



EDUCATIONAL RESOURCES

Experience the ACHC Difference

Achieving a Successful ACHC Behavioral Health Survey

 BEHAVIORAL HEALTH



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EDUCATIONAL RESOURCES

Pre-Survey Preparation

 BEHAVIORAL HEALTH



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Create a Customer Central Account

- Step 1: Visit cc.achc.org
- Step 2: Complete the demographic information
- Step 3: Preview the appropriate standards
- Step 4: Download your customized ACHC standards



Demographic Information

[Forgot username or password?](#)



Becoming accredited with ACHC


[Download Standards↓](#)

[Complete Application📄](#)

[On-Site Survey🔄](#)

Watch a video tutorial of the new Customer Central

Watch Install Video »
Get Desktop App for Windows »



Customer Central is your personalized website to complete the accreditation process, from start to finish!

Please provide the information requested below to create your account and download ACHC standards

<input type="text" value="FIRST NAME"/>	<input type="text" value="LAST NAME"/>	
<input type="text" value="PHONE"/>	<input type="text" value="EMAIL"/>	
<input type="text" value="COMPANY NAME"/>	<input type="text" value="DBA NAME"/>	
<input type="text" value="ADDRESS"/>		
<input type="text" value="CITY"/>	<input type="text" value="STATE"/>	<input type="text" value="ZIP"/>
<input type="text" value="-----ACCREDTATION PROGRAM-----"/>	<input type="text" value="NUMBER OF LOCATIONS"/>	
<input type="text" value="SELECT A USERNAME"/>		
<input type="text" value="ENTER PASSWORD"/>	<input type="text" value="CONFIRM PASSWORD"/>	
Accreditation completed by: <input type="text" value="-----Please Choose-----"/>	Which of the following best describes you? <input type="text" value="-----Please Choose-----"/>	
How did you hear about ACHC? <input type="text" value="-----Please Choose-----"/>	Are you hospital-affiliated? YES <input type="checkbox"/> NO <input type="checkbox"/>	
<input type="button" value="SUBMIT"/>		

Download Standards

Download ACHC's Standards

Select the program and services applicable to your company and click 'Download'. If standards are not required, continue to your application.

[Application >>](#)

Applying for reaccreditation? Download the program-specific updates under [Educational Tools](#).

Pharmacy	Download
Durable Medical Equipment, Prosthetics, Orthotics, and Supplies	
Community Retail	
Behavioral Health	Download
Home Health – Medicare Certified	Download
Hospice	Download
Private Duty – Non-Medicare Certified	Download
Sleep	Download
Assisted Living Facilities	Download
Ambulatory Care	Download



PREPARE WITH ACCREDITATION WORKSHOPS

-  Pre-Survey Preparation
-  Thorough Review of ACHC Accreditation Standards
-  Key Steps to a Successful On-Site Survey
-  How to Complete Important Post-Survey Components

Appendix A

Appendix A: Standard Service Table for Selected Services

Standard	ACTT	ARS	CMGT	CS	DTX	OTX	PHS	PSR	PSRM
BH1-1A	X	X	X	X	X	X	X	X	X
BH1-1B	X	X	X	X	X	X	X	X	X
BH1-2A	X	X	X	X	X	X	X	X	X
BH1-2C	X	X	X	X	X	X	X	X	X
BH1-3A	X	X	X	X	X	X	X	X	X
BH1-3B	X	X	X	X	X	X	X	X	X
BH1-3C	X								
BH1-4A	X	X	X	X	X	X	X	X	X
BH1-5A	X	X	X	X	X	X	X	X	X
BH1-5B	X	X	X	X	X	X	X	X	X
BH1-6A	X	X	X	X	X	X	X	X	X
BH1-6B	X	X	X	X	X	X	X	X	X
BH1-7C								X	
BH1-7D									X
BH1-8A	X	X	X	X	X	X	X	X	X
BH1-8B	X	X	X	X	X	X	X	X	X
BH1-9A	X	X	X	X	X	X	X	X	X
BH2-1A	X	X	X	X	X	X	X	X	X
BH2-1B				X					

Appendix B

Appendix B: Reference Guide for Required Documents, Policies and Procedures

Customized for: ACTT, ARS, CMGT, CS, DTX, OTX, PHS, PSR, PSRM

Standard #	Documents, Policies and Procedures	Agency Notes
BH1-2A	Written Policies and Procedures	
BH1-3A	Written Policies and Procedures	
BH1-3C	Written Policies and Procedures	
BH1-4A	Written Policies and Procedures	
BH2-1A	Written Policies and Procedures	
BH2-1H	Written Policies and Procedures	
BH2-1P	Written Policies and Procedures	
BH2-1T	Written Policies and Procedures	
BH2-2A	Written Policies and Procedures	
BH2-2B	Written Policies and Procedures	
BH2-2C	Written Policies and Procedures	
BH2-3A	Written Policies and Procedures	
BH2-4A	Written Policies and Procedures	
BH2-5A	Written Policies and Procedures	

Application

- Online application
- Deposit
- Signed Accreditation Agreement
- Payment method
- Preliminary Evidence Report (PER) checklist
- Required documents in order to be placed into scheduling



Online Application

- Select “NEW APPLICATION” or “RENEWAL”
- Main office
 - Profile
 - Location
 - Contacts
 - Services
- Additional locations/branch locations
- 10 Blackout dates
- Identify services you want accredited
- Renewals should complete application 6-9 months prior to expiration
- Contact your AA if any of this information needs to be updated



Preliminary Evidence Report

PRELIMINARY EVIDENCE REPORT CHECKLIST



This checklist constitutes the requirements of the Preliminary Evidence Report (PER), which is mandatory for organizations applying for initial Behavioral Health accreditation.

Review and acknowledge that all of the following requirements have been met and submit this signed checklist with the required items listed below.

Required items to be submitted to the Accreditation Commission for Health Care (ACHC):

- Organizational chart
- Descriptions of all services to be surveyed
- Service Recipient Rights and Responsibilities
- If the organization uses any form of restrictive intervention (physical/manual restraint or seclusion), submit policies and procedures ensuring that systems and structures are in place to facilitate appropriate and safe implementation and monitoring of such interventions; or
 - Not Applicable, as restrictive interventions are not allowed

Verification of the following:

- The organization has provided care to a minimum of 3 service recipients, 1 active for single service line or 5 service recipients served, 3 active for multiple service lines being provided at time of survey unless state law requires more.

Confirmation of the following (initial in spaces provided):

- I attest that this organization possesses all policies and procedures as required by the ACHC Accreditation Standards
- I acknowledge that this organization was/is/will be in compliance with ACHC Accreditation Standards as of _____ (date)

Your organization will be placed into scheduling once this document, the Agreement for Accreditation Services and Business Associate Agreement are submitted to your Account Advisor and payments are up-to-date. ACHC will strive to conduct your survey as soon as possible.

**PLEASE NOTE: YOUR ORGANIZATION MUST ALWAYS BE IN COMPLIANCE WITH APPROPRIATE STATE REGULATIONS.



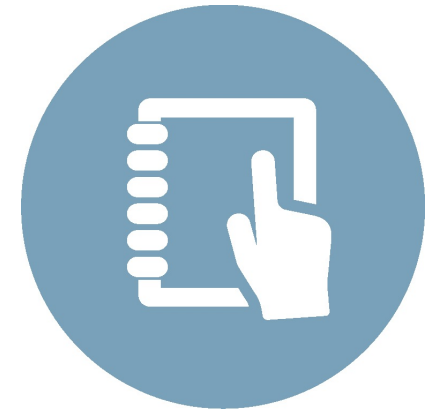
PER Checklist

- PER
 - Mandatory documents and/or criteria that must be submitted and met in order to begin the survey process
- Date of Compliance you establish on the PER
 - ACHC-only requirements
- State requirements
 - Acceptance of first patient
- Agency policies
 - Implementation date of policy



Extended Policy Review

- Optional review of complete policies and procedures by an ACHC Surveyor to determine compliance prior to the on-site survey
- Feedback from an ACHC Surveyor regarding the alignment of agency's policies and procedures to ACHC Accreditation Standards
- Option to purchase through Customer Central
- Customized reference guide for required documents and policies and procedures, available as a download
- Utilize Appendix B to organize policies



Appendix B

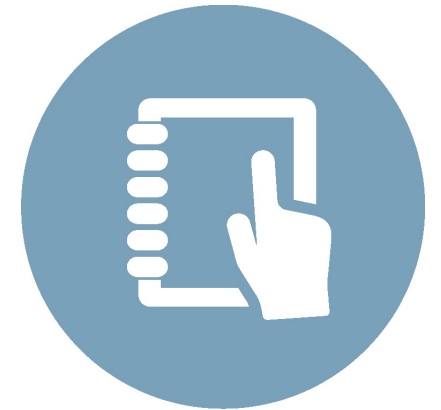
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BH1-3C	Written Policies and Procedures	
BH1-4A	Written Policies and Procedures	
BH2-1A	Written Policies and Procedures	
BH2-1H	Written Policies and Procedures	
BH2-1P	Written Policies and Procedures	
BH2-1T	Written Policies and Procedures	
BH2-2A	Written Policies and Procedures	
BH2-2B	Written Policies and Procedures	
BH2-2C	Written Policies and Procedures	
BH2-3A	Written Policies and Procedures	
BH2-4A	Written Policies and Procedures	
BH2-5A	Written Policies and Procedures	

Policy Review Results

- Desk Review Report will come from the Account Advisor
- 21 days to revise and re-submit all corrections to Account Advisor
- 30-day window to prepare staff
 - Policy often reflects practice



Preparation

- Educate Key Staff
 - Clinical staff (employees & contract)
 - Administrative/leadership
 - Governing body
 - Service recipients
- Prepare the agency
 - Human Resources
 - IT
 - Walk around your agency



EDUCATIONAL RESOURCES

Achieving A Successful Survey Outcome

Understanding the ACHC Behavioral Health Standards

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Review the Standards

- Identifier – BH
 - Service applicable: ACTT, ARS, BHH*, CMGT, CRS*, CS, DTX, FCS*, ICS, IIH, IOTX, OTX, PHS, PSR, PSRM, PSS, PVS, RCS*, RTX, SES, SGL, WM, WME
- Standard
 - Provides a broad statement of the expectation in order to be in compliance with ACHC standards
- Interpretation
 - Gives you more detailed information and specific direction on how to meet ACHC standards
- Evidence
 - Items that will be reviewed to determine if the standard is met

Standard Example



Standard BH1-6B : Responsibility and accountability for programs are defined. The organizational chart shows the relationship of all positions within the organization with identifiable lines of authority.

Interpretation: The organizational chart must be current and show the position(s) responsible for each program/service, and the relationship for each job function down to the service recipient care/service level.

Evidence: Organizational Chart

Evidence: Response to Interviews

Services applicable: ACCT, ARS, BHH, CMGT, CRS, CS, DTX, FCS, ICS, IIH, IOTX, OTX, PHS, PSR, PSRM, PSS, PVS, RCS, RTX, SES, SGL, WM, WME

Most Stringent Regulation

- Must be in compliance with the most stringent regulation in order to be determined compliant with ACHC Accreditation Standards



Items Needed For Initial Licensure and Full Survey

ITEMS NEEDED FOR INITIAL LICENSURE AND FULL SURVEY

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ACHC Standard(s)	Required Item(s)	Located
BH2-6A	Confidentiality P&P	
BH2-7A	Informed consent P&P	
BH2-7A	Advance Directive P&P	
BH2-7B	Resuscitative guidelines	
BH2-9A	Cultural competency plan	
BH2-10A	Corporate compliance plan	
BH3-1B	Financial P&P	
BH3-5A	List of fees	
BH4-1A	Personnel file management P&P	
BH4-1B	TB testing P&P	
BH4-2C	Hepatitis vaccine P&P	
BH4-2G	Background check P&P	
BH4-2I	Job evaluation P&P	
BH4-2I	Employee handbook or personnel policies	
BH4-3B	Credentialing P&P	
BH4-3D	Peer support P&P, if applicable	
BH4-4A, BH4-4D, BH4-4E	Training P&P, list of training required by position, and training curricula	
BH4-6A, BH4-6B	Caseload requirements P&P	
BH5-1A, BH5-1B	Service records P&P (including EMR procedures)	
BH5-1G	Continuation of child's education P&P	
BH5-2A	Assessment and development of plan of care P&P	
BH5-2C, BH5-2D	Physical exam and health screening P&P	
BH5-3J	Behavioral intervention P&P	
BH5-3M	Intensive In-Home Services P&P	
BH5-4A	Service recipient orientation P&P	
BH5-5A, BH5-5C, BH5-5D	Medication administration P&P	
BH5-5I, BH5-5J, BH5-5L	Adverse drug reactions P&P	
BH5-5E	Telehealth P&P	
BH5-7A	Suspension and expulsion P&P	
BH5-7B, BH5-7E, BH5-7H	Discharge P&P	

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BH2-10A	Corporate compliance plan	
BH3-1B	Financial P&P	
BH3-5A	List of fees	
BH4-1A	Personnel file management P&P	
BH4-2B	TB testing P&P	
BH4-2C	Hepatitis vaccine P&P	
BH4-2G	Background check P&P	
BH4-2I	Job evaluation P&P	
BH4-2I	Employee handbook or personnel policies	
BH4-3B	Credentialing P&P	
BH4-3D	Peer support P&P, if applicable	
BH4-4A, BH4-4D, BH4-4E	Training P&P, list of training required by position, and training curricula	
BH4-6A, BH4-6B	Caseload requirements P&P	
BH5-1A, BH5-1B	Service records P&P (including EMR procedures)	
BH5-1G	Continuation of child's education P&P	
BH5-2A	Assessment and development of plan of care P&P	
BH5-2C, BH5-2D	Physical exam and health screening P&P	
BH5-3J	Behavioral intervention P&P	
BH5-3M	Intensive In-Home Services P&P	
BH5-4A	Service recipient orientation P&P	
BH5-5A, BH5-5C, BH5-5D, BH5-5I, BH5-5J, BH5-5L	Medication administration P&P	
BH5-5E	Adverse drug reactions P&P	
BH5-5I	Telehealth P&P	
BH5-7A	Suspension and expulsion P&P	
BH5-7B, BH5-7E, BH5-7H	Discharge P&P	

Revised: 05/13/2020
[778] Items Needed for Initial Licensure and Full Survey - BH Page 2 of 5 | achc.org

ITEMS NEEDED FOR INITIAL LICENSURE AND FULL SURVEY

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Standard(s)	Required Item(s)	Located
BH6-3C	Service recipient transfer P&P	
	Incident report P&P	
	Emergency care P&P	
	Performance/Quality Improvement P&P	
	Infection control P&P	
	Personnel safety P&P	
	Service recipient safety P&P	
	Transportation P&P	
	Service recipient disaster planning P&P	
H7-5A, BH7-5B	Disaster plan and proof of drills	
	Weapons P&P	
H7-7B	Hazardous chemical P&P	
H7-8C	Waived testing P&P, if applicable	
H7-8D	Testing equipment P&P, if applicable	
	Clinical trials P&P	
	Service recipient elopement P&P	

SURVEY

Items required for licensure survey, plus the items listed below:

Standard(s)	Required Item(s)	Located
H1-6A, BH2-10A, BH3-1A, H4-4A, BH6-1C	CEO, CFO, Compliance Officer, HR Director, PI Director, Clinical Supervisor, and staff for each service being accredited must be available to interview	
	Board members (preferably the chair or vice-chair) must be available to interview, if applicable	
	Evidence of Governing Board orientation	
	Service recipients rights committee minutes	
	Assertive Community Treatment Team minutes	
	Evidence of Governing Board appointing administrator and alternate administrator	
	Evidence of annual review of administrator by Governing Board	
H1-7D, BH2-10D	Evidence of Psychosocial Rehabilitation Services for adults and minors	

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ITEMS NEEDED FOR INITIAL LICENSURE AND FULL SURVEY

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Standard(s)	Required Item(s)	Located
BH1-8B	Evidence organization is in compliance with all applicable federal, state, and local laws and regulations. Federal and state posters are in prominent location.	
	Any regulatory inspections reports and required plan of corrections	
BH2-1I, BH2-1M, BH2-1O, BH2-1S	In-home respite care P&P	
BH2-1Z-3	Widowhood management P&P	
	Foster care services P&P	
	Grievance/complaint log	
	Business Associate Agreements	
	Ethics committee minutes and P&P	
	Quarterly fiscal statements	
	Resolution of non-payment P&P	
	Evidence of Motor Vehicle Records and valid driver's license as applicable	
BH4-3B, BH4-3G	Evidence of credentialing and minimum qualifications for personnel	
BH4-3K, BH4-3N	Proof of clinical supervision	
	Assertive Community Treatment Team minutes	
BH4-3V	Foster care services P&P	
J	Foster care services parent training	
BH4-7B, BH4-7C	HR/training records for five staff per service being accredited. Records contain items listed in the standard.	
BH4-7E	On-call schedule	
BH4-8D, BH4-8E	Contracts/agreements for personnel providing services on behalf of organization	
BH4-8I	Foster care recruitment and selection P&P	
BH5-2, BH5-3, BH5-4, BH5-5, BH5-7	Medical records for five service recipients per service being accredited. Records contain items listed in the standard.	
BH7-3C	Withdrawal management P&P	
BH5-3C	Two service recipients for each service being accredited must be available to interview (can have	

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C Standard(s)	Required Item(s)	Located
4B	Service recipient education P&P	
5C	Requirements for disposal of medications	
5E	Adverse drug reaction log	
5L	P&P regarding transfer of medications to responsible parties	
9A	After hours call log	
7D, BH6-3C, BH7-14A	Annual incident reports or log	
1C	Performance Improvement Committee minutes	
3A	Annual performance improvement report	
3A, BH6-3B, BH6-3C, BH6-3E, BH6-3F, BH6-3G, BH6-3H, BH6-3J	Performance improvement plan and activities	
1A	Infection control plan	
5A, BH7-3A	Proof of fire and disaster drills	
8C	Waive testing equipment log	
8D	Cleaning and equipment maintenance log	

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[778] Items Needed for Initial Licensure and Full Survey - BH Page 5 of 5 | achc.org

DISCLAIMER: The above list of Policies & Procedures and requirements is not all-inclusive. Organizations must refer to applicable ACHC Behavioral Health Accreditation Standards for the services being accredited for a complete list of required Policies & Procedures and other requirements.

Reports

- Current service recipient census
- Current service recipient schedule
- List of discharges/transfers for the past 12 months
- Personnel list
 - Employees
 - Contract staff
- Previous survey results
- Admission packet and education materials
- Staff meeting minutes for the past 12 months
- Internal Plans of Corrections

Section 1

- Copies of bylaws, Articles of Incorporation
- Applicable license/permits for each location
- Governing body meeting minutes for the past 12 months
- Orientation records and signed confidentiality statements for governing body members
- Service recipient rights committee meeting minutes for the past 12 months
- Orientation records for the service recipient rights committee members
- Organizational chart
- Contracts for any person(s) designated to be responsible for overall supervision of services/programs (if applicable)
- Prior regulatory inspection reports

Section 2

- Marketing materials
- Service Recipient Rights and Responsibilities statement
- Incident and investigation reports
- Grievance/complaint log
- Confidentiality practices
- Business Associate Agreements
- Compliance plan/program
- On-call calendar
- Evidence of how communication language barriers are addressed
- Evidence of how ethical issues are addressed

Section 3

- Budget/evidence of review of budget
- Financial management practices
- Written list of service recipient charges for service(s)

Section 4

- Personnel records
 - Employees and contract staff
- Employee handbook or evidence that staff have access to personnel policies and procedures
- Written education plan and evidence of ongoing education

Section 5

- Service recipient records
 - Surveyor needs the entire service recipient record (electronic and paper documents)
 - Do not print the record
 - Surveyor will need “read only” access to the entire record
 - Organization must provide the Surveyor with a laptop or desktop computer for reviewing the service recipient record

Section 6

- Performance Improvement (PI) Program
 - Individual designated as responsible for the program
 - Evidence that governing body, organizational leaders and personnel are involved in the program
- Evidence for the tracking of:
 - Complaints and grievances
 - Service recipient incidents/variances
 - Quarterly chart audit
- Ongoing and/or current PI projects
- Annual evaluation of PI Program

Section 7

- Evidence of an Infection Control Program
 - TB Exposure Plan
 - Bloodborne Pathogen Plan
 - Policies and Procedures
 - Training of staff
- Emergency Preparedness Plan
- Access to SDS information
- CLIA certificate of waiver for laboratory testing being performed at your organization, as well as verification that the referral laboratory is certified in the appropriate specialties and subspecialties
- Maintenance logs

Additional Considerations

- Maintenance and safety logs
- Previous inspection records
- Evidence of fire drills
- Medication/drug disposal logs/records
- Temperature logs for refrigerators that contain:
 - Medication(s)
 - Lab(s)
- Evidence of qualified individual overseeing meal planning for 24-hour day programs

Focus Areas

- Utilize the audit tools, Compliance Checklists, and Self-Assessment to prioritize education
- Implement an internal Plan of Correction (POC)
- Share improvements with you Surveyor during survey



EDUCATIONAL RESOURCES

Achieving a Successful Survey Outcome

On-Site Survey Process

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Role of a Surveyor

- To ensure ACHC Accreditation Standards are being followed
- Data collectors
- Documented evidence that is “readily identifiable”



On-Site Survey

- Notification call
- Opening conference
- Tour of facility
- Personnel file review
- Service recipient record review
- Interview with governing body/owner, staff, and service recipient
- Review of organization's implementation of policies
- Performance Improvement (PI)
- Exit conference

Opening Conference

- Begins shortly after arrival of Surveyor
- Good time to gather information needed by the Surveyor
- KEY REPORTS
 - Current census and current schedule
 - Name, diagnosis, start of service, disciplines involved
 - Discharges and transfers
 - Personnel (employee and contract)
 - Name, hire date, and discipline/role
 - Any previous survey results from the 12 months (if applicable)
 - Admission packet or education materials given to service recipients

Opening Conference

- Designate a space for the Surveyor(s)
- Laptop or computer to access service recipient records
 - Read-only access
- Appoint a liaison

Tour

- Brief tour of facility
 - Service recipient record storage
 - Maintaining confidentiality of Protected Health Information (PHI)
 - Supply closet/area
 - Biohazard waste
 - Required posters
 - Fire extinguishers/smoke detectors/non-smoking signage
 - Restrooms

Personnel Record Review

- Review personnel records for administrative and/or supervisory personnel, licensed and unlicensed personnel, support personnel, and contracted personnel
 - Application, tax forms, and I-9
 - Job descriptions and evaluations
 - Verification of qualifications
 - Orientation records, competencies, and ongoing education
 - Medical information
 - Background checks

For a complete listing of items required in the personnel record, review Section 4 of the ACHC Accreditation Standards.

SURVEY CHECKLIST – PERSONNEL FILES



Please gather or flag the identified items for the following personnel/contract individuals.

COMPLIANCE DATE:

Standard	Item Required	Administrator:	Alt-Administrator:	Clinical Supervisor/ Program Director:	Medical Director:	Other Name:	Other Name:	Other Name:
BH1-5A	Administrator qualifications							
BH1-5A	Alternate Administrator qualifications							
BH1-6A	Clinical Supervisor/Program Director qualifications							
BH2-6A	Signed confidentiality statement							
BH2-7B	Evidence of current CPR certification, if applicable							
BH4-1B	Position application (N/A for contract staff)							
BH4-1B	Dated and signed withholding statements (N/A for contract staff)							
BH4-1B	I-9 Form (N/A for contract staff)							
BH4-2B	Evidence of initial and annual TB screening							
BH4-2C	Evidence of Hepatitis B vaccination received or signed declination statement							
BH4-2D	Signed job description							
BH4-2E	Evidence of valid driver's license and motor vehicle records check, if applicable							
BH4-2G	Appropriate criminal background checks							
BH4-2G	Office of Inspector General (OIG) Exclusion List check							



Medical Chart Reviews

- Review service recipient records
- Representative of the service(s) provided
 - Interdisciplinary
 - Adult or minor
 - Environment served
 - Complexity of need
 - All payors
- Electronic Medical Record
 - Do not print the service recipient record
 - Need access to the entire record
 - Need to have a laptop/desktop supplied by the organization
 - Navigator/outline

Medical Chart Reviews

Number of Service	Minimum # of Chart Reviews
1	3 per service
2 or more	3 per service, no more than 5

Exit Conference

- Mini-exit
 - At the end of each day to identify deficiencies
- Final exit conference
 - Present all corrections prior to the exit conference
 - Surveyor cannot provide a score
 - Invite those you want to attend
 - Preliminary Summary of Findings (SOF) as identified by Surveyor and the ACHC Standard
 - Seek clarification from Surveyor while still on site

Corrected On Site

- ACHC-only requirements can be corrected on site and a Plan of Correction (POC) will not be required

Resources

- Account Advisor
- Customer Central (cc.achc.org)
- Behavioral Health Survey Prep
 - Items Needed For Initial Licensure and Full Survey
 - Personnel Files Survey Checklist – BH
- Monthly “Did You Know” emails
- *ACHC Today* emails
- ACHCU (achcu.com)

Re-cap

- Generate the needed reports
 - Current census
 - Personnel and contract individuals
- Electronic Medical Record
 - Read-only access
- Gather information on the Items Needed list
- Flag the required policies and procedures
- Flag the required documents for personnel files



EDUCATIONAL RESOURCES

Thank you

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