



John E. Baldacci, Governor      Brenda M. Harvey, Commissioner

Department of Health & Human Services  
 Office of Adult Mental Health Services  
**Bates v. DHHS Consent Decree**  
**April, May, June: 4<sup>th</sup> Quarter, State Fiscal Year 2009**  
[CONSENT DECREE REPORT](#)

**EXECUTIVE SUMMARY**

The DHHS Office of Adult 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 fourth quarter of state fiscal year 2009, covering the period from April through June 2009. Each document title is linked to the PDF version of the document on the [OAMHS website](#). Links to the Word (or Excel) versions are also listed.

DOCUMENT		DESCRIPTION
1	<b>Cover Letter, Quarterly Report</b> <i>August 1, 2009</i>  <a href="#">Word</a>   <a href="#">PDF</a>	Letter to Dan Wathen, Court Master, submitting the Quarterly Report pursuant to paragraph 280 of the Settlement Agreement for the quarter ending June 30, 2009.
2	<b>Fourth Quarter Fiscal Year 2009 Report on Compliance Plan Standards: Community</b> <i>August 1, 2009</i>  <a href="#">Word</a>   <a href="#">PDF</a>	This report lists and updates the standards approved in October 2007 for evaluating and measuring DHHS compliance with the terms and principles of the Settlement Agreement.
3	<b>Consent Decree Quarterly Report (October 2006 Plan Components)</b> <i>August 1, 2009</i>  <a href="#">Word</a>   <a href="#">PDF</a>	This matrix lists and updates the components of the Consent Decree Plan of October 2006 approved by the Court Master for improvements to the mental health system. It includes cumulative compliance activities by date, and indicates when work on a component is completed.
4	<b>Performance and Quality Improvement Standards</b> <i>July 2009</i>  <a href="#">PDF</a>	Details the status of the Department’s compliance with 34 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, in both summary form at the beginning of the report and in full detail, including graphs, in the pages that follow.
5	<b>Public Education – Standard 34</b> <i>April - June 2009</i>  <a href="#">Excel</a>   <a href="#">PDF</a>	Amplifies Standard 34 of the Performance and Quality Improvement Standards above, detailing the mental health workshops, forums, and presentations made, including levels of participation.

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<p>6 <b>Performance Quality and Improvement Standards, Appendix: Adult Mental Health Data Sources</b> <i>10/2008</i></p> <p><a href="#">Word</a>   <a href="#">PDF</a></p>	<p>Lists and describes of all the data sources used for measuring and reporting the Department's compliance on the Performance and Quality Improvement Standards.</p>
<p>7 <b>Cover: Unmet Needs by CSN for FY 09 Q4 (April, May, June 2009)</b></p> <p><a href="#">Word</a>   <a href="#">PDF</a></p>	<p>Provides a brief introduction to the unmet needs report, providing some definitions of the data, initial findings and next steps.</p>
<p>8 <b>Unmet Needs by CSN for FY09 Q4 (April, May, June 2009)</b></p> <p><a href="#">PDF</a></p>	<p>Quarterly report drawn from the OAMHS Enterprise Information System (EIS) by CSN (based on client zip code), from resource need data entered by community support case managers (CI, ICI, ACT, and ICM) concerning consumers (class members and non-class members) who indicate a need for a resource that is not immediately available. 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.</p>
<p>9 <b>BRAP Waitlist Monitoring Report, June 30, 2009</b></p> <p><a href="#">Word</a>   <a href="#">PDF</a></p>	<p>Quarterly monitoring report of the DHHS Bridging Rental Assistance Program's (BRAP) waitlist, focusing on the numbers served over time by priority status.</p>
<p>10 <b>Bates v. DHHS Consent Decree Paragraph 27 Bi-Annual Report: Grievance Filings January 1, 2009 – June 30, 2008</b></p> <p><a href="#">Word</a>   <a href="#">PDF</a></p>	<p>Semi-annual report of all complaints and grievances appealed to the Superintendent of Riverview Psychiatric Center and Dorothea Dix, the Director of OAMHS and the Commissioner. The report summarizes the issues raised, findings made and remedial actions taken.</p>
<p>11 <b>Location Effort Report for Quarter 4, State Fiscal Year 2009 (April, May, June 2009)</b></p> <p><a href="#">Word</a>   <a href="#">PDF</a></p>	<p>Report documenting the DHHS Office of Adult Mental Health Services (OAMHS) continuing efforts to maintain current, accurate addresses for <i>Bates v. DHHS Consent Decree</i> class members.</p>
<p>12 <b>Class Member Treatment Planning Review for the 4th</b></p>	<p>Aggregate report of document reviews completed on a random sample of class member ISPs by Consent Decree Coordinators</p>

DOCUMENT		DESCRIPTION
	<b>Quarter of Fiscal Year 2009</b> <a href="#">Excel</a>   <a href="#">PDF</a>	following a standardized protocol.
13	<b>Community Hospital Utilization Review for the 4<sup>th</sup> Quarter of Fiscal Year 2009</b> <a href="#">Excel</a>   <a href="#">PDF</a>	Aggregate report of Utilization Review Nurse review of all persons admitted into emergency involuntary, community hospital based beds funded by the Department of Health and Human Services and MaineCare.
14	<b>Community Hospital Utilization Review Performance Standard 18-1, 2, 3 by Hospital: Class Members for the 4<sup>th</sup> Quarter Fiscal Year 2009</b> <a href="#">Excel</a>   <a href="#">Excel</a>	Report drawn from UR Nurse 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.
15	<b>Adult Mental Health Quarterly Crisis Report: 3<sup>rd</sup> Quarter, Fiscal Year 2009</b> <a href="#">PDF</a>	Aggregate quarterly report of crisis data submitted by crisis providers to the Office of Quality Improvement on a monthly basis. Quarter 1 FY'09 marked the implementation of a new data collection tool.
16	<b>Riverview Psychiatric Center Performance Improvement Report</b> <i>April – June 2009</i> <a href="#">Word</a>   <a href="#">PDF</a>	Reports on Riverview's compliance with specific indicators re: performance and quality, recording findings, problem, status, and actions for the 4 <sup>th</sup> Quarter of FY 2009.