



FOR PROVIDERS.
BY PROVIDERS.

ACCREDITATION PROCESS



BEHAVIORAL HEALTH



ACCREDITATION COMMISSION *for* HEALTH CARE

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I. Introduction

Accreditation Commission for Health Care (ACHC) is an independent, 501(c)(3) nonprofit accrediting organization that is certified to ISO 9001:2015 standards. ACHC is governed by a volunteer Board of Commissioners (Board) that is composed of health care professionals and consumers. The Accreditation Process** contained in this document pertains to all organizations, whether they are applying for accreditation for the first time, renewing accreditation, adding or eliminating branches, or adding or eliminating services. As a result of changes in industry standards and/or regulatory changes, as well as ACHC's continuous internal review of its processes, ACHC may update its Accreditation Process. Accordingly, ACHC's services will be furnished in accordance with the most current version of the ACHC Accreditation Process in effect on the date of the survey or in effect at the time of any other activity.

II. Requirements

A. Organization Types

Noncorporate: Noncorporate organizations are defined as having 24 or less physical locations.

Corporate: Corporate organizations are defined as having 25 or more physical locations.

NOTE: The Accreditation Process is written for noncorporate and corporate organizations unless otherwise specified. ACHC makes the final determination in defining a physical location.

B. Eligibility Requirements

The organization may apply for accreditation if the following eligibility requirements are met.

The organization must:

1. Be currently operating within the United States and/or its territories
2. Have provided care to a minimum of three service recipients, one (1) active for single service line or five service recipients served, three active for multiple service lines being provided at time of survey unless state law requires more.
3. Be licensed according to applicable state and federal laws and regulations and maintain all current legal authorization to operate.
4. Occupy a building in which services are provided/coordinated that is identified, constructed, and equipped to support such services.
5. Clearly define the services it provides directly or under contract.
6. Submit all required documents and fees to ACHC within specified time frames.
7. Meet all criteria for participation with Medicare/Medicaid if the organization is or plans to be a Medicare/Medicaid provider.

C. ACHC Behavioral Health Program Services

1. **Assertive Community Treatment Team (ACTT):** The Assertive Community Treatment Team (ACTT) is a comprehensive service delivery model through which integrated, community-based, treatment and supports are provided. The interdisciplinary team is available to provide services 24 hours a day, 7 days a week, 365 days a year to service recipients who experience serious and persistent mental illness. The services are "assertive" as the Assertive Community Treatment Team actively seeks out the service recipient to provide services in his/her natural environment.



Service recipients typically served by the Assertive Community Treatment Team have one or more the following characteristics: severe and persistent mental illness; high use of psychiatric hospitalization; co-occurring substance use; history of, or at risk of, involvement with law enforcement; substantial difficulty in meeting basic needs; and an inability to be effectively served through other therapeutic services offered in the community. The service is grounded in the principles of recovery, is provided in the service recipient's natural environment, is flexible, and is responsive to service recipient needs. Communication among Assertive Community Treatment Team members is critical.

2. **Assessment and Referral Services (ARS):** Assessment and Referral Services standards are geared toward organizations that provide a separate assessment service, independent from other behavioral health services offered. Assessment services gather information from or about service recipients of varying ages and populations who are requesting or currently receiving services. The goal is to assess the service recipient's strengths, natural supports, risks, and needs for treatment and services. Assessments are comprehensive and include evaluations of physical health, mental health, substance abuse, intellectual/developmental disabilities, vocational and/or educational functioning, and areas of co-morbidity. Referrals are made to appropriate service providers based on the findings of the assessment and established placement or level-of-care criteria.
3. **Behavioral Health Home (BHH):*** A Behavioral Health Home is an integrated health care service delivery model that is recovery-oriented, service recipient and family centered and promises better service recipient experience and better outcomes than those achieved with traditional services. Service recipients and their families are active participants in goal-setting and monitoring the outcomes of their plans of care. Providers must be able to use health information technology (HIT) to facilitate the health home's work and establish quality improvement efforts to ensure that the work is effective at the individual and population level. As an outpatient service, the Behavioral Health Home serves as a cost-effective, holistic approach to facilitate access to an inter-disciplinary array of behavioral health care, medical care, and community-based social services and supports for both adults and children with chronic conditions.
4. **Case Management (CMGT):** Case Management consists of actions that help service recipients of all ages and disabilities gain access to necessary medical, social, psychological, vocational, financial, educational, legal, and/or other community resources and services, so they can maintain a better quality of life and live with greater independence and functioning within their communities. It involves the coordination of services to ensure continuity of care and accountability for service provision. The general functions of Case Management include assessment, plan development, referral, coordination, monitoring of recommended services, and advocating on behalf of the service recipient.
5. **Community Support (CS):** Community Support provides a wide array of services to recipients based on their individual needs and disabilities. Services are designed to assist children, adolescents, and adults challenged with mental health, substance abuse, and/or intellectual/developmental disabilities. These services help service recipients achieve, regain, and maintain their highest level of functioning, thereby allowing them to live more independently and participate in the community. The goal of the service is to support the recipient in achieving the following goals: develop and maintain meaningful relationships, have personal choice and control over their lives, participate in meaningful activities, gain or maintain safety and health, and achieve and maintain a home or home placement within the community.
6. **Crisis Response Services (CRS):*** Crisis Response Services provide immediate assessment, referral, and/or access to necessary mental health, intellectual/developmental disability, and/

or substance abuse services. Crisis Response may be provided in various ways, including Crisis Telephone Services, Mobile Crisis Management, and Facility-Based Crisis Center services. The services provide symptom reduction, mitigation in the risk of service recipients harming themselves or others, and/or access to appropriate treatment and support. These services provide temporary strategies to stop critical, emotional incidents from worsening for service recipients, and are designed to ameliorate the current crisis event rather than to solve or cure the problem that led to the crisis.

7. **Day Treatment (DTX):** Day Treatment is a structured program that uses service recipients' personal strengths to address identified functional problems associated with the complex conditions of each service recipient and his/her family, as appropriate. Day Treatment provides mental health and/or substance abuse interventions to adults, adolescents, or children in the context of a treatment milieu. Services are offered at least two days per week for a minimum of three hours per day during all days of operation. Day Treatment programs can be stand-alone facilities or integrated into other existing facilities.
8. **Foster Care Services (FCS):*** Foster Care Services provide 24-hour substitute care and living arrangements for children and adolescents who need a safe place to live outside of their natural homes until the family can be reunited, if possible. Foster care settings include homes of non-relatives and relatives. Care is delivered by specially trained foster parents. The combination of family-based care with specialized treatment interventions creates a therapeutic environment in the context of a natural family home. Foster Care Services are considered the least restrictive therapeutic placement outside of the natural home for children and adolescents who have emotional disorders, mental illness, intellectual/developmental disabilities, or who are medically fragile.
9. **Integrated Care Services (ICS):** Integrated Care Services are outpatient services that provide combined behavioral health care and physical health care services at a single site. There are three basic models of Integrated Care:
 - a. Co-locating a behavioral health qualified clinician within a primary health care site
 - b. Co-locating a qualified health care clinician within a behavioral health care setting
 - c. A fully integrated practice site, where physical health and behavioral health professionals share the same service site, have common systems, (e.g., scheduling, medical records management, and billing), regular face-to-face meetings, mutual consultation, and integrated treatment plansServices provided within the integrated care setting may include: mental health, substance abuse, and health screenings; assessments; psychiatric consultation; physical health consultation; education; diet/nutrition counseling; care coordination; brief psychotherapy or substance abuse interventions; medication management; and referral and follow up.
10. **Intensive In-Home (IIH):** Intensive In-Home services use a team approach to provide professional services to children and adolescents who have serious emotional and behavioral needs and are at risk of being placed outside of their natural home without intensive interventions. With the child and his/her family being the focus, the team works with the service recipient in his/her home and community to stabilize the living arrangement, support the integrity of the family, or prevent the utilization of out-of-home therapeutic resources such as foster care or inpatient treatment.
11. **Intensive Outpatient Treatment (IOTX):** Intensive Outpatient Treatment services provide structured, individual, group, and associated treatment services in an outpatient setting. These services are a day service designed to assist service recipients with a principal diagnosis



of mental illness, substance abuse, or co-occurring disorders, to begin recovery and learn skills for recovery maintenance. The services are offered at least three days per week, for a minimum of three hours per day, and can be an alternative to either more intensive or less intensive services, depending on the service recipient's needs.

- 12. Outpatient Treatment (OTX):** Outpatient Treatment is provided to persons of all ages with mental health, substance abuse, or co-occurring disorders. Treatment services are provided by qualified clinical personnel, utilizing an array of treatment modalities (e.g., individual, family, and/or group therapy) to assist service recipients in addressing a variety of behavioral health challenges.
- 13. Partial Hospitalization Services (PHS):** Partial Hospitalization Services are intensive services designed to treat adults, adolescents or children experiencing emotional difficulties, mental illness, and/or substance abuse problems. Service recipients remain in the community, usually living at home and commuting to the service site. These services are provided under the direction of a physician, although the program does not have to be hospital-based. Services are provided a minimum of three hours a day, five days a week, and twelve months a year. They can be provided in a stand-alone facility, be part of an existing facility or clinic, or be offered in a school setting. The program is not used for individuals who are experiencing safety concerns, such as acute suicidal ideations or posing a danger to others. Partial Hospitalization Services offer a variety of structured, therapeutic activities designed to support service recipients with coping and functioning on a day-to-day basis in an effort to prevent hospitalization. They may also serve as a step-down into a lower level of care from an inpatient or residential treatment setting.
- 14. Personal Support Services (PSS):** Personal Support Services provide assistance to service recipients of all ages and disabilities. These services are designed to assist the service recipient with activities of daily living. Qualified support personnel help individuals to bathe, dress, eat, and navigate a range of other daily tasks. The Personal Support Worker assists service recipients with tasks that they are unable to do for themselves independently because of disability due to disease, trauma, or age. Additionally, Personal Support Workers can assist with housekeeping chores, meal preparation, reminders to take medication, or medication administration.
- 15. Prevention Services (PVS):** Prevention Services are aimed at eliminating the occurrence of an adverse health or safety event or to minimize its effect after it has occurred. This is accomplished by identifying populations or groups that are at risk and engaging them in activities geared towards avoiding the risk event or arresting and reducing its consequences once it is established. Such activities include screenings, education, wellness programs, and partnering with other community resources.
- 16. Psychosocial Rehabilitation (PSR):** Psychosocial Rehabilitation is a day service based on the principles of recovery. These services provide a range of social, educational, occupational, and other activities to support service recipients with serious and persistent mental illness. The service is designed to help adults with psychiatric disabilities to better manage the day-to-day activities of life through the acquisition of recovery and self-management skills. These skills serve to improve service recipients' functioning so that they can successfully participate in the community, relationships, and activities of their choosing. A PSR may be a drop-in center, a clubhouse, or other day-type services.
- 17. Psychosocial Rehabilitation for Minors (PSRM):** Psychosocial Rehabilitation for minors is for individuals younger than 18 years old. It is a day service based on the principles of recovery. These services provide a range of social, educational, occupational, and other activities to support service recipients with serious and persistent mental illness. The service is designed

to help minors with psychiatric disabilities to better manage the day-to-day activities of life through the acquisition of recovery and self-management skills. These skills serve to improve service recipients' functioning so they can successfully participate in the community, relationships, and activities of their choosing. A PSRM facility may be a drop-in center, a clubhouse, or other facility that provides day services.

- 18. Respite Care Services (RCS):*** Respite Care Services are short-term periods of care for service recipients who have mental health, intellectual/developmental, behavioral, or physical challenges. The purpose of Respite Care Services is to provide the service recipient's family or regular caregiver with a time-limited break from the routine care that they provide. Respite Care Services may be provided in various locations, such as the service recipient's home, a private provider's home, a licensed respite facility, or as outings in the community. Respite Care Services are an essential part of the support that families or regular caregivers receive to maintain the service recipient in the home and community.
- 19. Residential Treatment (RTX):** Residential Treatment is a specialized, facility-based treatment service, provided 24 hours a day, 7 days a week. The service is geared toward service recipients who are challenged with emotional, behavioral, developmental, addiction, and/or co-occurring disorders. The services are offered to children, adolescents, or adults in a safe, structured, therapeutic environment that is non-hospital based. Residential Treatment provides an array of active treatment and rehabilitative interventions, based on the needs of the service recipient.
- 20. Supervised Group Living (SGL):** Supervised Group Living is a residential service providing 24-hour supervision in a community-based, home-like setting. One or more service recipients may reside in the home, pursuant to state or local requirements. Services are provided for service recipients who need assistance, supportive counseling, and training to develop and practice skills and new behaviors that lead to greater independence and functioning in their residence and community. The service frequently referred to as a "Group Home" can be time-limited or long-term, depending on the needs of the service recipient.
- 21. Supported Employment Services (SES):** Supported Employment Services facilitate competitive employment in integrated work settings for service recipients challenged by mental illness, substance abuse, or intellectual/developmental disabilities who have been unable to obtain and maintain competitive employment. Through various models of Supported Employment services, service recipients receive consistent support in learning and performing their jobs. These services include assessments of work readiness and interests, development of work plans, on-site job coaching, and routine monitoring of the service recipient's progress on the job.
- 22. Withdrawal Management Services (WM):** Withdrawal Management services are ambulatory withdrawal management without extended on-site monitoring. Program is a short 3 to 5 day program that monitors the decreasing amount of psychoactive substances in the body and manages the withdrawal symptoms. Program includes counseling to participate in appropriate treatment programs for alcohol or other drugs. Program provides additional referrals as necessary.
- 23. Withdrawal Management with Extended on-site Monitoring Services (WME):** Withdrawal Management with extended on-site monitoring, this program is a short 3 to 5 day program that does on-site monitoring of the decreasing amount of psychoactive substances in the body and manages the withdrawal symptoms. Program includes counseling to participate in appropriate treatment programs for alcohol or other drugs. Program provides additional referrals as necessary.



D. Behavioral Health Distinction:

1. **Telehealth (BHTH):** For an organization to earn accreditation with a Distinction in Telehealth, the provider must have active ACHC Accreditation in Ambulatory Care, Behavioral Health, Home Health, Hospice, Palliative Care, Home Care, or Renal Dialysis. This additional recognition focuses on the provision of care to clients/patients with acute or chronic conditions using telehealth technology to allow monitoring in the clinical or home environment. This technology creates disease management empowerment and independence, improved access to care, increased collaboration among healthcare providers, and improved client/patient outcomes. Telehealth may include remote client/patient monitoring (RPM), biometrics, video, talk, or education. ACHC Telehealth standards are based on the American Telemedicine Association's Home Telehealth Clinical Guidelines.

* Pending beta test

III. Principles Governing the Accreditation Survey

A. Compliance

During the accreditation survey, ACHC determines whether the organization is meeting the intent of the ACHC Accreditation Standards. Proof of compliance is based upon items such as:

1. Review of service recipient records
2. Personnel files
3. Policies and procedures
4. Observations
5. Interviews

It is the organization's responsibility to ensure compliance with the ACHC Accreditation Standards at all times during the accreditation period. ACHC will release and communicate any updates/changes to ACHC Accreditation Standards every year on or around February. These updates/changes will have an effective date of June 1 of the same year in which they are released. However, in response to regulatory changes or requirements, ACHC Accreditation Standards may be updated at any time. Organizations must be compliant with any changes on the effective date.

B. Education

While the organization is preparing for its survey, the organization's Account Advisor is available to provide assistance with the accreditation process. Clinical Managers are available for interpretation of ACHC Accreditation Standards or suggestions on how to implement them. During the survey, ACHC Surveyors will provide education and "best practice" suggestions to help the organization achieve optimum performance.

C. Types of Surveys

1. **Initial Survey:*** An Initial Survey is conducted on organizations which apply for ACHC accreditation for the first time. Initial Surveys are announced.
2. **Renewal Survey:*** A Renewal Survey is conducted on organizations that are currently accredited by ACHC. Renewal Surveys are conducted in the same format as an Initial Survey; however, during the Renewal Survey the Surveyor also reviews previous deficiencies for compliance. Renewal Surveys are announced.

3. **Dependent Survey:** A Dependent Survey is a re-survey conducted on an organization that was not in compliance with ACHC Accreditation Standards. Dependent Surveys are announced.
4. **Executive Survey:** An Executive Survey allows the noncorporate organization to present its policies and procedures, performance improvement program, organizational structure, and other relevant information that demonstrates compliance with the ACHC Standards for Accreditation. In conjunction with the survey, inspections are conducted on a sampling of service locations. Executive surveys are announced.
5. **Corporate Survey:** A Corporate Survey is conducted on corporate organizations. Corporate Surveys provide the organization the opportunity to present policies and procedures and other relevant information that demonstrate compliance with the ACHC Accreditation Standards. Corporate Surveys are announced.
6. **Initial Sampling Survey:** An Initial Sampling Survey is conducted for corporate organizations seeking ACHC accreditation for the first time. This survey takes place following the Corporate Survey to validate the information presented. An accreditation decision cannot be released until the Initial Sampling Survey(s) have been completed. Initial Sampling Surveys are announced.
7. **Validation Survey:** A Validation Survey is for a corporate customer that takes place at least 30 days following the Corporate Survey. Validation Surveys are conducted on a percentage of the organization's locations to verify compliance with the ACHC Accreditation Standards. Validation Surveys are announced.
8. **Focus Survey:** A Focus Survey is conducted on organizations to ensure ongoing and continued compliance with the ACHC Accreditation Standards. Focus Surveys can take place anytime throughout the accreditation period or for any organizational changes. ACHC reserves the right to conduct Focus Surveys unannounced, depending on the nature of the circumstances.
9. **Complaint Survey:** A Complaint Survey is conducted on organizations that have a complaint filed against them. Should ACHC determine during the investigation that a site visit is required, ACHC will conduct a Complaint Survey to determine if the complaint is substantiated. ACHC reserves the right to conduct Complaint Surveys unannounced, depending on the nature of the circumstances.
10. **Disciplinary Action Survey:** A Disciplinary Action Survey is conducted on organizations due to non-compliance from a previous survey, the ACHC Accreditation Standards and/or Accreditation Process and/or a breach in the ACHC Accreditation Agreement. Disciplinary Action Surveys are unannounced.
11. **Licensure Survey:** A Licensure Survey is conducted on organizations that are required to obtain a license before beginning to conduct business. If ACHC is approved to conduct a Licensure Survey in that state, ACHC will conduct a one day survey that includes a review of the organization's policies and procedures. The ACHC Surveyor will verify that proper personnel are in place and the organization is ready to begin operation. Licensure Surveys are announced.
12. **Virtual Survey:*** A Virtual Survey is conducted using a virtual hosting solution that allows an audio, video, and camera web-based platform for virtual meetings, including, but not limited to: GoToMeeting, Microsoft Teams, Skype, Webex, and Zoom. Virtual surveys are offered to certain organization types, depending on the parameters set by ACHC, state licensure requirements, and regulations of the Centers for Medicare & Medicaid Services (CMS). Virtual



surveys review the same material as an on-site survey, and the organization needs to show compliance with all ACHC standards, and state and federal requirements. Virtual surveys can be announced or unannounced, depending on the program.

* Full survey: This is a comprehensive survey examining all of the ACHC Accreditation Standards.

IV. Accreditation Process Before the Survey

A. Register for access to ACHC through the Customer Portal

1. Access the customer portal through the ACHC website (www.achc.org).
2. Create username and password.
3. Receive Account Advisor's contact information.

B. Download ACHC Accreditation Standards

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

C. Complete ACHC Accreditation Application and Submit Deposit

1. Complete online Accreditation Application in its entirety. (Paper format is available).
2. Complete statistical information for all physical locations. Based on governance, complexity of corporate structure, tax reporting, and other factors, ACHC will determine the number of applications and number of surveys required.
3. Submit nonrefundable deposit (applied toward accreditation fee).

D. Execute Agreement for Accreditation Services

1. The following agreements outline the obligations of both ACHC and the organization. ACHC issues one of the following:
 - a. Agreement for Accreditation Services/Business Associate Agreement (BAA)
 - b. Agreement for Corporate Accreditation Services/Business Associate Agreement (BAA)
2. Sign and return the Agreement and BAA to ACHC.
 - a. Signed Agreement must be returned to ACHC within 90 days of the date sent to the organization.
 - b. Failure to return the signed Agreement within 90 days will void the organization's application. In such case, the organization forfeits its application deposit and must begin the application process again.
3. Once an Agreement is fully executed, the organization will be entitled to a refund of no more than 75% of the residual Agreement fee

E. Complete Submission and Review of Preliminary Evidence Report (PER)

1. Attestation on PER checklist is completed confirming existence of required policies and procedures.
2. Upload required PER checklist and documents through the customer portal (Contact Account Advisor if organization is unable to submit electronically).
3. ACHC evaluates the content of all required documents and the ACHC Surveyor will discuss any questions with the organization during the survey.

4. A review of all policies and procedures related to the ACHC Accreditation Standards is available to organizations for a fee.

F. Scheduling

1. Upon receipt of the required PER documents, the scheduling process is initiated.
2. Organizations are allowed to choose up to 10 blackout days on which ACHC will not schedule a survey. Only two of these days can be Wednesdays. (NOTE: Choosing fewer blackout dates provides greater flexibility in scheduling the survey.)
3. The following days do not need to be included in the organization's blackout days:
 - a. New Year's Day
 - b. Good Friday
 - c. Memorial Day
 - d. Independence Day
 - e. Labor Day
 - f. Thanksgiving Day and the following day
 - g. Christmas Eve
 - h. Christmas Day
4. ACHC reserves the right to send a Surveyor preceptee as part of the survey team. A preceptee is sent at no charge to the organization. All ACHC Surveyors/preceptees must disclose any potential conflict of interest with the organization to ACHC before they are assigned to conduct the survey. Surveyors/preceptees with a confirmed conflict are not utilized for the survey being scheduled.

G. Postponement of Survey

1. Survey postponements must be requested in writing to the organization's Account Advisor. A call with a member of the clinical education team may be required.
 - a. For an unannounced survey, organizations may request a survey postponement after their pre-survey call. If no pre-survey call is performed, organizations may request a survey postponement after their application is sent to scheduling by their Account Advisor. On the day of the survey, organizations must follow the refusal process.
 - b. For an announced survey, organizations may request a survey postponement after their pre-survey call. If no pre-survey call is performed, organizations may request a survey postponement after their application is sent to scheduling by their Account Advisor. Starting the day before the survey, organizations must follow the refusal process.
 - c. If a postponement request is accepted, ACHC will invoice a postponement fee as listed in the Agreement for Accreditation Services. The postponement fee is required to be paid prior to rescheduling the survey. The organization is responsible for notifying the Account Advisor in writing of its readiness for survey. When notified, the Account Advisor will proceed with rescheduling the survey following the ACHC scheduling process. If the organization does not notify the Account Advisor within 180 days of the postponement date, the organization's deposit and application may be forfeited and the organization must re-apply for accreditation.



V. Survey Process

A. Noncorporate Customers

1. **Opening Conference:** The opening conference may consist of the following based on the organizational structure:
 - a. Introduction of the Surveyor(s)
 - b. Review of the tentative schedule
 - c. Review questions on any documents from the application process
 - d. Q & A from the organization about the survey
2. **Tour of the Organization**
3. **Data Collection**
 - a. In order for ACHC to ensure that the organization is compliant with all ACHC Accreditation Standards, the survey focuses on the following:
 - i. Personnel file review
 - ii. Service recipient record review
 - iii. Financial/billing records
 - iv. Service contracts
 - v. Risk management
 - vi. Performance Improvement activities
 - vii. Policies and procedures
 - viii. Observations
 - ix. Personnel and service recipient interviews
 - b. The organization authorizes ACHC to access the records listed above that are necessary to ascertain the degree of compliance with ACHC Accreditation Standards. ACHC complies with all HIPAA, privacy and security regulations.
 - c. The Surveyor's role is to review information presented and to clarify, observe, and verify data that supports compliance with applicable ACHC Accreditation Standards.
4. **Closing Conference**

The ACHC Surveyor conducts a closing conference with the organization's representatives.

 - a. This allows a final opportunity to clarify information or present data that may not have been reviewed by the Surveyor during the survey.
 - b. The ACHC Surveyor will provide organizational strengths and deficiencies.
 - c. The ACHC Surveyor does not issue an accreditation decision at the completion of the survey.
 - d. Once the survey concludes, the organization will no longer be entitled to a refund.

B. Corporate Customers

1. **Corporate Survey:** Corporate organizations that do not provide service recipient services out of the corporate office will have an announced Corporate Survey that will include the following:
 - a. Opening conference led by ACHC
 - i. Introduction of the survey team

- ii. Introduction of the organization's personnel
 - iii. Review of the day's schedule
 - b. Tour of the organization, if applicable
 - c. Q & A from the organization about the survey
 - d. Presentation of the organization's policies and procedures as required by the ACHC Accreditation Standards
 - e. Review of questions on any documents from the application process
 - f. Review of corporate officer/senior management personnel records maintained at corporate office
 - g. Presentation of the organization's Performance Improvement Plan and results of the ongoing monitoring
 - h. Interviews with the corporate management personnel
 - i. Closing conference
2. Following the Corporate Survey for new corporate organizations, the ACHC survey team will conduct Initial Sampling Surveys on a specified number of locations to verify compliance with the ACHC Accreditation Standards. Once the Initial Sampling Surveys are completed, the data collected will be sent back to the organization's Account Advisor for processing. An organization's accreditation decision cannot be determined until the Initial Sampling Surveys are completed. Initial Sampling Surveys are conducted in the same format as the non-corporate survey process.
 - a. Once the survey concludes, the organization will no longer be entitled to a refund.
3. At least 30 days following the Corporate Survey, ACHC will begin conducting Validation Surveys on a percentage of the remaining locations. These surveys verify that the information presented during the Corporate Survey is being followed and meets the ACHC Accreditation Standards. Validation Surveys are conducted in the same format as the non-corporate survey process.

C. Refusal of Survey

1. Executive organizations will have an announced Executive Survey that will include the following:
 - a. Opening conference led by ACHC
 - i. Introduction of the survey team
 - ii. Introduction of the organization's personnel
 - iii. Review of the day's schedule
 - b. Q & A from the organization about the survey
 - c. Presentation of the organization's policies and procedures
 - d. Review questions on any documents from the application process
 - e. Review of corporate officer/senior management personnel records maintained at corporate office
 - f. Presentation of the organization's Performance Improvement Plan and results of the ongoing monitoring
 - g. Interviews with corporate management personnel
 - h. Closing conference



2. Immediately following the Executive Survey, ACHC will complete the Validation Surveys on a percentage of the remaining locations. These surveys verify that the information presented during the Executive Survey is being followed and meets the ACHC Standards for Accreditation. Validation Surveys are conducted in the same format as the non-corporate survey process.
 - a. Once the survey concludes, the organization will no longer be entitled to a refund.

D. Refusal of Survey

1. Organizations have the right to refuse an ACHC survey.
 - a. Announced surveys can be refused starting the day before the survey. Unannounced surveys can be refused the day of the survey. If an organization wishes to request a survey refusal, it must contact its Account Advisor and complete a Survey Refusal Form. A call with a member of the clinical education team may be required.
 - b. If an ACHC Surveyor arrives on site and the organization wishes to refuse, does not meet the eligibility criteria for an accreditation survey, or is not in operation during its posted business hours, the Surveyor will notify the Account Advisor of refusal. A call with a member of the clinical education team may be required. If possible, a Survey Refusal Form will be completed on site.
 - c. If an ACHC survey is refused, ACHC will invoice a refusal fee as listed in the Agreement for Accreditation Services. The refusal fee is required to be paid prior to rescheduling the survey. The organization is responsible for notifying the Account Advisor in writing of its readiness for survey. When notified, the Account Advisor will proceed with rescheduling the survey following the ACHC scheduling process. If the organization does not notify the Account Advisor within 180 days of the refusal date, the organization's deposit and application may be forfeited and the organization must re-apply for accreditation.

E. Licensure Surveys

1. Organizations that are required to obtain a state license before they can provide services may use ACHC for a Licensure Survey only if the state has approved ACHC to perform Licensure Surveys. The organization is responsible for contacting the state in order to determine if ACHC can perform a Licensure Survey on behalf of the state agency.
2. ACHC will schedule an announced survey that will include the following:
 - a. Opening Conference: The opening conference may consist of the following based on the organizational structure:
 - i. Introduction of the Surveyor
 - ii. Review of the tentative schedule
 - iii. Review questions on any documents from the application process
 - iv. Q & A from the organization about the survey
3. Tour of the organization
4. Data Collection
 - a. In order for ACHC to ensure that the organization is compliant with all ACHC Accreditation Standards and specific licensure requirements, the survey focuses on the following:
 - i. Personnel record review
 - ii. Service contracts (if applicable)
 - iii. Policies and procedures

- iv. Observations
 - v. Personnel interviews
 - vi. Appropriate administrative meeting minutes
5. The ACHC Surveyor conducts a closing conference with the organization's representatives.
- a. This allows a final opportunity to clarify information or present data that may not have been reviewed by the Surveyor during the survey.
 - b. The ACHC Surveyor will provide organizational strengths and deficiencies.
 - c. The ACHC Surveyor does not issue an accreditation decision at the completion of the survey.
 - d. Once the survey concludes, the organization will no longer be entitled to a refund.

VI. Accreditation Process Post Survey

A. Reviewing the Data Collected

1. **Scoring:** Following the conclusion of the accreditation survey, the ACHC Surveyor will submit all of the data collected to the organization's Account Advisor for processing. The information is entered into an electronic tool that provides objective data for determining the accreditation decision.
2. **Preparing the Summary of Findings (SOF):** The Summary of Findings is prepared describing all ACHC Accreditation Standards that were marked as a deficiency during the accreditation survey. Each ACHC Standard for Accreditation marked as a deficiency will contain an "Action Required" statement. This will assist the organization in preparing a Plan of Correction to meet the ACHC Accreditation Standards. Surveyors may include any "Best Practice" suggestions in their summary as additional education. These best practice suggestions are not mandatory for the organization but are recommendations for improvement.
3. **Accreditation Review:** All Summary of Findings that result in a denial decision are analyzed by the appropriate Clinical Manager or designee and evaluated by the Accreditation Review Committee to ensure consistency before a final decision is rendered.

B. Accreditation Decisions

1. **Approval of Accreditations:**
 - a. Accreditation is Approved based on the following criteria:
 - i. Results of the data collected during survey
 - ii. Number and/or severity of deficiencies
 - iii. Clinical Manager/designee and Review Committee's decision
 - b. A Plan of Correction is required for any ACHC Accreditation Standards not fully met. The Plan of Correction is due to ACHC within 30 days from the date of the organization's Approval letter and necessary supporting documentation submitted within 60 days. A Certificate of Accreditation will not be sent to the organization until the Plan of Correction has been approved by ACHC.
 - c. The accreditation effective date for new and renewal organizations that receive an Approval of Accreditation is determined as follows:
 - i. **New Organization:** The accreditation effective date is the last day of survey.



- ii. **Renewal Organization:** The accreditation effective date will continue for an additional 36 months from the previous accreditation expiration date if the Renewal Survey is conducted prior to the expiration date. If the organization's survey takes place after the expiration date, the Approval date will start from last date of survey (Section VI, G, 2).

2. Accreditation Pending:

- a. Accreditation Pending is based on the following criteria:
 - i. Results of the data collected during survey
 - ii. Number and/or severity of deficiencies
 - iii. Clinical Manager/designee review and Accreditation Review Committee's decision
- b. Accreditation cannot be granted until a Plan of Correction is submitted and approved. Due dates are as follows:
 - i. A Plan of Correction is due to ACHC within 30 days from the date of the organization's Accreditation Pending letter
 - ii. If adjustments to the Plan of Correction are necessary, the organization must submit modifications to achieve an approved Plan of Correction within 10 calendar days as specified on the notification to the organization.
 - iii. Failure to submit an approved Plan of Correction within required time frames will result in a change of accreditation status from Accreditation Pending to Denial of Accreditation.
 - iv. If requested, evidence to support the implementation of the organization's Plan of Correction is due to ACHC within 60 days following the date of the organization's pending letter.
 - v. Failure to submit requested evidence will result in termination of accreditation.
- c. All Plan of Correction s are reviewed by the Clinical Manager/designee and Accreditation Review Committee's decision. After reviewing the Plan of Correction ACHC may issue:
 - i. Approval of Accreditation
 - ii. A rejection of Plan of Correction and require additional information
 - iii. Dependent Status (Section VI, B, 3)
- d. Following the review of the Plan of Correction, if accreditation is granted, the effective dates for new and renewal organizations are determined as follows:
 - i. **New Organization:** The effective date is the day the approved Plan of Correction is received by ACHC. An approved Plan of Correction is one that has been accepted by the Clinical Manager/designee and accepted by the Accreditation Review Committee.
 - ii. **Renewal Organization:** The accreditation effective date will continue for an additional 36 months from the previous accreditation expiration date if both the Renewal Survey occurs and acceptable Plan of Correction is received prior to the expiration date. If the organization's survey takes place after the expiration date, the approval date will start from the date the acceptable Plan of Correction was received (Section VI, G, 2).

3. Dependent Status

- a. Dependent Status is determined based on the following criteria:
 - i. Results of the data collected during survey
 - ii. Number and/or severity of deficiencies

- iii. Clinical Manager/designee review and Accreditation Review Committee's decision
- b. The Plan of Correction is due to ACHC within 30 calendar days from the date of the Dependent Status letter. The organization must submit written notification to ACHC of its readiness for a Dependent Survey, at the organizations expense, within 90 days of the date of the dependent letter. If the organization fails to notify ACHC within 90 days, the decision will move to a Denial of Accreditation.
- c. The Surveyor submits the findings from the Dependent Survey to the organization's Account Advisor and a decision will be made by the Clinical Manager/designee and the Accreditation Review Committee. Upon review, ACHC may issue:
 - i. Approval of Accreditation
 - ii. Accreditation Pending
 - iii. Denial of Accreditation (Section VI, B, 4)
- d. Following a Dependent Survey, if accreditation is granted, the effective accreditation dates for new and renewal organizations are determined as follows:
 - i. **New Organization:** The effective date of accreditation is the last day of the Dependent Survey if no deficiencies are identified. If deficiencies are identified during the Dependent Survey, the effective date of accreditation is the day the approved Plan of Correction is received by ACHC from the Dependent Survey. An approved Plan of Correction is one that has been accepted by the Clinical Manager/designee and accepted by the Accreditation Review Committee.
 - ii. **Renewal Organization:** The accreditation effective date will continue for an additional 36 months from the previous accreditation expiration date if the Dependent Survey and acceptable Plan of Correction are received prior to the expiration date. If the organization's survey takes place after the expiration date, the approval date will start from the date the acceptable Plan of Correction was received (Section VI, G, 2).

4. Denial of Accreditation

- a. Denial of accreditation is based on the following factors:
 - i. Results of the data collected during survey
 - ii. Number and/or severity of deficiencies
 - iii. Clinical Manager/designee and Accreditation Review Committee's decision
- b. If accreditation is denied, the organization has the option to appeal the decision by following the steps outlined in the Appeals Process (Section VI, E)
- c. If Accreditation is Denied, the organization has the opportunity to re-apply for Accreditation at any time they are ready for survey. At the time of re-application, a new application must be submitted with a non-refundable deposit. ACHC will make the determination whether a new PER is required.

C. Validation Survey Results for Corporate Organizations

- 1. Corporate organizations that receive a Corporate Survey will follow the same criteria as listed above to determine an accreditation decision. New corporate organizations will receive a minimum of one Initial Sampling Survey before an accreditation decision can be issued.
- 2. Once a final decision has been issued to a corporate organization and all of its locations, the Validation Surveys will result in one of the following:
 - a. **Continued accreditation with no deficiencies:** If no deficiencies were found during a



Validation Survey, a Plan of Correction is not required and the accreditation dates will remain in effect with the corporate accreditation.

- b. Continued accreditation with deficiencies:** If minimal deficiencies are found during a Validation Survey, a Plan of Correction with necessary supporting documentation is required within 30 days from receipt of the notification letter. The accreditation dates will remain in effect with the corporate accreditation.
- c. Focus Survey:** If the scope and severity of deficiencies are significant during the Validation Survey, a Focus Survey may be required in order for the accreditation to stay in effect. A Plan of Correction with necessary supporting documentation is required within 30 days from receipt of the notification letter and a Focus Survey will be scheduled for this location at the organization's expense. Following the Focus Survey, if the location is found to be in compliance, accreditation dates will remain in effect with the corporate accreditation. Following the Focus Survey, if the location is found to be out of compliance, the location may be placed Under Review (Section VII, A).
- d. Removal of Accreditation:** After being placed Under Review, if the location is still found to be out of compliance with the ACHC Accreditation Standards, ACHC may terminate the accreditation for that location (Section VII, B).

D. Accreditation Documentation

1. Once an accreditation decision is made by the Clinical Manager/designee and the Accreditation Review Committee, the accreditation decision is given to the Account Advisor. The Account Advisor then prepares the proper documentation to send to the organization.
2. Based on the accreditation decision, the Account Advisor sends the following:
 - a. Approval of Accreditation with No Deficiencies:** Accreditation Approval letter, Certificate of Accreditation, Summary of Findings and window decal.
 - b. Approval of Accreditation with Deficiencies:** Accreditation Approval letter, Summary of Findings and Plan of Correction Template.
 - i. Certificate of Accreditation and window decal will be sent to the organization when the completed Plan of Correction is approved by ACHC
 - c. Accreditation Pending:** Accreditation Pending letter, Summary of Findings and Plan of Correction Template.
 - d. Dependent Status:** Dependent Status letter, Summary of Findings and Plan of Correction Template.
 - e. Denial of Accreditation:** Denial letter and Summary of Findings.
3. The Plan of Correction must be completed in its entirety, returned to ACHC and approved by the Clinical Manager/designee and the Accreditation Review Committee in order to be acceptable. The Plan of Correction must be completed on the ACHC Plan of Correction Template and must contain the following elements:
 - a. The standard that was out of compliance
 - b. Corrective action to be taken
 - c. Implementation date
 - d. Title of individual responsible
 - e. Process for continued compliance
4. Once an organization receives an approval decision, the organization's accreditation information can be found on the ACHC website for verification.

E. Dispute Process

Organizations, whether applying for the first time or renewing their accreditation, may formally request to dispute a standard(s) deficiency documented on the Summary of Findings. If a company wants to dispute a denial decision, they must follow the appeal process (refer to Section VI. F).

The procedure to dispute a standard(s) deficiency is as follows:

1. The organization submits a written request for dispute to its ACHC Account Advisor no later than 10 calendar days from the receipt of the Summary of Findings. Disputes will not be granted if:
 - a. The request is received after the 10 calendar day time frame
 - b. An organization has an outstanding balance
 - c. An organization has a payment plan that is not current
2. The written request outlines the standard(s) noted in the Summary of Findings that the organization believes ACHC incorrectly determined as a deficiency. The organization must also provide evidence to support that, at the time of the survey, the organization was in compliance with the standard(s). Any evidence the organization submits must have been presented to and reviewed by the Surveyor(s) at the time of the survey. Evidence provided with the request letter will not be returned to the organization.
3. Upon receipt of the request for a dispute, ACHC sends an acknowledgement letter to the organization
4. If the organization is required to submit a Plan of Correction as a result of their survey, the organization must indicate on the Plan of Correction any standard(s) deficiency being disputed.
5. The ACHC Review Committee will evaluate and determine whether ACHC followed its stated Accreditation Process in conducting the organization's accreditation survey.
6. Any ACHC Review Committee member who has a conflict of interest with the organization under review refrains from voting on the dispute.
7. Upon completion of the review, the ACHC Account Advisor notifies the organization of the ACHC Review Committee's decision to either uphold or reverse the original standard(s) deficiency noted on the Summary of Findings.
8. All decisions made by the ACHC Review Committee are final.

F. Appeal Process

Organizations, whether applying for the first time or renewing their accreditation, may formally request to appeal a Denial decision. The procedure to appeal a Denial of Accreditation is as follows:

1. The organization submits a written request for appeal to its ACHC Account Advisor no later than 30 calendar days from the date on ACHC's Denial letter. Appeals will not be granted if:
 - a. The request is received after the 30 calendar day time frame
 - b. An organization has an outstanding balance
 - c. An organization has a payment plan that is not current
2. The written request outlines the standard(s) noted in the Summary of Findings that the organization believes ACHC incorrectly determined as a deficiency. The organization must also provide evidence to support that, at the time of the survey, the organization was in



compliance with the standard(s). Any evidence the organization submits must have been presented to and reviewed by the Surveyor(s) at the time of the survey. Evidence provided with the request letter will not be returned to the organization.

3. Upon receipt of the request for an appeal, ACHC sends an acknowledgement letter to the organization.
4. The ACHC Appeals Committee is composed of a minimum of three individuals who have clinical and/or program expertise will evaluate and determine whether ACHC followed its stated Accreditation Process in conducting the organization's accreditation survey.
5. Any ACHC Appeals Committee member who has a conflict of interest with the organization under review refrains from voting on the appeal.
6. Upon completion of the review, the ACHC Account Advisor notifies the organization in writing of the ACHC Appeals Committee's decision to either uphold or reverse the original Denial decision.
7. All decisions made by the ACHC Appeals Committee are final.

G. Continued Compliance

1. Accreditation is contingent upon continued compliance with the ACHC Accreditation Standards and the Accreditation Process. After an organization is granted accreditation, ACHC reserves the right to make unannounced Focus Survey visits at any time during the accreditation period to ensure continued compliance with the ACHC Accreditation Standards.
2. If a Focus Survey reveals non-compliance with any ACHC Accreditation Standards, a Plan of Correction and supporting documentation will be required. Based on the number and/or severity of deficiencies, the organization may be invoiced for the Focus Survey.

H. Renewing Accreditation

1. Accreditation is not automatically renewable. Approximately 12 months prior to the organization's expiration of accreditation, ACHC will notify the organization about the renewal process.
2. If the organization's renewal application, and deposit are not submitted by the required due date listed on the renewal letter, sufficient time may not exist to schedule and complete a survey prior to the accreditation expiration date.
3. In the event an organization's accreditation expires, the organization's accreditation information will be removed from the accredited organization list located on the ACHC website.

VII. Disciplinary Actions

Disciplinary actions can come from a nonconformance resulting from an ACHC survey and/or failure to remain in compliance with the ACHC Accreditation Standards, Accreditation Process, and/or breach in the ACHC Accreditation Agreement.

A. Noncompliance Process

1. The organization may be placed Under Review
 - a. ACHC notifies customer.
 - b. ACHC determines which of the following actions will be taken:
 - i. ACHC may request written documentation
 - ii. ACHC may conduct a Disciplinary Action Survey

- iii. If ACHC determines that Immediate Jeopardy might be present, the process as described in Section X.C will be followed
- iv. ACHC may require a Plan of Correction be completed
- v. ACHC may require a payment
- c. Upon review of any documentation or Plan of Correction, ACHC may accept it, reject it or require additional information
- d. ACHC will render a decision
 - i. Continuance of Accreditation
 - ii. Accreditation remains Under Review
 - iii. Termination
2. Accreditation may be terminated based on the number or severity of nonconformance or if it is believed that compliance with ACHC standards is not possible within a reasonable time frame.

B. Termination

Organizations accredited by ACHC must remain in compliance with ACHC Accreditation Standards; adhere to local, state and federal legal requirements; ensure the safety of their patients and staff; and meet commonly held standards of professional ethics and conduct.

Accreditation can be terminated any time during the accreditation cycle. A decision to terminate accreditation does not need to be preceded by a survey because problems with an organization's services can become apparent from a number of other sources. Therefore, if ACHC receives evidence of noncompliance with ACHC Accreditation Standards or other pertinent criteria, ACHC may decide to terminate accreditation if, in its judgment, it finds that one or more of the following conditions are present:

1. An immediate threat exists to patient safety, public health or staff safety. Such an immediate threat can arise from one incident on a single occasion that affects a single patient, a single staff member or a single member of the public.
2. ACHC determines, in its discretion, that the scope or severity of the organization's noncompliance with ACHC Accreditation Standards is so significant that it is infeasible for the organization to complete corrective action within 10 calendar days or within a reasonable time frame, as ACHC determines in its discretion under the circumstances.
3. The organization fails to comply or fails to maintain compliance with the CMS Conditions of Participation, Conditions for Coverage (CfC), CMS Supplier Standards or CMS Quality Standards.
4. The organization falsifies documents or misrepresents information in seeking to achieve or retain accreditation, or in seeking or retaining some other license, certification, or authorization to operate, or to receive payment for services.
5. The organization, or a staff member, engages in any criminal conduct involving a felony, or engages in immoral, unethical, dishonest, incompetent or other unprofessional behavior that significantly adversely affects, or has the potential to significantly adversely affect, the safety or welfare of any patient or client, or the safe and effective delivery of the organization's services.
6. The organization does not fulfill contractual obligations during the accreditation cycle by failing to comply with post-accreditation obligations, as specified in the Agreement for Accreditation Services.



VIII. Notification of Changes

ACHC requires organizations to provide the required documentation described below within 30 days of a change occurring. Changes include branch office addition or deletion, service addition or deletion, change in the name, location, ownership or control of the organization. Failure to submit the required documentation within the 30 day timeframe may result in a gap in accreditation.

A. Name Changes

1. If an organization goes through a name change, the organization must notify ACHC of the change within 30 days of the change. The organization must complete and submit the "Change of Name" form that can be downloaded from the customer portal. The form is located under the "Forms" tab. Select "Name Change," then the corresponding Change of Name Request Form. This form can be completed electronically using an e-signature.
2. ACHC may request additional documentation upon review. If approved, ACHC will issue a new accreditation certificate.
3. If it is determined a survey is necessary, the normal survey scheduling process will apply and the organization is charged a survey fee.
4. If the organization is found to have substantial deficiencies during the site survey, the accreditation for that location and/or the organization as a whole is reviewed by the Clinical Manager/designee and the Accreditation Review Committee. Following the review, the organization may be placed in Under Review.

B. Location Change

1. If an organization goes through a location change, the organization must notify ACHC of the change within 30 days of the change. The organization should complete and submit the Change of Location form that can be downloaded from the customer portal. The form is located under the "Forms" tab. Select "Change of Location," then the corresponding Change of Location Request Form. The form can be completed electronically using an e-signature.
2. ACHC may request additional documentation upon review. If approved, ACHC will issue a new accreditation certificate.
3. If it is determined a survey is necessary, the normal survey scheduling process will apply and the organization is charged a survey fee.
4. If the organization is found to have substantial deficiencies during the survey, the accreditation for that location and/or the organization as a whole is reviewed by the Clinical Manager/designee and the Accreditation Review Committee. Following the review, the organization may be placed in Under Review.

C. Cessation or Interruption within the Organization

1. If the organization has a cessation or interruption of all the organization's operations, offering of service and/or a deletion of any service that has received accreditation, the organization must notify ACHC via a notification letter. The organization's notification letter to ACHC must include the following:
 - a. Effective date of the cessation or interruption
 - b. Detailed description of the reason for the cessation or interruption
2. Upon receipt of the written notification, ACHC will review and send an acknowledgment to the organization. The notification letter is placed in the organization's file. ACHC may request additional documentation before an acknowledgement letter is sent.

3. The organization notifies ACHC of any change in the status from the acknowledgment of the cessation or interruption of operations. Upon notification, ACHC will review the organization's accreditation status and determine if a survey is required to ensure compliance with the ACHC Accreditation Standards.

D. Branch Office Addition

1. ACHC defines a branch as a location serving service recipients, maintaining/service recipient records and/or personnel files and accepting referrals. The organization must complete and submit a Branch Addition Packet. The packet is located on the customer portal under the "Forms" tab and can be downloaded. The Branch Addition Packet must be completed in full, including all sections and any additional documentation listed on the form.
2. A review of the documentation is performed and any missing information is requested from the organization in writing. Additional information may be requested prior to approving the branch addition. ACHC holds the branch addition documentation without further processing until the missing information is received from the organization. Once all required documentation has been submitted, the Regulatory Department reviews the submitted documentation and a decision is made whether a survey is warranted. A survey is based on several factors that include state licensure requirements, the original survey findings, where the organization is in the three year accreditation cycle, and how many locations have been added from the start of its accreditation.
3. Upon approval of the submitted documentation, ACHC issues accreditation based on the date that all required documentation was submitted. ACHC will not back date an accreditation for any organization that sends notification after the branch opening. All fees must be paid in full before ACHC issues any accreditation documentation.
4. If it is determined a survey is necessary, the normal announced survey scheduling process will apply and the organization is charged a survey fee. If it is determined a survey is not necessary, the organization is charged a prorated fee based on the length of remaining accreditation.
5. If the organization is found to have substantial deficiencies during the survey, the accreditation for that location and/or the organization as a whole is reviewed by the Clinical Manager/designee and the Accreditation Review Committee. Following the review, the organization may be placed in Under Review.

E. Service Addition

1. Organizations that request to add a new service to an already accredited program must complete and submit a Behavioral Health Service Addition Packet on the customer portal. The packet can be downloaded from the customer portal and is located under the "Forms" tab. Select "Change Services," then the corresponding Service Addition Packet. The Service Addition Packet must be completed in full, including all sections and any additional documentation listed on the form.
 - a. Policies and procedures for the added service
 - b. Include copies of all licenses, as applicable
 - c. Licenses for clinical staff, as applicable
2. A review of the documentation is performed and any missing information is requested from the organization in writing. ACHC holds the service addition documentation without further processing until the missing information is received from the organization. Additional information may be requested prior to approving the service addition. Once all required



documentation has been submitted, the Regulatory Department reviews the submitted documentation and an accreditation decision is made.

3. Upon approval of the submitted documentation, ACHC issues accreditation based on the date that all required documentation was submitted. ACHC will not back date an accreditation for any service addition. All fees must be paid in full before ACHC issues any accreditation documentation.
4. ACHC will conduct an announced Focus Survey of any requested service additions that are not part of the organization's current accreditation. If the organization is adding a currently accredited service to one of its locations, ACHC will make a determination whether a Focus Survey is necessary. If it is determined that a survey is necessary, the normal survey scheduling process will apply and the organization is charged a survey fee. If it is determined a survey is not necessary, the organization is charged a prorated fee based on the length of remaining accreditation.
5. If the organization is found to have substantial deficiencies during the survey, the accreditation for that location and/or the organization as a whole is reviewed by the Clinical Manager/designee and the Accreditation Review Committee. Following the review, the organization may be placed in Under Review.

F. Ownership or Ownership Information Changes

1. The following process is followed when an organization has an ownership or ownership information change of 5% or greater, such as:
 - a. Stock transfer
 - b. Asset purchase
 - c. Acquisition
 - d. Merger
 - e. Consolidation
2. The following information is submitted to the organization's ACHC Account Advisor by the proposed new owner.
 - a. Letter of attestation that includes:
 - i. Type of change (acquisition, merger, etc.)
 - ii. Detail of all changes including new management and/or owner
 - iii. Proposed date of change
 - iv. Statement that policies and procedures are not changing, or, if they are changing, what are the specific changes
 - v. List old and new federal tax ID numbers and NPI numbers, if applicable
 - vi. Who the new contacts will be (including owner, leader, and liaison) and the phone numbers and email addresses for each
 - b. Documentation that includes:
 - i. Completed Change of ownership packet
 - ii. Proof the new owners/managers/agency is not on the OIG exclusion list
 - iii. New organizational chart
 - iv. Business/state licenses, if applicable

3. A review of the documentation is performed and any missing information is requested from the organization in writing. ACHC holds the documentation without further processing until the missing information is received from the organization. Once all required documentation has been submitted, it is reviewed and an accreditation decision is made.
4. Upon approval of the submitted documentation, ACHC issues accreditation based on the date that all required documentation was submitted. All fees must be paid before approval documentation will be issued by ACHC.
5. If it is determined a survey is necessary, the normal survey scheduling process will apply and the organization is charged a survey fee. If it is determined a survey is not necessary, the organization is charged a prorated fee.
6. If the organization is found to have substantial deficiencies during the survey, a Plan of Correction will be required and/or a follow up Focus Survey may be required.

IX. Public Information

A. Logo/Advertising Language

An organization must accurately describe only the program(s), service(s) and branch office(s) currently accredited by ACHC and abide by the ACHC Logo Usage Guidelines when displaying accreditation status using ACHC's logos or ACHC's name. False or misleading advertising represents noncompliance with the ACHC Accreditation Process and will result in penalties up to and including termination of accreditation. The ACHC Logo Usage Guidelines are available on the organization's customer portal website. Branch programs and services accredited during the accreditation cycle cannot be advertised as accredited until appropriate accreditation certificates are issued by ACHC.

B. Press Releases

ACHC encourages organizations to publicize their accreditation status. Publicity tips and a sample press release are available to approved organizations on the customer portal.

X. Nonconformance Policy

A. Handling of Complaints

As required by ACHC Accreditation Standards, accredited organizations must provide ACHC's telephone number to their service recipients as part of their patient informational material for purposes of reporting a complaint. If complaints cannot be resolved through the organization's complaint process, patients may file a complaint with ACHC. These complaints should identify facts or circumstances that relate to the complaint. ACHC documents and investigates all complaints/allegations received against currently accredited organizations. ACHC follows CMS Complaint Procedure guidelines for conducting investigations and records of complaints are maintained. ACHC will investigate and maintain records on complaints from any source when an ACHC accredited organization appears to be out of compliance with its ACHC Accreditation Standards.

1. Complaint should include:
 - a. Name, mailing address, and phone number of the person filing the complaint
 - b. Name of the organization involved
 - c. A detailed description of the incident that is the subject of the complaint, including



identification of date, time, and location of each incident, as well as the identity of other individuals with information about the incident.

2. While under investigation by ACHC, a complaint is a confidential matter. However, ACHC cannot guarantee complainants that their identity will remain confidential if the organization determines the identity based on their own internal methods/investigation.

B. Processing a Complaint

ACHC will determine the severity and urgency of the allegations so that appropriate and timely action can be taken. Comprehensive information is collected during the Intake Process. Quality Assurance or an appropriate designee enters pertinent information into the complaint database and then discusses the complaint with the appropriate clinical personnel who are professionally qualified to evaluate the allegations to ensure that patients are not in danger of abuse, neglect, exploitation, and inadequate care, or supervision

C. Immediate Jeopardy (IJ)

IJ is defined as: “A situation in which the provider’s noncompliance with one or more requirements of participation has caused, or is likely to cause, serious injury, harm, impairment, or death to a patient.” (42 CFR Part 489.3) Complaints are assigned this priority if the alleged noncompliance indicates there was serious injury, harm, impairment or death of a patient or resident, or the likelihood for such, and there continues to be an immediate risk of serious injury, harm, impairment or death of a patient or resident unless immediate corrective action is taken. The identification and removal of IJ, either psychological or physical, are essential to prevent serious harm, injury, impairment, or death of individuals.

1. In accordance with the Medicare State Operations Manual Appendix Q, ACHC acknowledges the following principles of IJ, including:
 - a. Only one individual needs to be at risk. Identification of IJ for one individual will prevent risk to other individuals in similar situations.
 - b. Serious harm, injury, impairment, or death does not have to occur before considering IJ. The high potential for these outcomes to occur in the very near future also constitutes IJ.
 - c. Individuals must not be subjected to abuse by anyone including, but not limited to the organization’s personnel, consultants or volunteers, and family members or visitors.
 - d. Serious harm can result from both abuse and neglect.
 - e. Psychological harm is as serious as physical harm.
 - f. When a Surveyor has established through investigation that a cognitively impaired individual harmed an individual receiving care and services from the organization due to the organization’s failure to provide care and services to avoid physical harm, mental anguish, or mental illness, this should be considered neglect.
 - g. Any time a team cites abuse or neglect, it should consider IJ.
2. ACHC will conduct an unannounced survey of the organization to investigate the issues within two business days of receipt of the allegations.
3. If Immediate Jeopardy has been identified, a verbal notice is given to the entity, including the specific details and individuals at risk. If corrective measures have not already been implemented, the entity should begin immediate removal of the risk and immediately implement corrective measures to prevent repeat jeopardy situations. Only on-site observation of the entity’s corrective actions justifies a determination that an Immediate Jeopardy has been removed.

4. A formal written report is then prepared to reflect the above findings and submitted to ACHC within two business days of completion of the on-site review. Documentation is forwarded to and reviewed by the Clinical Compliance Department and Accreditation Review Committee and a final report of findings is sent to the organization within ten business days of completion of the on-site review.
5. Decision and Notification to Involved Parties
 - a. If upon completion of the investigation of a deemed organization, ACHC identifies an IJ situation, CMS is notified as applicable. The Board Chair and Executive Management are also immediately notified.
 - b. If sufficient evidence exists that the organization has violated ACHC Accreditation Standards, the organization may be placed Under Review.
 - c. If an organization's accreditation is terminated, ACHC will notify CMS, as applicable, of the termination. The organization will be removed from all listings of ACHC accredited sites.

D. Non-Immediate Jeopardy – High

Complaints and/or incidents are assigned this priority if the alleged noncompliance with the applicable ACHC Standard, if substantiated, would not represent an IJ, but would result in a determination of substantial noncompliance, i.e., at least one condition-level deficiency. An on-site survey is initiated within 45 calendar days of receipt of the complaint. A formal written report is then prepared to reflect the above findings and submitted to ACHC within two business days of completion of the on-site review. Documentation is forwarded to and reviewed by the Clinical Compliance Department and Accreditation Review Committee and final report of findings is sent to the organization within ten business days of completion of the on-site review.

E. Non-Immediate Jeopardy – Medium

Complaints and/or incidents are assigned this priority if the alleged noncompliance caused or may cause harm that is of limited consequence and does not significantly impair the individual's mental, physical and/or psychosocial status or function. The incident or complaint, if substantiated, would not result in a determination of substantial non-compliance, (i.e., there would not be any condition-level deficiency). An on-site survey must be scheduled no later than when the next on-site survey occurs, or one year after receipt of the complaint and/or incident, whichever comes first.

F. Non-Immediate Jeopardy – Low

Complaints and/or incidents are assigned this priority if the alleged noncompliance may have caused physical, mental and/or psychosocial discomfort that does not constitute injury or damage. In most cases, an investigation of the allegation can wait until the next on-site survey.

G. Administrative Review/Off-Site Investigation

This priority is used for complaints and/or incidents triaged as not needing an on-site investigation initially. This determination can be made through investigative action (written/verbal communication or documentation) initiated by ACHC to the provider to gather additional information that is adequate in scope and depth to determine that an on-site investigation is not necessary. ACHC has the discretion to review the information at the next on-site survey. A fee will be processed for Administrative Review/Offsite Investigations requiring a Plan of Correction.

H. Referral – Immediate

This priority is used if the nature and seriousness of the complaint and/or incident or state/federal procedures require the referral or reporting of this information for investigation to another agency, without delay. This priority may be assigned in addition to one of the priorities listed above.

**I. Referral – Other**

Intakes are assigned this priority when referred to another agency or board for investigation or for informational purposes. This priority may be assigned in addition to one of the priorities listed above.

NOTE: If Clinical Compliance determines that the complaint does not involve patient care and the appropriate investigative method is through a request to the organization for documents, rather than a site visit, then ACHC sends the organization a written or verbal request for documents, including specific due dates for documentation. This action may be completed by the Quality Assurance or Clinical Compliance Department.