Paul R. LePage, Governor

Mary C. Mayhew, Commissioner

Consent Decree Performance and Quality Improvement Standards: February 2016

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 3^{rd} quarter data in the 4^{th} quarter).

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

Definitions: What the standard is intending to measure. Standard Title: How the standard is being measured.

Measure Method: 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 2015

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

Consent Decree Performance and Quality Improvement Standards: November 2015

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.
- 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 2015

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 2015

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 2015

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

- 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 2015

Standard 33. Recovery

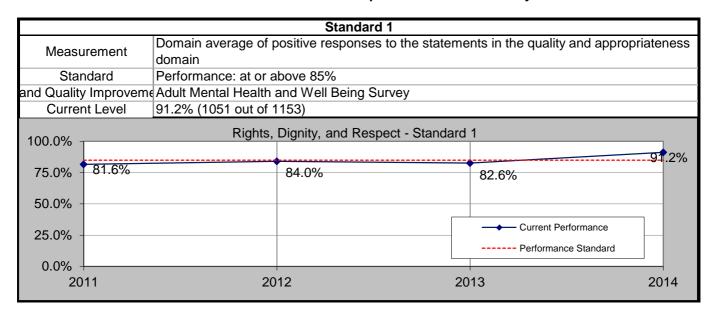
- 1. No longer reported per amendment dated May 8, 2014. Report available upon request.
- 2. Consumers reporting staff believed they could grow, change, recover
- 3. Consumers reporting staff supported their recovery efforts
- 4. Deleted: Consumers reporting that providers offered learning opportunities: 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

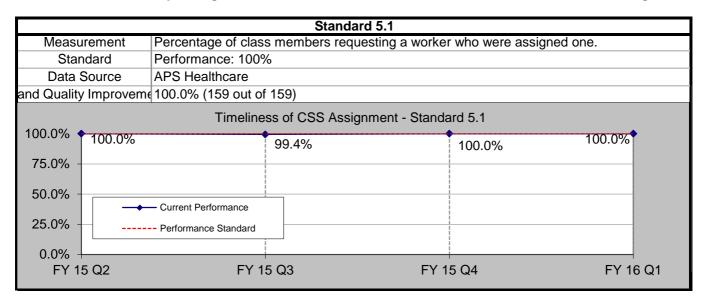
Standard 1 - Treated with respect for their individuality

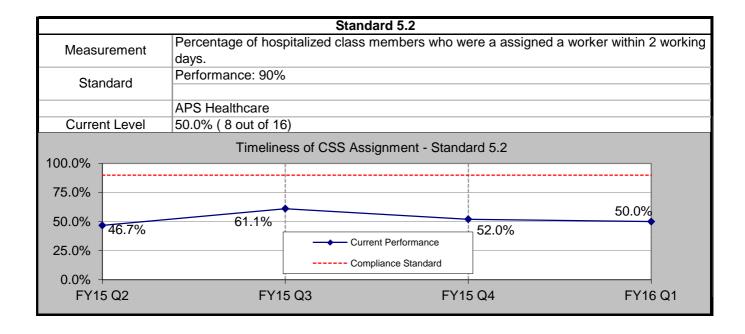


Standard 4 - Class Members are informed of their rights

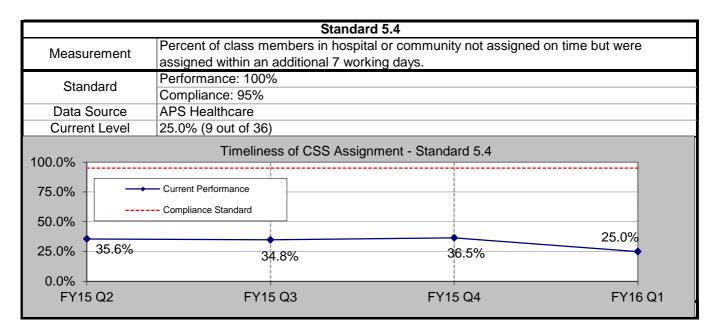
			Standard 4.2		
Measu	Measurement Percent of consumers reporting they were given information about their rights.				
		Performance: 90%			
	Source		and Well Being Survey Q22		
Curren	nt Level	88.1% (1016 out of	1163)		
100.0% ¬		Rights,	Dignity, and Respect - Standard	d 4.2	
100.076	89.4%		89.9%	♦-88.3 %	→ 88.1%
75.0% -				50.070	00.170
50.0% -				1	
				Performance Standard	
25.0% -				Current Performance	_
0.0%	4.4	20	10		
20	11	20	12 20)13 2	014

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





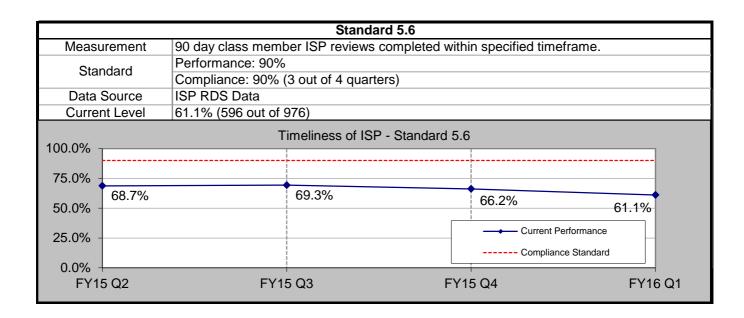
	Standard 5.3		
Measurement Percent of non-hospitalized class members assigned a worker within 3 working day			
Standard	Performance: 90% Compliance: 90% (3 out of 4 quarters)		
Data Source	APS Healthcare		
Current Level	80.4% (115 out of 143)		
100.0%	Timeliness of CSS Assignment - Standard 5.3		
75.0% 77.4%	72.9% 78.3% 80.4%		
25.0%	Current Performance Compliance Standard		
0.0% ∓ FY15 Q2	FY15 Q3 FY15 Q4 FY16 Q1		

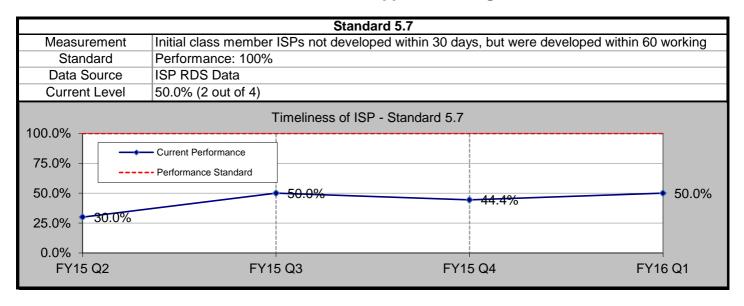


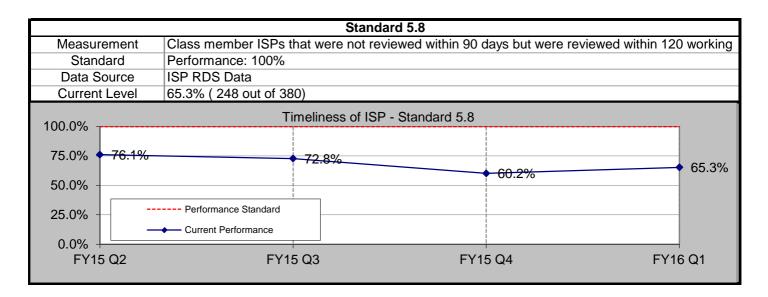
<u>Standards 5.1 -5.4 – Calculations are now based on days from Contact for Service Notification to date of assignment.</u>

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.

		Standar	d 5.5			
Measurement	Class member ISP	Class member ISPs completed within 30 days of service request				
Standard	Performance: 90%					
Otaridard	Compliance: 90% ((3 out of 4 quarter	rs)			
Data Source	ISP RDS Data					
Current Level	92.5% (49 out of 53	3)				
	Т	imeliness of ISP	Standard 5.5			
100.0%	·					
				92.5%		
75.0% 82.1%		84.2%	83.0%			
50.0%						
50.0%	← Current Performance					
25.0%						
	Compliance Standard					
0.0%			<u> </u>			
FY15 Q2	FY15	5 Q3	FY15 Q4	FY16 Q1		



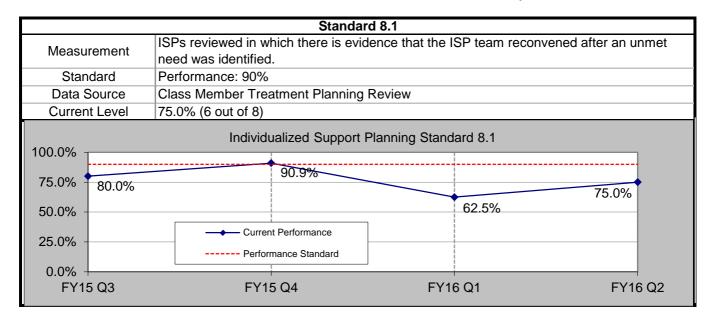


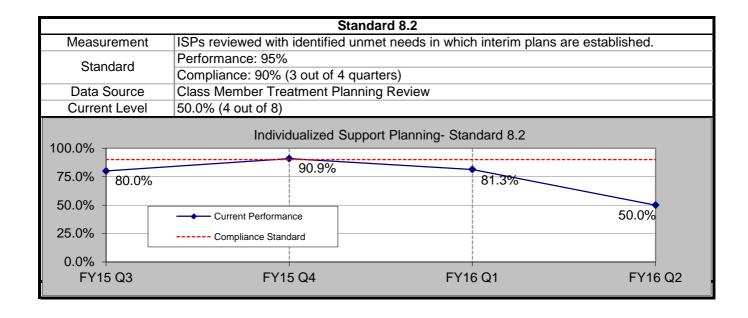


Discussion:

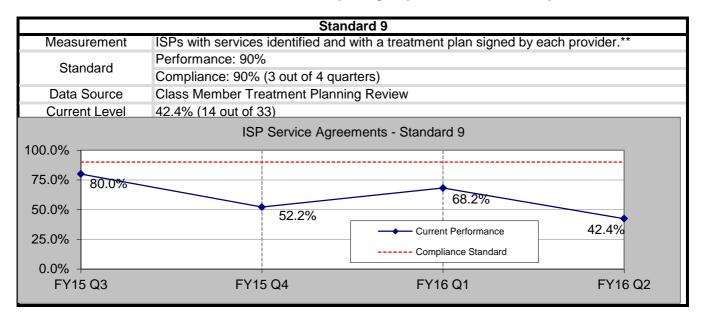
Standards 5.1 - 5.8: Field Quality Managers have completed additional agency trainings around assignment times. Assignment time performance measures are now included in Rider E of agency contracts. Data Quality Management Team will identify outliers for follow up by the treatment team and provider agencies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

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





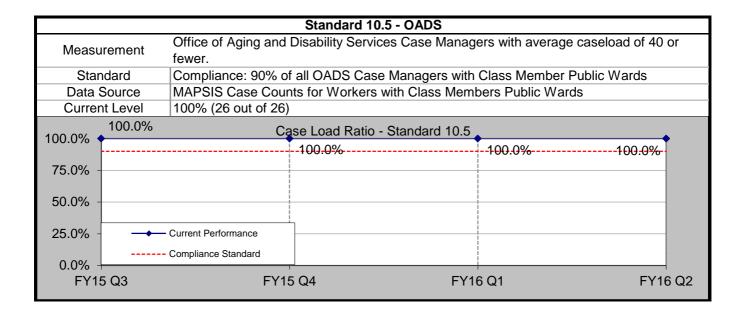
Standard 9 - Services to be delivered by an agency funded or licensed by the state



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.

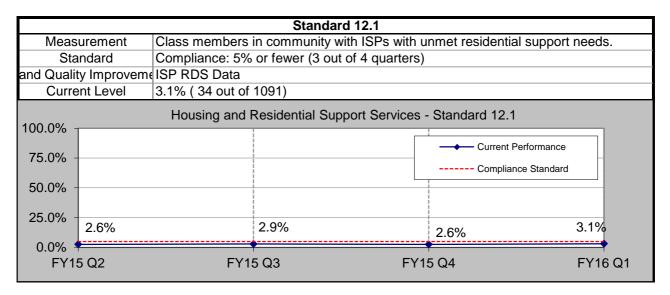
	Standard 10.4 - ICM			
Measurement	leasurement Intensive Case Managers with average caseloads of 16 or fewer.			
Standard	Compliance: 90% of all ICM Workers with Class Member caseloads			
	ICMs focus on outreach with individuals in forensic facilities. ICMs no longer carry traditional caseloads. In the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

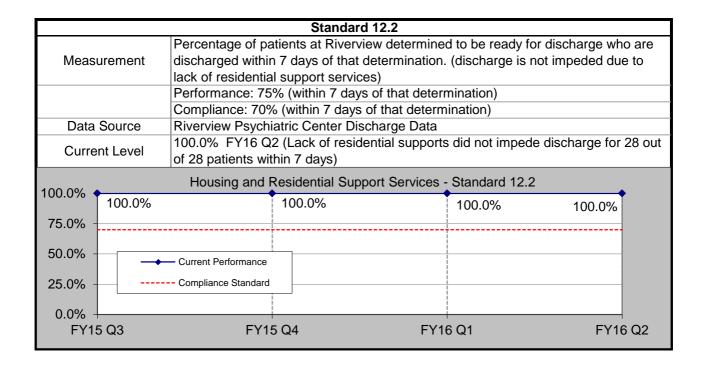


Discussion:

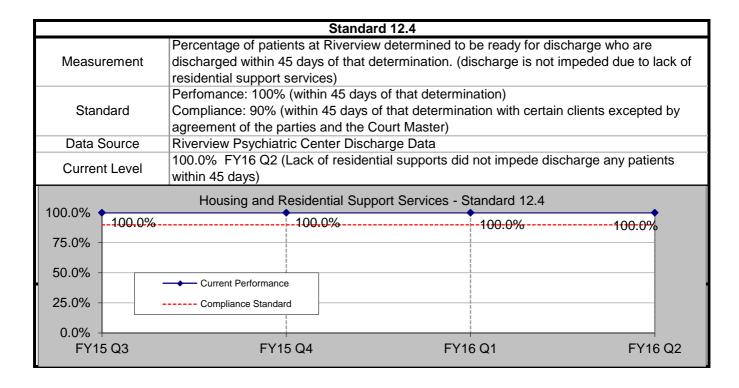
Standard 10.5 - Per amendment dated December 10, 2014 average case load was changed from 25 to 40.

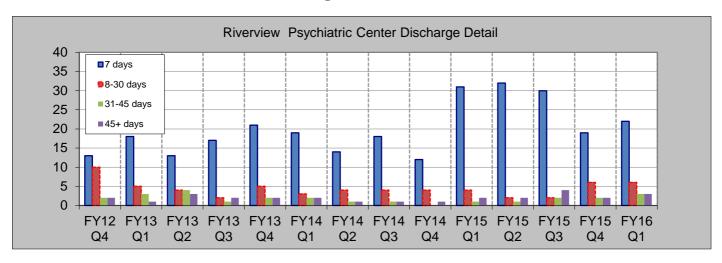
Standard 12 - Residential Support services adequate to meet ISP needs of those ready for discharge





			Standard 12.3			
		Percentage of patier	nts at Riverview determine	ed to be ready for discharg	e who are	
Measurement		discharged within 30	days of that determinatio	n. (discharge is not imped	ed due to lack of	
		residential support s	ervices)			
Stand	dard	,	within 30 days of that dete	,		
		· · · · ·	vithin 30 days of that deter	mination)		
Data S	ource	,	c Center Discharge Data			
Current	Level	100.0% FY16 Q2 (Lack of residential supports did not impede discharge for any patients				
		within 30 days)				
		Housing and Re	esidential Support Service	s - Standard 12.3		
100.0%	100.0%	<u></u>	100.0%	100.0%	100.0%	
75.0%				100.070		
10.070						
50.0%		Current Performance				
07.00/		Compliance Standard				
25.0% +						
0.0%						
FY15	Q3	FY15	Q4	FY16 Q1	FY16 Q2	



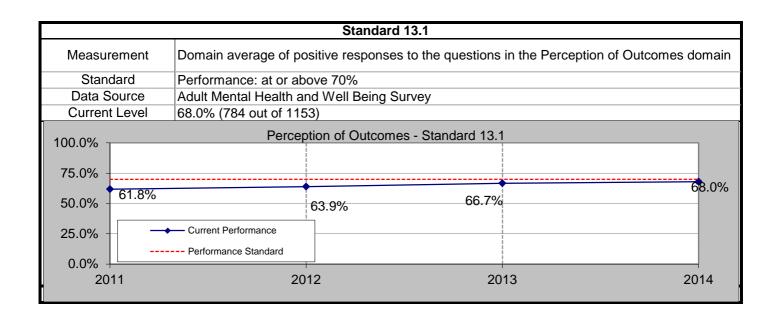


Riverview Psychiatric Center Discharge Detail to amplify data presented in Standards 12.2, 12.3, 12.4:

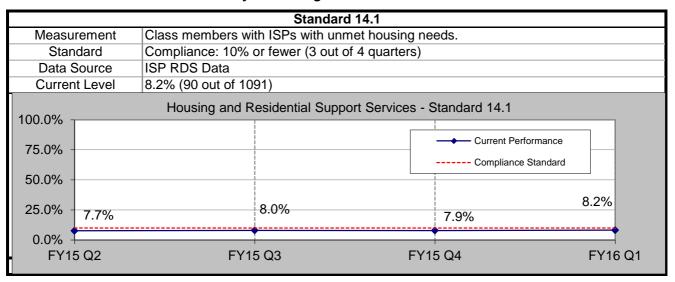
28 Civil Patients discharged in quarter

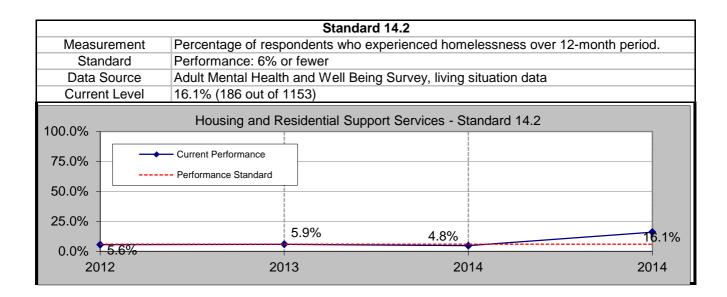
- 19 discharged at 7 days (67.9%)
- 5 discharged 8-30 days (17.9%)
- 1 discharged 31-45 days (3.6%)
- 3 discharged post 45 days (10.7%)

Residential Supports did not impede discharge for any patients post clinical readiness for discharge

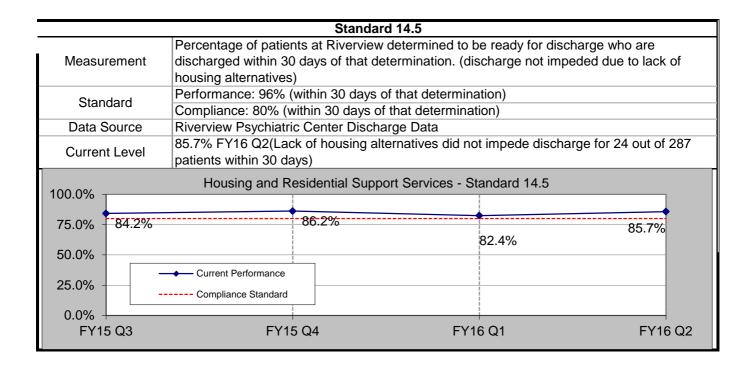


Standard 14 - Demonstrate an array of housing alternatives available to meet class member needs.

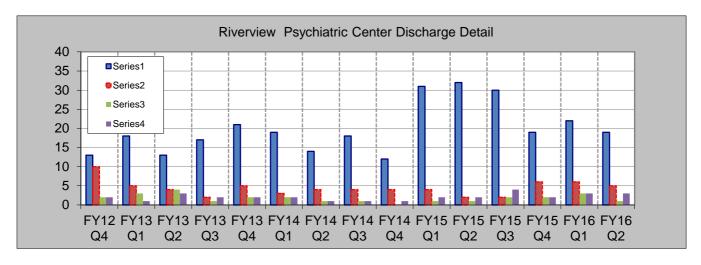




	Standard 14.4				
	Percentage of patients at Riverview determined to be ready for discharge who are				
Measurement	discharged within 7 days of that determination	n. (discharge not impeded due	to lack of		
	housing alternatives)				
Standard	Performance: 75% (within 7 days of that dete	,			
	Compliance: 70% (within 7 days of that deter	,			
Data Source	Riverview Psychiatric Center Discharge Data				
Current Level	67.9% FY16 Q2 (Lack of housing alternatives did not impede discharge for 19 out of 28				
	patients within 7 days)				
400.00/	Housing and Residential Support Service	es - Standard 14.4			
100.0%					
75.0%					
75.0%78.9%		67.60/			
50.0%	65.5%	67.6%	67.9%		
_	Current Performance				
25.0%	Compliance Standard				
0.0%		 			
FY15 Q3	FY15 Q4	FY16 Q1	FY16 Q2		
1110 00	T T T U U U T	1110 Q1	1110 Q2		



			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)				
Stan	dard	Compliance: 90% (wi	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 S	Source		Center Discharge Data			
Current Level 96.4% FY16 Q2 (Lack of housing patients within 45 days)		•	d not impede discharge for 27	out of 28		
100.0% ¬		Housing and Res	sidential Support Services -	Standard 14.6		
75.0% -	89.5%		93.1%	91.2%	6.4%	
50.0% -						
25.0% - 0.0% -	-	Current Performance Compliance Standard				
FY15	5 Q3	FY15	Q4 FY	′16 Q1	FY16 Q2	



28 Civil Patients discharged in quarter

19 discharged at 7 days (67.9%)

5 discharged 8-30 days (17.9%)

1 discharged 31-45 days (3.6%)

3 discharged post 45 days (10.7%)

Housing Alternatives impeded discharge for 9 patients (32.1%)

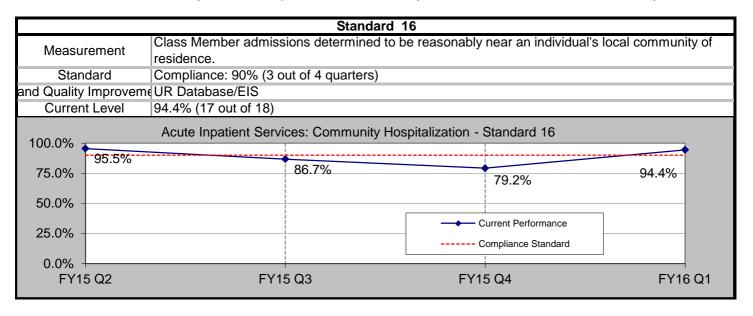
5 patients discharged within 8-30 days post clinical readiness for discharge

1 patient discharged 31- 45 days post clinical readiness for discharge

3 patient discharged greater than 45 days post clinical readiness for discharge

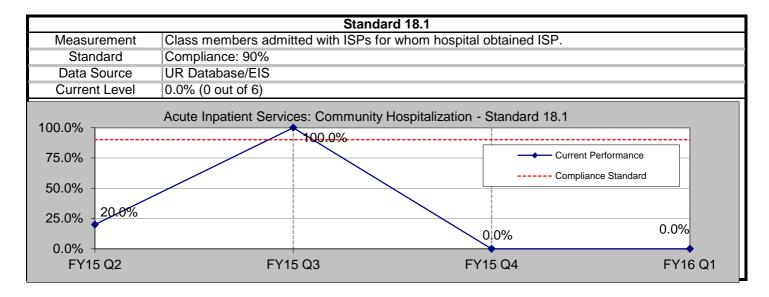
Community Resources and Treatment Services Acute Inpatient Services: Involuntary Community Hospitalization

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



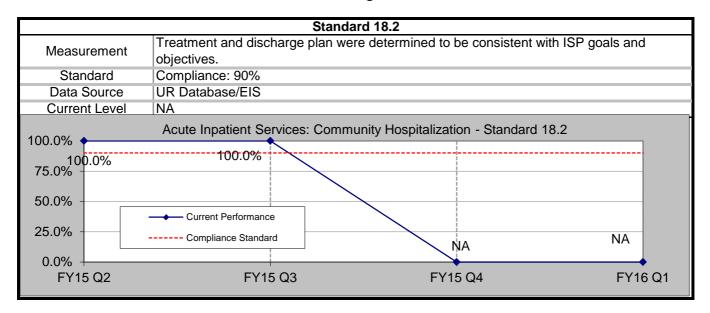
Reasonably Near is defined by Attachment C to the October 29, 2007 approved Compliance Standards.

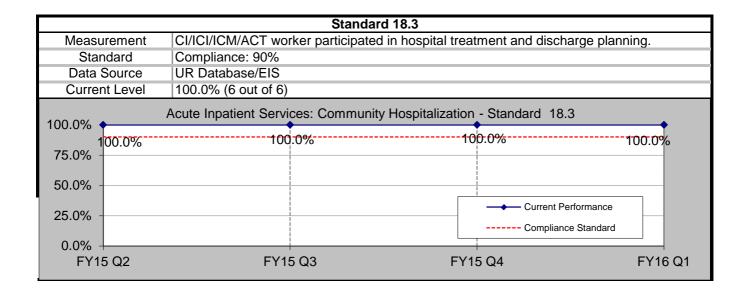
Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings



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

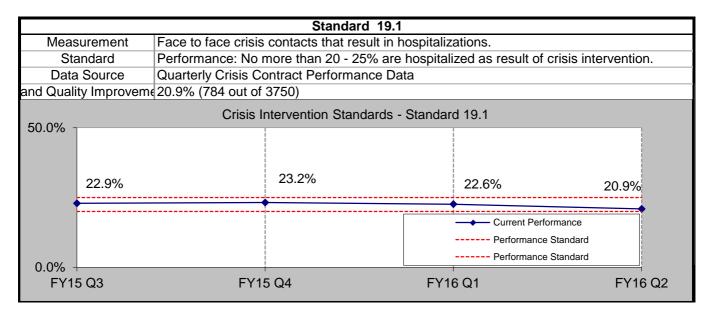
Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings

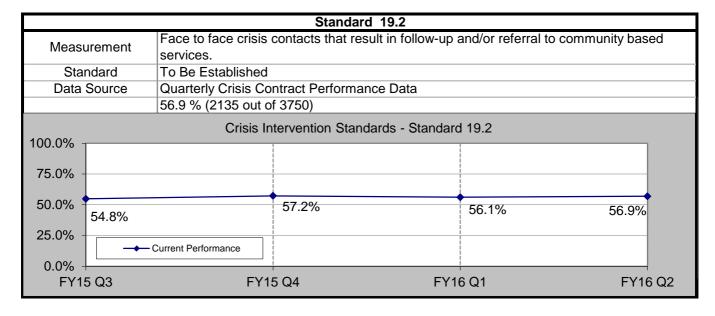




Community Resources and Treatment Services Crisis Intervention Services

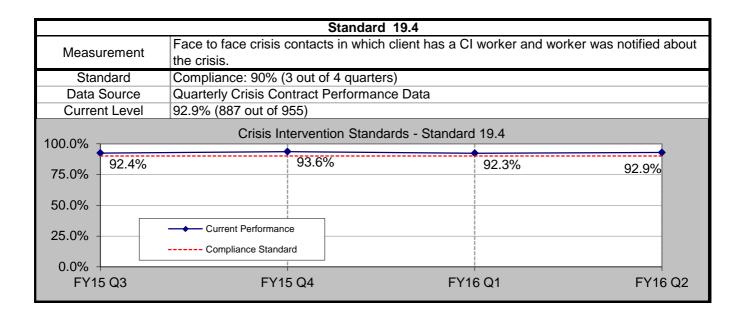
Standard 19 - Crisis services are effective and meet Settlement Agreement Standards



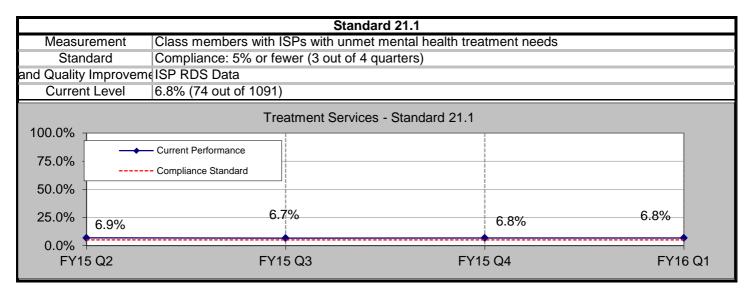


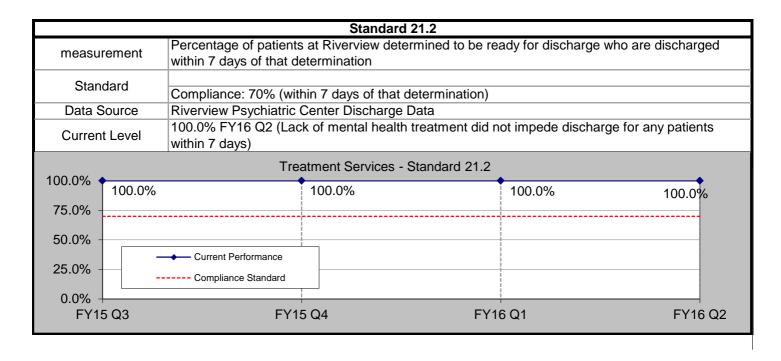
Community Resources and Treatment Services Crisis Intervention Services

		Standard 19.3				
Measurement	Face to face crisis of used.	Face to face crisis contacts in which a previously developed crisis plan was available and used.				
Standard	To Be Established					
Data Source	Quarterly Crisis Co	ntract Performance Data				
Current Level	1.7% (63 out of 37	50)				
100.0%	Current Performance	tervention Standards - Standar	d 19.3			
75.0%						
25.0%		2.2%	1.8%	1.7%		
FY15 Q3	FY1	5 Q4 FY	16 Q1	FY16 Q2		

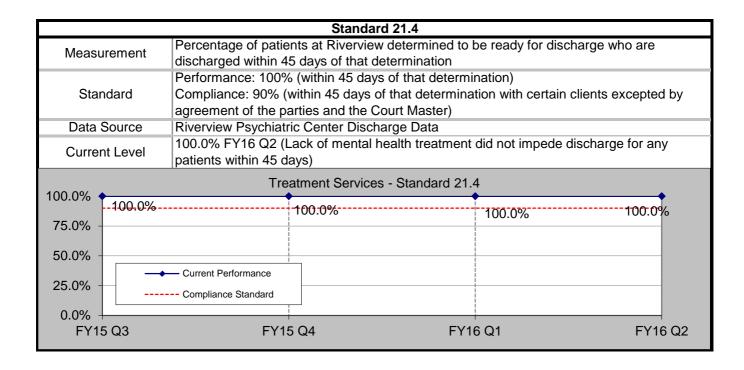


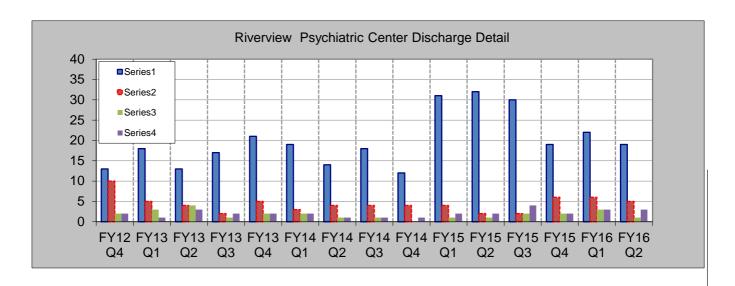
Standard 21 - An array of mental health treatment services are available and sufficient to meet ISP needs of class members and the needs of hospitalized class members ready for discharge.





			Standard 21.3				
Measurement		Percentage of patients at Riverview determined to be ready for discharge who are					
Wicasa			0 days of that determination				
Stan	ndard		(within 30 days of that deter	,			
		· · · · · · · · · · · · · · · · · · ·	within 30 days of that detern	nination)			
Data S	Source		ic Center Discharge Data				
Currer	nt Level	,	100.0% FY16 Q2 (Lack of mental health treatment did not impede discharge for any				
		patients within 30 d	ays)				
		Tre	atment Services - Standard	21.3			
100.0%	100.0%		100.0%	100.0%	100.0%		
75.0% -							
50.00/				i			
50.0%	-	Current Performance					
25.0%		Compliance Standard					
		·					
0.0% +							
FY15	5 Q3	FY1	5 Q4	FY16 Q1	FY16 Q2		
	5 Q3	FY15	5 Q4	FY16 Q1	FY16 Q2		





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

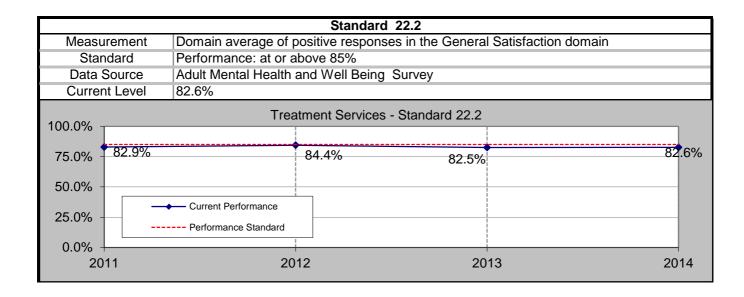
28 Civil Patients discharged in quarter

- 19 discharged at 7 days (67.9%)
- 5 discharged 8-30 days (17.9%)
- 1 discharged 31-45 days (3.6%)
- 3 discharged post 45 days (10.7%)

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

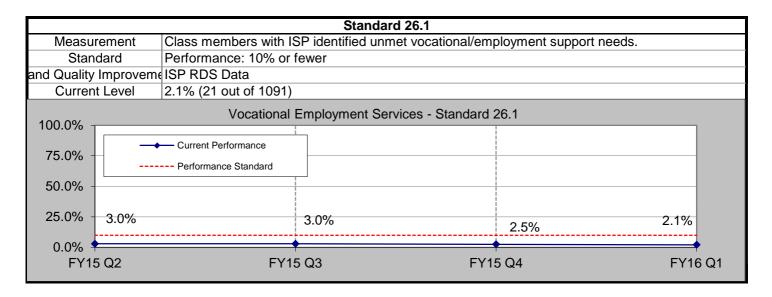
Standard 22 - Class members satisfied with access and quality of MH treatment services received.

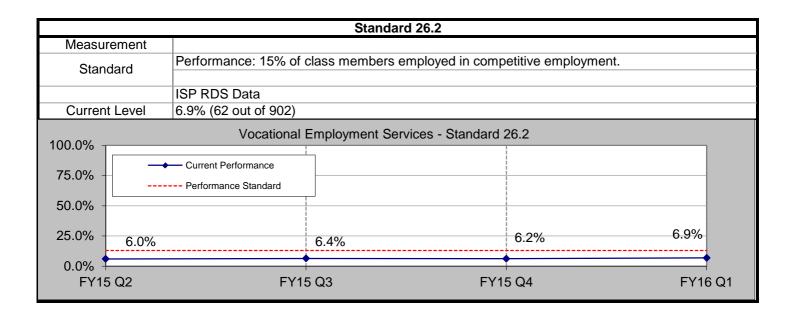
		Standard	22.1		
Measurement	Domain average of	positive respons	es in the Percept	ion of access dom	nain
Standard	Performance: At or Compliance: OAMH		w, takes action if	f results fall below	defined levels.
Data Source	Adult Mental Health	and Well Being	Survey		
Current Level	83.3%				
100.0%	Trea	atment Services	- Standard 22.1		83.3%
75.0% + 77.0% 50.0% -		77.8%	77.1%		
25.0%	Current Performance Compliance Standard		 		
0.0% 2011	20	i)12	20°	13	2014



Community Resources and Treatment Services Vocational Employment Services

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





Community Resources and Treatment Services Vocational Employment Services

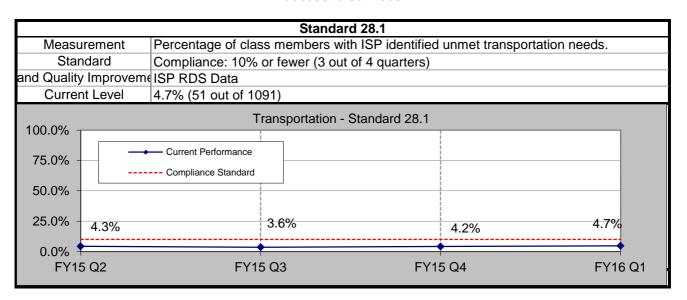
	Standard 26.3			
Measurement	urement Consumers under age 62 in supported and competitive employment (part or full time)			
	Performance: 15% in either competitive or supported employment			
Standard	Compliance: If number falls below 10%, Department conducts further review and takes			
_	appropriate action.			
Data Source	Adult Mental Health and Well Being Survey			
Current Level	10.2% (110 out of 1080)			
100.0% -	Vocational Employment Services - Standard 26.3			
75.00/	— Current Performance			
75.0% +	Compliance Standard			
50.0%				
25.0%	9.1% 2.5%			
0.0%	10.29	6		
2011	2012 2013 2014			

Discussion:

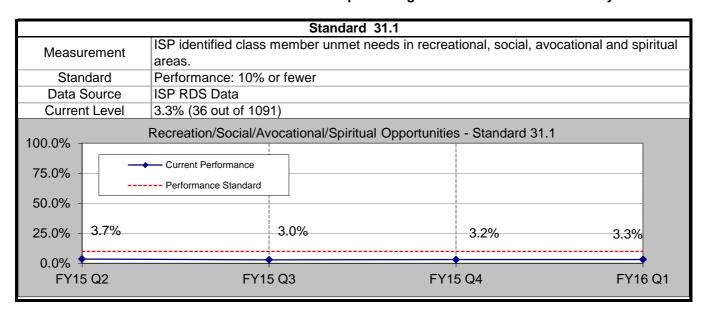
This standard factored out those persons responding to the Adult Mental Health and Well Being Survey employment questions who are 62 and older.

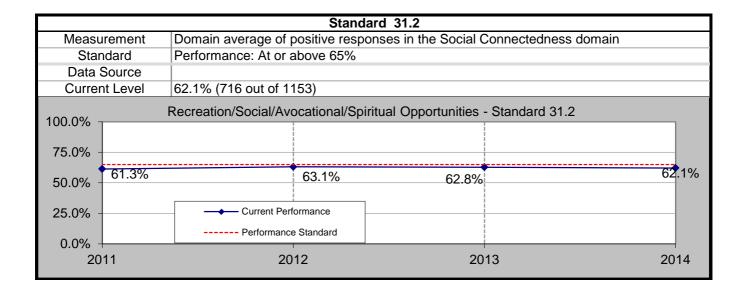
Community Resources and Treatment Services Transportation

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

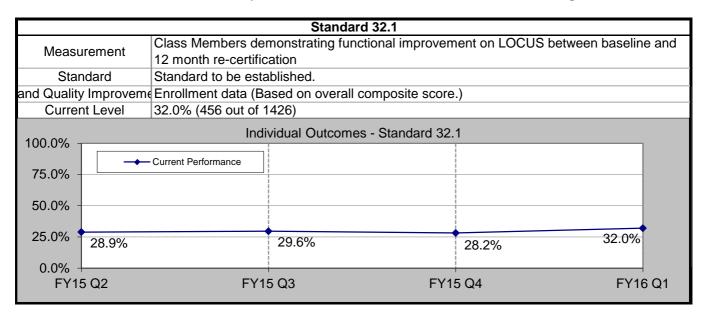


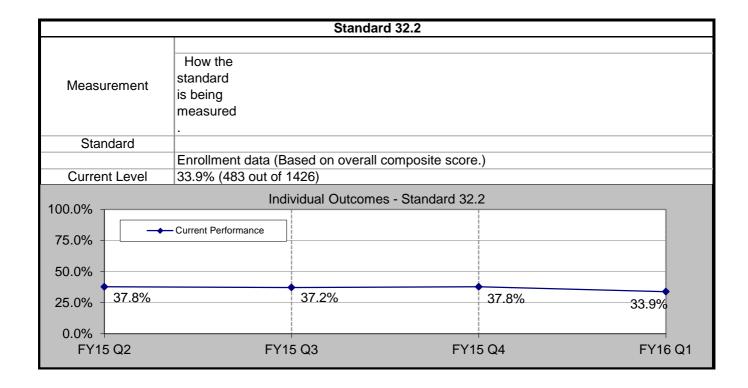
Standard 31 - Class member involvement in personal growth activities and community life.

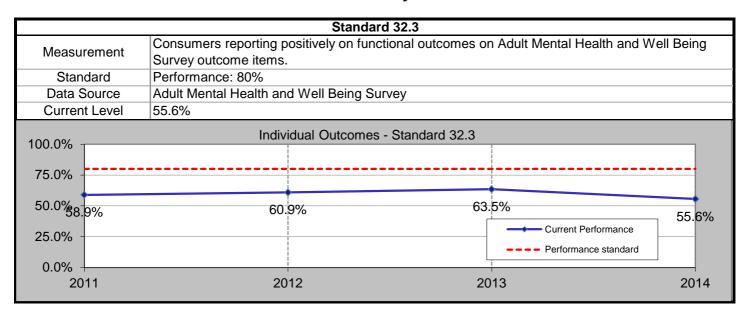




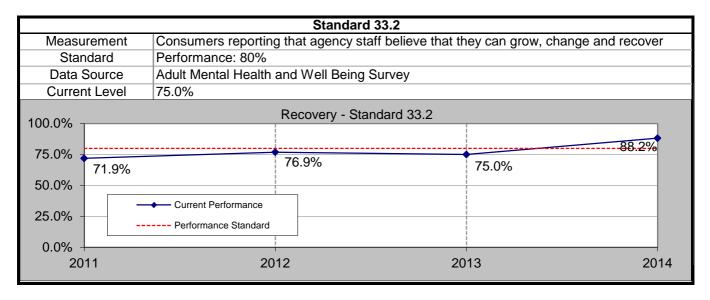
Standard 32 - Functional improvements in the lives of class members receiving services

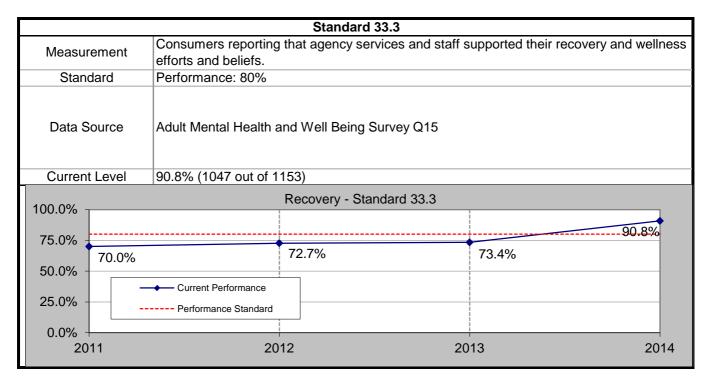






Standard 33 - Demonstrate that consumers are supported in their recovery process





	Standa	rd 33.4
Measurement	Consumers reporting that provider maintain wellness.	rs offered opportunities to learn skills to strengthen and
Standard	Performance: 80%	
Data Source	Adult Mental Health and Well Bein	ng Survey Q16
Current Level	85.0% (980 out of 1153)	
100.0% ¬	Recovery - S	Standard 33.4
75.0%		85.0%
73.1%	76.1%	75.3%
50.0%		
25.0%	Current Performance	
	Performance Standard	
0.0%	2042	2042
2011	2012	2013 2014

