



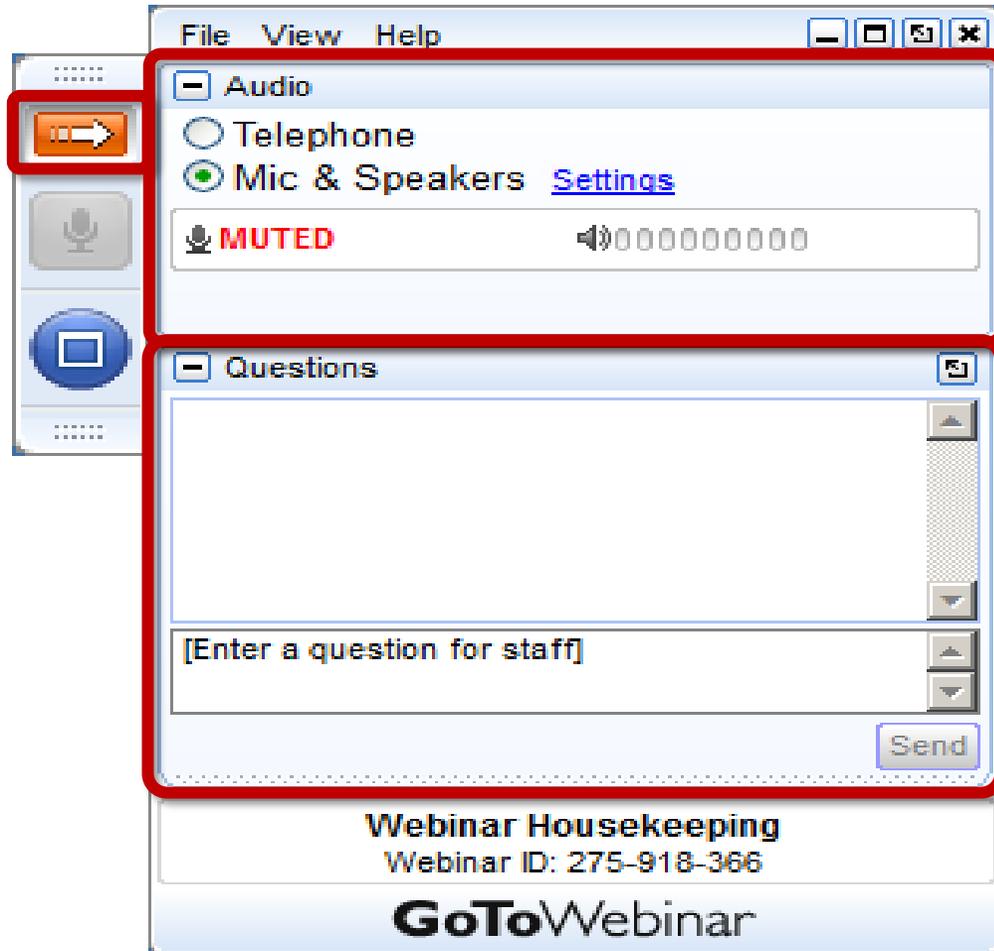
Strategies for a Successful Behavioral Health Survey

Joint Commission Behavioral Health and Human Services Accreditation

February 22, 2024



Webinar Housekeeping



Your Participation

Join audio:

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Questions/Comments:

- Submit questions and comments via the Questions panel.

Today's Speakers



Melinda Lehman, MBA (she/her)
Executive Director
Behavioral Healthcare & Human Services Accreditation
The Joint Commission



Peter Vance, LPCC (he/him)
Field Director, Behavioral Healthcare & Human Services Accreditation
Surveyor Management & Development, Accreditation & Certification Operations
The Joint Commission

**This webinar contains basic to
intermediate accreditation
information.**

Agenda

- About Us
- The Accreditation process
- Our Surveyors
- Survey Process
- Tips to help you Succeed
- Support & Resources



About Us

The Joint Commission

Over 23,000 Health Care Organizations Accredited

- Assisted Living Centers
- **Behavioral Health Care and Human Services Agencies**
- Community Health Centers/FQHCs
- Hospitals and Surgery Centers
- Hospices
- Home Care
- Laboratories
- Medical Groups and Clinics
- Nursing Care Centers
- Urgent Care Centers



Joint Commission Accreditation

For Behavioral Health Care and Human Services Organizations

50+
YEARS

Serving programs, services and settings across mental health services, child welfare agencies, substance use disorder treatment, eating disorders treatment, ID/DD services, Integrated Care, and more

4,200+
US ORGANIZATIONS

14,000+
US LOCATIONS

75%
Community-based
organizations



25%
Behavioral programs
within hospitals,
health systems, FQHCs,
and more



Behavioral Health Home Certification: Option for additional assessment of the organization on certification-specific standards regarding the integration and coordination of physical and behavioral health care.

Why Choose The Joint Commission:



1. **Superior name recognition** recognized and respected across the field
2. **Robust standards** in support of organizational excellence to help organizations become data driven and performance improvement focused
3. **Unparalleled Expertise** with surveyors who are experts in behavioral health care and human services at agencies just like yours providing educative, collaborative survey experiences.
4. **Extensive resources and support** to help you excel before, during and after your accreditation with a multitude of live or online options.

Behavioral Health and Human Services Accreditation

How it Benefits Your Organization



The Accreditation Process

What is Accreditation? Why Seek Accreditation?

*Accreditation is the process of inviting outside experts to conduct a review of your organization to **validate** and **improve** the safety and quality of care, treatment and services you provide to families and individual.*

Achieving accreditation improves credibility and helps establish your reputation by providing an external validation of the quality and safety of the care, treatment or services your organization provides. This also helps differentiate your organization from others for marketing and investment/financing purposes.



Behavioral Health Care Accreditation Requirements



- Available electronically or in print manual form
- Electronic version free to organization after applying for accreditation
- 90-day free trial available for organizations considering accreditation
- Free orientation to the manual for organizations considering accreditation
 - Contact us via email on last slide or sign up at <https://www.jointcommission.org/accreditation-and-certification/health-care-settings/behavioral-health-care/request-free-standards-access/>
- Print manual available at www.jcrinc.com

The Joint Commission Accreditation Process

- ✓ Request access to online accreditation standards manual, “E-dition”
- ✓ Schedule an over-the-phone orientation to manual’s use (takes 30-60 minutes)
- ✓ Conduct a “gap analysis” - review standards to reconcile with your operations manual to find the gaps that will need addressing
- ✓ Request and complete online Application for Accreditation
- ✓ Put any needed changes into place prior to your survey date



The Survey Process starts with the Application



- Our Application for Accreditation captures the programs and services you provide by your locations so we can schedule an appropriate survey
- The volume of services and number of locations factor into the fees that apply
- We provide assistance throughout the process, so call us and we can guide you

Tip: Carefully input your programs and services so the proper fees are applied and the proper survey is scheduled.

Our Surveyors

Peter Vance, LPCC (he/him)

Field Director, Behavioral Healthcare & Human Services Accreditation

Surveyor Management & Development, Accreditation & Certification Operations

Joint Commission Surveyors

- Experienced, licensed behavioral health care professionals
- Trained, mentored, and monitored to deliver consistently valuable surveys
- Each surveyor is a salaried employee providing varying weeks of availability per month, averaging 23 organizations per year
- Seeing many organizations allows them to gather a wealth of leading practices and tips to share
- Support organizations in their commitment to provide safe, high-quality care, treatment & services
- Spanish Speaking if needed



[Jointcommission.org/bhceexperts](https://www.jointcommission.org/bhceexperts)

“The Balancing Act”

Evaluator



and

Educator



On-site Surveys

- Shortest survey is one surveyor for two days
- Surveys can be multiple surveyors for multiple days depending on the volume/size of the organization



Notice of Survey

- 30-day notice of survey dates for initial accreditation
- Re-Surveys are unannounced except for 7-day notice for:
 - Opioid treatment programs*
 - Foster Care, In-home, Case Management, or Assertive Community Treatment*
 - Fewer than 11 staff or average daily census of less than 100*
 - Community-based programs*

*If program is operated as a component of a hospital all re-surveys are unannounced.

The Survey Process

The On-Site Survey Process

- The on-site survey agenda is in sync with an organization's normal operational systems
- Focus is on actual delivery of care, treatment, or services -- not just paperwork
- On-site survey process is customized to the setting(s), service(s) and population(s) served by the organization

Behavioral Health Care & Human Services Standards Manual Chapters

- Care, Treatment & Services
- Emergency Management
- Environment of Care
- Human Resource Management
- Infection Control
- Information Management
- Leadership
- Life Safety
- Medication Management
- National Safety Goals
- Performance Improvement
- Record of Care, Treatment, or Services
- Rights of the Individual
- Waived Testing

New and Developing Standards Projects

Health Equity

- Effective January 1, 2023

CCBHC Revision

- Criteria Update- July 2024 (pre-pub avail)

Workplace Violence Prevention

- Requirements Effective July 1, 2024

OTP Regulation Updates

- October 2024

Physical Hold/Restraint Revision

- Field Review Planned March 2024

What happens during an on-site survey?

- Arrival and Planning
- Opening Session: Orientation to the Organization
- A discussion that provides an opportunity for the surveyor(s) to learn from you about your organization
 - What you do
 - Who you serve
 - Your staff
 - Your philosophy and values
 - How you are organized
- Ensures a meaningful on-site survey experience



Survey Analysis for Evaluating Risk[®] (SAFER[™])



SAFER will help your organization to:

- More easily identify RFIs with higher risk
- Identify potential for widespread quality initiatives
- Better organize survey findings by level of potential patient impact
- Have one, comprehensive visual representation of survey findings



SAFER Impacts

- SAFER Matrix will be included in all survey reports and will drive the level of post survey follow up required.
- All RFIs will be addressed in a 60 day Evidence of Standards Compliance Report.
- For higher risk level RFIs, additional detail is required regarding corrective action sustainment.
- RFIs of a higher risk level will be highlighted for surveyors, for potential review on subsequent surveys.

SAFER Matrix

		Immediate Threat to Health or Safety		
Likelihood to Harm a Patient/Staff/Visitor	HIGH			
	MODERATE			
	LOW			
		LIMITED	PATTERN	WIDESPREAD
		Scope		

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Placement of RFI on SAFER Matrix and Follow-Up Activity

SAFER Matrix Placement	Required Follow-Up Activity
HIGH/LIMITED, HIGH/PATTERN, HIGH/WIDESPREAD	<ul style="list-style-type: none"> • 60 day Evidence of Standards Compliance (ESC) • ESC will also include two additional areas surrounding Leadership Involvement and Preventive Analysis • Finding will be highlighted for potential review by surveyors on subsequent onsite surveys up to and including the next full survey or review
MODERATE / PATTERN, MODERATE/ WIDESPREAD	<ul style="list-style-type: none"> • 60 day Evidence of Standards Compliance (ESC)
MODERATE / LIMITED, LOW / PATTERN, LOW / WIDESPREAD	
LOW/LIMITED	

Individual “Tracers”

- Traces the continuum of care provided
- Usually at least 60% of the on-site survey
- Directly involves staff who provide care, or services
- Follows care, treatment or services provided throughout the organization
- Individual served/family is involved as appropriate
- Samples from all programs/services operated by organization
- Surveyors attempt to minimize disruptions to the organization



Foster/Respite Care



- Visits to foster/respice homes will be included
- Conference Call with foster parents
- We will work with you to schedule these activities

Review of Your Environment



- ▶ Life Safety
- ▶ Buildings/Offices
- ▶ Grounds
- ▶ Transportation

Daily Briefing

- Start of each day after the first day
- Review of the previous day's activities and SAFER Matrix
- Identification of any areas of potential non-compliance with accreditation requirements
- Opportunity for organization to clarify misunderstandings



Competence of Staff Session



- Reviews the processes the organization follows to ensure that they have sufficient, competent staff
 - Staff selection
 - Verification of education and licensure
 - Orientation and training
 - Competence assessment (initial and ongoing)
 - Performance evaluation

Systems Tracers If Applicable

- Medication Management
 - Reviews the medication processes from prescribing to administering
 - Only reviews aspects relevant to the organization
- Infection Control
 - Reviews processes for preventing and responding to infections
 - Varies based on setting (facility vs. community-based)

Leadership/Data Session

- Discussion with organization leadership
- Discussion of how the organization uses data: Collection, Aggregation, Analysis, Performance Improvement
- Assess Safety Culture
- Last day of survey
- Based on observations during survey
- An opportunity for the leaders and surveyor(s) to discuss how the leaders can use the surveyors' observations to move the organization forward



MBC: Selecting a Standardized Instrument

- The Joint Commission has posted a list of standardized instruments that could be used to meet this standard
 - <https://manual.jointcommission.org/BHCInstruments/WebHome>
 - We do NOT endorse any instrument
 - The list is NOT intended to be exclusive



Closing Session and Report

- Meeting with CEO/ED, if desired, to review report
- Meeting with staff chosen by organization
- Report
 - Organization receives written preliminary report of any compliance areas
 - Official report is provided on organization's extranet site within 10 days after survey



After your Survey

- Generally, 60 days to resolve any non-compliance areas found
- Work with your Account Executive
- Seek advice
 - Account Executive
 - Standards Interpretation Group
- Final Accreditation Decision posted upon resolution of non-compliance areas
- Don't forget to make use of the free publicity kit posted on our web site to publicize your new status!



Tips for Success

Achieve Maximum Education

- Educate your staff about the survey process: Compliance & Education
- Encourage organizational staff to be open to learn, share, and seek to understand
- If an organization is eager to learn, grow and improve, more educative information is likely
- How will the organization measure the success of the survey?

(HINT: IT SHOULD NOT BE THE NUMBER OF FINDINGS)

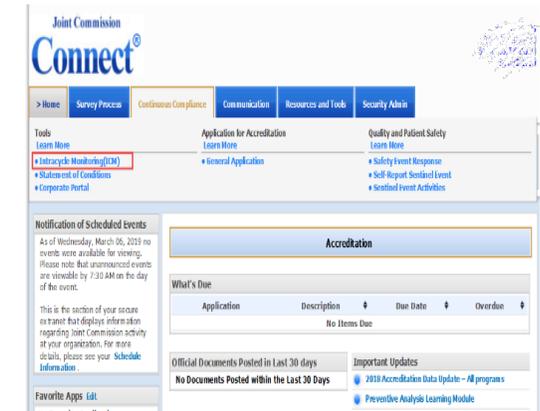
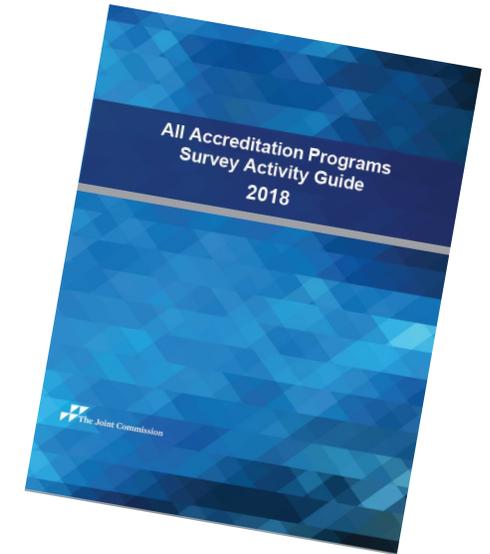
Understand the Standards

- The Standards Interpretation Group can clarify any unclear standards
- Review standards FAQs and/or request help online: <https://www.jointcommission.org/standards-information/jcfaq.aspx>

The screenshot displays the 'Standards FAQs' page on the Joint Commission website. The page features a navigation menu with options like 'Who We Are', 'What We Offer', 'Our Priorities', 'Standards', 'Measurement', and 'Resources'. The main content area is titled 'Interpreting Joint Commission Standards: FAQs' and includes a search bar and a 'Q&A' section. Below this, there is a 'Find Answers to Frequently Asked Questions' section with a search tool and a 'Browse our standards FAQs' button. The page also lists 'Get the Joint Commission Standards' and 'Report a Patient Safety Event'. At the bottom, there is a 'Can't Find What You're Looking For?' section with a button to 'Ask a standards interpretation question' and a note about the Standards Interpretation Group (SIG). A large blue arrow points from the 'Ask a standards interpretation question' button to the SIG information.

Get Your Game Plan On

- Do: View the Survey Activity Guide on your Joint Commission Connect extranet page
 - Shows a detailed timeline of surveyor activities
- Do: Organize Policies and Procedures
 - Have Required Written Documentation ready on day one of the survey – it is noted in the manual by the icon **D**
- Do: Use the FSA tool on Joint Commission Connect as a master plan
 - Helps to organize and plan your compliance activities
- Don't Forget! It's a Learning Process
 - It's all about the education in reducing risk and improving your processes to better help the individuals you serve.



Practice!

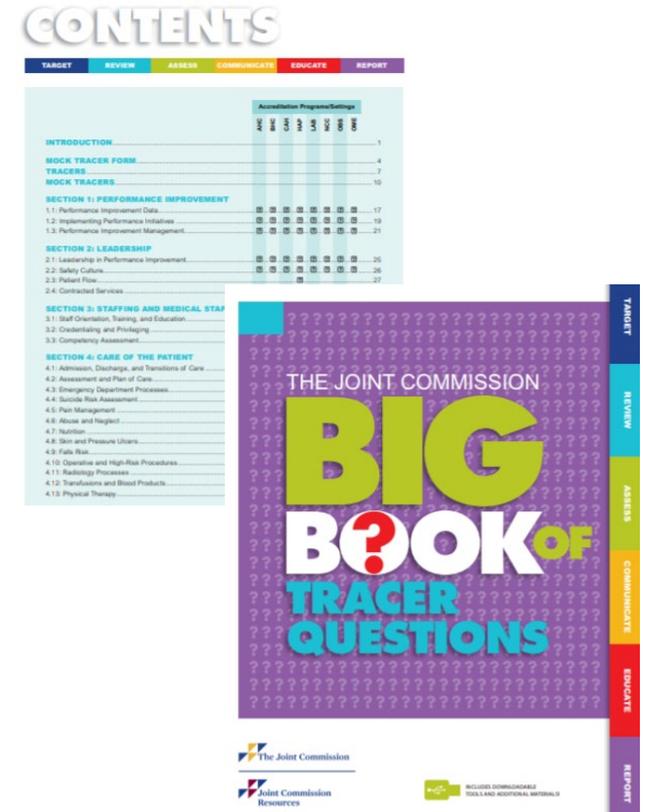
Conduct “Mock Tracer” activities:

Book with sample behavioral health tracers:

<https://www.jcrinc.com/the-joint-commission-big-book-of-tracer-questions/>

Other resources available on our website:

<https://www.jointcommission.org/accreditation-and-certification/health-care-settings/behavioral-health-care/prepare/>



What do others say?

“We took a lot away from our last survey, it was meaningful. It was an opportunity for us to revisit some of our system-based processes and it reaffirmed our strengths as well. It’s a collaborative experience. And we look at it as an opportunity for us to grow and improve as an organization.”

Joint Commission-Accredited Behavioral Health Care Organization

Support & Resources

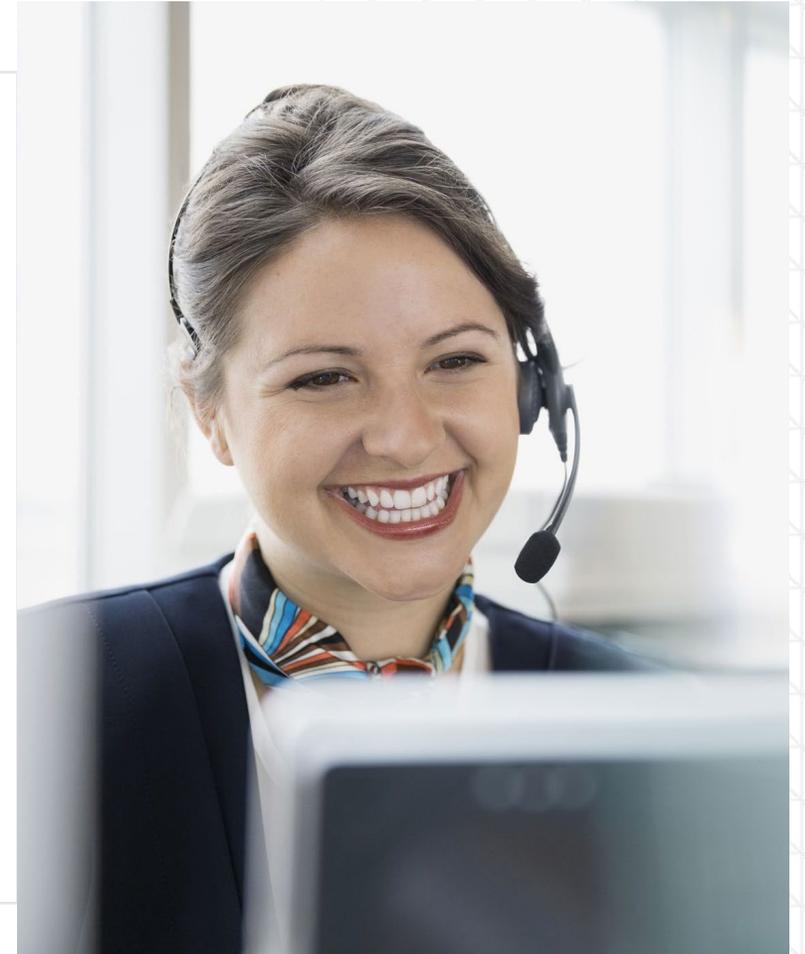
Online Resources

- Online resources for accreditation
 - Secure extranet site (ICM tool, Survey Activity Guide, E-Dition)
 - Joint Commission website: www.jointcommission.org/BHC
 - Perspectives
 - Standards FAQ's
 - [Suicide Prevention Portal](#)
 - [Workplace Violence Prevention Portal](#)
 - [Outcomes Measures page](#)
 - [Standardized Tools page](#)

Free Webinars and Replays

**View more free webinars and
On-demand replays**

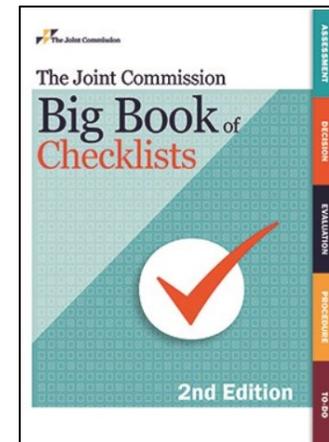
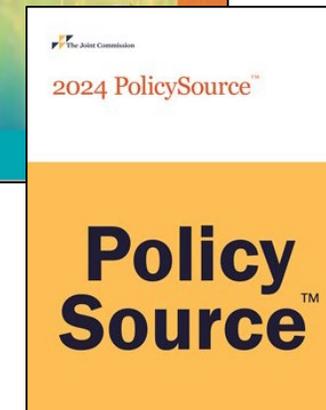
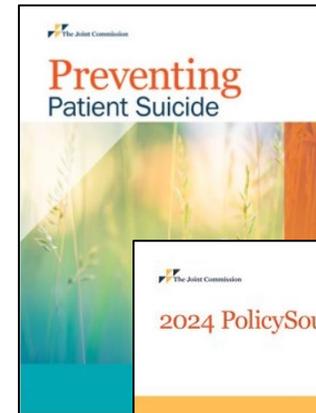
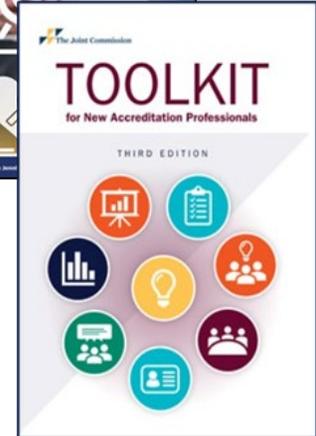
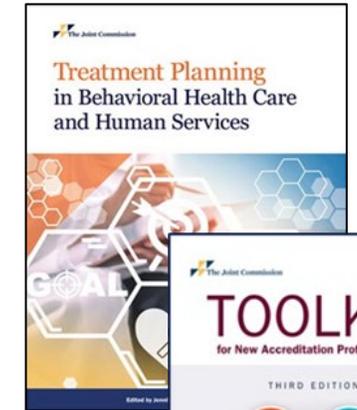
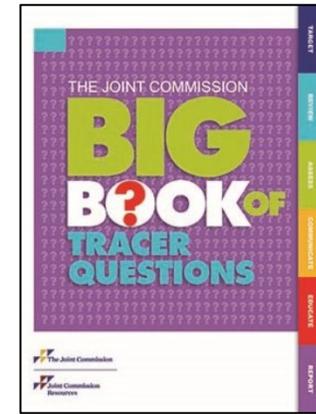
www.jointcommission.org/webinarsbhc



Joint Commission Resources

Examples of publications

- [Joint Commission Big Book of Tracer Questions](#)
- [Documentation of Care, Treatment or Services in Behavioral Health Care, your Go-To Guide](#)
- [TNAP – Toolkit for New Accreditation Professionals](#)
- [Treatment Planning in Behavioral Health & Human Services](#)
- [Policy Source - P&Ps for Compliance with Joint Commission Requirements](#)



Annual Behavioral Health & Human Services Conference



**Behavioral Health Care
Events**
Chicago (Rosemont), IL
October 24-25, 2024

REGISTER NOW

or register by phone 877.223.6866



<https://store.jcrinc.com/behavioral-health-and-human-services-conference-october-24-25-2024/>

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The Joint Commission

The Joint Commission's Gold Seal of Approval™ means your organization has reached for and achieved the highest level of performance recognition available in the behavioral health & human services field.



Questions?

“Joint Commission accreditation is the highest standard of excellence that you can have in the field. It gives you a competitive advantage. It raises the bar in your facility, and it improves patient outcomes. It also forces our staff to keep their eyes focused, and in the world of behavioral health, it’s really easy to get distracted by the crisis of the day. So, it is an ever-present reminder of what we’re working towards, and that’s excellence.”



Thank you!