



Virginia Department of
Behavioral Health &
Developmental Services

Quality Improvement Risk Management October 2020

**A presentation for DBHDS
Licensed Providers**

DBHDS Vision: A life of possibilities for all Virginians

Why Quality?

**WE ARE WHAT WE
REPEATEDLY DO.
EXCELLENCE, THEN, IS
NOT AN ACT, BUT A
HABIT.**

ARISTOTLE

WHOWASARISTOTLE.COM

The goals of this presentation are limited to quality improvement as it relates to Chapter 105 Rules and Regulations for Licensing Providers by DBHDS; specifically to 12VAC35-105-620 – Monitoring and Evaluating Service Quality and 12VAC35-105-520, Risk Management. There are numerous resources related to quality improvement, quality management, risk management, but this is limited to the requirements of the DBHDS Office of Licensing regulations. And remember, this is not meant to be a one size fits all – each provider is different. The complexity of a provider's quality program and risk management program will vary depending on the size and scope of the services offered. This presentation is intended to be a starting point.

Let's start with quality.

When it comes to quality, there are many terms and words that may be used interchangeably. For example, quality improvement, quality assurance, performance improvement project, quality improvement initiative, etc.

Bottom line – we all want to improve. That is why quality is about establishing a system or a habit. It is not just a one time act but should be continuous.

Institute of Medicine

Six domains to measure and describe quality:

- Safe
- Effective
- Person-Centered
- Timely
- Efficient
- Equitable



Health care quality is the degree to which health care services for individuals and populations increase the likelihood of desired health outcomes. In 1999, the Institute of Medicine released six domains to measure and describe quality of care in health:

- safe – avoiding injuries to patients from care that is intended to help them
- effective – avoiding overuse and misuse of care
- patient-centered – providing care that is unique to a patient's needs (In adopting these domains in the DBHDS quality program, it was amended to be person-centered)
- timely – reducing wait times and harmful delays for patients and providers
- efficient – avoiding waste of equipment, supplies, ideas and energy
- equitable – providing care that does not vary across intrinsic personal characteristics

What does quality mean? Defined differently by different organization, but one response could be “meeting or exceeding my customers’ expectations.” We have lots of customers – individuals served, their families, their friends, a provider’s staff, other providers, state agencies, each other. As a consumer of various goods and services (grocery stores, restaurants, hair salons), you probably don’t return if your customer expectations are not met.

12VAC35-105-620

A. The provider shall develop and implement written policies and procedures for a quality improvement program sufficient to identify, monitor and evaluate clinical and service quality and effectiveness on a systematic and ongoing basis.



A quality improvement program is the structure used to implement quality improvement efforts.

620 is titled "Monitoring and evaluating service quality." In order to do so, policies and procedures must be in place to implement quality improvement efforts.

Policies and Procedures

- Serious Incident Reporting Policy
- Root Cause Analysis Policy
- The provider's policies and procedures shall include the criteria the provider will use to:
 1. Establish measurable goals and objectives;
 2. Update the provider's quality improvement plan; and
 3. Submit revised corrective action plans to the department for approval or continue implementing the corrective action plan and put into place additional measures to prevent the recurrence of the cited violation and address identified systemic deficiencies when reviews determine that a corrective action was fully implemented but did not prevent the recurrence of the cited regulatory violation or correct a systemic deficiency pursuant to 12VAC-35-105-170

These are some examples of the policies that establish the framework for a quality improvement program.

Serious Incident Reporting

Root Cause Analysis

These policies need to include the criteria you will use.

12VAC35-105-620

B. The quality improvement program shall utilize standard quality improvement tools, including root cause analysis, and shall include a quality improvement plan.

Examples of Tools:

Root Cause Analysis

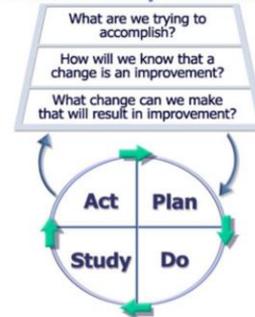
Run Charts

Failure, Mode and Effect Analysis

Flow Charts

PDSA

Model for Improvement



QI program shall utilize standard QI tools. There are many quality improvement tools so as your program grows, you may find you use more than one. There are many QI tools:

Root Cause Analysis

Failure, Modes, and Effects Analysis

Storyboards

Run charts

Pareto charts

Process maps

AIM/Measure/Change and Plan/Do/Study/Act (DBHDS utilizes this model for its quality management program)

Plan/Do/Check/Act

12VAC35-105-20. Definitions

"Quality improvement plan" means a detailed work plan developed by a provider that defines steps the provider will take to review the quality of services it provides and to manage initiatives to improve quality. A quality improvement plan consists of systematic and continuous actions that lead to measurable improvement in the services, supports, and health status of the individuals receiving services.

Plan could also include:

Mision, vision, values

Guiding Principles

Quality Committee Structure



The regulations define a quality improvement plan. There is no specific template. It should be dated and signed. Some organizations may include their mission, vision, values and how that ties to their quality improvement plan. They may have guiding principles related to quality (i.e. data driven, person-centered, recovery-oriented). It may outline the structure of how the plan will be monitored throughout the year and even how it will be evaluated.

12VAC35-105-620

C. The quality improvement plan shall:

1. Be reviewed and updated at least annually

Other revisions:

Provider is issued a licensing citation = CAP

Change in systems or programs

The QI Plan is your road map. The plan should be reviewed and updated at least annually. The year can be calendar year/state fiscal year (whatever works for your organization) but it should be reviewed and updated at least annually. Not just annually however as additional updates or revisions are need if you implement a Corrective Action Plan for a citation (will address later) or if your services change, etc.

Again, your quality program (policies) establishes who updates the QI plan (Quality Council, leadership, management). Remember to date and sign your QI plan as implemented and/or revised.

620.C. - QI Plan shall

2. Define measurable goals and objectives

*“Start where you are.
Use what you have.
Do what you can.”*

Arthur Ashe

This Arthur Ashe quote is good advice for establishing measurable goals and objective. Don't try to take on too much. You are already collecting data so start there.

There is no requirement for a specific number of goals or objectives in the regulations. Every organization needs to decide what is the most meaningful; focus on the wildly important; make sure that everyone can understand and put their attention towards the goals. If too many goals, you risk getting overwhelmed with the work and lose focus.

What does it mean to be measurable?

- Is it clear what is being measured and why?
- What collection methods and sources of data are available?
- What is the frequency of measurement?
- What is the timeframe for achieving the goal or objective?
- What is the baseline?
- How will the provider know if goals and objectives were met?



Many resources are available for developing goals and objectives (e.g. Smart Goals = Specific, Measurable, Attainable, Relevant, Time-Bound).

You may wish to consider compliance with the Home and Community Based Setting requirements, if applicable, to the licensed setting.

When prioritizing goals, providers may wish to choose how to improve overall performance, clinical services, staff development, etc. You may wish to consider relevance to the agency mission, level of risk, available resources, level of effort, meaningfulness.

When establishing goals and/or objectives, be realistic (an attainable goal). Remember - some is not a number; soon is not a time. Be specific.

Examples

Goal – Individuals are healthy and safe

Objective:

1. Reduce the rate of serious injuries by X% by (date)

Goal – Maintain a well-trained workforce

Objectives:

1. Reduce the turnover rate from % to % by (date)
2. Increase the --% of new employees trained within 15 business days of hire by (date)

These are just examples and you do not need to have a set number. Start with a few goals and then revise or expand as analysis may indicate.

620.C - QI Plan shall...

3. Include and report on statewide performance measures, if applicable, as required by DBHDS.

The statewide performance measures currently only apply to providers of DD services.

Already reporting to DBHDS; operationally collecting through WaMS and CHRIS.

Statewide Performance Measures - DD

Performance measures must capture positive and negative aspects of health & safety and community integration

- Positive aspects of community integration
 - 86% of individuals with an active waiver are involved in their community.
 - 75% of individuals with an active waiver are involved in their community through the most integrated support
- Negative aspects of community integration
 - Percentage of individuals with an active waiver who have an identified barrier due to either behavioral, medical, or other causes



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Slide 13

For Positive Community Integration –
Involved in Community

The **numerator** will be the number of people who had a completed ISP (determined as the most current and recent one based on the field a effective start date that falls within the quarter and has a status of either “completed by support coordinator” or “pending provider input”: data field name is just called ‘status’) where the community activities were identified through for the previous quarter. There is a *yes/no* field that asks the Support Coordinator if the individual is involved in community activities. We will include those that have a ‘yes’ answer. The question cannot be left unanswered.

The **denominator** will be determined as the number of people with an active waiver (status codes: active).

Integrated Support

The **numerator** will be the number of people who had a completed ISP (determined as the most current and recent one based on the field a effective start date that falls within the quarter and has a status of either “completed by support coordinator” or “pending provider input”: data field name is just called ‘status’) where the community activities were identified through for the previous quarter as delivered through the most integrated supports (Natural support, Community Engagement and/or Community Coaching).

Barrier to Community Integration

The **numerator** will be the number of people who had a completed ISP (determined as the most current and recent one based on the field a effective start date that falls within the quarter and has a status of either “completed by support coordinator” or “pending provider input”: data field name is just called ‘status’) where there was a barrier to community activities identified by the Support Coordinator for the previous quarter. There is a *yes/no* field that asks the Support Coordinator if the individual has a barrier to community activities.

Statewide Performance Measures - DD

- Positive aspects of health & safety
 - Eighty-seven percent (87%) of individuals with an active waiver status in WaMS will have a documented annual physical exam (approximate or actual)
 - Seventy-five percent (75%) of individuals with an active waiver status and a documented annual physical exam date in their ISP in WaMS will have an actual annual physical exam date recorded
- Negative aspects of health and safety
 - Report the rates of specific serious incidents, representing conditions prevalent in people with DD, as reported in CHRIS

Positive Health & Safety

Numerator 1 - all individuals with an active waiver status that have an annual physical exam date (approximate or actual) documented in their completed ISP in WaMS

Denominator 2- all individuals with an active waiver status in WaMS

Numerator 2 – all individuals with an active waiver status that have an actual annual physical exam date documented in their completed ISP in WaMS

Denominator 2 - all individuals with an active waiver status that have an annual physical exam date (approximate or actual) documented in their completed ISP in WaMS

Negative Health & Safety

Report the rates of 12 conditions or incidents that represent risks that are common to individuals with DD

The rates reflect the number of reported incident per 1,000 individuals on the DD waivers – they are taken from data reported in CHRIS and reviewed quarterly.

Serious Incident Rates

Performance Measure Indicators – Safety and Freedom from Harm	Target	FY20 QTR1 Results	FY20 QTR2 Results	FY20 QTR3 Results	FY20 QTR4 Results	FY20 Overall Results	Performance Assessment
Serious Incident Rates							
Fall	56.88		67.65	63.93	38.72	56.77	✓
Seizures	Monitoring		32.99	33.20	22.52	29.57	
Urinary Tract Infection	Monitoring		27.40	29.08	23.07	26.61	
Self-injury	Monitoring		20.13	18.11	10.71	16.32	
Aspiration Pneumonia	Monitoring		6.99	6.04	7.14	6.72	
Dehydration	Monitoring		5.59	7.13	3.84	5.52	
Decubitus Ulcer	Monitoring		5.31	5.21	5.77	5.43	
Sepsis	Monitoring		4.75	6.04	3.84	4.97	
Suicide attempt	Monitoring		5.03	5.21	4.39	4.88	
Bowel Obstruction	Monitoring		6.15	4.66	2.75	4.52	
Choking	Monitoring		5.31	4.94	3.02	4.42	
Sexual assault	Monitoring		3.91	4.94	1.65	3.50	

620.C - QI Plan shall...

4. Monitor implementation and effectiveness of approved corrective action plans pursuant to 12VAC35-105-170



#4 – monitor implementation and effectiveness of CAPs. For example, if a provider was cited for errors in medication administration, the CAP could include a plan to reduce errors and a specific measurable objective. This could be measured through chart review and reported as part of the provider's quality improvement plan. If a problem is identified, there needs to be a corrective action plan to address and then you monitor to make sure it was effective. The next slide gives the reference here to 170.

12VAC35-105-170.H

The provider shall monitor implementation and effectiveness of approved correction actions as part of its quality improvement program required by 12VAC35-105-620. If the provider determines that an approved corrective action was fully implemented, but did not prevent the recurrence of a regulatory violation or correct any systemic deficiencies, the provider shall:

- 1. Continue implementing the corrective action plan and put into place additional measures to prevent the recurrence of the cited violation and address identified systemic deficiencies; or**
- 2. Submit a revised corrective action plan to the department for approval**

Your QI program shall include how you are going to monitor any Corrective Action Plans (CAPs).

Guidance on Corrective Action Plans (dated August 22, 2020) is on the Office of Licensing website. There will be upcoming training related to Corrective Action Plans.

620.C - QI Plan shall...

5. Include ongoing monitoring and evaluation of progress toward meeting established goals and objectives.

Examples:

- Process for when and how you review progress
 - Reporting calendar (monthly, quarterly, annually)
 - Program outlines who (committee/management)
- Evaluation/analysis



A quality improvement program includes a process defining when and how the provider will review progress toward the goals and objectives. This provision is about monitoring your progress throughout the year and responding to identified concerns. If a provider does not identify any progress toward meeting identified goals and objectives, a quality improvement initiative could be considered.

12VAC35-105-620.D

D. The provider's policies and procedures shall include the criteria the provider will use to:

- 1. Establish measurable goals and objectives;**
- 2. Update the provider's quality improvement plan; and**
- 3. Submit revised corrective action plans to the department for approval or continue implementing the corrective action and put into place additional measures to prevent the recurrence of the cited violation and address identified systemic deficiencies when reviews determine that a corrective action was fully implemented but did not prevent the recurrence of the cited regulatory violation or correct a systemic deficiency pursuant to 12VAC35-105-170.**



A provider's policies and procedures for the quality program would outline the criteria for establishing measures, updating your plan or revising CAPs. The criteria may be the same for all three items. The provider's criteria could be based on data collected, prioritization, what is meaningful, not seeing improvement over time, etc.

12VAC35-105-620.E

620.E – Input from individuals receiving services and their authorized representatives, if applicable, about services used and satisfaction level of participation in the direction of service planning shall be part of the provider’s quality improvement plan. The provider shall implement improvements, when indicated.



There are no requirements for how often or for the specific vehicle for obtaining this input. It should be determined by the provider as part of their quality management program. You can conduct a survey; in-person or via an online mechanism. Input from individuals receiving services and their authorized representatives would be specific to your organization. Then the organization needs to determine how best to use those results in terms of making improvements. As mentioned earlier in the presentation, one definition of quality is meeting or exceeding your customers’ expectations.

Serious Incident Data

12VAC35-105-160.C. – Quarterly Reviews

The provider shall collect, maintain, and review at least quarterly **all serious incidents, including Level I serious incidents**, as part of the quality improvement program in accordance with 12VAC35-105-620 to include an analysis of trends, potential systemic issues or causes, indicated remediation, and documentation of steps taken to mitigate the potential for future incidents.

On a quarterly basis all serious incidents should be reviewed to look for any possible trends, etc.

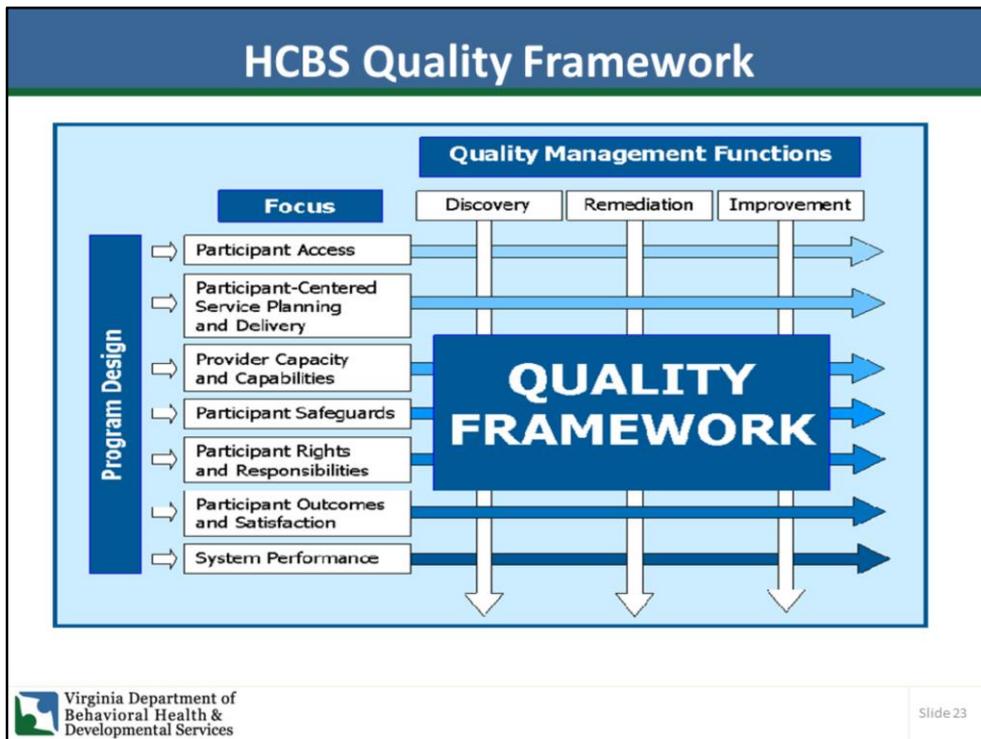
QI Program - Action

Program	<ul style="list-style-type: none">• Policies and procedures which outline structure• Utilization of tools such as Root Cause Analysis• Tools for quality improvement• Policies on serious incident reporting/RCA• Policy on criteria used to establish goals and/or revise CAPs
Plan	<ul style="list-style-type: none">• Reviewed/updated annually AND as needed based on the provider's criteria and citations• Establishes measurable goals and objectives• Includes input from stakeholders• Monitor CAPs, as applicable• Monitor data related to the goals and objectives
Actions	<ul style="list-style-type: none">• Based on review of data, the provider then implements quality improvement initiatives and follows their quality improvement model for monitoring effectiveness (e.g. PDSA)• Continue to monitor as quality improvement is a continuous process

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Compliance with 620 involves more than just saying you have a quality improvement plan. Your quality improvement program establishes how this is an ongoing effort. It is not a once and done.



As noted in the Guidance for a QI Program, if you a provider of group home, sponsored residential, supervised living residential, or day support services offered in the DD waivers, and you agency is currently engaged in efforts to come into compliance with the Home and Community Based Settings requirements, consider including those efforts into your QI program.

The Home and Community Based Services Quality Framework encompasses three functions:

Discovery: Collecting data and direct participant experiences in order to assess the ongoing implementation of the program, identifying strengths, and opportunities for improvement.

Remediation: Taking action to remedy specific problems or concerns that arise.

Continuous Improvement: Utilizing data and quality information to engage in actions that lead to continuous improvement in the HCBS program.

Quality Program - Example

CMS Quality Assurance/Performance Improvement

5 Elements:

Design and Scope

Governance and Leadership

Feedback, Data Systems and Monitoring

Performance Improvement Projects

Systematic Analysis and Systemic Actions



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The CMS Quality Assurance Performance Improvement (QAPI) website provides excellent information on how to establish a quality program. While the QAPI program was developed for nursing homes, it can be adapted for purposes of any health care provider. The link to the CMS QAPI website is provided in the resources on the next slide. Please note that there are also other websites that provide quality improvement structures. This is just one example. Every organization is going to be at a different point in building a quality program. The QAPI site also includes a tool to utilize if you are just beginning to develop a quality program. The tool could also be used when you evaluate your program.

CMS outlines 5 key elements for a quality program.

Design and Scope:

- this might include a provider's mission/vision/values
- establish the structure (i.e. when/where the QI plan will be reviewed/updated)
- outline guiding principles related to quality improvement

Governance/Leadership – how the board/governance/leadership is committed to quality improvement.

Quality committee structure –

membership of the quality committee(s), (could be called council, workgroup, teams; this group would be seen as providing the backbone for the quality structure),
how often the quality committee meets,
who might chair (or co-chair) the quality committee;
Outline in a committee/council charter the responsibilities of the quality committee(s) such as reviewing/updating the plan, approving quality improvement projects or initiatives, etc.

Feedback, Data Systems, Monitoring

- what a provider wants to monitor
- how the provider will collect data
- how the provider will establish goals
- how data is used to drive decisions
- how feedback from customer satisfaction surveys are included

Quality Improvement Resources

Guidance on Corrective Action Plans

https://townhall.virginia.gov/L/GetFile.cfm?File=C:\TownHall\docroot\GuidanceDocs\720\GDoc_DBHDS_6875_v1.pdf

CMS Quality Assurance/Performance Improvement

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/QAPI/Downloads/ProcessToolFramework.pdf>

Home and Community Based Services Quality Framework

<https://nasddds.org/uploads/documents/HCBSQualityFramework%28rev06-05%29.pdf>

Guidance for Quality Improvement Program

http://townhall.virginia.gov/L/GetFile.cfm?File=C:\TownHall\docroot\GuidanceDocs\720\GDoc_DBHDS_6414_v2.pdf

Risk Management

12VAC35-105-20. - Risk management means an integrated system-wide program to ensure the safety of individuals, employees, visitors and others through identification, mitigation, early detection, monitoring, evaluation, and control of risks.



Quality improvement focuses on achieving best possible outcomes; this can be achieved through examining and managing risks to the healthcare organization. By fostering a culture where healthcare providers are empowered to speak up, risk management involves using incident reports and other sources of information to manage risk, influence key decision makers, and ultimately impact health, safety and welfare of individuals served and quality outcomes.

12VAC35-105-520. Risk Management

A. The provider shall designate a person responsible for the risk management function who has completed department approved training, which shall include training related to risk management, understanding of individual risk screening, conducting investigations, root cause analysis, and the use of data to identify risk patterns and trends.



No two organizations are exactly alike when it comes to quality/risk management functions. It is often driven by the size of the organization, the services provided, etc. Each provider however shall designate a person responsible for risk management function.

As noted in the guidance document, these are minimum requirements, depending on the organization, the designated risk manager could require additional training related to other areas of potential risk to the provider (infection control, privacy, emergency management).

12VAC35-105-520. Approved Training

DBHDS has contracted with Center for Developmental Disabilities Evaluation and Research (CDDER) [at the University of Massachusetts]

CDDER will host webinars in the coming months:

- 1. individual risk screening**
- 2. root cause analysis**
- 3. using data to identify patterns and trends and incorporating this into an annual risk assessment**

DBHDS has contracted with the Center for Developmental Disabilities Evaluation and Research (CDDER) [at the University of Massachusetts] to provide risk management training to providers. Within the next few months, CDDER will conduct a webinar on risk management processes for providers of developmental services. This will address conducting individual risk screening, root cause analysis, and using data to identify patterns and trends and incorporating this into an annual risk assessment. While this training is focused on developmental disability services, the concepts are applicable across disability areas.

12VAC35-105-520. Approved Training

DBHDS shall:

- post a crosswalk from training offered by Office of Licensing to the components for training required in 520A

Provider shall:

- complete an attestation stating that the risk manager has completed the required training, including all essential components
 - attestation is then signed by the risk manager and the supervisor
 - attestations shall be available for review by OL Specialist or Investigator upon request



12VAC35-105-520. Risk Management

B. The provider shall implement a written plan to identify, monitor, reduce and minimize harms and risk of harm, including personal injury, infectious disease, property damage or loss, and other sources of potential liability.

- Written plan (reviewed and updated at least annually or any time that the provider identifies a need to review and update)
- A stand-alone document or integrated into the quality improvement plan



Providers should reference the Guidance for Risk Management (dated August 27, 2020) for additional information and guidance on what to consider when developing the risk management plan.

12VAC35-105-520 - Risk Management

C. The provider shall conduct systemic risk assessment reviews at least annually to identify and respond to practices, situations, and policies that could result in the risk of harm to individuals receiving services.

Risk assessment is essentially a careful examination of what internal and external factors or situations could cause harm to individuals served or that could negatively impact the organization.

- Consider quarterly review of serious incidents
- Analyze trends

There is a wide range of potential risks – financial, privacy breaches, environmental hazards, etc.

Risk assessment is about being proactive and preparing for potential risks before incidents happen.

12VAC35-105-520.c (continued)

Sample

C. The risk assessment review shall address at least the following:

1. Environment of care;
(results of annual safety inspection)

- Hazardous chemicals
- Fire extinguishers
- Hot water temps
- Medication storage
- Security systems
- Emergency egress
- Ventilation
- Lighting

This is applicable to the type of provider and population served. Each provider would want to tailor to your organization. This is just a sample of items and certainly not all inclusive.

Please refer to the Guidance for Risk Management on the DBHDS Licensing website dated August 27, 2020 for more suggestions.

Sample

2. Clinical assessment or reassessment processes;

- Physical exams completed prior to admission
- Reassessments include review of incidents/health risks

As noted in the Guidance, persons designated as responsible for the risk management function need not be engaged in the clinical assessment or reassessment process, but should review these processes during the risk assessment review process.

Sample

3. Staff competence and adequacy of staffing;

- Background checks
- CPR certification
- Abuse/Neglect and Exploitation Training
- Turnover rates

Sample

4. Use of high risk procedures, including seclusion and restraint; and

- High risk meds
- Seclusion/restraint
- Transfer procedures
- Training related to the above

12VAC35-105-520.c (continued)

Sample

5. A review of serious incidents (Refer to 160.C)

Reminder –

12VAC35-105-780.5 -

Provider shall review medication errors at least quarterly as part of quality assurance

- Quarterly review of serious incidents
- Annual review of serious incidents
- Identified trends or patterns

12VAC35-105-520.D.

D. The systemic risk assessment review process shall incorporate uniform risk triggers and thresholds as defined by the department.

DBHDS defined risk triggers and thresholds as care concerns through review of serious incident reporting conducted by the Incident Management Unit.

Below are the list of individual care concern thresholds:

- Three (3) or more unplanned medical hospitalizations, emergency room (ER) visits or psychiatric hospitalizations within ninety (90) days for any reason.
- Multiple (2 or more) unplanned medical hospitalizations or ER visits for the same condition or reason that occur within a thirty (30) days.
- Any combination of 3 or more incidents of any type within thirty (30) days.
- Multiple (2 or more) unplanned hospital admissions or ER visits for any combination of the following serious incidents: falls, choking, bowel obstruction, urinary tract infection, aspiration pneumonia, or dehydration within ninety (90) days.
- Any incidents of medically verified decubitus ulcers or bowel obstruction.

12VAC35-105-520.D.

Systemic risk assessment reviews shall include review of risk triggers that were met and whether they were addressed.

Example:

On an annual basis a provider would ask the following:

- Did provider review the care concerns and determine whether there was need for further action?
- If further action was needed, did it occur?
- If not, what were the barriers?
- If actions were implemented, did this mitigate further risks?

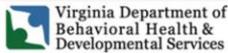
12VAC35-105-520.E.

E. The provider shall conduct and document that a safety inspection has been performed at least annually of each service location owned, rented or leased by the provider. Recommendations for safety improvement shall be documented and implemented by the provider.

Safety Inspection (Date----, completed by ----)

Safety item	Yes	No	Not applicable	Recommendations to address
Fire equipment				
Emergency egress				
Lighting				

And much more.....



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An annual safety inspection must be completed at each service location. A safety inspection checklist could be created which corresponds to the regulations. When doing a safety inspection, involve staff. This provides a great learning opportunity as to “why” these items are being inspected and creates more ownership of all employees to report safety concerns, etc.

As noted in the summary of the quality improvement slides, action is then needed. Once a safety inspection is completed and any recommendations are documented, the provider should demonstrate that action was taken to implement as much as possible. Not all risks can be eliminated, but efforts should be made to mitigate as possible.

12VAC35-105-520.F.

F. The provider shall document serious injuries to employees, contractors, students, volunteers, and visitors that occur during the provision of a service or on the provider's property. Documentation shall be kept on file for three years. The provider shall evaluate serious injuries at least annually. Recommendations for improvement shall be documented and implemented by the provider.



While everyone wants to prevent injuries, accidents do happen. Providers should document such injuries to anyone on their property, review at least on an annual basis, and make recommendations for improvement.

As noted in the Guidance for Risk Management, Level II incidents include a "significant harm or threat to the health or safety of others caused by an individual." Therefore, if a serious injury was caused by an individual to an employee, contractor, student, volunteer, or visitor during the provision of services or on the provider's premises, the serious injury should also be reported into CHRIS within 24 hours of discovery as a Level II serious incident.

RM Program - Action

Policies	<ul style="list-style-type: none">• Root Cause Analysis Policy• Serious Incident Reporting Policy
Plan	<ul style="list-style-type: none">• Written plan reviewed and updated at least annually• Plan may be integrated into overall quality improvement plan
Actions	<ul style="list-style-type: none">• Based on review of data, findings of the risk assessment and safety inspection, the provider takes action to prevent/mitigate risks

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Similar to the QM program summary noted above, risk management is about having policies and procedures, making a plan, and then taking steps or actions to mitigate or eliminate risks. There are many risks and this is not an exhaustive list but a provider should consider financial risks, workforce related risks, environmental, and much more.

Risk Management Resources

Guidance for Risk Management

https://townhall.virginia.gov/L/GetFile.cfm?File=C:\TownHall\docroot\GuidanceDocs\720\GDoc_DBHDS_6874_v3.pdf

Guidance on Corrective Action Plans

https://townhall.virginia.gov/L/GetFile.cfm?File=C:\TownHall\docroot\GuidanceDocs\720\GDoc_DBHDS_6875_v1.pdf

Guidance on Incident Reporting Requirements

https://townhall.virginia.gov/L/GetFile.cfm?File=C:\TownHall\docroot\GuidanceDocs\720\GDoc_DBHDS_6876_v1.pdf

Assuring Health and Safety for Individuals with DD

<http://www.dbhds.virginia.gov/assets/doc/OIH/assuring-health-and-safety-for-individuals-with-dd.pdf>