



EDUCATIONAL RESOURCES

Accreditation – Getting Started

ACHC Accreditation 101

March 16, 2023

 BEHAVIORAL HEALTH



ACHCU IS A BRAND OF ACCREDITATION COMMISSION *for* HEALTH CARE



Welcome



GUEST PRESENTERS

Jennifer Flowers, Founder & CEO

Peggy Lavin, Director of Behavioral Health

Agenda

- Overview of Accreditation
- Benefits of Accreditation
- Importance of Accreditation for families
- ACHC Accreditation Journey
- You are not alone!
- Q&A

What is Accreditation?

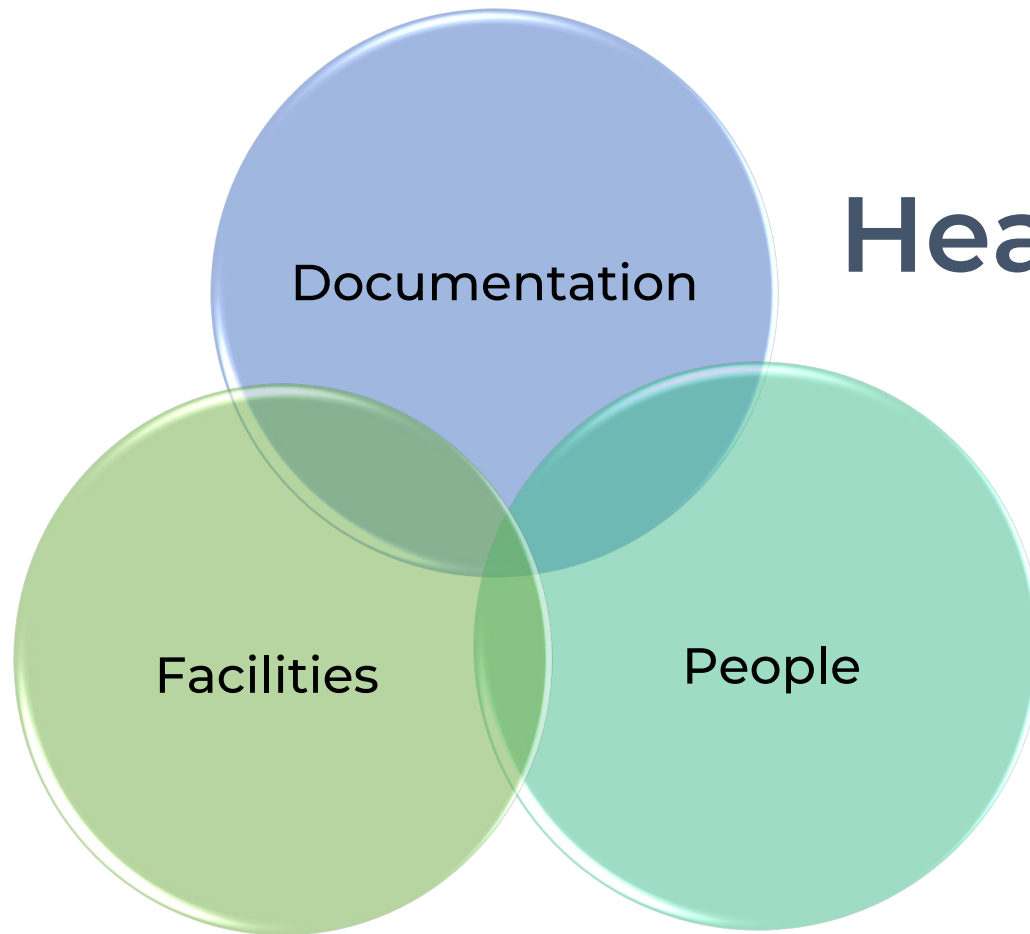


- ACHC accredits an applicant organization that demonstrates compliance with ACHC standards of quality and safety

Accreditation



Accreditation Focus



Health & Safety!

Benefits of Accreditation

- Framework to manage resources
- Internal standardization of processes
- External *validation* of the quality of programs and services
- ↑ *efficiencies* from improved practice consistency
- Tightens administrative practices
- *Focus* on staff recruitment, training and supervision
- ↑ emphasis on risk management
- Culture of Excellence



Benefits of Accreditation

- Up-to-date plans, policies, procedures
 - Evidence-based and informed practices
- Better documentation of clinical processes
- Easier geographic and/or service expansion
- Continuous improvement
- Supports organization's sustainability



PLUS

Verification of staff qualifications, competence, and training

Increase Credibility and Boost Reputation



- Helps expand the referral base
- Helps expand funding sources
- Attracts individuals looking for services
- Recruits and retains quality staff



Importance to Persons Served, Their Families and Communities



Getting Everyone on Board

- Why is buy-in so important?
 - Accreditation is a team sport!
 - Timelines
 - Planning reviews
 - Budget approval
 - Overall attitude when the going gets tough



Well Organized → Less Stress → Better Outcome





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Experience the ACHC Difference

Achieving a Successful ACHC Behavioral Health Survey

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ACHC Accreditation Process

Before the Survey

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Register for Access

- Access the customer portal through the ACHC website (achc.org)
- The customer portal allows customers and/or Consultants to initiate the application and access resources.
- Initial or renewals — application and survey process is the same.



Download ACHC Accreditation Standards

- Available for organizations that have not previously obtained them.
- Once purchased, an organization has unlimited access to all ACHC Accreditation Standards.
- Credit is applied for organizations that submit a deposit for accreditation.



ACHC Application Requirements

- Online application
- Deposit
- Signed Agreement for Accreditation Services/Business Associate Agreement (BAA)
- Preliminary Evidence Report (PER) checklist
- Required documents in order to be placed into scheduling



ACHC Behavioral Health Services

- Accreditation Process provides a description of each service
 - Review and select service(s) carefully
 - Download standards specific to the service(s) that pertain to the organization's accreditation

Requirements for Behavioral Health

- Be licensed according to applicable state and federal laws and regulations and maintain all current legal authorization to operate.
- Occupy a building in which services are provided/coordinated that is identified, constructed, and equipped to support such services.
- Clearly define the services it provides directly or under contract.
- Submit all required documents and fees to ACHC within specific time frames.

Requirements for Behavioral Health

- Organizations can apply for one or more services for accreditation.
- **Single service:** Organizations that provide only (1) service
 - Must have admitted and provided service to a **minimum of (3) service recipients**, and; Must have at least **(1) active service recipient** at the time of survey.
- **Multiple services:** Organizations that provide (2) or more services
 - Must have admitted and provided services to a **minimum of (5) service recipients**, and; Must have at least **(3) active service recipients** at the time of survey.
 - Must have provided services to at least (1) service recipient from each service line seeking accreditation.

If a service recipient has or is receiving services under more than one service line, they can count as an individual service recipient for each service.



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YOU are not alone!

Resources

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You are Not Alone: How Accreditation Guru Helps

- Individual accreditation consultation:
 - Onsite assessment of readiness
 - Project Management
 - Cross walk of existing plans and policies
 - Development of compliant plans and policies
 - Client record and personnel file compliance
 - Customized training
 - Mock survey

ACHC Certified Consultants and more!!



Experience the ACHC Difference

- Standards created for providers, by providers
- All-inclusive pricing – no annual fees
- Committed to exceptional customer service
- Personal Account Advisors
- Surveyors with industry-specific experience
- Dedicated clinical support
- Dedicated regulatory support
- Educational resources



Collaborative Survey Approach

- ACHC values an educational survey experience with a collaborative approach:
 - Flexibility without compromising quality
 - Consistency in interpretation of requirements
 - Accuracy in reporting findings/observations
 - Offering organizations, the opportunity to clarify or correct deficiencies
 - Active engagement to promote ongoing success post-survey



ACHC Accreditation Guide to Success

Behavioral Health



Survey Preparation Tools

ACHC SURVEY PROCESS TOOLS

Behavioral Health Observation Audit Tool

ACHC FOR PROVIDERS BY PROVIDERS BEHAVIORAL HEALTH

OBSERVATION AUDIT TOOL

- The organization has appropriate Articles of Incorporation or other documents of legal incorporation.
- The organization has the appropriate license posted for public viewing, if required by local law.
- Evidence of the governing body that includes name, address, and telephone number for each member.
- Evidence that the governing body received an orientation.
- Evidence of the Service Recipient Rights Committee and meeting minutes.
- Evidence the Service Recipient Rights Committee members received an orientation.
- Job descriptions are specific to the task and duties personnel are required to perform.
- Current organizational chart reflects current organizational structure.
- A copy of the Fair Labor Standards Act is posted in a prominent location.
- All personnel perform their job duties according to accepted standards of practice as licensure and/or certification.
- Evidence of prior regulatory inspection reports, if applicable.
- Marketing materials reflect the services provided by the organization, describe the operation, contact information, and after-hours/emergency contact information.
- Evidence of an admission/new service recipient packet.
- Service recipient Incident/Variance reports.
- Grievance/complaint logs.
- Service recipient records and other PHI and EPHI are in a secure location.
- Evidence of signed confidentiality agreements.
- Annual budget is available for the Surveyor to review upon arrival.
- Contracts and Business Associate Agreements are current and reviewed as identified.
- Evidence that ethical concerns are referred to ethics consultants or the ethics committee.
- Evidence of charges in writing and available upon request.
- Compliance Program is available for the Surveyor to review upon arrival.
- Financial Audit or Review Report for the previous fiscal year is available for the Surveyor upon arrival.

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ACHC SECTION 4: TOOLS

PERSONNEL FILE AUDIT TOOL

Date: _____ Auditor: _____

REQUIREMENTS	STANDARD	PERSONNEL INITIALS			
	Date of Hire:				
Application	BH4-1B				
Dated and signed withholding statements	BH4-1B				
Completed Form I-9	BH4-1B				
Personnel credentials	BH4-3B				
TB skin testing (direct care staff only)	BH4-2B				
Hepatitis B series or signed declination statement (direct care staff only)	BH4-2C				
Signed job description	BH4-4D				
Valid driver's license & motor vehicle record check (if required to transport service recipients)	BH4-2E				
Background checks:					
■ Office of Inspector General (OIG) exclusion list	BH4-2G				
■ National Sex offender registry	BH4-2G				
■ Criminal background check	BH4-2G				
Evidence of receipt of Employee Handbook or access to personnel policies					
■ Wages	BH4-2H				
■ Benefits	BH4-2H				
■ Complaints and grievances	BH4-2H				
■ Recruitment, hiring, and retention of personnel	BH4-2H				
■ Disciplinary action/termination of employment	BH4-2H				
■ Professional boundaries and conflict of interest	BH4-2H				
■ Performance expectations and evaluations	BH4-2H				
Annual performance evaluations	BH4-2I				
Orientation:					

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ACHC SURVEY PROCESS TOOLS

Behavioral Health Staff Interview Questions

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POTENTIAL ORGANIZATION STAFF INTERVIEW QUESTIONS

Gray box indicates question is non-applicable.

Within what time frame would you notify ACHC and other regulatory bodies of changes in authority, ownership, and management?	BH1
Can you describe some of the responsibilities of the governing body?	BH1
Can you describe the organization's policies and procedures in regard to conflicts of interest and the procedure for disclosure?	BH1
Can you describe the chain of command?	BH1
How do you promote a recovery philosophy for adults? (PSR)	BH1
How do you promote a recovery philosophy for minors? (PSRM)	BH1
What types of negative outcomes must you report to ACHC?	BH1
What types of assistance/activities do you engage service recipients in to obtain greater independence? (CS)	BH2
What types of interventions are provided to service recipients, and what are the goals of those interventions? (DTX)	BH2
What types of activities do you engage service recipients in to meet their goals? (PSR)	BH2
What treatment modalities do you use to meet the needs of your service recipients? (OTX)	BH2
How do you ensure appropriate staffing for the supervised group living home? (SGL)	BH2
What tasks do you assist service recipients with? (PSS)	BH2
How does your support model promote community integration and inclusion for service recipients? (SES)	BH2
What types of skill development and other activities do you engage service recipients in to address their specific needs? (SGL)	BH2
What are the various treatment components of your services, how are service recipients made aware of these, and when are they offered? (IOTX)	BH2
How often is service offered? (IOTX)	BH2

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ACHC SECTION 5: TOOLS

CLIENT/PATIENT RECORD AUDIT

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CLIENT/PATIENT RECORD AUDIT

Audit each client record for the items listed under all clients. Audit for the additional requirements as it pertains to the services provided to the client.

Date: _____ Auditor: _____

STANDARD	REQUIREMENTS	INITIALS				SCORE
	Start of Care Date:					
BH2-1A	Receipt of description of program services					of %
BH2-1DD	Changes in the plan of care (PSRM)					of %
BH2-2A	Receipt of Service Recipient Rights and Responsibilities statement					of %
BH2-2B	Restriction of any service recipient rights and responsibilities					of %
BH2-4B	Receipt of complaint/grievance process and contact information for the organization, state regulatory agency, and ACHC					of %
BH2-6A	Receipt of privacy notice (HIPAA)					of %
BH2-7A	Advance Directive information					of %
BH2-11C & BH2-11D	Coordination of medical and dental care (RCS*, RTX, SGL & FCS*)					of %
BH3-3C	List of charges for services					of %
BH3-6A	Services are billed properly for					of %
BH4-3V	Supervision of foster parents (FCS*)					of %
BH4-8F	Receipt of communication with employers (SES)					of %
BH4-8I	Assessment for matching service recipient to foster home (FCS*)					of %
BH5-1A	Identification data					of %

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Compliance Checklist



SECTION 1: TOOLS 

SECTION 1 COMPLIANCE CHECKLIST



Standard	Policy/ Procedure	Personnel Record	Observation	Audit Tools Provided	Compliance Y/N	Comments
BH1-1A			Articles of Incorporation, Appropriate licenses/permits are posted	Observation Tool		
BH1-1B			Disclosure of ownership	Interview Tool		
BH1-2A	Yes		Description of governing body, governing body meeting minutes, & list of governing body members	Observation Tool & Interview Tool		
BH1-2C			Orientation for governing body members	Observation Tool		
BH1-3A	Yes		Service recipient rights committee meeting minutes	Observation Tool		
BH1-3B			Orientation for service recipient rights committee	Observation Tool		
BH1-3C	Yes		Assertive Community Treatment Team (ACTT) meeting minutes	Observation Tool		
BH1-4A	Yes		Conflict of Interest Discloser statements & staff interviews	Observation Tool & Interview Tool		
BH1-5A		Yes	Administrator/individual responsible job description, resume/application, & staff interviews	Personnel File Tool		
BH1-5B			Written evaluation of Administrator/individual responsible	Personnel File Tool		
BH1-6A		Yes	Administrator/supervisor of services job description	Personnel File Tool		




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Self Audit

 SECTION 1: TOOLS 

SECTION 1 SELF AUDIT

 FOR PROVIDERS
BY PROVIDERS

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SECTION 1 SELF AUDIT

REQUIRED POLICIES AND PROCEDURES



- Governing body/owner responsibilities.
- Service Recipient Rights Committee responsibilities.
- The formulation, structure, and purpose of a team for Assertive Community Treatment Team (ACTT) services.
- Conflict of interest and the procedure for disclosure statement.
- Compliance with applicable federal, state, and local laws and regulations.



REQUIRED DOCUMENTS

- Appropriate licenses, permits, registrations, etc., to conduct business.
- Articles of Incorporation/organization or other documentation of legal authority.
- Description of governing body (This may be in your Articles of Incorporation).
- List of governing body members that includes name, address, and telephone numbers for each person.
- Orientation of governing body members.
- Organizational chart showing all positions with identifiable and accurate lines of authority.
- Copies of applicable laws, rules, and regulations.
- Professional practice acts or standards of practice.
- Governing body meeting minutes.
- Service Recipients Rights Committee meeting minutes.
- Orientation of Service Recipient Rights Committee members.
- ACTT team meeting minutes.
- Previous reports/findings from regulatory investigations/surveys.

PERSONNEL FILE CONTENTS

- Signed confidentiality agreements as required by policy.
- Signed Conflict of Interest Disclosure Statements, as applicable.
- Administrator's resume/application with verification of qualifications.
- Annual evaluation of the Administrator.
- Job description of the Administrator that specifies the responsibilities and authority of the individual.

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 SECTION 1: TOOLS 

- Job description of temporary Administrator to verify the duties responsible for when filling the role of the Administrator are identified in the job description.
- Documentation of orientation to the duties of temporary Administrator.

SERVICE RECIPIENT RECORD REQUIREMENTS

- None

APPROPRIATE STAFF KNOWLEDGE OF THE FOLLOWING:



- Knowledge of time frames for request of information and changes in authority, ownership, or management.
- Governing body duties and orientation.
- Potential conflict of interest situations and procedure for disclosing.
- Organizational chart/chain of command.
- Reporting of negative outcomes affecting accreditation licensure.

CAN THE FOLLOWING BE EASILY OBSERVED WHILE ON-SITE?

- Licenses, permits, etc., posted in public view.
- Required state and federal labor law posters.

SELF TEST

- Who is designated as the Administrator?
- Who/which position is assigned the duty of temporary Administrator in their absence?
- What is an example of a conflict of interest?
- Is staff informed of the chain of command?
- Who do you report a conflict of interest to?
- What negative company outcomes must be reported to ACHC within 30 days?
- What ownership/management information are you required to disclose to ACHC and other appropriate state and federal agencies?
- Is the appropriate license posted prominently in plain view of the public?

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Educational Resources

- ACHCU.com:
 - Workbooks
 - Workshops
 - Webinars
- Online resources:
 - The Surveyor newsletter
 - Regulatory updates
 - Accreditation resources
 - Maintaining compliance checklists
- Email updates:
 - “Did You Know?”
 - ACHC Today e-newsletter
 - Sign Up at <https://www.achc.org/e-news-signup.html>



Questions?





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Next Webinar: Challenges Along the Way

March 30, 2023

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Thank You!



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Thank you

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