



STATE OF MARYLAND

DHMH

Maryland Department of Health and Mental Hygiene

201 W. Preston Street • Baltimore, Maryland 21201

Martin O'Malley, Governor – Anthony G. Brown, Lt. Governor – Joshua M. Sharfstein, M.D., Secretary

The Honorable Edward J. Kasemeyer
Chairman
Senate Budget and Taxation Committee
3 West Miller Senate Office Bldg.
Annapolis, MD 21401-1991

The Honorable Norman H. Conway
Chairman
House Appropriations Committee
121 House Office Bldg.
Annapolis, MD 21401-1991

Re: 2013 Joint Chairmen's Report (p. 58), M00B01.03 – April Report on Mandated Inspection Levels

Dear Chairmen Kasemeyer and Conway:

Pursuant to the 2013 Joint Chairmen's Report (p. 58), the Department of Health and Mental Hygiene (the Department) is required to report, on a quarterly basis, the Office of Health Care Quality's (OHCQ) inspection levels for entities under the Department's purview.

The budget committees requested, that for each type of health care facility including forensic laboratories licensed by OHCQ, the Department should provide: (1) the number of licensees; (2) the number of initial and renewal surveys completed by OHCQ; (3) the number of complaints received by the agency; and (4) the number of complaints investigated. The Department is completing its fiscal year 2013 Annual Report and Staffing Analysis. Therefore, we report on our progress in meeting performance measures that are discussed in OHCQ's Annual Report and Staffing Analysis in a subsequent report. Lastly, the report discusses programmatic changes made within OHCQ to improve inspection levels.

I hope this information is helpful. If you have any questions or need additional information on this subject, please do not hesitate to contact Ms. Allison Taylor, Director of Governmental Affairs, at (410) 767-6480.

Sincerely,

Joshua M. Sharfstein, M.D.
Secretary

Enclosure

cc: Patricia Tomsco Nay, M.D.
Rianna P. Matthews-Brown, J.D.
Allison Taylor, M.P.P., J.D.

**Department of Health and Mental Hygiene
Office Of Health Care Quality
Joint Chairmen's Report
State Fiscal Year 2014 – April Report**

Introduction

The Office of Health Care Quality (OHCQ) is the agency within the Department of Health and Mental Hygiene (Department) charged with monitoring the quality of care in Maryland's 14,452 health care facilities and community-based programs. The OHCQ licenses and certifies health care facilities; conducts surveys to determine compliance with state and federal regulations; and educates providers, consumers, and other stakeholders through written materials, websites, and presentations.

In an effort to address the agency's inability to fulfill its regulatory requirements as mandated by the Maryland General Assembly, in January 2013 the OHCQ implemented a strategic planning process that included an evidence-based review of the survey protocols in the context of the statutory and regulatory requirements. One of the broad organizational goals is regulatory efficiency, that is, how to best use limited resources to fulfill OHCQ's mission. Our efforts to improve efficiency must always be balanced with protecting the health and safety of the individuals receiving services. Interventions for regulatory efficiency throughout the agency have included reviewing regulatory and statutory requirements; revising survey processes, where appropriate; revising initial and on-going employee training; streamlining the provider application process; sustaining an internal quality improvement process; interacting proactively with stakeholders and providers; and maximizing information management. OHCQ continually strives to protect the health and safety of vulnerable populations while efficiently and effectively utilizing limited resources.

Regulatory Changes

The OHCQ has engaged in a comprehensive review of regulations for assisted living, nursing homes, and adult medical day care providers. These revised regulations are the culmination of an extensive stakeholder process over several years. The adult medical day care regulations are being printed in the Maryland Register as final in June 2014 and will become effective in December 2014. On June 4, 2014, the OHCQ is partnering with Maryland Association of Adult Day Services to provide training regarding the revised regulations and survey processes for the adult medical day care providers.

After receiving extensive comments on the nursing home and assisted living regulations, OHCQ posted both of these regulations on the Department's website a second time for informal comments. OHCQ is in the process of following up with each of the stakeholders who commented and will then post the regulations for a third time on the Department's website for informal comments.

The regulatory review also involved an evidence-based comparison of the federal and State requirements for renewal survey frequency for each provider type. For example, the federal requirement for surveying home health agencies is every three years, but the State regulations require annual surveys. Based on the history of the industry, current trends, the number of complaints, the scope and severity of deficiencies, and the overall quality of care, there is no evidence that the State requirements should be more stringent than the federal requirements for

this provider type. The end result of this analysis will be proposed revisions to State statutes and regulations regarding the frequency of mandated renewal surveys. OHCQ will begin discussing these recommendations with stakeholders and other agencies in the summer of 2014. After stakeholder input is considered, OHCQ will propose revisions to statutes for the 2015 session.

Information Management

For many years the OHCQ utilized federal software to manage survey activities for all federal programs and selected state programs. When data is needed for these programs, the information can be obtained by running a standard report or querying the system. For those state programs that are not in the system, duplicative databases, spreadsheets, or paper records are maintained and statistics are manually calculated. For more than a year, OHCQ has been adding the remaining state programs into the federal software to more efficiently manage large volumes of information. OHCQ has added all of the providers into the federal system and is training staff to fully utilize the software.

Program-Specific Initiatives in the Assisted Living Unit

A significant improvement in the survey process was the development of the targeted survey for assisted living programs. Neither the statute nor the regulations describe the content and requirements of the annual survey. Over the years many tasks had been added to the annual survey process. Through an evidence-based review of the process and analysis of the deficiencies, OHCQ identified six main tasks that are included in the annual survey. These include (1) review of the delegating nurse contract; (2) review of the delegating nurse's function; (3) review of the staffing plan and staff credentials; (4) complete observation and interviews to ensure no residents are at risk; (5) conduct a physical site inspection; and (6) review the service plans.

The steps that were deleted from the survey process did not routinely yield significant deficiencies; furthermore, if a program triggers in any of these six areas, these other steps are still taken. Focusing the survey on these six tasks ensures that the main processes are in place to maintain the health and safety of the residents while decreasing the number of hours required for each annual survey. Preliminary data reveals that deficiencies regarding quality of care and quality of life are being cited at approximately the same rate as in the previous survey process.

Despite staffing shortages during the third quarter, the targeted survey in combination with more fully utilizing the federal software has resulted in nearly double the number of renewal surveys being done while completing the same number of complaint investigations. This is a sustainable improvement in the system with our current staffing.

Survey and Licensure Data by Unit

The charts below provide data for FY 2014 for the various types of health care facilities that OHCQ licenses or certifies. It is important to note that the numbers of complaints reflected below are for those received in a given quarter. The number of complaints investigated will differ as some complaints may continue into the subsequent quarter.

Long-Term Care Unit

The Long-Term Care Unit ensures that legally-established State licensure and Medicare and Medicaid standards are maintained for nursing homes through unannounced on-site surveys, follow-up visits, and complaint investigations. Additionally, the unit ensures that the Intermediate Care Facilities for individuals with intellectual disabilities and the Forensic Residential Centers comply with all applicable State and local laws and regulations through unannounced on-site surveys, follow-up visits, and complaint investigations.

Nursing Homes (232 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	1	0	0		
Renewal Surveys	63	48	51		
Complaints Received	807	755	885		
Complaints Investigated	644	665	656		
Comments: Federal surveys are required annually and as of 10/01/2000, State surveys are required twice a year					
Intermediate Care Facilities for Individuals with Intellectual Disabilities (2 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	1	0		
Complaints Received	10	2	0		
Complaints Investigated	14	2	0		
Comments: Federal surveys are required every year and State surveys are required every year					
Forensic Residential Centers (2 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	2	0		
Complaints Received	0	4	0		
Complaints Investigated	0	4	0		
Comments: No federal survey requirements; State surveys are required every year, COMAR 10.07.13.04 and 10.22.02.04(c)					

Assisted Living Program Unit

The Assisted Living Unit is responsible for the licensure and regulation of all assisted living facilities in the state of Maryland. In accordance with interagency agreements, the Assisted Living Unit has delegated certain aspects of its monitoring and inspections to the Maryland Department of Aging, the Department of Veterans Affairs, and local health departments.

Assisted Living (1461 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	24	28	13		
Renewal Surveys	88	85	170		
Complaints Received	197	109	276		
Complaints Investigated	145	143	136		
Comments: No federal survey requirements; State surveys are required every year, COMAR 10.07.14.12(d)					

Adult Medical Day Care Unit

The Adult Medical Day Care (AMDC) Unit ensures that legally established State licensure standards are maintained for Adult Medical Day Care Centers for the Elderly and Medically Handicapped Adults. This unit provides regulatory oversight via unannounced on-site surveys, follow-up visits, and complaint investigations. In the second quarter of 2014, we began managing complaints in the federal database to track our activities.

Adult Medical Day Care (111 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	3	1	2		
Renewal Surveys	11	8	29		
Complaints Received	1	163	245		
Complaints Investigated	1	41	0		
Comments: No federal survey requirements; State surveys are required every two years, COMAR 10.12.04.07(a)					

Note: Beginning in the second quarter, self-reports from providers began being tracked and combined with complaints.

Developmental Disabilities Unit

The Developmental Disabilities Licensure Unit is the licensing and monitoring agent for the Developmental Disabilities Administration (DDA). Through periodic surveys, the unit ensures regulatory compliance with community-based providers operated for the benefit of individuals with developmental disabilities receiving services in the State. The community of providers for the developmentally disabled population in the State continues to grow to meet an expanding need for services. Those programs that include services offered to children that require oversight are coordinated with the Governor's Office for Children. The unit completes on-site and internal investigations of reported deaths of individuals funded for community-based services through DDA to review and ensure the adequacy of care at the time of death.

Developmental Disabilities (212 agencies with 3,134 sites)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	6		
Renewal Surveys	9	0	25		
Complaints Received	1407	823	901		
Complaints Investigated On-site	65	35	84		
Comments: No federal survey requirements; State surveys of all sites are required every year, HG 7-909(b)					

Hospitals, HMOs & Patient Safety Unit

The Hospitals, HMOs, and Patient Safety Unit provides oversight for the regulation of acute care and specialty (i.e., psychiatric, chronic, special rehabilitation) hospitals, residential treatment centers, health maintenance organizations (HMOs), and hospitals within correctional facilities. The unit began surveying transplant centers in Maryland on behalf of the Center for Medicare and Medicaid Services (CMS) in 2009.

Responsibilities of the unit include the investigation of complaints filed against these providers; the annual survey and revisit surveys of health maintenance organizations; hospitals within correctional facilities; federally-mandated validation surveys, and complaint investigations of hospitals and residential treatment centers; investigation of all deaths that occur in State-operated residential treatment centers and psychiatric hospitals; review of all self-reported incidents that occur at these providers; investigation of complaints against HMOs; triennial surveys and revisit surveys of transplant programs; and all associated activity required for licensure including on-site inspection and review of documentation from the providers, other governmental agencies, and external accreditation organizations.

Hospitals (63 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	89	76	99		
Complaints Investigated	122	46	59		
Comments: Accredited hospitals are deemed for licensure and are not subject to renewal surveys by the State; State surveys are required periodically, HG §19-308(b)(1)(ii)					
Transplant Centers (2 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are required every three years; no State survey requirements					
Freestanding Medical Facilities (3 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	1	0	0		
Comments: No federal survey requirements; State surveys are required every year, COMAR 10.07.08.06 A					
Health Maintenance Organizations (9 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	1	0	0		
Renewal Surveys	0	0	0		
Complaints Received	2	1	1		

Complaints Investigated	0	1	1		
Comments: No federal survey requirements; State surveys are required periodically, COMAR 10.07.11.12 B (1) and COMAR 10.07.11.04 B (1)					
Correctional Health Facilities (10 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	2	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: No federal survey requirements; State surveys are required every year, COMAR 10.07.12.06 B					
Residential Treatment Centers (10 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	9	6	7		
Complaints Investigated	6	5	7		
Comments: Accredited RTCs are deemed for licensure and are not subject to renewal surveys by the State; State surveys are required periodically, HG §19-308(b)(1)(ii)					

Clinical Laboratory Licensing and Certification Unit

The Clinical Laboratory Licensing and Certification Unit is responsible for State licensure of all laboratories that perform tests on specimens obtained from Maryland citizens and for federal certification of all laboratories located in Maryland. The State and federal licensing programs include those for tissue banks, blood banks, and hospitals, independent reference, physician office and point-of-care laboratories, public cholesterol test (Health Awareness) screening, employment related toxicology testing for controlled dangerous substances, and Public Health Testing Programs that offer rapid HIV-1 antibody testing to the public. This unit conducts both State and federal surveys to ensure compliance with applicable regulations. This project is the agent for federal certification in the Clinical Laboratory Improvement Amendments of 1988 program (CLIA), which is required for all clinical laboratory testing sites.

Physician Office Laboratories (2950 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	6	1	7		
Renewal Surveys	77	106	77		
Complaints Received	0	1	2		
Complaints Investigated	0	1	2		
Comments:> 85% have a Certificate of Waiver for CLIA and a Letter of Permit Exception under COMAR 10.10.03.02 and are not subject to routine survey by the State; if no Certificate of Waiver, CLIA and State surveys are required every two years, COMAR 10.10.02.03C(2)					
Point-of-Care Laboratories (756 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	3	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments:> 85% have a Certificate of Waiver for CLIA and a Letter of Permit Exception under COMAR 10.10.03.02 and are not subject to routine survey by the State; if no Certificate of Waiver, CLIA and State surveys are required every two years, COMAR 10.10.02.03C(2)					
Federal Waived Laboratories (2300 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	3	0	15		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are required for 2% of the total number of waived laboratories (54 labs in FFY 13); no state survey requirements					

Independent Reference Laboratories (631 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	1	2		
Renewal Surveys	0	18	6		
Complaints Received	2	0	1		
Complaints Investigated	2	0	1		
Comments:> 85% are accredited and surveyed by the accrediting organization for State licensure and CLIA; state surveys are required periodically for non-accredited labs, COMAR 10.10.02.03C(2)					
Hospital Laboratories (81 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	5	0	0		
Complaints Received	1	1	2		
Complaints Investigated	1	1	2		
Comments: Currently all laboratories are accredited; if not accredited, CLIA and State surveys are required every two years, COMAR 10.10.02.03C(2)					
Cholesterol Testing Sites (2 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	2	0		
Complaints Received	0	0	2		
Complaints Investigated	0	0	2		
Comments: State surveys are required at testing sites when testing events take place; only one event has been scheduled since 7/1/2012, COMAR 10.10.02.03 E					
Tissue Banks (268 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		

Renewal Surveys	0	4	3		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: 90% are accredited; State surveys are required annually for non-accredited providers, COMAR 10.50.01.09B(2)					
Cytology Proficiency Sites (31 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	2	8		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Each individual must be tested annually and retested when a failure occurs, COMAR 10.10.05.04B					
Employer Drug Testing (158 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	2	4	7		
Complaints Received	1	0	0		
Complaints Investigated	1	0	0		
Comments: State surveys are required every year, COMAR 10.10.10.04B(2)(a)					
Public Health Testing (122 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	2		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: State surveys are required periodically, COMAR 10.10.12.04F; currently the AIDS Administration conducts these surveys for OHCQ					

Forensic Laboratory Unit

The Forensic Laboratories Unit provides oversight for the regulation of accredited and non-accredited laboratories that perform forensic analyses. The unit investigates complaints filed against these laboratories plus all associated activity required for licensure, including on-site inspection and review of documentation from the forensic laboratories and external accreditation organizations. This unit conducts annual surveys and revisit surveys of non-accredited forensic laboratories. The unit is in charge of reviewing of all self-reported incidents that occur at both accredited and non-accredited forensic laboratories.

Forensic Laboratories (32 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	2	0	0		
Renewal Surveys	2	10	1		
Complaints Received	2	1	0		
Complaints Investigated	2	1	0		
Comments: State surveys are required of the non-accredited labs every three years, COMAR 10.51.02.03 B (2) and (3)					

Ambulatory Care Program Unit

The Ambulatory Care Unit is responsible for the State licensure and/or federal certification (Medicare) of all non-long term care facilities that include: home health agencies, residential service agencies, hospice care providers, free standing ambulatory care facilities (ambulatory surgery, endoscopy, kidney dialysis, and birthing centers and facilities that use major medical equipment), out-patient physical therapy providers, comprehensive out-patient rehabilitation facilities, portable X-ray providers, nurse staffing agencies, and nursing referral services agencies. This program receives complaints alleged against all ambulatory care providers and maintains a federal (Medicare) twenty-four hour complaint hotline for home health agencies.

Birthing Centers (2 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: No federal or State renewal surveys are required					

Comprehensive Outpatient Rehabilitation Facilities -- CORF (1 licensee)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	1		
Complaints Investigated	0	0	1		
Comments: Federal surveys are required once every six years; CMS requires 5% are done annually or one facility annually if the total number of facilities is less than 10; State surveys are not required					
Freestanding Ambulatory Surgical Centers (325 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	3	2	6		
Renewal Surveys	22	24	16		
Complaints Received	3	5	4		
Complaints Investigated	1	7	2		
Comments: Federal surveys are required every six years with at least 25 percent of ASCs required to be surveyed each year; State surveys are not required					
Freestanding Renal Dialysis Centers (127 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	2	3		
Renewal Surveys	5	5	3		
Complaints Received	12	5	8		
Complaints Investigated	12	9	8		
Comments: Federal surveys are required once every three years; State renewal surveys are not required					
Home Health Agencies (55 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		

Renewal Surveys	4	4	4		
Complaints Received	6	3	3		
Complaints Investigated	5	4	3		
Comments: Federal surveys are required at least once every three years; State surveys are required every year, COMAR 10.07.10.04E(3)					
Hospice (27 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	4	3	1		
Complaints Investigated	4	3	1		
Comments: Federal surveys are required at least once every six years; State renewal surveys are not required					
Hospice Houses (9 licenses)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	N/A	9	1		
Renewal Surveys	N/A	0	0		
Complaints Received	N/A	0	0		
Complaints Investigated	N/A	0	0		
Comments: Hospice house regulations went into effect in the second quarter					
Major Medical Equipment (250 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	2		
Complaints Investigated	0	0	2		

Comments: No federal or State renewal surveys are required					
Nurse Referral Agencies (137 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	1	0	0		
Complaints Investigated	1	0	0		
Comments: State renewal surveys are not required					
Nurse Staff Agencies (545 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: State renewal surveys are not required					
Outpatient Physical Therapy (69 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	1	0	1		
Renewal Surveys	1	5	1		
Complaints Received	0	0	2		
Complaints Investigated	0	0	2		
Comments: Federal surveys are required once every six years; CMS requires 5% annually or one facility annually if total number of facilities is less than 10; State surveys for renewal are not required					
Portable X-Ray (7 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	1		

Renewal Surveys	1	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are required every six years; CMS requires 5% are surveyed annually or one facility annually if total number of facilities is less than 10; State surveys are not required					
Residential Service Agencies (1090 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	25	30	11		
Renewal Surveys	2	1	9		
Complaints Received	12	8	16		
Complaints Investigated	6	5	12		
Comments: State renewal surveys are not required					
Surgical Abortion Facilities (12 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	1	0	0		
Complaints Investigated	1	0	0		
Comments: State renewal surveys are not required					

Behavioral Health Unit

In the summer of 2013, the OHCQ merged community mental health and substance use disorder programs into the behavioral health unit (BHU). This unit is responsible for the evaluation of all Community Mental Health programs prior to expiration of the programs approval/license and prior to the relocation or expansion of a program. It issues temporary approvals, 1, 2 or 3 year approvals with or without conditions, and two-year licenses depending on the program type and/or status. Program monitoring consists of onsite review of personnel and client records, observations, and interviews.

The BHU is the agent of the Alcohol and Drug Abuse Administration (ADAA) responsible for conducting biennial surveys and complaint investigations of substance abuse treatment providers to ensure compliance with applicable State and federal regulations. It recommends to ADAA the initial, provisional, or general certification for substance abuse treatment providers throughout the State. The unit investigates complaints that are received from patients, providers, and members of the community. Complaints may result in deficiencies related to non-compliance with regulations or referrals to other agencies including, including the Maryland Attorney General's Office. The unit interacts with other State and federal agencies involved with drug control issues. Programs evaluated by the unit include levels of service such as early Intervention, outpatient treatment, residential treatment, and opioid maintenance therapy (OMT).

Early Intervention programs often work with the court system to provide DUI/DWI Education. Outpatient clinics provide community-based drug and alcohol education and counseling. Residential programs provide inpatient treatment for individuals requiring thorough evaluation, detoxification and counseling. OMT programs typically administer Methadone to substance abusers in a community-based setting.

Group Homes for Adults with Mental Illness (153 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	3	0	0		
Renewal Surveys	0	2	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every two years, COMAR 10.21.16					
Mental Health Vocational Programs (55 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16					

Mobile Treatment Services (25 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16					
Outpatient Mental Health Centers (208 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	4	0		
Renewal Surveys	0	3	15		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16					
Psychiatric Rehabilitation Programs for Adults (22 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	1	6	20		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16					
Psychiatric Rehabilitation Services for Minors (122 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	4	6		

Renewal Surveys	1	8	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16					
Psychiatric Day Treatment Services, Partial Hospitalization Program (13 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	1		
Complaints Investigated	0	0	1		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years, COMAR 10.21.16					
Residential Rehabilitation Programs (772 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	3	1	2		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State renewal surveys are required every three years or within 6 months of initial approval, COMAR 10.21.16 and 10.21.17					
Residential Crisis Services (18 licensees)	1st Qtr FY 14	2nd Qtr FY 14	3rd Qtr FY 14	4th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		

Comments: Federal renewal surveys are not required; Out-of-Home Residential Rehabilitation Programs and Treatment Foster Care setting: Surveys required every three years or within 6 months of initial approval					
<ul style="list-style-type: none"> Out-of-Home Group Homes (Adult): Surveys every two years Out-of-Home Group Homes (Children or Adult): Every year COMAR 10.21.16 and 10.21.17 					
Respite Care Services (17 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State surveys are required once every three years					
Therapeutic Group Homes (18 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	2	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal renewal surveys are not required; State surveys are required once every three years					
Therapeutic Nursery Programs (1 licensee)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		

Comments: Federal surveys are not required; State surveys are required once every three years or within 6 months of initial approval, 10.21.16.01.08A(2)					
--	--	--	--	--	--

Opioid Maintenance Therapy Programs (55 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	4	2		
Complaints Received	0	0	1		
Complaints Investigated	0	0	1		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					
Outpatient Treatment Programs (252 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	6	0		
Complaints Received	0	2	0		
Complaints Investigated	0	2	0		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					
Residential Programs (80 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	2	0		
Complaints Investigated	0	2	0		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					

Education (15 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	5	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					
Residential Detoxification Treatment Programs (1 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	0	0		
Complaints Received	0	0	4		
Complaints Investigated	0	0	4		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					
Correctional Substance Abuse Program (27 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	4	0		
Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					
Ambulatory Detoxification (11 licensees)	1 st Qtr FY 14	2 nd Qtr FY 14	3 rd Qtr FY 14	4 th Qtr FY 14	Total FY 14
Initial Surveys	0	0	0		
Renewal Surveys	0	1	3		

Complaints Received	0	0	0		
Complaints Investigated	0	0	0		
Comments: Federal surveys are not required; State surveys are required every two years, HG 8-401(a)(3)(iii)					

Summary

The interventions that are described above have allowed the OHCQ to better fulfill the mission to protect the health and safety of Maryland's citizens throughout the health care system. The OHCQ can now and in the future more fully comply with the regulatory requirements as mandated by the legislature. While progress has been made, there is a need for an on-going strategic planning and quality improvement process that continually examines the agency's regulatory efficiency. The OHCQ will continue to look for evidence-based efficient and cost-effective methods to meet mandated goals, while working to ensure there is public confidence in the health care and community service delivery systems in the State. OHCQ will continue to update the legislature on the progress implementing these initiatives.