into spreadsheet/database

UNIT

All client care/residential units

BASELINE

Determined from previous year's data.

QUARTERLY TARGETS

Quarterly targets vary based on unit baseline with the end target being 50%.

STRATEGIC PERFORMANCE EXCELLENCE

Peer Support

Inpatient Client Survey – Improving the Rate of Return

Department: Peer Support Responsible Party: Samantha St. Pierre

Strategic Objectives								
Client Recovery	Unit	Baseline	FY14 Q3	FY14 Q4	FY15 Q1	FY15 Q2	Goal	Comments
CSS Return Rate	LK	15%	10%	12%	23%	17%	50%	
The client satisfaction survey is the primary tool for collecting data on how clients feel about the services they are provided at the hospital. Data collection has been low on all units and the way in which the surveys are administered has challenges based on the unit operations and performance of the peer support worker.	LS	5%	10%	0%	23%	25%	50%	*Percentages are calculated based on number of people eligible to receive a survey vs. the number of people who completed the surveys.*
	UK	45%	50%	12%	36%	28%	50%	
	US	30%	30%	100%	0%	25%	50%	

STRATEGIC PERFORMANCE EXCELLENCE

Summary of Inpatient Client Survey Results

#	Indicators	3Q2014 Findings	4Q2014 Findings	1Q2015 Findings	2Q2015 Findings	Average Score
1	I am better able to deal with crisis.	73%	59%	66%	79%	**69%**
2	My symptoms are not bothering me as much.	63%	59%	63%	71%	**64%**
3	The medications I am taking help me control symptoms that used to bother me.	83%	59%	72%	73%	**72%**
4	I do better in social situations.	65%	53%	67%	69%	**64%**
5	I deal more effectively with daily problems.	68%	53%	67%	69%	**64%**
6	I was treated with dignity and respect.	73%	63%	67%	65%	**67%**
7	Staff here believed that I could grow, change and recover.	80%	63%	72%	75%	**73%**
8	I felt comfortable asking questions about my treatment and medications.	70%	56%	67%	73%	**67%**
9	I was encouraged to use self-help/support groups.	70%	66%	69%	77%	**71%**
10	I was given information about how to manage my medication side effects.	65%	47%	61%	67%	**60%**
11	My other medical conditions were treated.	75%	57%	73%	56%	**65%**
12	I felt this hospital stay was necessary.	65%	44%	64%	67%	**60%**
13	I felt free to complain without fear of retaliation.	50%	47%	69%	67%	**58%**
14	I felt safe to refuse medication or treatment during my hospital stay.	55%	56%	42%	60%	**53%**
15	My complaints and grievances were addressed.	68%	56%	70%	50%	**61%**
16	I participated in planning my discharge.	65%	72%	72%	60%	**67%**
17	Both I and my doctor or therapists from the community were actively involved in my hospital treatment plan.	65%	63%	58%	50%	**59%**
18	I had an opportunity to talk with my doctor or therapist from the community prior to discharge.	63%	59%	63%	57%	**61%**
19	The surroundings and atmosphere at the hospital helped me get better.	65%	66%	66%	58%	**64%**
20	I felt I had enough privacy in the hospital.	63%	63%	64%	63%	**63%**
21	I felt safe while I was in the hospital.	75%	59%	67%	50%	**63%**
22	The hospital environment was clean and comfortable.	78%	59%	70%	71%	**70%**
23	Staff were sensitive to my cultural background.	55%	59%	52%	60%	**57%**
24	My family and/or friends were able to visit me.	78%	59%	61%	50%	**62%**
25	I had a choice of treatment options.	60%	50%	70%	75%	**64%**
26	My contact with my doctor was helpful.	68%	47%	63%	69%	**62%**
27	My contact with nurses and therapists was helpful.	78%	66%	72%	69%	**71%**
28	If I had a choice of hospitals, I would still choose this one.	48%	56%	55%	67%	**57%**
29	Did anyone tell you about your rights?	63%	59%	58%	62%	**61%**
30	Are you told ahead of time of changes in your privileges, appointments, or daily routine?	45%	47%	66%	60%	**55%**
31	Do you know someone who can help you get what you want or stand up for your rights?	70%	69%	80%	73%	**73%**
32	My pain was managed.	65%	59%	58%	68%	**63%**
	Overall Score	**66%**	**58%**	**65%**	**65%**	**64%**

STRATEGIC PERFORMANCE EXCELLENCE

Pharmacy Services

The IPEC reporting reflects three major areas of focus for performance improvement that have pharmacy specific indicators: **Safety in Culture and Actions, Fiscal Accountability and Medication Management** (see Medication Management – Dispensing Process)**.** The pharmacy specific indicators for each of the priority focus areas utilizes measurable and objective data that is trended and analyzed to support performance improvement efforts and medication safety, as well as, ensure regulatory compliance and best practice in key areas.

Safety in Culture and Actions

RPC's primary medication distribution system uses the Pyxis Medstations to provide an electronic "closed loop" system to dispense medications for patients. Within the Pyxis system, key data elements are reported, trended and analyzed to ensure medication safety and regulatory compliance are maintained. *Pyxis Discrepancies* created by nursing staff are monitored daily and analyzed by Pharmacy with follow up to Nursing as needed for resolution. A quarterly summary is provided to the Nursing-Pharmacy Committee for further review and discussion of trends and ideas to minimize the occurrence of discrepancies by Nursing. *Pyxis Overrides of Controlled Drugs* by nursing staff is another indicator that is closely monitored and trended with follow up for resolution as needed. A quarterly summary is also reviewed by the Nursing-Pharmacy Committee for action steps. The goal with each of these indicators is to minimize the occurrence of either discrepancies or overrides by action steps to address performance issues via education or system changes which help satisfy TJC requirements for monitoring the effectiveness of the Medication Management system. *Veriform Medication Room Audits* are performed on each medication room to determine compliance with established medication storage procedures and requirements. The results of the audits are shared with the nursing managers for their respective corrective actions or staff education. Additionally, adverse drug reactions and clinical interventions are monitored, documented and analyzed for review by the P&T Committee. ADR's are reported monthly and Clinical Interventions are reported on a quarterly basis.

Fiscal Accountability

The *Discharge Prescriptions* indicator tracks the cost and number of prescription drugs dispensed to patients at discharge. This baseline data will be used to determine the best approach to implement steps to decrease this expense. The lack of a resource to perform insurance verification and research prior authorizations needed so clinicians' can make timely and informed prescribing decisions is believed to be inherent in the discharge process. Without this resource, RPC is obliged to provide discharge medications to prevent a gap in medication coverage as the patient is being transitioned to another facility. The plan of correction is to explore options and propose a resolution to RPC's Clinical Director.

STRATEGIC PERFORMANCE EXCELLENCE

Pharmacy Services

Pharmacy — Responsible Party: Garry Miller, R.Ph.

Strategic Objectives								
Safety in Culture and Actions	Unit	Baseline 2014	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Pyxis CII Safe Comparison *Daily and monthly comparison of Pyxis vs CII Safe transactions*	Rx	0.875%	0%	0%	0%	0%		No discrepancies between Pyxis and CII Safe transactions during Q1 and Q2
Quarterly Results			0%	0%				
Veriform Medication Room Audits *Monthly comprehensive audits of criteria*	All	98%	100%	100%	100%	100%	90%	Overall compliance is 97% for Q1 and Q2
Quarterly Results			97%	97%				
Pyxis Discrepancies *Monthly monitoring and trending of Pxyis discrepancies.*	All	22/mo	25	25	25	25	25/mo	Trending of monthly data from Knowledge Portal for Q1 and Q2
Quarterly Results			38 (19/mo)	70 (23/mo)				
Fiscal Accountability	Unit	Baseline 2014	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Discharge Prescriptions *Monitoring and Tracking of dispensed Discharge Prescriptions*	Rx	$3998 343 drugs	$3293 135 drugs	$2731 170 drugs*				Significant costs are incurred in providing discharge drugs.*October data was lost due to incorrect Windows 7 update on QS/1.

Pharmacy Services

Psychiatric Emergency New Process QI Review/Analysis – October 2014

Number in Sample (n) = 10

Process Element	Raw Score	% Compliance	Reasons for Non-Compliance
Pharmacy notified of PE	10/10	100%	First time!
PE Notice Posted in Pharmacy for Reference	10/10	100%	
RPh check to resolve order issues arising from PE orders (med rec)	10/10	100%	
Notice of end of PE received by Pharmacy	7/10	70%	Breakdown: 30% non-compliance accounted for by Rx-Remote weekend coverage not executing policy and procedure.
Medication Reorder Form Printed/Faxed by Pharmacy to Nursing Floor	9/10	90%	Weekday pharmacist completed reorder after the fact.
Completed Med Reorder Form Received by Pharmacy from Nursing Unit	9/10	90%	Weekday pharmacist followed up after the fact.
Orders Updated in Medics	9/10	90%	Weekday pharmacist followed up after the fact.
New MARs printed/brought to Unit by RPh	7/10	70%	30% non compliance, however all MAR’s issued the previous Friday were identical to what was appropriate going forward as of Monday am, verified by weekday pharmacist.
RPh check of new MARs vs updated MARs completed by nursing, reconciliation performed	10/10	100%	Pharmacist verified that all orders going forward were appropriate, despite non-compliance documented earlier in report.

Recommendations

Deficiencies already identified with RxRemote Solutions, will continue to monitor.

STRATEGIC PERFORMANCE EXCELLENCE

Pharmacy Services

Psychiatric Emergency New Process QI Review/Analysis – November 2014

Number in Sample (n) = 3

Process Element	Raw Score	% Compliance	Reasons for Non-Compliance
Pharmacy notified of PE	3/3	100%	
PE Notice Posted in Pharmacy for Reference	3/3	100%	
RPh check to resolve order issues arising from PE orders (med rec)	3/3	100%	
Notice of end of PE received by Pharmacy	3/3	100%	First time
Medication Reorder Form Printed/Faxed by Pharmacy to Nursing Floor	3/3	100%	
Completed Med Reorder Form Received by Pharmacy from Nursing Unit	3/3	100%	
Orders Updated in Medics	3/3	100%	
New MARs printed/brought to Unit by RPh	3/3	100%	
RPh check of new MARs vs updated MARs completed by nursing, reconciliation performed	3/3	100%	

Recommendations
Excellent performance. However, there was a low number of Psychiatric Emergencies, will continue to monitor.

Pharmacy Services

Psychiatric Emergency New Process QI Review/Analysis – December 2014

Number in Sample (n) = 4

Process Element	Raw Score	% Compliance	Reasons for Non-Compliance
Pharmacy notified of PE	4/4	100%	
PE Notice Posted in Pharmacy for Reference	4/4	100%	
RPh check to resolve order issues arising from PE orders (med rec)	4/4	100%	
Notice of end of PE received by Pharmacy	3/4	100%	Note: Rx Remote faxed reorder form to SLSCU when PE expired, but no order was received (it was the weekend of 12/27)
Medication Reorder Form Printed/Faxed by Pharmacy to Nursing Floor	4/4	100%	
Completed Med Reorder Form Received by Pharmacy from Nursing Unit	3/4	100%	Note: only psychiatric meds were reordered, the RPh needed to follow up with medical provider to reorder the rest
Orders Updated in Medics	3/4	100%	Rx Remote did not reorder meds in Medics, RPRC RPh following up the next day did so.
New MARs printed/brought to Unit by RPh	4/4	100%	
RPh check of new MARs vs updated MARs completed by nursing, reconciliation performed	4/4	100%	

Recommendations

1. Review non-compliance with after hours providers to improve documentation of PE termination/expiry.
2. Review non-compliance with reorder of medications with RxRemote pursuant to faxed medication re-order form as a training opportunity.

STRATEGIC PERFORMANCE EXCELLENCE

Program Services

Define

Client participation in on-unit groups and utilization of resources to relieve distress is variable but should be promoted to encourage activities that support recovery and the development of skills necessary for successful community integration.

Measure

The program services team will measure the current status of program participation and resource utilization to identify a baseline for each of the four units.

Analyze

Analysis of the barriers to utilization will be conducted in an attempt to determine causation factors for limited participation.

Improve

Strategies for encouraging increased participation in on-unit groups and the utilization of resources to relieve distress will be identified in a collaborative manner with client and staff participation.

Control

Ongoing review of utilization of programs and resources will be conducted to determine whether unit practice has changed and improvements are sustainable.

INDICATOR	Baseline	Quarterly Improvement Target	Improvement Objective
1. **How many on unit groups were offered each week** **Day shift** → **Evenings** →			14
2. **Number of clients attending day groups on unit or facilitated by day staff** (# of clients in all of day groups divided by # of day groups provided**)**			
3. **Number of clients attending evening groups on unit or facilitated by evening staff** (# of clients in all of evenings groups divided by # of evening groups provided**)**			
4. **Of the 10 charts reviewed, how many treatment plans reflected the on unit groups attended.**			100%
5. **The client can identify distress tolerance tools on the unit**			100%
6. **The client is able to can identify his or her primary staff.**			100%

STRATEGIC PERFORMANCE EXCELLENCE

Program Services Lower Kennebec

INDICATOR	FINDINGS	%	THRESHOLD
1. **How many on unit groups were offered each week** **Day shift** → **Evenings** →	Main / SCU 6 per week 7 per week	92%	Days/ Evenings 13 out of 14 per week
2. **Number of clients attending day groups on unit or facilitated by day staff** (# of clients in all of day groups divided by # of day groups provided**)**	6 avg.		N/A
3. **Number of clients attending evening groups on unit or facilitated by evening staff** (# of clients in all of evenings groups divided by # of evening groups provided**)**	7 avg.		N/A
4. **Of the 10 charts reviewed, how many treatment plans reflected the on unit groups attended**	25/30	83%	100%
5. **The client can identify distress tolerance tools on the unit**	25/30	83%	100%
6. **The client is able to state who his primary staff is**	24/30	80%	100%

EVALUATION OF EFFECTIVENESS

ISSUES

LK has improved in consistency of unit groups and attendance. We continue to look at ways to decrease the acuity & increase client interest / participation in unit groups. RNs have been directed to take more of a leadership role in group facilitation and to facilitate more educational groups than leisure activity. Acuity Specialists on the unit will also free up some staff for group participation as well as 1:1 time that they routinely spend with patients as they attempt to build rapport and intercede before behaviors escalate.

ACTIONS

We will continue to try to increase client participation in groups and also in relating the client's Recovery Goal/s to the groups offered. A new Habilitation Aide has added significantly to group and activity participation on the unit. Music continues to be one of the most popular de-escalation tools. LK has also added to its own collection of movies for patients to watch in the evening hours once activities are done.

STRATEGIC PERFORMANCE EXCELLENCE

Program Services Upper Kennebec

INDICATOR	FINDINGS	%	THRESHOLD
1. **How many on unit groups were offered each week** **Day shift** → **Evenings** →	7 per week 7 per week	10	Days/ Evenings 13 out of 14 per week
2. **Number of clients attending day groups on unit or facilitated by day staff** (# of clients in all of day groups divided by # of day groups provided**)**	5 avg.		N/A
3. **Number of clients attending evening groups on unit or facilitated by evening staff** (# of clients in all of evenings groups divided by # of evening groups provided**)**	6 avg.		N/A
4. **Of the 10 charts reviewed, how many treatment plans reflected the on unit groups attended**	30/30	100	100%
5. **The client can identify distress tolerance tools on the unit (re named coping tools)**	26/30	87	100%
6. **The client is able to state who his primary staff is**	29/30	97	100%

EVALUATION OF EFFECTIVENESS

ISSUES

Upper Kennebec continues to work on getting patients to on unit groups but it has been a challenge. Nursing staff continues to identify what groups may be interesting and helpful for the clients from the input given. Upper Kennebec continues to work hard at increasing on unit group attendance.

ACTIONS

We will continue to try to encourage patients to attend on unit groups and also work with patients towards recovery. We now have a more consistent nursing staff and the patients are easier to engage. Upper Kennebec works well as a team and tries to include patients in the group idea for what is working well and what is not working well.

STRATEGIC PERFORMANCE EXCELLENCE

Program Services Lower Saco

INDICATOR	FINDINGS	%	THRESHOLD
1. How many on unit groups were offered each week Day shift → Evenings →	Main/SCU 34 / 10 24 / 7	 100% 100%	 7 / 7 = 14 7 / 7 = 14
2. Number of clients attending day groups on unit or facilitated by day staff (# of clients in all of day groups divided by # of day groups provided)	3.0 / 1.5		N/A
3. Number of clients attending evening groups on unit or facilitated by evening staff (# of clients in all of evenings groups divided by # of evening groups provided)	2.5 / 1		N/A
4. Of the 10 charts reviewed, how many treatment plans reflected the on unit groups attended	10	100%	100%
5. The client can identify distress tolerance tools on the unit	30/30	100%	100%
6. The client is able to state who his primary staff is	30/30	100%	100%

EVALUATION OF EFFECTIVENESS

ISSUES

The Lower Saco unit on-unit groups by MHWS and professional staff is ongoing and well established. The on-unit groups have been a regular part of each client's daily activity and are incorporated in their Rx plans and documented in Meditech. In early November 2014 the unit was no longer closed to the rest of the hospital and several patients have been treatment planned for the hospital treatment mall groups. Even with this expansion the unit based groups have stayed on track with fluctuation in attendance.

ACTIONS

RT staff members are very important in providing leisure and therapy groups to Lower Saco clients, which needs to be maintained. The unit is offering many more groups weekly than the threshold; the acuity specialist positions continue to address acuity situations and have helped maintain overall quality of groups.

STRATEGIC PERFORMANCE EXCELLENCE

Program Services Upper Saco

INDICATOR	FINDINGS	%	THRESHOLD
1. **How many on unit groups were offered each week** **Day shift** → **Evenings** →	14 7	100% 100%	Days/ Even. 7 / 7 = 14
2. **Number of clients attending day groups on unit or facilitated by day staff** (# of clients in all of day groups divided by # of day groups provided**)**	2 avg /14grps		N/A
3. **Number of clients attending evening groups on unit or facilitated by evening staff** (# of clients in all of evenings groups divided by # of evening groups provided**)**	4avg / 7grps		N/A
4. **Of the 10 charts reviewed, how many treatment plans reflected the on unit groups attended**	4	0%	100%
5. **The client can identify distress tolerance tools on the unit**	30/30	100%	100%
6. **The client is able to state who his primary staff is**	30/30	100%	100%

EVALUATION OF EFFECTIVENESS

ISSUES

There continues to be a need to better reflect this on-unit treatment effort in the treatment plans. Nearly all of the clients on Upper Saco attend the hospital treatment mall with a high level of participation and attendance with off-unit treatment. Off unit groups are reflected in the treatment plans and are a regular part of physician orders. As in previous reports, there needs to be increased effort at reflecting on-unit groups in the treatment plans, especially for weekends and for clients not regularly attending the hospital treatment mall. There is documentation of this on-unit group attendance in Meditech.

ACTIONS

On-unit groups are being incorporated into the treatment plans as patients are due for review. On-unit group attendance has increased from the last quarter.

STRATEGIC PERFORMANCE EXCELLENCE

Psychology Department

Department: Psychology Services Responsible Party: Arthur DiRocco, PhD

Psychology Performance Improvement Goal

Having completed phase one of a performance improvement activity assessing the NCR patients currently in residence at Riverview Psychiatric Recovery Center the second phase of this performance improvement plan is to apply the results from phase one to the treatment of patients. The information collected from these assessments is being used to identify treatment needs and to provide a measure of outcomes for this population of patients.

Medical Staff Performance Improvement Activity

Target Goal: 90% of NCR Treatment plans will have one or more treatment goals identified and measured by treatment team use of COTREI within 4 months from October 1st, 2014. At this point in time there is evidence that approximately 30% of the NCR clients have treatment goals derived from findings from the COTREI.

Strategic Objectives						
NCR Patient Recovery	**Baseline**	**M1 Met**	**M2 Target**	**M3 Target**	**M4 Target**	**Goal**
Utilization of COTREI to assist in Treatment Team Planning and Goals for NCR patients The COTREI will be administered to each NCR patient at Riverview Psychiatric Recovery Center (RPRC). Areas of need identified by COTREI will be incorporated into NCR patient's treatment plan. Performance improvement will be assessed by documentation of at least one goal derived from the COTREI in 90% of NCR patients' treatment plans within 4 months of the October 1st, 2014 starting date.	5%	33%	50%	85%	100%	NCR patients will be assessed using the COTREI within 60 days of admission; every 8 months after starting their residency at RPC; and at the time of a new institutional report for a court petition.

STRATEGIC PERFORMANCE EXCELLENCE

Rehabilitation Services

Department: Rehabilitation Services Responsible Party: Janet Barrett

Client Recovery	Baseline	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Recreational Therapy Assessments & Treatment Plans *The objective of this improvement project is to ensure that Recreational Therapy assessments are completed within 7 days of admission and that a treatment plan is initiated after the assessment and will be reviewed and updated if necessary every 30 days. Documentation on interventions in the treatment plans will reflect progress towards interventions and will be documented on weekly.*	100 %	45/45 charts	40/40 charts			The treatment plan intervention will be reviewed every 2 weeks and updated at each client treatment team meeting if necessary or if there is any change in patient status	Our target for this indicator was reached at the end of last year but when the treatment plan processed changed we will continue to monitor the plans to ensure continued progress for 2 quarters this year
Quarterly Results		100%	100%				

Strategic Objectives							
Client Recovery & Safety in Culture and Actions	Baseline	Q1 Target	Q2 Target	Q3 Target	Q4 Target	Goal	Comments
Occupational Therapy referrals and doctors orders. *The objective of this improvement project is to ensure each client receiving Occupational Therapy Services from RPC OT staff has a doctor's order as well as a referral form completed prior to the initiation of services.*	33% (original)	100% 27/27	100% 22/22	100%	100%	To maintain percentage of referrals and doctor's orders at 100% compliance for 4 consecutive quarters.	100% compliance was achieved at the end of last year and will be monitored until we have the 4 consecutive quarters.
Quarterly Results		100%	100%				

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Report 67

Non-Hospitalized Members Assigned to Any Community Support Service (CI,CRS,ACT or Adult BHH) within 3 and 7 Working Days (Includes MaineCare members and Courtesy Reviews done by APS)

Report Dates: 07/01/2014 To 09/30/2014 **Run Date: 01/15/2015**

Report Source: Authorization data from APS CareConnection®

Definitions:

- **Non-hospitalized member -** MaineCare member who is not in an inpatient psychiatric facility at the time of application for services. This is indicated by the member not having an open authorization for inpatient psychiatric services on the day a CFSN is completed or on the day the member is referred for CI services.
- **Community support services:** Community support services is a group of mental health services providing support in the community to persons with serious mental illness. It includes CI, CRS, ACT and Adult Behavioral Health Homes
- **Community Integration (CI)** was formerly known as "case management" or "community support". It is a service available to adults with serious mental illness.
- **Adult Assertive Community Treatment (ACT)** provides individualized intensive integrated community-based services that are delivered by a multi-disciplinary team of practitioners who are available twenty-four(24) hours a day.
- **Behavioral Health Home (BHH)** is a service designed to integrate the systems of care of behavioral health and physical health.
- **Community Rehabilitation Services (CRS)** are delivered by a team, with primary case management for each member assigned to one team member.
- **Prior Authorization (PA)** Whenever a provider is requesting to begin a service with a member, they are required to submit a request for prior authorization (PA) in APS CareConnection.
- **Date of Assignment:** When providers submit a prior authorization (PA), they are required to fill in APS CareConnection “Date worker assigned”. The date worker assigned indicates the day that a specific CI case worker has been assigned to begin providing the service to the member.
- **Contact for Service Notification (CFSN)** is a form submitted by a Provider into CareConnection whenever a member is put on a waiting list for service. When there is a CFSN, it is used in conjunction with the start date of the service to determine the number of days the member waited.
- **Referral Date** is a field in CareConnection that the Provider may fill in when a member applies for a service. If the member is not put on a waiting list, (i.e. no CFSN) the referral date is used with the date of assignment to determine the number of days the member waited.
- **Courtesy Review -** APS completes courtesy reviews when a member is not MaineCare eligible at the tme of admission, but is expected to be served using either MaineCare and/or state funds.

What This Report Measures: The number of non-hospitalized members authorized for any type of community support services and whether they a.) were assigned to a case manager within 3 working days, b.) Waited 4 - 7 working days to be assigned or c.) waited longer than 8 days but were eventually assigned to a case manager.

Total number of non-hospitalized members admitted to any community support service: 2,458

Total assigned within 3 working days: 1,752	% assigned within 3 working days: 71%
Total assigned in 4 - 7 working days: 183	% assigned in 4 -7 working days: 7%
Total assigned within 7 working days: 1,935	% assigned within 7 working days: 79%
Total assigned after 8 or more working days: 523	% assigned after 8 or more working days: 21%

Service	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
H0040 - Adult Assertive Community Treatment - ACT	23	14	33	70
H2015 - Community Integration (CI)	1,493	152	419	2,064
H2018 - Community Rehabilitation Services (CRS)	10	1	0	11
T2022HB - Behavioral Health Homes - Adult	226	16	71	313
Total	**1,752**	**183**	**523**	**2,458**

Gender	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
Female	1,122	116	350	1,588
Male	630	67	173	870
Total	**1,752**	**183**	**523**	**2,458**

Adult Age Groups	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
18-20	107	4	33	144
21-24	146	15	49	210
25-64	1,420	149	420	1,989
65-74	61	10	17	88
Over 75 Years Old	18	5	4	27
Total	**1,752**	**183**	**523**	**2,458**

AMHI Class	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
AMHI Class N	1,645	173	501	2,319
AMHI Class Y	107	10	22	139
Total	**1,752**	**183**	**523**	**2,458**

District	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
District 1/ York County	123	26	76	225
District 2/ Cumberland County	335	33	139	507
District 3/ Androscoggin, Franklin, and Oxford Counties	368	41	123	532
District 4/ Knox, Lincoln, Sagadahoc, and Waldo Counties	156	10	37	203
District 5/ Somerset and Kennebec Counties	342	36	54	432
District 6/ Piscataquis and Penobscot Counties	290	24	55	369
District 7/ Washington and Hancock Counties	71	5	19	95
District 8/ Aroostook County	54	7	17	78
Unknown	13	1	3	17
Total	**1,752**	**183**	**523**	**2,458**

APS Healthcare

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Providers	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
Acadia Healthcare	30	0	1	31
Allies	23	0	2	25
Alternative Services	9	0	0	9
Alternative Wellness Services	10	1	1	12
Aroostook Mental Health Services	31	3	4	38
Assistance Plus	44	9	6	59
Behavior Health Solutions for Me	2	0	0	2
Break of Day, Inc	40	2	7	49
Bright Future Healthier You	30	1	0	31
Broadreach Family & Community Services	19	1	2	22
Catholic Charities Maine	98	14	26	138
Central Maine Family Counseling	4	0	0	4
Charlotte White Center	7	5	10	22
Choices	11	0	0	11
Common Ties	32	20	36	88
Community Care	30	3	5	38
Community Counseling Center	83	5	30	118
Community Counseling Center - ACCESS	0	3	9	12
Community Counseling Center - ACTION	0	0	5	5
Community Counseling Center - CORE	4	0	1	5
Community Health & Counseling Services	98	13	36	147
Cornerstone Behavioral Healthcare - CM	18	3	4	25
Counseling Services Inc.	54	17	36	107
Direct Community Care	18	2	1	21
Dirigo Counseling Clinic	17	3	2	22
Employment Specialist of Maine	6	2	4	12
Evergreen Behavioral Services	14	0	0	14
Fellowship Health Resources	5	0	0	5
Fullcircle Supports Inc	31	1	0	32
Graham Behavioral Services	11	0	1	12
Healing Hearts LLC	7	1	2	10
Health Affiliates Maine	192	1	7	200
HealthReach network	4	1	1	6
Higher Ground Services	4	0	2	6
Kennebec Behavioral Health	135	2	21	158
Life by Design	18	4	9	31
Lutheran Social Services	16	0	1	17
Maine Behavioral Health Organization	62	5	2	69
Maine Vocational & Rehabilitation Assoc.	7	1	4	12
Manna Inc	4	1	3	8
MAS Home Care of Maine - Bangor	6	0	0	6
MAS Home Care of Maine - Westbrook	8	0	0	8
Medical Care Development-CSS	5	0	0	5
Merrymeeting Behavioral Health Associates-Adult Case Mgmt	4	3	2	9
Mid Coast Mental Health	23	3	6	32
Motivational Services	3	0	0	3
Northeast Occupational Exchange	52	1	12	65
Northern Maine General - Community Support	0	0	2	2
Ocean Way Mental Health Agency	4	1	1	6

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Providers	Waited 3 working days or less	Waited 4 to 7 working days	Waited 8 or more working days	Total
OHI	9	1	1	11
Oxford County Mental Health Services	19	1	3	23
Penobscot Community Health Center-BHH	21	0	1	22
Providence	9	2	2	13
Riverview	1	0	1	2
Rumford Group Homes	10	0	0	10
Sequel Care of Maine	11	3	6	20
Shalom House	19	2	2	23
Smart Child & Family Services	12	1	4	17
Somali Bantu Youth Association of Maine	4	1	12	17
Spurwink	0	1	0	1
St. Andre Homes	4	1	1	6
Stepping Stones	36	3	0	39
Sunrise Opportunities	5	0	2	7
Sweetser	101	7	48	156
The Opportunity Alliance	74	13	63	150
Tri-County Mental Health	70	15	72	157
Volunteers of America	2	0	1	3
York County Shelter Program	12	0	0	12
Total	**1,752**	**183**	**523**	**2,458**

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Report 69

Hospitalized Members Assigned to Any Community Support Service (CI,CRS,ACT or Adult BHH) within 3 and 7 Working Days (Includes MaineCare members and Courtesy Reviews done by APS)

Report Dates: 07/01/2014 To 09/30/2014 **Run Date: 01/15/2015**

Report Source: Authorization data from APS CareConnection®

Definitions:

- **Hospitalized member -** MaineCare member who is in an inpatient psychiatric facility at the time of application for services. This is indicated by the member having an open authorization for inpatient psychiatric services at the time a CFSN authorization is entered into CareConection or on the day that the member is referred for CI services.
- **Community support services:** Community support services is a group of mental health services providing support in the community to persons with serious mental illness. It includes CI, CRS, ACT and Adult Behavioral Health Homes
- **Community Integration (CI)** was formerly known as "case management" or "community support". It is a service available to adults with serious mental illness.
- **Adult Assertive Community Treatment (ACT)** provides individualized intensive integrated community-based services that are delivered by a multi-disciplinary team of practitioners who are available twenty-four(24) hours a day.
- **Behavioral Health Home (BHH)** is a service designed to integrate the systems of care of behavioral health and physical health.
- **Community Rehabilitation Services (CRS)** are delivered by a team, with primary case management for each member assigned to one team member.
- **Prior Authorization (PA)** Whenever a provider is requesting to begin a service with a member, they are required to submit a request for prior authorization (PA) in APS CareConnection.
- **Date of Assignment:** When providers submit a prior authorization (PA), they are required to fill in APS CareConnection “Date worker assigned”. The date worker assigned indicates the day that a specific CI case worker has been assigned to begin providing the service to the member.
- **Contact for Service Notification (CFSN)** is a form submitted by a Provider into CareConnection whenever a member is put on a waiting list for service. When there is a CFSN, it is used in conjunction with the start date of the service to determine the number of days the member waited.
- **Referral Date** is a field in CareConnection that the Provider may fill in when a member applies for a service. If the member is not put on a waiting list, (i.e. no CFSN) the referral date is used with the date of assignment to determine the number of days the member waited.
- **Courtesy Review -** APS completes courtesy reviews when a member is not MaineCare eligible at the tme of admission, but is expected to be served using either MaineCare and/or state funds.

What This Report Measures: The number of hospitalized members authorized for any type of community support services and whether they a.) were assigned to a case manager within 2 working days, b.) Waited 3 - 7 working days to be assigned or c.) waited longer than 8 days but were eventually assigned to a case manager.

Total number of non-hospitalized members admitted to any community support service: 72

Total assigned within 2 working days: 53	% assigned within 2 working days: 74%
Total assigned in 3 - 7 working days: 7	% assigned in 3 -7 working days:10 %
Total assigned within 7 working days: 60	% assigned within 7 working days: 83%
Total assigned after 8 or more working days: 12	% assigned after 8 or more working days: 17%

Service	Waited 2 working days or less	Waited 3 to 7 working days	Waited 8 or more working days	Total
H0040 - Adult Assertive Community Treatment - ACT	4	3	4	11
H2015 - Community Integration (CI)	36	2	5	43
H2018 - Community Rehabilitation Services (CRS)	2	0	1	3
T2022HB - Behavioral Health Homes - Adult	11	2	2	15
Total	**53**	**7**	**12**	**72**

Gender	Waited 2 working days or less	Waited 3 to 7 working days	Waited 8 or more working days	Total
Female	25	3	7	35
Male	28	4	5	37
Total	**53**	**7**	**12**	**72**

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AMHI Class	Waited 2 working days or less	Waited 3 to 7 working days	Waited 8 or more working days	Total
AMHI Class N	39	6	7	52
AMHI Class Y	14	1	5	20
Total	**53**	**7**	**12**	**72**

District	Waited 2 working days or less	Waited 3 to 7 working days	Waited 8 or more working days	Total
District 1/ York County	3	2	1	6
District 2/ Cumberland County	18	0	2	20
District 3/ Androscoggin, Franklin, and Oxford Counties	2	0	4	6
District 4/ Knox, Lincoln, Sagadahoc, and Waldo Counties	1	0	0	1
District 5/ Somerset and Kennebec Counties	20	3	2	25
District 6/ Piscataquis and Penobscot Counties	7	2	1	10
District 7/ Washington and Hancock Counties	1	0	1	2
District 8/ Aroostook County	1	0	0	1
Unknown	0	0	1	1
Total	**53**	**7**	**12**	**72**

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Providers	Waited 2 working days or less	Waited 3 to 7 working days	Waited 8 or more working days	Total
Acadia Healthcare	1	0	0	1
Alternative Services	1	0	0	1
Alternative Wellness Services	3	0	0	3
Assistance Plus	1	0	0	1
Break of Day, Inc	1	0	0	1
Catholic Charities Maine	7	1	0	8
Charlotte White Center	0	0	1	1
Common Ties	1	0	0	1
Community Counseling Center	5	0	0	5
Community Counseling Center - ACCESS	0	0	1	1
Community Counseling Center - ACTION	0	0	1	1
Community Health & Counseling Services	6	1	1	8
Cornerstone Behavioral Healthcare - CM	2	0	0	2
Counseling Services Inc.	1	0	1	2
Evergreen Behavioral Services	1	0	0	1
HealthReach network	1	1	0	2
Kennebec Behavioral Health	7	0	2	9
Life by Design	1	0	0	1
Lutheran Social Services	1	0	0	1
Maine Behavioral Health Organization	3	0	0	3
Medical Care Development-CSS	1	0	0	1
Mid Coast Mental Health	1	0	0	1
Northeast Occupational Exchange	1	0	0	1
Oxford County Mental Health Services	0	0	1	1
Penobscot Community Health Center-BHH	0	1	0	1
Shalom House	3	0	0	3
Stepping Stones	1	0	0	1
Sweetser	1	1	0	2
The Opportunity Alliance	1	0	0	1
Tri-County Mental Health	1	1	3	5
Volunteers of America	0	1	1	2
Total	**53**	**7**	**12**	**72**

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Quarterly Report 60a for Members on MaineCare Waitlist for CI

Report Dates: 07/01/2014 To 09/30/2014

Report Run Date: 1/12/201

Report Source: Authorization data from APS CareConnection®

Definitions:

- **Community Integration (CI)** was formerly known as "case management" or "community support". It is a service available to adults with serious mental illness.
- **Prior Authorization (PA)** Whenever a provider is requesting to begin a service with a member, they are required to submit a request for prior authorization (PA) in APS CareConnection.
- **Date of Assignment:** When providers submit a prior authorization (PA), they are required to fill in APS CareConnection "Date worker assigned". The date worker assigned indicates the day that a specific CI case worker has been assigned to begin providing the service to the member.
- **Contact for Service Notification (CFSN)** is a form submitted by a Provider into CareConnection whenever a member is put on a wait list for service. The CFSN is used in conjunction with the date of assignment to determine the number of days the member waited.
- **Courtesy Review** - APS completes courtesy reviews when a member is not MaineCare eligible at the time of admission, but is expected to be served using either MaineCare and/or state funds.
- **State-funded** is funding through State of Maine for individuals who are not eligible to receive a particular service using MaineCare funds.

What This Report Measures: For members on the CI wait list who were authorized for the service, how long they waited. This report counts the number of days from the date the CFSN was opened to the date the service was authorized. The report is run 2 quarters ago so nearly everyone who was entered on the wait list will have started the service. If someone on the MaineCare waitlist is authorized for the state-funded service, it is counted as being authorized for the service.

Number of people who were authorized for CI from the MaineCare wait list during the quarter 809

For those who received the service:

Percent waiting 30 days or less: 87.0%

Average number of days waiting: 12 days

Percent waiting 90 days or less: 98.6%

AMHI Class	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
AMHI Class N	774	765	9	672	91	11	12
AMHI Class Y	35	34	1	32	3	0	8
Totals	**809**	**799**	**10**	**704**	**94**	**11**	**12**

District	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
District 1	114	113	1	83	27	4	20
District 2	204	203	1	171	26	7	15
District 3	121	120	1	112	9	0	12
District 4	59	58	1	48	11	0	15
District 5	153	150	3	143	10	0	7
District 6	108	106	2	102	6	0	6
District 7	22	22	0	19	3	0	12
District 8	24	24	0	22	2	0	8
Unknown	4	3	1	4	0	0	7
Totals	**809**	**799**	**10**	**704**	**94**	**11**	**12**

APS Healthcare

Department of Health and Human Services
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Providers	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
Assistance Plus	58	58	0	56	2	0	4
Catholic Charities Maine	112	112	0	110	2	0	5
Charlotte White Center	2	2	0	2	0	0	2
Common Ties	74	72	2	72	2	0	10
Community Care	24	22	2	24	0	0	1
Community Counseling Center	17	17	0	11	4	2	28
Community Health & Counseling Services	92	92	0	83	9	0	9
Counseling Services Inc.	52	51	1	49	3	0	9
Direct Community Care	5	5	0	5	0	0	3
Higher Ground Services	5	5	0	5	0	0	7
Kennebec Behavioral Health	89	86	3	76	12	1	10
Life by Design	18	18	0	16	2	0	10
Mid Coast Mental Health	29	29	0	23	6	0	15
Northeast Occupational Exchange	4	4	0	4	0	0	3
Northern Maine General - Community Support	3	3	0	3	0	0	0
OHI	6	6	0	6	0	0	5
Providence	2	2	0	2	0	0	15
Shalom House	4	4	0	4	0	0	4
Sweetser	70	70	0	33	32	5	35
The Opportunity Alliance	111	109	2	94	14	3	17
Tri-County Mental Health	32	32	0	26	6	0	18
Totals	**809**	**799**	**10**	**704**	**94**	**11**	**12**

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Quarterly Report 60b for People on State-funded Waitlist for CI

Report Dates: 07/01/2014 To 09/30/2014

Report Run Date: 1/12/201

Report Source: Authorization data from APS CareConnection®

Definitions:

- **Community Integration (CI)** was formerly known as "case management" or "community support". It is a service available to adults with serious mental illness.
- **Prior Authorization (PA)** Whenever a provider is requesting to begin a service with a member, they are required to submit a request for prior authorization (PA) in APS CareConnection.
- **Date of Assignment:** When providers submit a prior authorization (PA), they are required to fill in APS CareConnection “Date worker assigned”. The date worker assigned indicates the day that a specific CI case worker has been assigned to begin providing the service to the member.
- **Contact for Service Notification (CFSN)** is a form submitted by a Provider into CareConnection whenever a member is put on a wait list for service. The CFSN is used in conjunction with the date of assignment to determine the number of days the member waited.
- **Courtesy Review** - APS completes courtesy reviews when a member is not MaineCare eligible at the time of admission, but is expected to be served using either MaineCare and/or state funds.
- **State-funded** is funding through State of Maine for individuals who are not eligible to receive a particular service using MaineCare funds.

What This Report Measures: For members on the State-funded CI wait list who were authorized for the service, how long they waited. This report counts the number of days from the date the CFSN was opened to the date the service was authorized. The report is run 2 quarters ago so nearly everyone who was entered on the wait list will have started the service. If someone on the state-funded waitlist is authorized for the MaineCare service, it is counted as being authorized for the service.

Number of people who were authorized for CI from the state-funded wait list during the quarter: 224

For those who received the service:

Percent waiting 30 days or less: 81.3%

Average number of days waiting: 18 days

Percent waiting 90 days or less: 98.7%

AMHI Class	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
AMHI Class N	218	28	190	176	39	3	19
AMHI Class Y	6	2	4	6	0	0	9
Totals	**224**	**30**	**194**	**182**	**39**	**3**	**18**

District	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
District 1	9	0	9	3	3	3	65
District 2	55	9	46	42	13	0	21
District 3	59	6	53	45	14	0	21
District 4	23	3	20	17	6	0	24
District 5	46	9	37	43	3	0	12
District 6	26	2	24	26	0	0	2
District 7	5	0	5	5	0	0	2
Unknown	1	1	0	1	0	0	7
Totals	**224**	**30**	**194**	**182**	**39**	**3**	**18**

APS Healthcare

Department of Health and Human Services
Maine People Living Safe, Healthy and Productive Lives

Providers	# auth for CI service	# with MaineCare auth	# with State funded auth	# auth in < 30 days	# auth in 31 - 90 days	# auth in > 91 days	Average # days waiting
Alternative Wellness Services	1	0	1	0	1	0	70
Assistance Plus	14	0	14	13	1	0	6
Catholic Charities Maine	10	1	9	6	4	0	22
Charlotte White Center	1	0	1	1	0	0	28
Common Ties	24	1	23	22	2	0	17
Community Care	18	0	18	18	0	0	1
Community Counseling Center	5	0	5	4	1	0	20
Community Health & Counseling Services	3	1	2	3	0	0	0
Cornerstone Behavioral Healthcare - CM	1	0	1	1	0	0	0
Counseling Services Inc.	4	0	4	1	1	2	95
Kennebec Behavioral Health	41	10	31	38	3	0	13
Mid Coast Mental Health	16	3	13	11	5	0	22
Sweetser	10	1	9	4	5	1	51
The Opportunity Alliance	42	7	35	35	7	0	17
Tri-County Mental Health	34	6	28	25	9	0	21
Totals	**224**	**30**	**194**	**182**	**39**	**3**	**18**