



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

Department of Health & Human Services  
 Office of Adult Mental Health Services  
**Bates v. DHHS Consent Decree**  
**October, November, December 2009: 2<sup>nd</sup> Quarter, SFY 2010**  
[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 second quarter of state fiscal year 2010, covering the period from October through December 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>February 1, 2010</i>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Letter to Dan Wathen, Court Master, submitting the Quarterly Report pursuant to paragraph 280 of the Settlement Agreement for the quarter ending September 30, 2009.
2	<b>Second Quarter Fiscal Year 2010 Report on Compliance Plan Standards: Community</b> <i>February 1, 2010</i>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	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	<b>Consent Decree Quarterly Report (October 2006 Plan Components)</b> <i>February 1, 2010</i>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Lists and updates progress achieved in satisfying 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>January 2010</i>  <a href="#">Adobe 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, including graphs.
5	<b>Public Education – Standard 34</b> <i>October-December 2009</i>  <a href="#">Excel Version</a> or <a href="#">Adobe 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.

DOCUMENT	DESCRIPTION
6 <b>Performance Quality and Improvement Standards, Appendix: Adult Mental Health Data Sources</b> 1/2010  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Lists and describes of all the data sources used for measuring and reporting the Department's compliance on the Performance and Quality Improvement Standards.
7 <b>Cover: Unmet Needs January 2010</b>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Provides a brief introduction to the unmet needs report as well as some definitions of the data, initial findings and next steps. Also includes needs data from other sources such as the APS Healthcare Contact for Service Notification Process.
8 <b>Unmet Needs by CSN for FY10 Q1 (July, August, September 2009)</b>  <a href="#">Adobe PDF</a>	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, ACT, CRS 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.
9 <b>BRAP Waitlist Monitoring Report, Quarter 2 FY2010</b>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Describes status of the DHHS Bridging Rental Assistance Program's (BRAP) waitlist, focusing on the numbers served over time by priority status.
10 <b>Location Effort Report for Quarter 2, State Fiscal Year 2010 (October, November, December 2009)</b>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Documents 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.
11 <b>Class Member Treatment Planning Review for the 2<sup>nd</sup> Quarter of Fiscal Year 2010</b>  <a href="#">Excel Version</a> or <a href="#">Adobe PDF</a>	Aggregate report of document reviews completed on a random sample of class member ISPs by Consent Decree Coordinators following a standardized protocol.
12 <b>Community Hospital Utilization Review for the 1<sup>st</sup> Quarter of Fiscal Year 2010</b>	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. UR data is reported one quarter behind to allow sufficient

DOCUMENT		DESCRIPTION
	<a href="#">Excel Version</a> or <a href="#">Adobe PDF</a>	time for reviews and data entry to be completed.
13	<b>Community Hospital Utilization Review Performance Standard 18-1, 2, 3 by Hospital: Class Members for the 1<sup>st</sup> Quarter Fiscal Year 2010</b>  <a href="#">Excel Version</a> or <a href="#">Adobe PDF</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. UR data is reported one quarter behind to allow sufficient time for reviews and data entry to be completed.
14	<b>Adult Mental Health Quarterly Crisis Report: 1<sup>st</sup> Quarter, Fiscal Year 2010</b>  <a href="#">Adobe PDF</a>	Aggregate quarterly report of crisis data submitted by crisis providers to the Office of Quality Improvement on a monthly basis.
15	<b>Riverview Psychiatric Center Performance Improvement Report</b> <i>October-December 2009</i>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Reports on Riverview's compliance with specific indicators re: performance and quality, recording findings, problem, status, and actions for the 2 <sup>nd</sup> Quarter FY 2010.
16	<u><b>Bates v. DHHS Consent Decree Paragraph 27 Bi-Annual Report: Grievance Filings July 1, 2009 – December 31, 2009</b></u>  <a href="#">Microsoft Word</a> or <a href="#">Adobe PDF</a>	Semi-annual report of all complaints and grievances appealed to the Superintendents of Riverview Psychiatric Center and Dorothea Dix Psychiatric Center, the Director of OAMHS and the Commissioner. The report summarizes the issues raised, findings made and remedial actions taken.