

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

WILLIAM DIXON, et al.,

Plaintiffs,

v.

Civil Action No. 74-285 (NHJ)

ANTHONY WILLIAMS, et al.,

Defendants.

ORDER

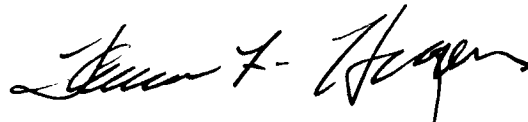
Upon motion of Dennis R. Jones, the Court Monitor in the above-captioned case, for approval of the attached Court Monitoring Plan and Monitoring Budget, for the fiscal year beginning October 1, 2010, and ending September 30, 2011, both of which have been submitted for approval pursuant to the May 23, 2002 Consent Order herein, and upon consideration of the lack of opposition of the parties, it is by the Court this ____ day of October 2010,

ORDERED, that the attached Court Monitoring Plan be, and it hereby is, approved for the fiscal year beginning October 1, 2010, and ending September 30, 2011, and it is further

ORDERED, that the attached Monitoring Budget be, and it hereby is, approved for the fiscal year beginning October 1, 2010, and ending September 30, 2011.

SO ORDERED.

Oct. 18, 2010



JUDGE THOMAS HOGAN

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA**

WILLIAM DIXON, et al.,

Plaintiffs,

v.

Civil Action No. 74-285 (TFH)

ANTHONY WILLIAMS, et al.,

Defendants.

**CONSENT MOTION FOR APPROVAL OF COURT MONITOR'S COURT
MONITORING PLAN AND MONITORING BUDGET FOR
FY 2011**

Court Monitor, Dennis R. Jones, respectfully files this motion requesting approval of the Court Monitoring Plan and the Monitoring Budget, for the fiscal year beginning October 1, 2010, and ending September 30, 2011. Copies of the Court Monitoring Plan and the Monitoring Budget, both of which are submitted pursuant to provisions of the May 23, 2002 Consent Order, are attached hereto. Mr. Jones has been authorized by the parties to inform the Court that they have no opposition to the approval sought.

Respectfully submitted,

/s/ Robert B. Duncan

Robert B. Duncan (Bar No. 416283)

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Counsel for Dennis R. Jones, Court Monitor

CERTIFICATE OF SERVICE

I certify that on October 7, 2010, I electronically filed the foregoing with the Clerk of the Court using the CM/ECF system, which will send notification to all counsel of record.

/s/ Robert B. Duncan

Robert B. Duncan

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA**

William Dixon, et al
Plaintiffs,

Civil Action
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v.

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Defendants

Court Monitor's Monitoring Plan for FY 2011

I. Purpose of Annual Court Monitoring Plan

Prior to each fiscal year, the Court Monitor will present to the Court a Court Monitoring Plan consistent with the Court-ordered Plan approved by the Court on April 2, 2001 and the Consent Order entered by the Court on May 22, 2002. Each annual Court Monitoring Plan will provide a description of the matters the Court Monitor anticipates will be addressed and/or considered by the Court Monitor and any consultants engaged thereby during the course of the following fiscal year. The Court Monitoring Plan will, for the upcoming fiscal year, describe specific tasks, specify methodologies selected for information-gathering purposes, and set forth general timeframes for accomplishing these tasks. The Court Monitoring Plan, as a whole, should provide a foundation upon which the annual Court Monitoring budget will be developed for presentation to the parties and the Court.

II. Scope of FY 2011 Court Monitoring Plan

FY 2011 should continue the increased focus on the quantitative performance ("outcomes") of the system. These quantitative measures are contained in the Exit Criteria, Measurement Methodology and Performance levels as approved by the Court in December 2003. Fiscal Year 2011 will continue to ensure that all of the seventeen (17) measurable Exit Criteria have data methods that are verifiable and replicable – and meet the conditions of the December, 2003 Consent Order. It should be noted that all seventeen (17) measures have validated data reporting methods. The FY'11 focus will be on those metrics that may change to add data sources. (e.g. penetration rates). The intent will be to use the results of these data reports as a focus, as indicated, for more in-depth monitoring of specific policies, practices, and/or services. Beyond the Performance Measures, the Court Monitor will continue to monitor the full implementation of critical elements from the Court-ordered Plan.

With the above as context, the work of the Court Monitor during FY 2011 will be focused as follows:

1. Monitoring the implementation and performance for each of the eight (8) Exit Criteria that require active monitoring. Ensure continued reporting and compliance on the eleven (11) inactive measures.
2. Monitoring the continued implementation of critical administrative and services functions as outlined in the Court-ordered Plan – and identified in specific tasks.
3. Monitoring the occurrence of events which may significantly impact the implementation of the Court-ordered Plan and/or the achievement of the required performance levels for the Exit Criteria.

III. Anticipated Monitoring Tasks, Methods and Timelines for FY 2011

Tasks	Methods	Timeframe
<p>1. Exit Criteria</p> <p>Implementation of Performance Levels for each of the Exit Criteria.</p> <p>a. Review of DMH utilization of Consumer Functioning Review Method(s).</p> <p>b. Implementation of Year Nine Consumer Services Reviews for Adults and Children/Youth</p>	<p>a. The Court Monitor will review the utilization of the results of the DMH method(s) for consumer functioning.</p> <p>b. Year 9 reviews will utilize the same methodology as utilized in previous years. The sample sizes will be approximately 85 for children/youth and approximately 88 for adults – so as to provide appropriate confidence levels. In addition, issues of sample selection and inter-rater reliability will be addressed by the Court Monitor in collaboration with DMH and HSO. The Court Monitor will</p>	<p>a. The Court Monitor will formally report on progress in the January 2011 and July 2011 Reports to the Court.</p> <p>b. Year 9 reviews will be completed before the end of June 2011. Final written reports on the Child/Youth review and the Adult review will be presented to the Court Monitor by July 1, 2011. The results of the Child/Youth review and the results of the Adult review for summary of Year 9 results will be included in the July 2011 Report to the Court.</p>

<p>a. Implementation of Measurement of Court-approved Exit Criteria for Effective and Sufficient Consumer Services</p>	<p>again contract with Human Systems & Outcomes, Inc. (HSO) to conduct these reviews. DMH will assume responsibilities for the logistical support for the reviews. The DMH will continue to provide selected (and trained) staff in order to conduct reviews for approximately 33% of the final sample size for each review. The HSO will provide necessary training for all reviewers (DMH & HSO) and will conduct necessary analysis on inter-rater reliability for the selected reviewers. HSO will provide a written analysis of findings and recommendations for the Court Monitor, which findings will then be shared with the parties.</p> <p>c. The Court Monitor will work closely with DMH staff to meet the requisite requirements for consistency and reliability for each of the eight (8) remaining performance measures that require active monitoring. The Court Monitor and DMH will work collaboratively to ensure that necessary policies and practice requirements are solidly in place. The Court Monitor will contract with an independent consultant to review, as necessary, any proposed revision to DMH data</p>	<p>c. In the January 2011 and July 2011 Reports to the Court, the Court Monitor will provide a detailed review of progress on each of the 8 exit criteria that are still actively monitored. The Court Monitor will report the data submitted by DMH regarding the exit criteria that have been deemed “inactive.”</p>
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	<p>collection metrics or data systems. Particular focus for FY 2011 will be given to the additional data systems for penetration measures. The Court Monitor will formally report to the Court on the actual performance of each criterion. The Court Monitor will also formally review and report to the Court on any criterion for which the Defendants believe they have met the required performance levels in order to achieve inactive monitoring status.</p>	
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Tasks	Methods	Timeframe
<p>2. Monitoring the Continued Development and Implementation of Critical Functions of the Court-ordered Plan.</p> <p>a. Review of the Functioning of CSA's in Key Areas – including the development and implementation of Community System Re-design.</p>	<p>a. The Court Monitor will focus on those key areas that have been identified as recommendations in previous Reports to the Court. The other primary focus will be on the continued development of provider capacity as envisioned in the Community System Re-Design Planning. The development of more comprehensive service agencies for children and adults will be of particular interest. The intent is to assess those issues that might constitute barriers to the</p>	<p>a. The Court Monitor will conduct a review in the January-June 2011 period – with results to be included in the July 2011 Report to the Court.</p>

<p>b. Review of Progress in Critical Service Areas:</p> <p style="padding-left: 40px;">Overall systems of care development for C/Y and Adults Supported Housing Supported Employment Assertive Community Treatment (ACT) Services to Children/Youth in Schools and Other Natural Settings Capacity for Children/Youth to Live in Own Home or Surrogate Home</p> <p>c. Review of Crisis Response by DMH:</p> <p style="padding-left: 40px;">Overall DMH plan for crisis/emergency services Capacity and Utilization of Mobile Teams for Children/Youth and Adults Utilization of Site-based Psychiatric Emergency Services Utilization of Crisis Residential Beds</p> <p>d. Monitoring the Implementation of Key Authority</p>	<p>achievement of the approved performance levels.</p> <p>b. The Court Monitor will review all documentation that describes progress/ barriers in these identified service areas. The review will be targeted and tied directly to the performance data as reflected in the July 2010 Report to the Court. The intent is to identify any practice or service issues that might serve as impediments to the successful performance of these Exit Criteria, including the DMH leadership role in managing and monitoring PRTF placements and discharges.</p> <p>c. The Court Monitor will review the continued progress in the overall implementation of crisis/emergency services plan and in specific crisis services – targeting those areas that have been identified as concerns in previous Reports to the Court.</p> <p>The Court Monitor will review progress plans, reports and data toward implementation of the DMH Comprehensive Crisis/Emergency Services Plan.</p>	<p>b. The Court Monitor will conduct these reviews in the January – June 2011 period – to be included in the July 2011 Report to the Court.</p> <p>c. The Court Monitor will review crisis services in the October – December 2010 period and include findings in the January 2011 Report to the Court.</p>
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<p>Functions:</p> <p>Utilization of Independent Authority for Personnel and Procurement Quality Improvement and Provider Oversight Enforcement of Consumer Rights Overall Functioning of Office of Accountability</p> <p>e. Review of DMH Role as a Provider:</p> <p>Role of St. Elizabeths Quality of Care at St. Elizabeths Utilization of Acute Care Contracts with Local Hospitals for Adults Role and Functioning of DMH-run Mental Health Services Division</p>	<p>d. The Court Monitor will review written reports, policies and rules as relates to these key authority functions. The Monitor will interview key DMH staff (and others outside of DMH) who are knowledgeable about these areas.</p> <p>e. The Court Monitor will continue to review the overall role and functioning of DMH-run services. As relates to St. Elizabeths the Court Monitor will continue to monitor those items that relate to the role, capacity and functioning of St. Elizabeths. This would include the assessment of community-based capacity for acute inpatient care.</p> <p>The Court Monitor will report on the compliance plans and Reports as presented to the Department of Justice (DOJ).</p> <p>The Court Monitor will assess the continued role and progress in the DMH-run Mental Health Services Division.</p>	<p>d. The review will occur in the January-June 2011 timeframe and will be reported in the July 2011 Report to the Court.</p> <p>e. The Court Monitor will report on issues relating to St. Elizabeths in both the January 2011 Report to the Court and the July 2011 Report to the Court.</p> <p>A review of the development of the DMH-run Mental Health Service Division will be reviewed and included in the January 2011 and July 2011 Reports to the Court.</p>
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<p>f. Review of FY 2011 Budget and Development and Approval of 2012 Budget</p>	<p>f. The Court Monitor will review the implementation of the FY 2011 Budget as approved. Key issues will center on the funding of Dixon-related services and the adequacy of budgeting support at St. Elizabeths.</p> <p>The Court Monitor will also review the DMH FY 2012 Budget submission to the Mayor, the District Council and the U.S. Congress – with the specific assessment of the budget’s adequacy to carry out the mandates of the Court-ordered Plan and meet the Dixon Exit Criteria.</p>	<p>f. The review of the FY 2011 Budget will occur in the both the January 2011 and July 2011 Reports to the Court.</p> <p>The FY 2012 budget development and approval will be reviewed in the July 2011 Report to the Court.</p>
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IV. Communication Efforts

The Court Monitor will meet with the DMH Director on a regular basis to exchange information and discuss significant issues and strategies. The DMH will ensure that relevant reports are provided to the Court Monitor on a timely basis. The Court Monitor will communicate on substantive issues to the parties (jointly) on a regular basis. The Court Monitor will also communicate with providers, community and legislative leaders, interested stakeholders and others to assess progress and/or concerns.

Pursuant to the requirement that formal reports be submitted to the Court twice per year, the Court Monitor intends to submit such a report in January 2011 and again in July 2011.

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**Office of the Dixon Court Monitor
for the
District of Columbia Department of Mental Health**

**Schedule of Projected Expenditures
October 1, 2010– September 30, 2011**

<u>Item</u>	<u>Budget</u>
Consultation Fees and Expenses	\$544,350.00 ¹
Office Expenses	\$ 15,000.00 ²
Independent Financial Review	<u>\$ 4,000.00³</u>
Total	\$563,350.00

¹ Consultation Fees and Expenses include the following:
Court Monitor (October 1, 2010 – September 30, 2011, estimated at \$13,333.00 per month and \$160,000.00 annually).

Human Systems and Outcomes, Inc. (October 1, 2010 – September 30, 2011, estimated at \$380,350.00). The Court Monitor intends to continue engagement via contract with HSO for Dr. Groves and Dr. Foster to conduct four distinct tasks to include: the training of reviewers and assessment of inter-rater reliability for both the adult review and the children/youth review; the completion of the ninth year Measures of Performance for both adults and children/youth, including a written report of results and findings. The details of this proposed contract will be shared with the Parties for review and comment.

Contract for independent data review (October 1, 2010 – September 30, 2011). The Court Monitor intends to contract with Dr. Joan Durman to perform an external review of the DMH process steps and underlying data sources used in determining the reported measures for the Court-approved Exit Criteria Performance Measures. This expense is estimated at \$4,000.00. The Court Monitor will submit any proposed contract to the parties for review and comment.

² Office Expenses (October 1, 2010– September 30, 2011). The Court Monitor will share the cost of a secretary (25% FTE) and necessary office expenses (including copying, telephone and postage). These expenses are estimated at \$1250.00 per month.

³ Independent Financial Review. The Court Monitor will engage an accounting firm to conduct an independent financial review of the Monitor's revenue and expenses for the previous year. This cost is estimated at \$4,000.00.