

Paul R. LePage, Governor

Mary C. Mayhew, Commissioner

### Consent Decree Performance and Quality Improvement Standards: November 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  $3^{rd}$  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 July - September 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 July - September 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.
- 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 July - September 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 July - September 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 July - September 2015

## Standard 33. Recovery

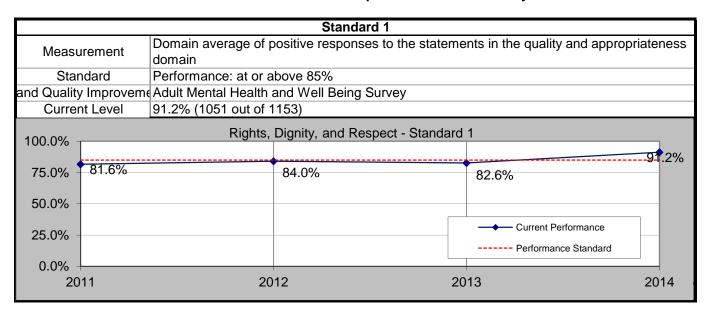
- 1. No longer reported per amendment dated May 8, 2014. Report available upon request.
- 2. Consumers reporting staff believed they could grow, change, recover
- 3. Consumers reporting staff supported their recovery efforts
- 4. Deleted: Consumers reporting that providers offered learning opportunities: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

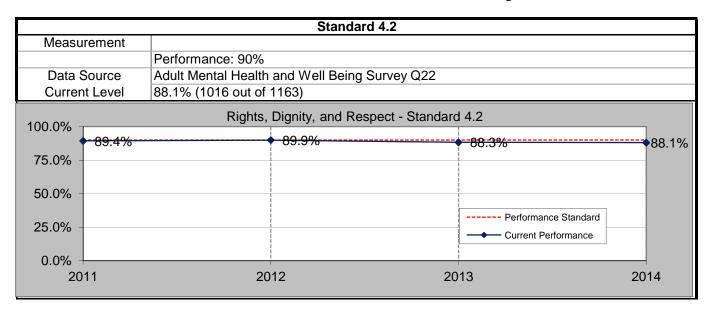
- 1. No longer reported per amendment dated May 8, 2014. Report available upon request.
- 2. No longer reported per amendment dated May 8, 2014. Report available upon request.

## Rights, Dignity, and Respect

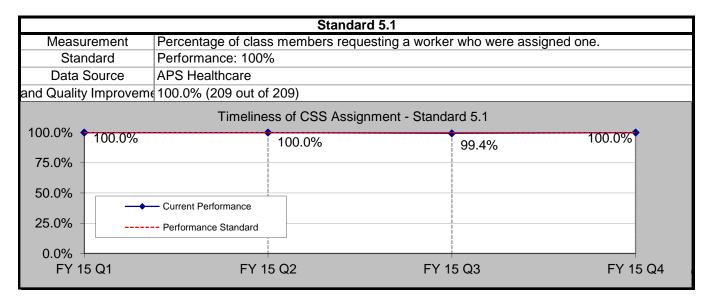
Standard 1 - Treated with respect for their individuality

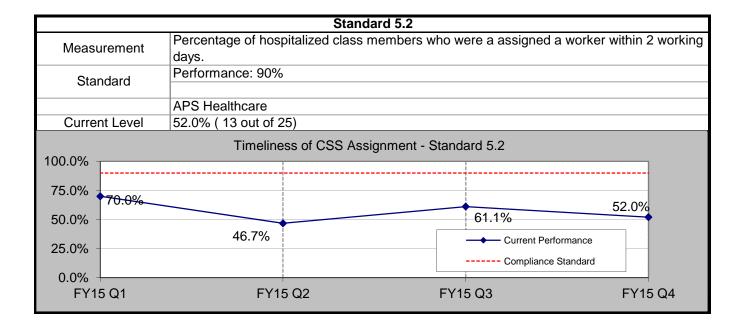


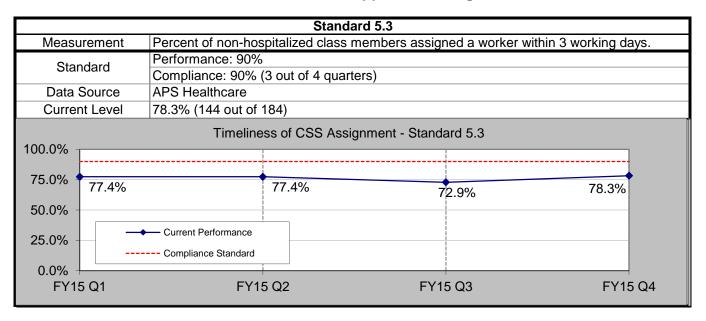
Standard 4 - Class Members are informed of their rights

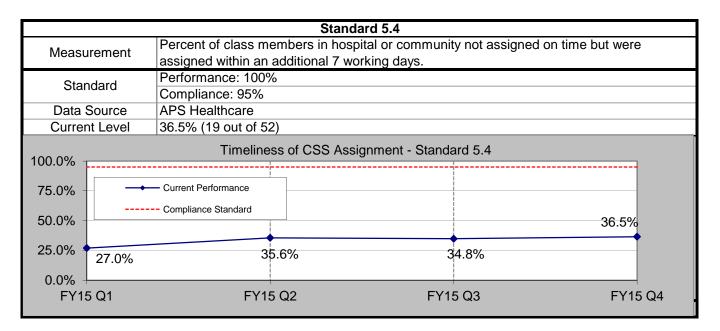


Standard 5 - Prompt Assignment of CI/ACT Workers, ISP Timeframes/Attendees at ISP Meetings





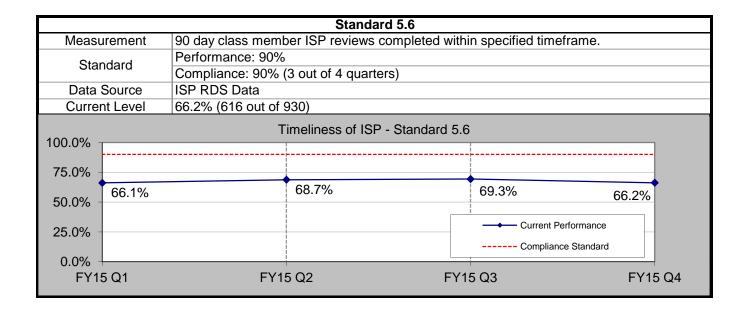


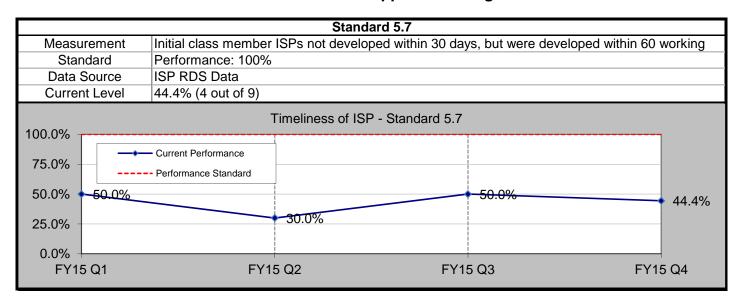


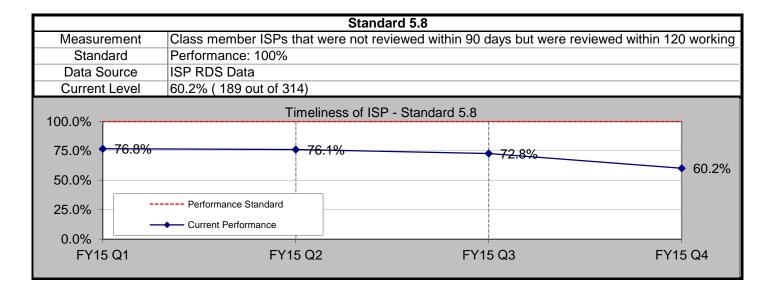
<u>Standards 5.1 -5.4 – Calculations are now based on days from Contact for Service Notification to date of assignment.</u>

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.

		Standard	1 5.5			
Measurement	Measurement Class member ISPs completed within 30 days of service request					
Standard	Performance: 90%					
Standard	Compliance: 90% (	3 out of 4 quarters	s)			
Data Source	ISP RDS Data					
Current Level	83.0% (44 out of 53	3)				
	Ti	meliness of ISP -	Standard 5.5			
100.0%	• • • • • • • • • • • • • • • • • • • •		Otaridara 0.0			
75.0% 86.9%		82.1%	84	.2%	83.0%	
				,,		
50.0%						
25.0%	Current Performance					
23.076	Compliance Standard					
0.0%						
FY15 Q1	FY15	Q2	FY15	5 Q3	FY15 Q4	



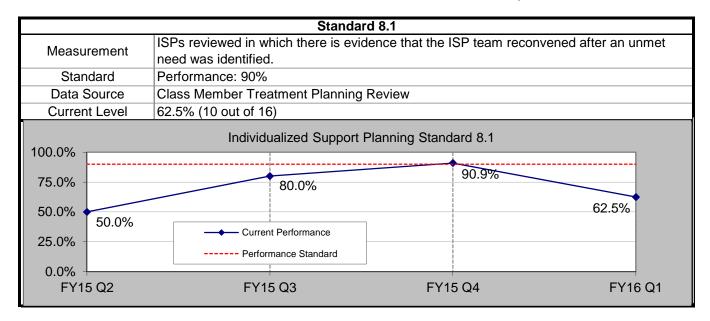


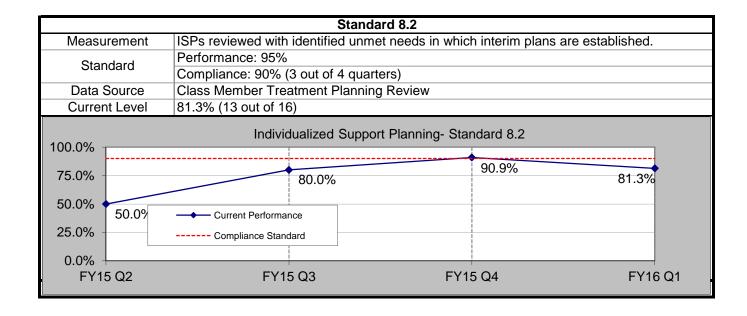


### **Discussion:**

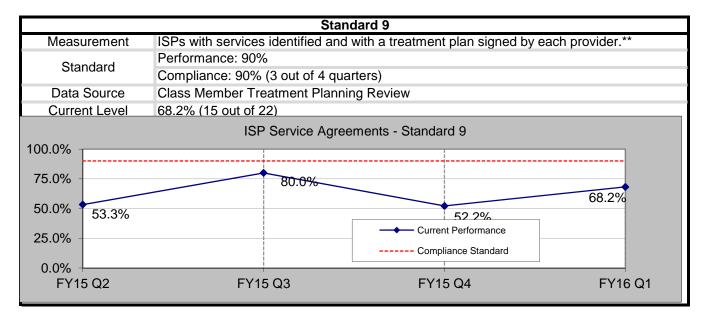
**Standards 5.1 - 5.8**: Field Quality Managers have completed additional agency trainings around assignment times. Assignment time performance measures are now included in Rider E of agency contracts. Data Quality Management Team will identify outliers for follow up by the treatment team and provider 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





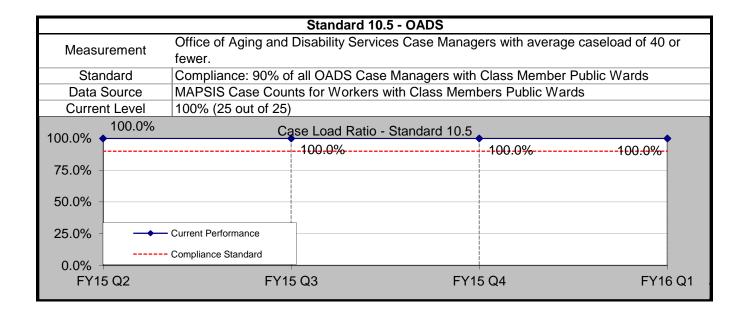
Standard 9 - Services to be delivered by an agency funded or licensed by the state



## **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.

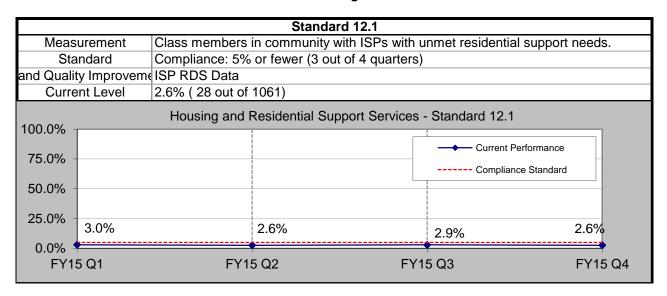
	Standard 10.4 - ICM			
Measurement	Intensive Case Managers with average caseloads of 16 or fewer.			
Standard	Compliance: 90% of all ICM Workers with Class Member caseloads			
	ICMs focus on outreach with individuals in forensic facilities. ICMs no longer carry traditional caseloads. In the future, if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

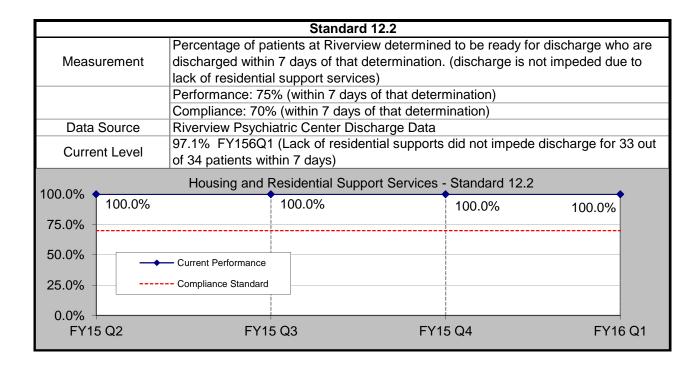


## **Discussion:**

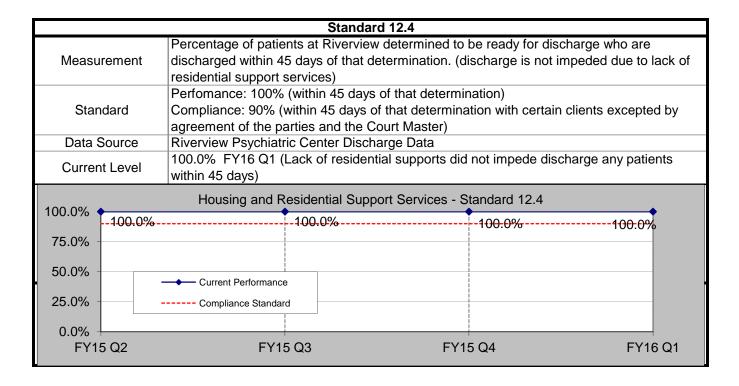
Standard 10.5 - Per amendment dated December 10, 2014 average case load was changed from 25 to 40.

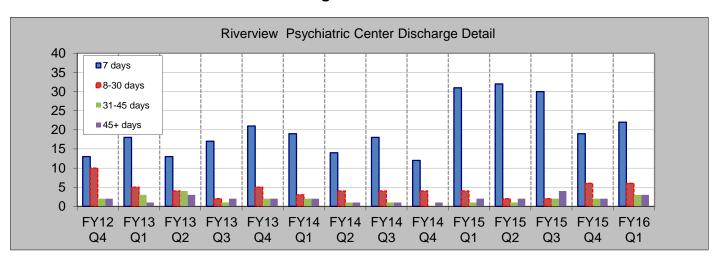
Standard 12 - Residential Support services adequate to meet ISP needs of those ready for discharge





			Standard 12.3		
Percentage of patients at Riverview determined to be ready for discharge				to be ready for discharge	who are
Measurement		discharged within 30	days of that determination	. (discharge is not impede	d due to lack of
		residential support s	,		
Stan	dard	,	within 30 days of that deter		
Otari		, ,	vithin 30 days of that determ	nination)	
Data S	Source	-	c Center Discharge Data		
Curren	t Level	,	ack of residential supports	did not impede discharge	for any patients
Carron		within 30 days)			_
100.00/		Housing and Re	esidential Support Services	- Standard 12.3	
100.0%	100.0%		100.0%	100.0%	100.0%
75.0%		<u> </u>		<u>-</u>	
		<u> </u>			
50.0% -	-	Current Performance			
25.0%					
23.070					
0.0% -					
FY1	5 Q2	FY15	Q3 F	Y15 Q4	FY16 Q1





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

## 34 Civil Patients discharged in quarter

22 discharged at 7 days (64.7%)

6 discharged 8-30 days (17.6%)

3 discharged 31-45 days (8.8%)

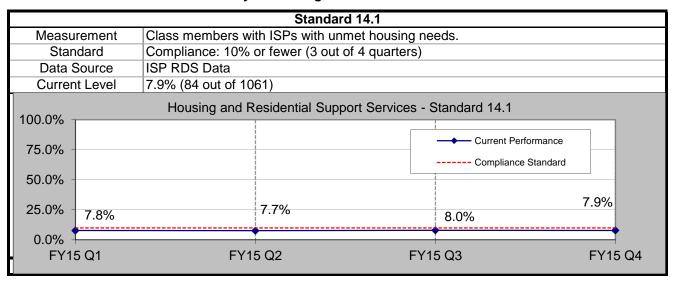
3 discharged post 45 days (8.8%)

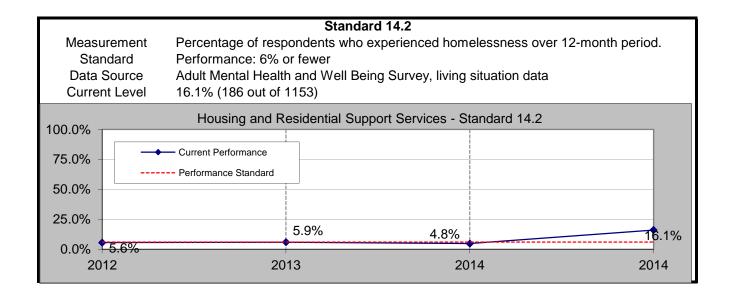
Residential Supports impeded discharge for 1 patients post clinical readiness for discharge (2.9%)

1 patient discharged within 8-30 days post clinical readiness for discharge

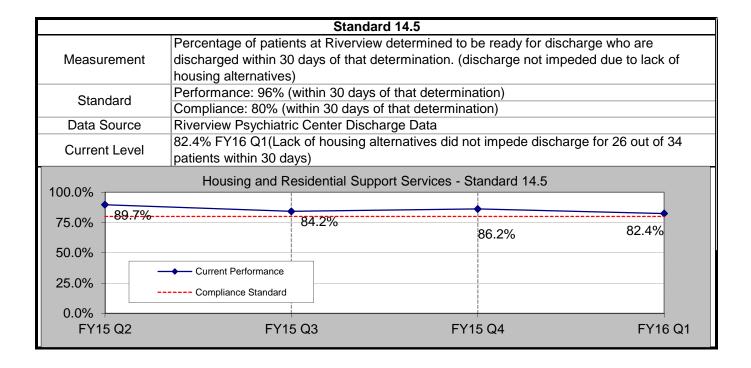
		Standard 13.1				
Measurement	Domain average of po	Domain average of positive responses to the questions in the Perception of Outcomes domain				
Standard	Performance: at or abo	ove 70%				
Data Source	Adult Mental Health ar	nd Well Being Survey				
Current Level	68.0% (784 out of 115					
100.0%	Percep	tion of Outcomes - Star	ndard 13.1			
50.0%		63.9%	66.7%	68.0%		
25.0%	Current Performance					
0.0%	Performance Standard		i			
2011	20	12	2013	2014		

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

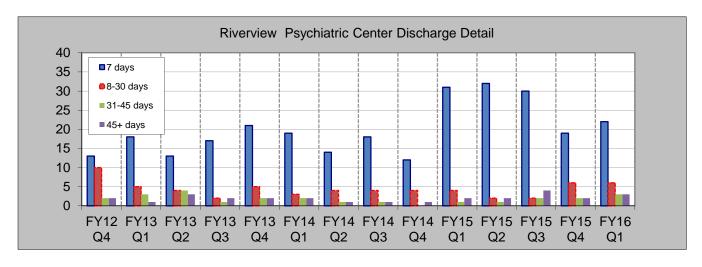




	Standard 14.4	ļ.			
	Percentage of patients at Riverview determ	-	•		
Measurement	discharged within 7 days of that determina	ation. (discharge not impede	d due to lack of		
	housing alternatives)				
Standard	Performance: 75% (within 7 days of that d	,			
Data Source	Compliance: 70% (within 7 days of that de	,			
Data Source	Riverview Psychiatric Center Discharge D 67.6% FY16 Q1 (Lack of housing alternation		no for 23 out of 34		
Current Level	patients within 7 days)	ives did flot liftpede discriar	ge 101 23 001 01 34		
100.0% 75.0% 82.1% 50.0% 25.0%	Housing and Residential Support Ser  78.9%  Current Performance  Compliance Standard	rvices - Standard 14.4 65.5%	67.6%		
0.0% FY15 Q2	FY15 Q3	FY15 Q4	FY16 Q1		



			Standard 14.6			
	Percentage of patients at Riverview determined to be ready for discharge who are					
Measurement discharged		discharged within 45	5 days of that determination. (d	discharge not impeded o	lue to lack of	
housing alternatives)						
			(within 45 days of that determ	•		
Stan	dard		within 45 days of that determin	ation with certain clients	excepted by	
5			arties and the Court Master)			
Data S	Source		ic Center Discharge Data			
Curren	t Level	,	ack of housing alternatives did	I not impede discharge f	or 29 out of 34	
		patients within 45 da	ays)			
100.0% ¬		Housing and R	esidential Support Services - S	Standard 14.6		
100.0 %				20.40/	04.007	
75.0%	89.7%		89.5%	93.1%	91.2%	
50.0% -						
25.0% -	0% — Current Performance					
0.00/		Compliance Standard				
0.0% + FY15	5.02	FY1	E 03 EV	′15 Q4	FY16 Q1	
FIR	J QZ	FIR	J Q3	10 Q4	FIIOQI	



## 34 Civil Patients discharged in quarter

22 discharged at 7 days (64.7%)

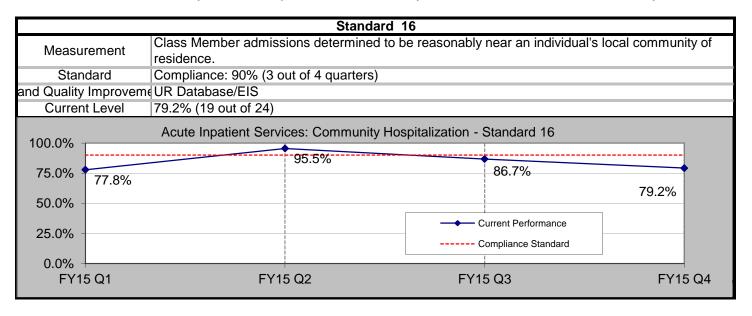
- 6 discharged 8-30 days (17.6%)
- 3 discharged 31-45 days (8.8%)
- 3 discharged post 45 days (8.8%)

## Housing Alternatives impeded discharge for 11 patients (32.4%)

- 5 patients discharged within 8-30 days post clinical readiness for discharge
- 3 patient discharged 31- 45 days post clinical readiness for discharge
- 3 patient discharged greater than 45 days post clinical readiness for discharge

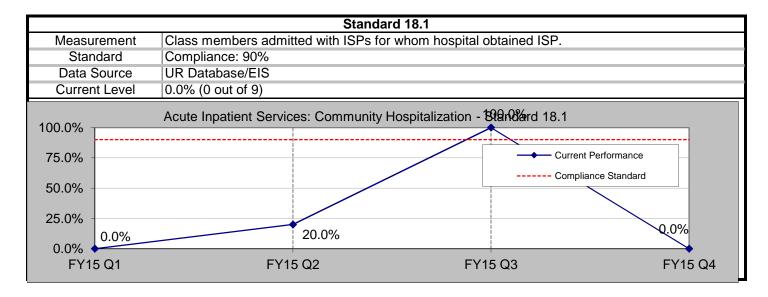
# Community Resources and Treatment Services Acute Inpatient Services: Involuntary Community Hospitalization

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



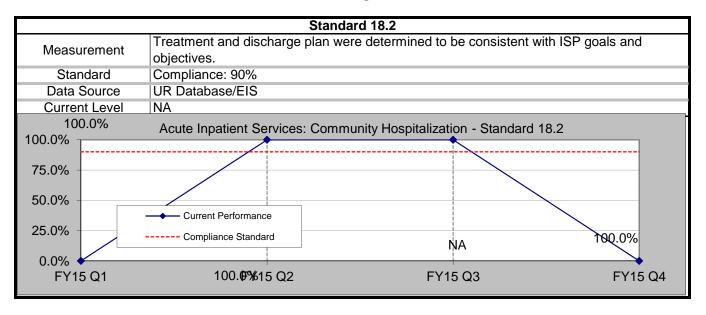
Reasonably Near is defined by Attachment C to the October 29, 2007 approved Compliance Standards.

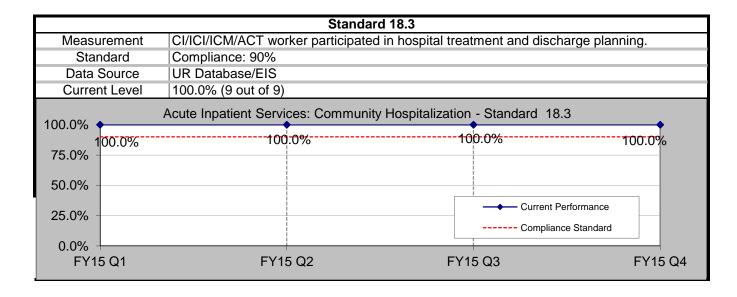
Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings



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

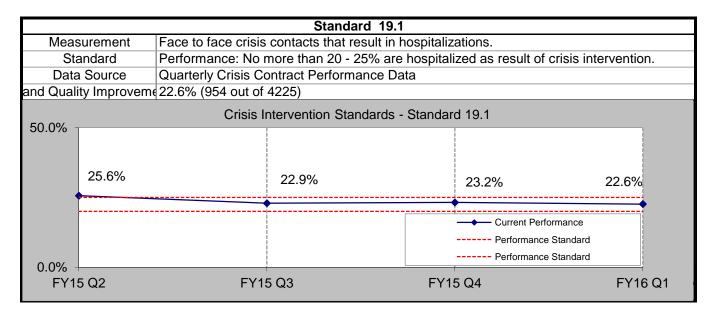
Standard 18 - Continuity of Treatment is maintained during hospitalization in community inpatient settings

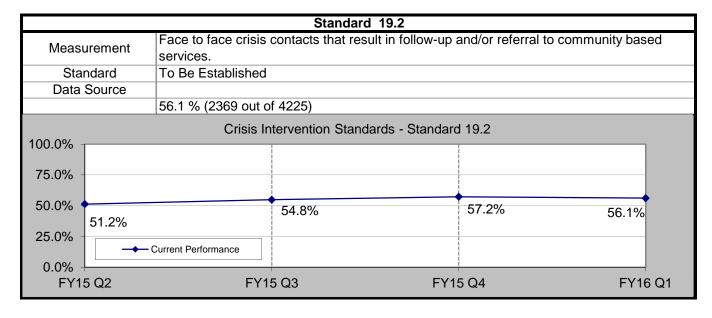




## Community Resources and Treatment Services Crisis Intervention Services

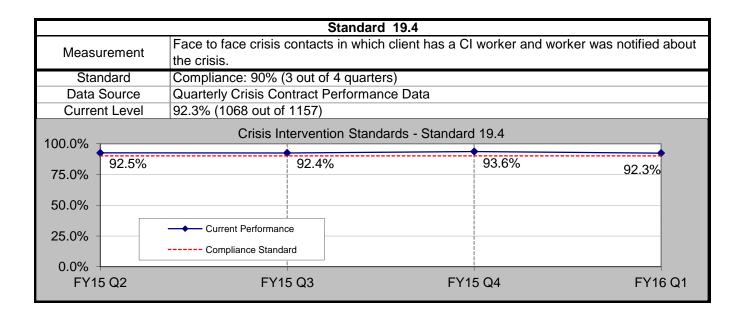
Standard 19 - Crisis services are effective and meet Settlement Agreement Standards



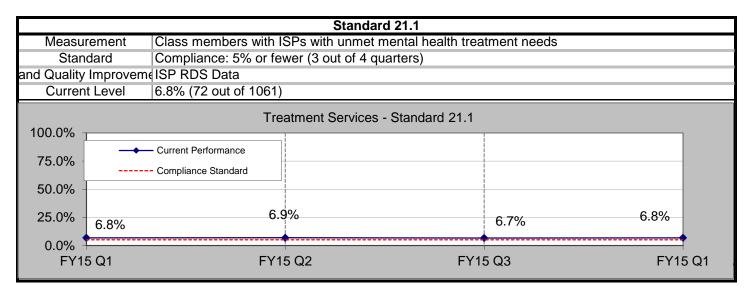


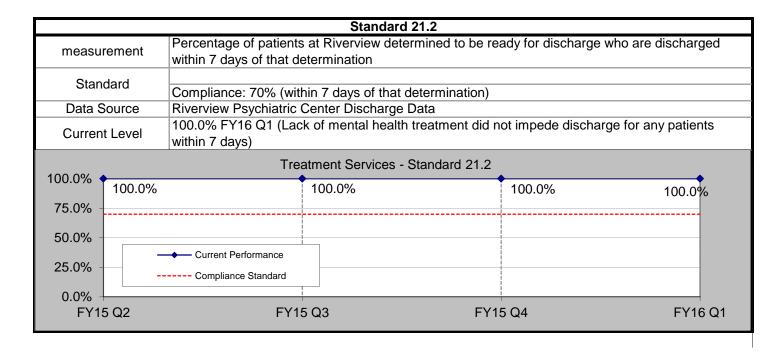
## Community Resources and Treatment Services Crisis Intervention Services

		Standard 19.3	3			
Measuremer	Face to face crisis 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 Da	ata			
Current Leve	1.8% ( 77 out of 42	25)				
100.0% 75.0% 50.0%	← Current Performance	ntervention Standards	- Standard 19.3			
2.8%	) )	1.9%	2.2%	1.8%		
0.0% <del>FY</del> 15 Q2	FY1	5 Q3	FY15 Q4	FY16 Q1		

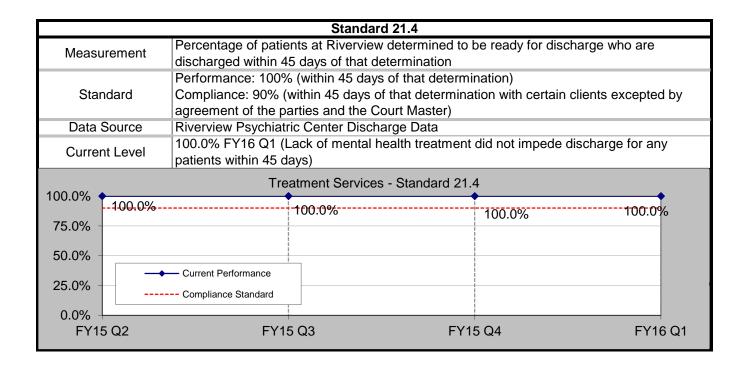


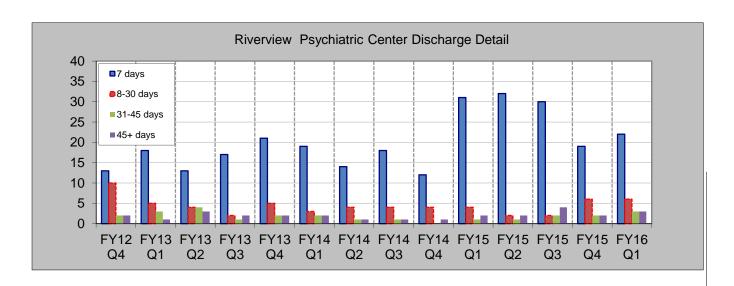
Standard 21 - An array of mental health treatment services are available and sufficient to meet ISP needs of class members and the needs of hospitalized class members ready for discharge.





		Standard 21.3				
Measurement	Percentage of patients at Riverview determined to be ready for discharge who are					
		0 days of that determination				
Standard		(within 30 days of that determin	,			
2	· · · · · · · · · · · · · · · · · · ·	within 30 days of that determina	ation)			
Data Source		ic Center Discharge Data				
Current Level	,	ack of mental health treatment	did not impede discharg	je for any		
	patients within 30 d	ays)				
	Tre	atment Services - Standard 21.	3			
100.0%		100.0%	100.0%	100.0%		
75.0%						
10.070						
50.0%	Current Performance					
25.0%	25.0% — Compliance Standard					
0.0%						
FY15 Q2	FY1	5 Q3 FY1	5 Q4	FY16 Q1		





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

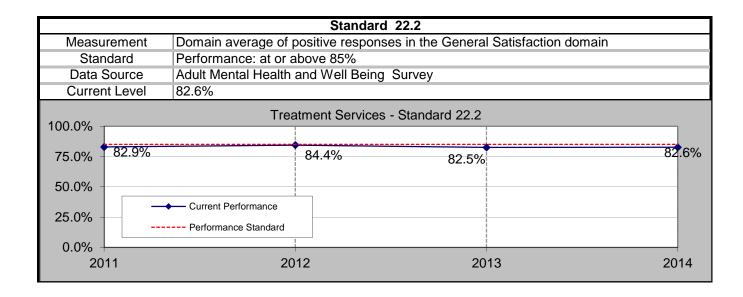
## 34 Civil Patients discharged in quarter

- 22 discharged at 7 days (64.7%)
- 6 discharged 8-30 days (17.6%)
- 3 discharged 31-45 days (8.8%)
- 3 discharged post 45 days (8.8%)

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

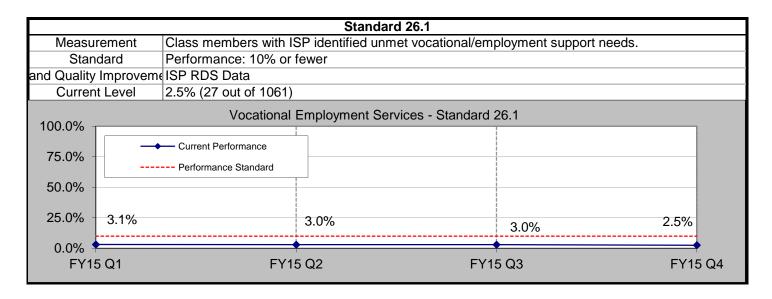
Standard 22 - Class members satisfied with access and quality of MH treatment services received.

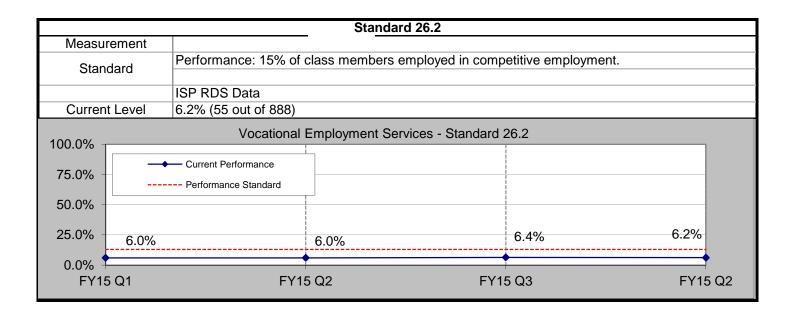
		Standard	22.1			
Measureme	nt Domain average	Domain average of positive responses in the Perception of access domain				
Standard		Performance: At or above 85% Compliance: OAMHS conducts review, takes action if results fall below defined levels.				
Data Source	e Adult Mental Hea	alth and Well Being S	Survey			
Current Lev	el 83.3%					
100.0% 75.0%		Freatment Services	Standard 22.1	83.3%		
50.0%	)% 	77.8%	77.1%			
25.0%	Current Performance Compliance Standard					
0.0% <del> </del> 2011		2012	2013	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

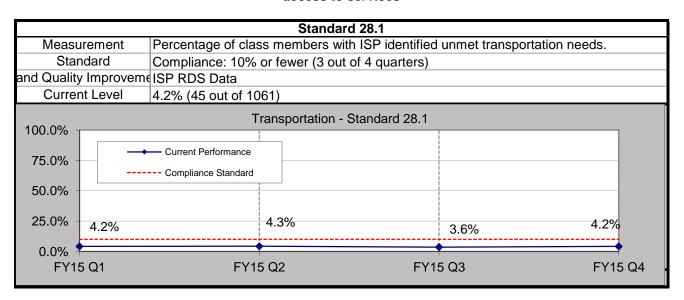
		Standard 26.3				
Measurement	Consumers under age 6	Consumers under age 62 in supported and competitive employment (part or full time)				
Performance: 15% in either competitive or supported employment						
Standard	Compliance: If number f	alls below 10%, Department	conducts further review and takes			
	appropriate action.					
Data Source	Adult Mental Health and	<u> </u>				
Current Level	10.2% (110 out of 1080)					
100.00/	Vocational Employment Services - Standard 26.3					
100.0%	0 1 D. (					
75.0%	Current Performance					
	- Compliance Standard					
50.0%						
25.0%	9.1	% 2.5%				
	9.1	76 2.576				
0.0%			10.2%			
2011	2012	20	13 2014			

## **Discussion:**

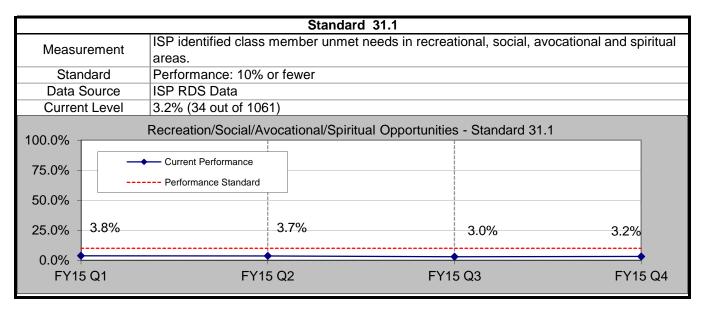
This standard factored out those persons responding to the Adult Mental Health and Well Being Survey employment questions who are 62 and older.

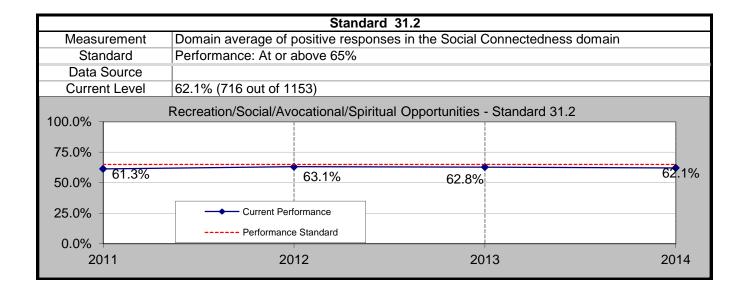
# Community Resources and Treatment Services Transportation

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

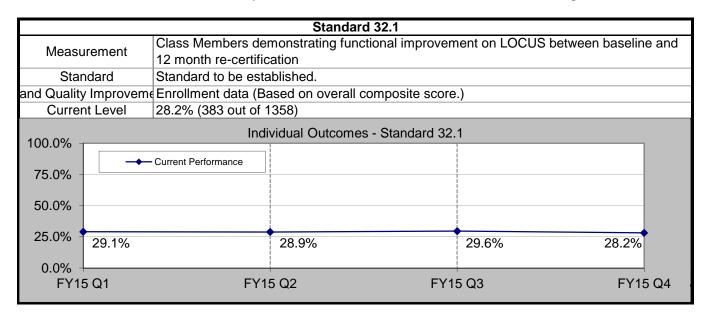


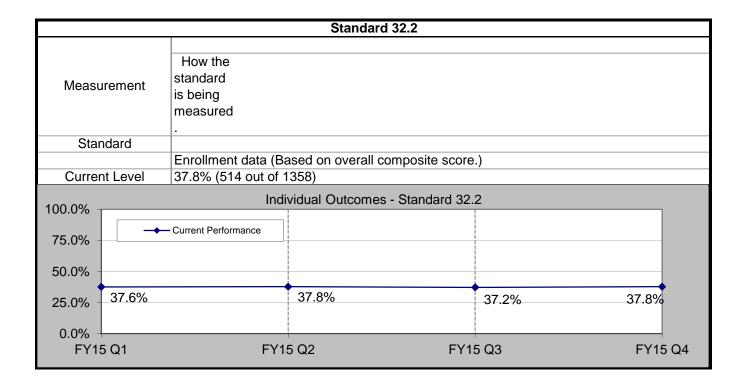
Standard 31 - Class member involvement in personal growth activities and community life.

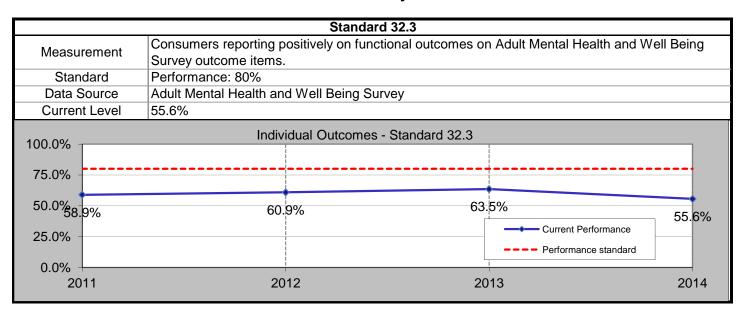




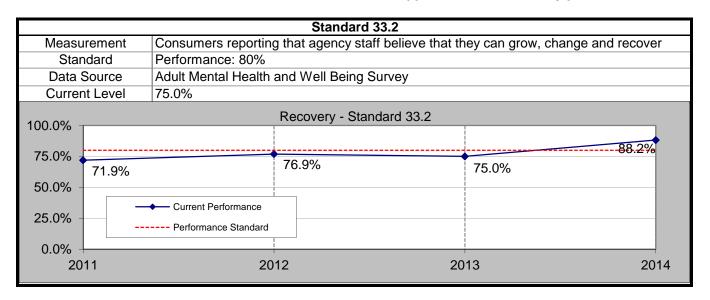
Standard 32 - Functional improvements in the lives of class members receiving services

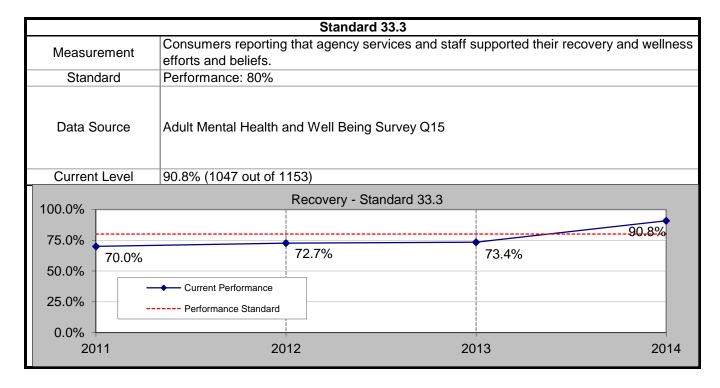






Standard 33 - Demonstrate that consumers are supported in their recovery process





		Standard 33	.4			
Measurement	Consumers reporting maintain wellness.	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 Sur	vey Q16			
Current Level	85.0% (980 out of 1	153)				
100.0%		Recovery - Standa	ard 33.4			
75.0% 73.1%		76.1%	75.3%	85.0%		
25.0%	Current Performance Performance Standard					
0.0% <del> </del> 2011	20	12	2013	2014		

