

Memorandum

DATE: November 20, 2008

SUBJECT: State Report of Unmet Needs for Quarter 1 FY '08 – '09 (July - September 08)

Purpose: The Bates v. DHHS Consent Decree Plan of October 2006 required that Unmet Needs data be accurately collected and reported and this data be used for planning purposes. This Unmet Needs Statewide Report is in response to a request made by OAMHS in January 2008 to the Muskie School's Institute for Public Sector Innovation (IPSI) to produce quarterly reports examining:

- a.) level of reports of Unmet Needs for 14 categories
- b.) regional variations in the reports of Unmet Needs
- c.) trends across quarters

This report for the state as a whole includes three sections as follows:

- Page 2 – 4: Unmet Needs and Open Cases for the state compared across previous four quarters
- Page 5 – 7: Actual reports for all subcategories for the state as a whole for four quarters
- Page 8– 9: Comparison between categories and between CSNs for this quarter

In July 2004, DHHS implemented a computerized system to provide essential data on consumer demographics, service delivery, and statewide gaps in services. In January 2006, providers began entering data via the completion of the Individualized Support Plan Resource Data Summary (RDS), which is part of the Department's Enterprise Information System (EIS). OAMHS implemented a system in August 2007 to generate reports about Unmet Needs from RDS reports using the EIS system.

All charts are based on four quarters of Unmet Needs data: Quarter 1 FY'09 and the three previous quarters in FY'08: Quarter 4 (April–June '08); Quarter 3 (Jan – March '08); and Quarter 2 (Oct–Dec '07). These quarterly reports compile data by client zip code based on completed reports by case managers (CI, ACT, and ICM) concerning consumers (both class members and non-class members) who indicate a need 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. Some consumers may have multiple unmet needs, including multiple unmet needs within a category. Therefore, reports count incidents of unmet needs, not people with unmet needs or the percentage of people with unmet needs.

Changes in data collection: Quarter 1 of FY'09 is the first quarter in which enrollment and RDS data are entered by providers into APS Healthcare's CareConnection at the time of the initial Prior Authorization (PA) request and at all continuing stay reviews. Continuing stay reviews are scheduled to occur every 90 days to correspond with the updating of the consumer's ISP. Data is then fed to EIS on a monthly basis. Providers no longer submit enrollment/RDS data through E-NetME. This is expected to assure that data is gathered on all persons receiving CI, ACT or ICM services.

The first feed of enrollment and RDS data from APS Healthcare occurred in early October. This feed, and earlier test feeds, identified data collection issues on the APS Healthcare side and OAMHS/EIS mapping issues, both of which affected the integrity of the September data. These issues resulted in a significant number of records being 'rejected' by EIS and not being able to be loaded into the system. Staff have spent a great deal of time 'cleaning' the data and the 'fixes' to remedy the data issues have been identified. While some of the fixes have already been implemented, the remainder is expected to be implemented in November. For these reasons, it will be difficult to formulate conclusions from the unmet need data as the data for this quarter is most likely lower, or different, than it would be if OAMHS had not experienced challenges in the transition over to APS Healthcare.

Section 1: Unmet Needs and Open Cases for the State Compared to Previous Quarters

This report is based on reports received for Open Cases during Quarter 1 of FY'09 (July – September '08). The sum of Open Cases for all of the regions plus those with no legal addresses is actually 101 more cases than what is listed below for the state. This is probably due to an issue with duplicate addresses. The state figure is for unduplicated Open Cases. Also, a row has been added to report the clients who do not have a legal address listed in EIS or do not have an address that connects them with a particular CSN.

Table 1: CSN Regions and Open Cases

Region	Counties	Quarter 1 FY '09 Open Cases
CSN 1	Aroostook	311
CSN 2	Hancock, Penobscot, Piscataquis & Washington	1,309
CSN 3	Kennebec & Somerset	1,059
CSN 4	Knox, Lincoln, Sagadahoc & Waldo	289
CSN 5	Androscoggin, Franklin & Oxford	899
CSN 6	Cumberland	1,113
CSN 7	York	667
Not assigned	No legal address	12
State as a whole		5,558

Table 2 below compares Quarter 4 FY '08 and Quarter 1 FY '09. The data collected to date indicates:

- the number of reports of Unmet Needs statewide decreased 20%
- the number of Open Cases decreased 35%

Table 2: Comparison of Open Cases and Unmet Needs across Four Quarters

Regions	Quarter 2 FY '08		Quarter 3 FY '08		Quarter 4 FY '08		Quarter 1 FY '09		Q4 to Q1 change in Unmet Needs	Q4 to Q1 change in Open Cases
	Unmet Needs	Open Cases								
CSN1	64	501	29	491	116	588	164	311	+41%	-47%
CSN2	865	1895	1033	1859	1757	2033	1346	1309	-23%	-36%
CSN3	470	1319	495	1170	906	1493	778	1059	-14%	-29%
CSN4	155	449	199	293	371	432	284	289	-23%	-33%
CSN5	401	1143	486	1072	1010	1133	918	899	-9%	-21%
CSN6	322	1887	464	1647	1004	1654	718	1113	-28%	-33%
CSN7	142	1553	324	1519	680	1187	392	667	-42%	-44%
No legal addr.							71	12		
State	2419	8747	3030	8051	5844	8520	4671	5558	-20%	-35%

Graph 3 below shows that for the state as a whole, the number of actual Unmet Needs reports decreased in every category between Quarter 1 of FY'09 and Quarter 4 of FY '08. The solid purple line which represents this quarter follows the same pattern as all prior quarters and is below the levels for FY '08 Quarter 4, but above the levels for Quarter 2 and Quarter 3 of FY'08.

Graph 3: Actual Reports of Unmet Needs across Four Quarters

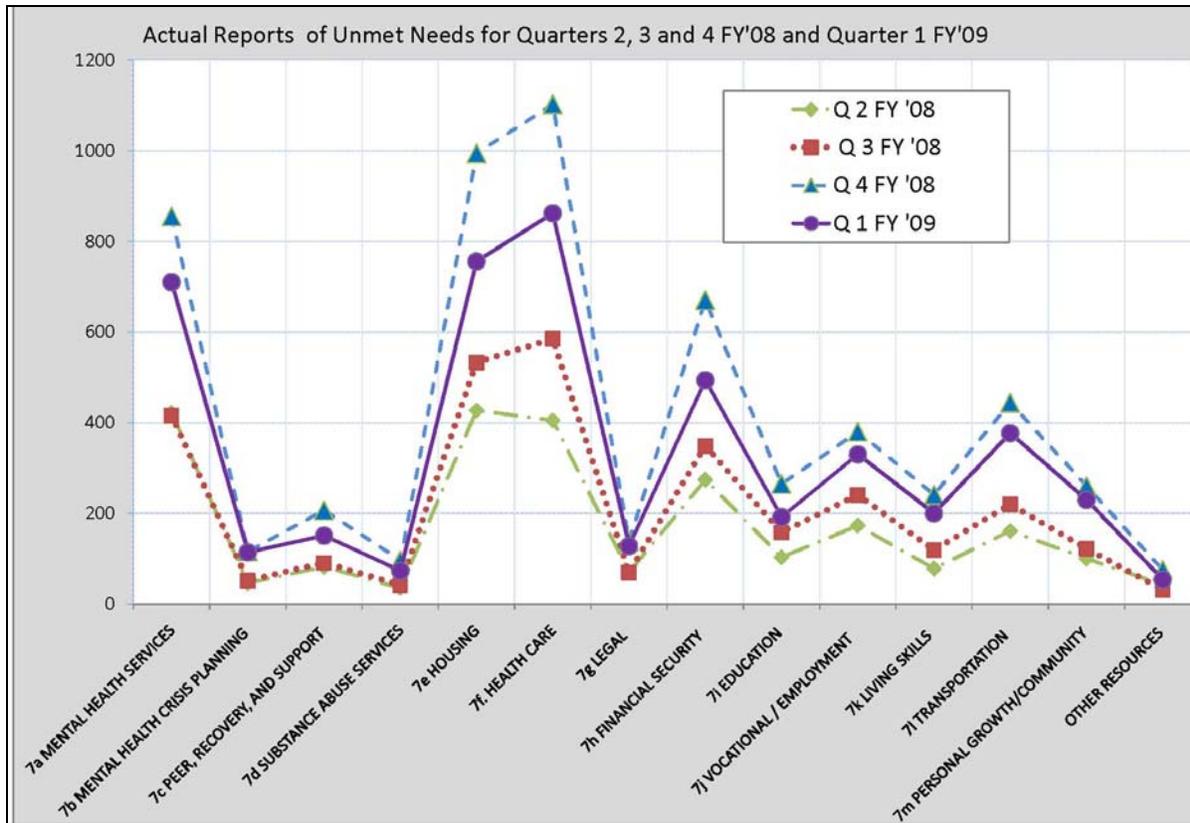


Table 3: The graph above is based on the table below.

Actual Reports of Unmet Needs	Q2 FY '08	Q3 FY '08	Q4 FY '08	Q1 FY '09	Change from Q4 to Q1
7a. Mental health services	422	416	855	710	-17%
7b. Mental health crisis planning	46	52	116	114	-2%
7c. Peer, recovery, and support	82	91	207	151	-27%
7d. Substance abuse services	35	42	96	73	-24%
7e. Housing	427	533	994	756	-24%
7f. Health care	405	585	1102	862	-22%
7g. Legal	70	70	139	128	-8%
7h. Financial security	274	349	670	494	-26%
7i. Education	103	158	265	192	-28%
7j. Vocational / employment	173	241	380	330	-13%
7k. Living skills	78	119	241	200	-17%
7l. Transportation	161	220	444	377	-15%
7m. Personal growth/community	100	122	260	230	-12%
Other resources	43	32	75	54	-28%
Total Statewide Unmet Needs	2419	3030	5844	4671	-20%

Graph 4 below compares unmet needs across CSNs by adjusting the figures to show rates for 1,000 Open Cases. If there are more than 1,000 cases, the number of reports is adjusted proportionally down. In a region with 500 cases, the number of reports on a per 1,000 case basis would be twice the actual number of reports.

- Despite the fact **the number of actual reports went down**, when comparing reports per 1,000 Open Cases, **every CSN experienced increases in the number of Unmet Needs per 1,000 Open Cases.**
- CSN 2, CSN 5 and CSN 4 have the highest rates of reports of Unmet Needs this quarter.
- CSN 6 and CSN 7 have smaller increases than the other regions.
- The group of clients with no legal address is not included on the graph, as their values are too high to show on the graph. For the 12 clients with no legal address, there are 71 reports of Unmet Needs, which would be 5,917 reports per 1,000 cases.

Graph 4: Unmet Needs per 1,000 Open Cases

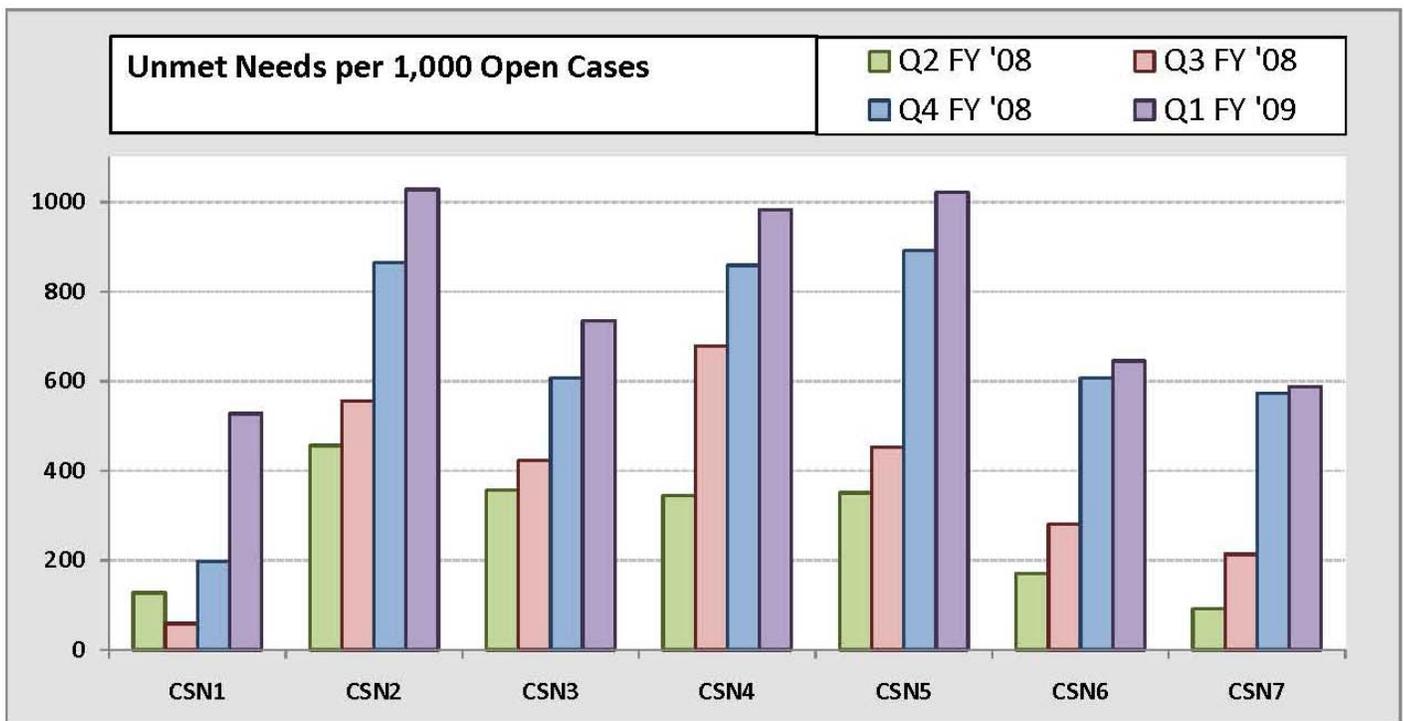


Table 4. The graph above is based on the table below.

	Q2 FY '08	Q3 FY '08	Q4 FY '08	Q1 FY '09
CSN1	128	59	197	527
CSN2	456	556	864	1028
CSN3	356	423	607	735
CSN4	345	679	859	983
CSN5	351	453	891	1021
CSN6	171	282	607	645
CSN7	91	213	573	588
No addr.	--	--	--	5917
State	277	376	686	840

Section 2: Actual reports for all subcategories for Q1 FY'09 and three prior quarters

Table 5 (next 3 pages) shows all of the reports of Unmet Needs in every category and every subcategory for the four quarters beginning with Quarter 2, FY'08 in October 2007.

Table 5: Actual Reports of All Categories and Subcategories for the State as a Whole

State Actual Reports of Unmet Needs	Quarter 2 FY '08	Quarter 3 FY '08	Quarter 4 FY '08	Quarter 1 FY '09
7a MENTAL HEALTH SERVICES				
7a-i Assertive Community Treatment (ACT)	19	13	21	22
7a-ii Community Integration Services	79	76	190	158
7a-iii Dialectical Behavioral Therapy	17	8	24	20
7a-iv Family psycho-educational treatment	3	2	5	3
7a-ix Intensive Community Integration services	5	5	16	10
7a-v Group Counseling	11	9	14	8
7a-vi Individual counseling	112	116	187	170
7a-vii Inpatient psychiatric facility	2	2	6	3
7a-viii Intensive Case Management	7	6	9	6
7a-x Psychiatric medication management	94	92	243	189
7a-xi Other mental health services	73	87	140	121
7a MENTAL HEALTH SERVICES Total	422	416	855	710
7b MENTAL HEALTH CRISIS PLANNING SERVICES				
7b-i Development of mental health crisis plan	41	40	94	85
7b-ii Mental health advance directives	1	5	8	10
7b-iii Other mental health crisis planning	4	7	14	19
7b MENTAL HEALTH CRISIS PLANNING Total	46	52	116	114
7c PEER, RECOVERY, AND SUPPORT RESOURCES				
7c-i Peer recovery center	4	5	9	8
7c-ii Recovery workbook group	2	0	6	3
7c-iii Social club	12	16	38	26
7c-iv Peer-run trauma recovery group	4	2	13	5
7c-v Wellness recovery and action planning	3	1	10	3
7c-vi Family support	18	21	48	37
7c-vii Other peer, recovery, and support	39	46	83	69
7c PEER, RECOVERY, AND SUPPORT Total	82	91	207	151
7d SUBSTANCE ABUSE SERVICES				
7d-i Outpatient substance abuse services	15	19	49	39
7d-ii Residential treatment substance abuse	6	8	16	9
7d-iii Other substance abuse services	14	15	31	25
7d SUBSTANCE ABUSE SERVICES Total	35	42	96	73

Table 5 continued

State Actual Reports of Unmet Needs	Quarter 2 FY '08	Quarter 3 FY '08	Quarter 4 FY '08	Quarter 1 FY '09
7e HOUSING RESOURCES				
7e-i Supported apartment	45	46	69	44
7e-ii Community residential facility	17	17	32	26
7e-iii Residential treatment facility (group home)	27	35	48	33
7e-iv Assisted living facility	8	10	26	20
7e-v Nursing home	3	3	4	2
7e-vi Residential crisis unit	0	1	1	1
7e-vii Rent subsidy (Section 8, BRAP, Shelter Plus)	211	274	530	406
7e-viii Other housing resources	116	147	284	224
7e HOUSING RESOURCES Total	427	533	994	756
7f. HEALTH CARE				
7f-i Dental services	206	291	513	419
7f-ii Eye care services	64	93	172	123
7f-iii Hearing services	12	20	37	23
7f-iv Physical therapy	5	6	13	11
7f-v. Physician/medical services	76	109	218	173
7f-vi Other health care resources	42	66	149	113
7f. HEALTH CARE Total	405	585	1102	862
7g LEGAL RESOURCES				
7g-i Advocates	14	9	17	14
7g-ii Guardian (private)	4	4	4	4
7g-iii Guardian (public)	2	4	6	5
7g-iv Other legal resources	50	53	112	105
7g LEGAL RESOURCES Total	70	70	139	128
7h FINANCIAL SECURITY RESOURCES				
7h-i Assistance with managing money	61	83	191	144
7h-ii Assistance with securing public benefits	95	126	244	165
7h-iii Representative payee	29	29	44	34
7h-iv Other financial security resources	89	111	191	151
7h FINANCIAL SECURITY RESOURCES Total	274	349	670	494
7i EDUCATIONAL RESOURCES				
7i-i Adult education (other than GED)	15	30	31	20
7i-ii GED	30	37	85	57
7i-iii Literacy assistance	7	18	24	17
7i-iv Post high school education	25	40	65	48
7i-v Tuition reimbursement	3	2	8	6
7i-vi Other educational resources	23	31	52	44
7i EDUCATIONAL RESOURCES Total	103	158	265	192

Table 5 continued

State Actual Reports of Unmet Needs	Quarter 2 FY '08	Quarter 3 FY '08	Quarter 4 FY '08	Quarter 1 FY '09
7j VOCATIONAL / EMPLOYMENT RESOURCES				
7j-i Benefits counseling related to employment	4	12	16	14
7j-ii Club house and/or peer vocational support	9	8	15	9
7j-iii Competitive employment (no supports)	20	27	56	44
7j-iv Supported employment	13	20	29	30
7j-v Vocational Rehabilitation	109	133	196	168
7jv-vi Other vocational/employment resources	18	41	68	65
7j VOCATIONAL / EMPLOYMENT Total	173	241	380	330
7k LIVING SKILLS RESOURCES				
7k-i Daily living supports services	28	48	108	82
7k-ii Day support services	5	3	12	15
7k-iii Occupational therapy	0	0	2	2
7k-iv Skills development services	9	17	42	33
7k-v Other living skills resources	36	51	77	68
7k LIVING SKILLS RESOURCES Total	78	119	241	200
7l TRANSPORTATION RESOURCES				
7l-i Transportation to ISP-identified services	57	75	152	138
7l-ii Transportation to other ISP- activities	15	30	70	54
7l-iii After hours transportation	21	25	71	51
7l-iv Other transportation resources	68	90	151	134
7l TRANSPORTATION RESOURCES Total	161	220	444	377
7m PERSONAL GROWTH/COMMUNITY PARTICIPATION RESOURCES				
7m-i Avocational activities	2	2	3	3
7m-ii Recreation activities	27	45	74	66
7m-iii Social activities	40	43	118	105
7m-iv Spiritual activities	3	10	17	16
7m-v Other personal growth/community	28	22	48	40
7m PERSONAL GROWTH/COMMUNITY Total	100	122	260	230
OTHER RESOURCES				
Other resources	43	32	75	54
OTHER RESOURCES Total	43	32	75	54
Total Reports of Unmet Needs Statewide	2,419	3,030	5,844	4,671

Section 3: Comparison between Categories and Between CSNs

Table 6 below shows which categories have the highest levels of Unmet Needs across the CSNs. To determine the level of need for each category and each CSN, the actual reports were adjusted to reflect reports per 1,000 Open Cases. Each category of Unmet Need is labeled as H for High, M for Moderate as noted in the legend.

Table 6: Quarter 1 FY'09 Unmet Needs Reports per 1,000 Open Cases

Legend		H = High----more than 100 reports of Unmet Needs per 1,000 Open Cases.								
		M = Moderate----between 51 – 99 reports of Unmet Needs per 1,000 Open Cases								
		= Values below 50 are signified by an empty cell.								
Rank	Categories	CSN 1	CSN 2	CSN 3	CSN 4	CSN 5	CSN 6	CSN 7	Statewide	
1	Health care	M	H	H	H	H	H	H	H	
2	Housing	M	H	H	H	H	H	H	H	
3	Mental health services	M	H	H	H	H	M	H	H	
4	Financial security	M	H	M	H	H	M	M	M	
5	Transportation		M	M	H	M			M	
6	Vocational / employment		M	M	H	M			M	
7	Personal growth/community				M					
8	Living skills				M	M				
9	Education		M							
10	Peer, recovery, and support				M					
11	Legal									
12	Mental health crisis planning	M								
13	Substance abuse services									
14	Other resources									

This table shows where reports of Unmet Needs are above 100 reports per 1,000 cases and between 50 – 99 reports per 1,000 cases. On the basis of reports per 1,000 Open Cases:

- Every CSN has a level of reports above 50 in the same four categories.
- Housing and healthcare have the most CSNs with reports above 100.
- Mental health services reports are above 100 per 1,000 in CSN 2, CSN 3, CSN 4, CSN 5 and CSN 7 and above 50 in CSN 1 and CSN 6.
- Financial security is above 100 in CSN 2, CSN 4 and CSN 5.

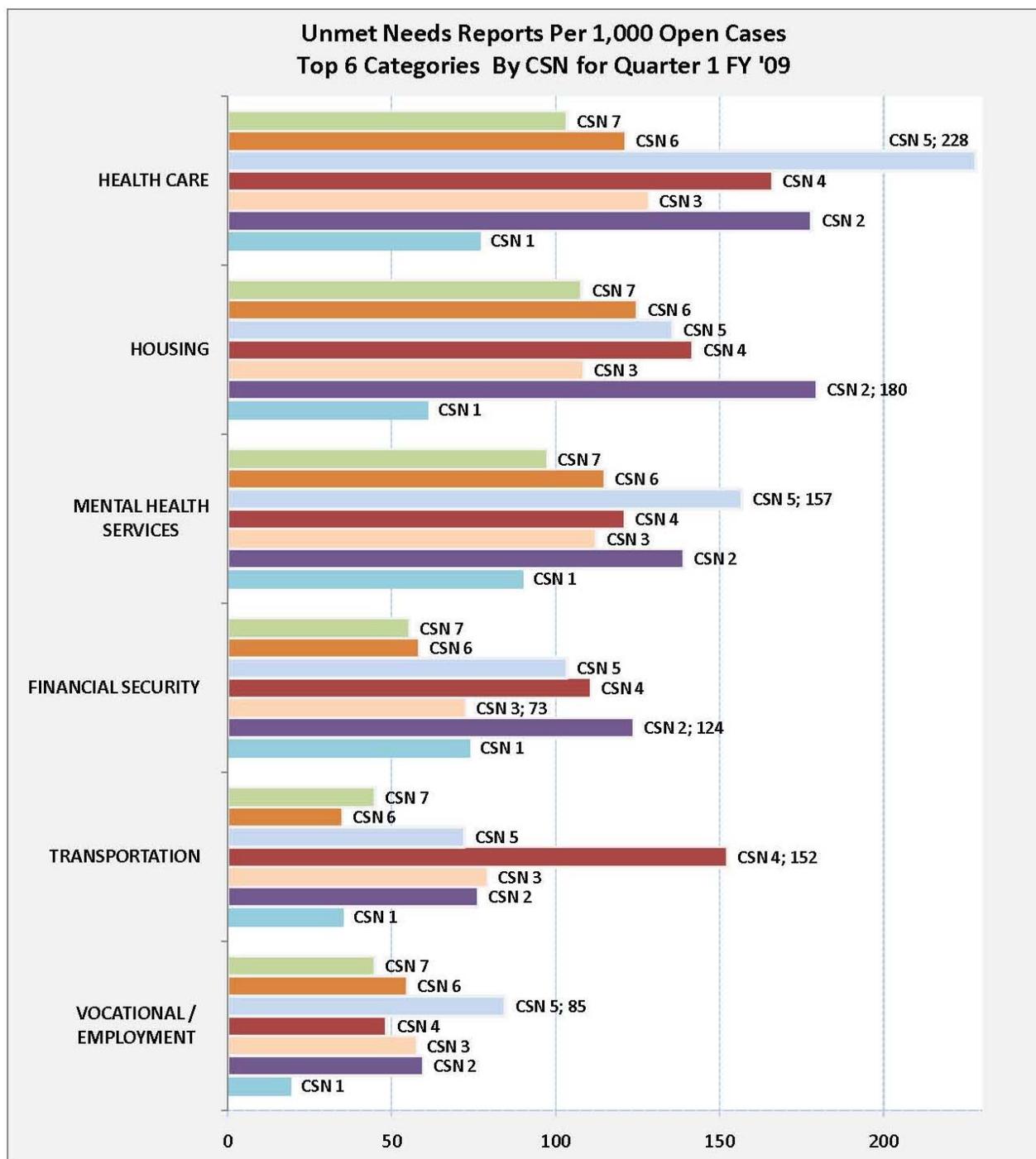
Which CSNs show comparatively the highest levels of Unmet Needs?

Looking down the columns, there are some other things to note.

- CSN 4 has the most areas where reports rise above 100, followed by CSN 2 and CSN 5.
- Looking at the presence of either H or M's; CSN 4 has nine categories above 50, followed by CSN 2 and CSN 5 each with seven and CSN 3 with six.
- CSN 1 has the highest rate of reports in MH crisis planning.
- CSN 2 has the highest rate of reports in education.
- CSN 4 has the highest rate of reports in transportation, vocational/employment, peer, recovery and support as well as personal growth and community.
- CSN 4 and CSN 5 show more reports per 1,000 cases in living skills than the other CSNs.

Graph 6 below shows the six categories with the highest levels of Unmet Needs across the CSNs. In the table above, these are the categories ranked 1 – 6 that received one or more scores of “H,” signifying more than 100 reports of Unmet Needs per 1,000 Open Cases.

Graph 6: Highest Categories of Unmet Needs by CSN



The group of clients with no legal address is not included in either of the preceding two tables. For those with no legal address, there are 71 reports of Unmet Needs, including 12 or more reports of Unmet Needs in the categories of health care, mental health services and housing, a higher rate than any of the CSNs.