



Promoting Wellness and Recovery

OAC Chapter 5122-28
Performance Improvement, Outcomes
& Research
Effective April 1, 2016

John R. Kasich, Governor
Tracy J. Plouck, Director

Sanford Starr, Deputy Director, Office of Quality, Planning and Research
Kraig Knudsen, Chief, Bureau of Research and Evaluation
Janel M. Pequignot, Chief, Licensure and Certification

Deemed Status &
Chapter 5122-28

If your agency has been granted deemed status, implement your accrediting body standards.

Today's presentation will provide resource information that will assist your organization in meeting accrediting body standards!



Promoting Wellness and Recovery

John R. Kasich, Governor
Tracy J. Plouck, Director

5122-28-01 Purpose

5122-28-01

The purpose of this chapter is to state the requirements and procedures for performance improvement activities, consumer outcome activities, and research activities for providers providing mental health and addiction services.



Promoting Wellness and Recovery

John R. Kasich, Governor
Tracy J. Plouck, Director

5122-28-02 Applicability

5122-28-02 (A)

The provisions of the rules contained in this chapter are applicable to each provider subject to certification by the department in accordance with section [5119.36](#) of the Revised Code.



Promoting Wellness and Recovery

John R. Kasich, Governor
Tracy J. Plouck, Director

5122-28-03 Performance Improvement

5122-28-03 (A)

(A) The purpose of this rule is to ensure that a provider's leaders have established a planned, systematic, organization-wide approach to performance improvement that is both collaborative and interdisciplinary. It is important that each provider measure the performances processes which support care and establish a method of data collection and analysis in order to identify areas of needed improvement, and develop and implement improvement plans which support achieving performance targets, client satisfaction, and positive client outcomes.

5122-28-03 (B)

(B) Provider leadership shall:

- (1) Support performance improvement activities.
- (2) Identify priorities for data collection with attention to both safety and quality.

At a minimum, performance improvement methodologies must address the following areas:

- (a) Business operations;
- (b) Client satisfaction;

5122-28-03 (B) (continued)

(B) Provider leadership shall:

- (2) Identify priorities for data collection with attention to both safety and quality.

At a minimum, performance improvement methodologies must address the following areas:

- (c) Stakeholder satisfaction;
- (d) Client outcomes;
- (e) The quality of service delivery, including appropriateness, and efficiency; and
- (f) Client protections, including seclusion and restraint, if applicable, client rights, complaints and grievances, and incident notification.

5122-28-03 (C)

(C) A provider shall develop an on-going, systematic approach to performance improvement. The process shall include:

- (1) Collect and analyze data;
- (2) Identify areas of needed improvement;
- (3) Develop an action plan;
- (4) Implement improvements, and monitor and evaluate their effectiveness; and
- (5) Activities which evaluate the effectiveness of the provider's overall performance improvement process.

5122-28-03 (D)

(D) Each provider shall develop a written performance improvement plan and document its performance improvement activities.

The provider shall include in its performance improvement plan the frequency of data collection and analysis. The provider shall collect and analyze data as required by its accrediting body, if applicable, or for a provider without behavioral health accreditation, at least annually.

What Is Performance Improvement?

- A method or system to continuously measure the operations of an organization and related activities in providing services in order to identify where improvements need to be made to support achieving performance targets, client satisfaction and positive client outcomes
- Includes having implementation and sustainability plans

Key To Successful Improvement

- Have leadership support and commitment
- Understand and involve the customer
- Select powerful team leaders and provide resources
- Get ideas from outside the organization
- Start with projects that will demonstrate utility
- Network with peers and share ideas and experiences
- Sustain the gains
- Tell your story

What Does It Involve?

- Process Improvement - A set of coordinated activities to continually improve the efficiency and effectiveness of an organization's ability to meet the mission (NIATx)
- Quality Improvement – Using data for decisions to improve policies and practices, manage changes and create a learning environment to support continuous improvement (CDC)

How Do You Get There?

- Lean Six Sigma
 - Lean: A systematic approach to identifying and eliminating waste with a primary focus on speed. Tools are less technical.
 - Six Sigma: A business management strategy focused on improving outputs by identifying and eliminating causes of defects/errors and minimizing variation and uses a statistical approach to define, measure, analyze, improve and control (DMAIC) processes

LEANOhio<http://lean.ohio.gov/Resources.aspx>

- Lean Six Sigma Methods
- Project Charter Template
- Project Starter Kit
- Facilitation Guide
- Lean Decision Tree
- Metric Guide
- Lean Six Sigma Metrics
- Process Mapping Guide
- Kaizen Events
- 5S Guide
- The 5S Improvement Method
- Toolkit for Quality
- Innovate Before Automate

How Do You Get There?

- NIATx
 - Process improvement model that is quick and simple to use with a focus on improving efficiency, effectiveness, outcomes, customer satisfaction, staff morale, productivity, staff retention, organizational climate and financial bottom line
 - Changes are made by small, incremental steps over time using existing resources at little or no cost

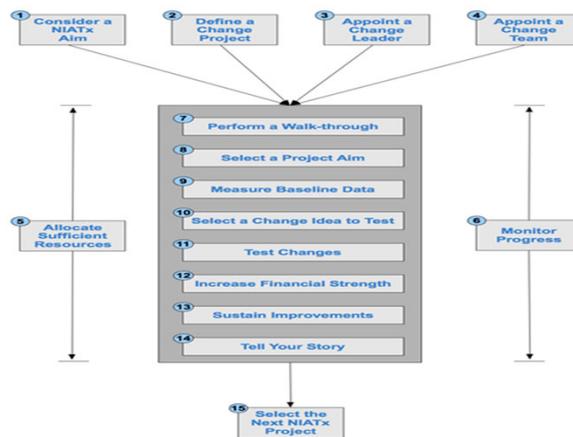
NIATx On A Napkin

<https://www.youtube.com/watch?v=Te3FV1YoE-4>



www.niatx.net

The NIATx Way



Sustainability

- Keeping changes in place is critical – How:
 - Walk-throughs, support and resources
 - Staff involvement, training, communication
 - Positive attitude, commitment and passion
 - Continuous monitoring of data
 - Readjustments and flexibility



Promoting Wellness and Recovery

John R. Kasich, Governor
Tracy J. Plouck, Director

5122-28-04
Consumer Outcomes

5122-28-04 (A)

(A) The purpose of this rule is to ensure that each provider collects data on consumer outcomes in order to improve its ability to provide quality mental health and addiction services.

5122-28-04 (B)

(B) The following definition applies to this rule: "Consumer outcomes" means indicators of health or well-being for an individual or family as measured by statements or observed characteristics of the consumer or family, not characteristics of the system. These measures provide an overall status measure with which to better understand the life situation of a consumer or family.

5122-28-04 (C)

(C) Each provider shall use a system to measure consumer outcomes for children, youth and adults.

(1) Data to be collected shall include:

- (a) Whether treatment plan goals were met; and
- (b) Satisfaction with services.

(2) The frequency of data collection shall be:

- (a) Beginning of services;
- (b) End of services; and
- (c) At intervals as defined in agency policies.

The provider shall include attention to client population and needs in determining the appropriate intervals at which to collect data. The provider may describe different intervals based on varying population characteristics.

5122-28-04 (D)

(D) A service provider may determine when to clinically or administratively discharge a client from provider services, if ever. However, for the purposes of required reporting in accordance with section [5119.61](#) of the Revised Code, a service provider shall report data if requested by the department.

ORC 5119.61

5119.61 Statistics concerning care, treatment and rehabilitation.

(A) The department of mental health and addiction services shall collect and compile statistics and other information on the care and treatment of mentally disabled persons, and the care, treatment, and rehabilitation of alcoholics, drug dependent persons, and persons in danger of drug dependence in this state, including, without limitation, information on the number of such persons, the type of drug involved, the type of care, treatment, or rehabilitation prescribed or undertaken, and the success or failure of the care, treatment, or rehabilitation. The department shall collect information about services delivered and persons served as required for reporting and evaluation relating to state and federal funds expended for such purposes.

ORC 5119.61

5119.61 Statistics concerning care, treatment and rehabilitation.

(B) No alcohol, drug addiction, or mental health services provider shall fail to supply statistics and other information within its knowledge and with respect to its services, upon request of the department.

(C) Communications by a person seeking aid in good faith for alcoholism or drug dependence are confidential, and this section does not require the collection or permit the disclosure of information which reveals or comprises the identity of any person seeking aid.

(D) Based on the information collected and

ORC 5119.61

5119.61 Statistics concerning care, treatment and rehabilitation.

(D) Based on the information collected and compiled under division (A) of this section, the department shall develop a project to assess the outcomes of persons served by community alcohol and drug addiction services providers and community mental health services providers that receive funds distributed by the department.



Promoting Wellness and Recovery

John R. Kasich, Governor
Tracy J. Plouck, Director

5122-28-05 Research and Evaluation Activities

5122-28-05 (A)

(A) The purpose of this standard is to ensure that research and evaluation activities are conducted in an ethical manner, that each participant's rights regarding such activities are respected and protected, and that evaluation activities enhance the overall performance of the provider.

What Is Research?

"Research" means a systematic investigation of phenomena or relationships among variables, guided by existing theory in the behavioral health field, and executed within a rigorous methodological design, such that the results are generalizable and have the potential to yield new knowledge about the causes and prevention of behavioral health problems, the behavioral health needs of special client populations, and the development of effective services.

If our agency is conducting or participating in research, what are we required to do?

5122-28-05 (B)

(B) Research activities shall be evaluated by and adhere to the requirements of an independent institutional review board.

What's An Institutional Review Board?

- A specifically constituted review body established or designated by an entity to protect the rights and welfare of human subjects recruited to participate in biomedical or behavioral or social science research.

Where To Go For More Information On Institutional Review Boards (IRB)

- The Department of Health and Human Services
Office for Human Research Protections:
 - <http://www.hhs.gov/ohrp/index.html>

What Is Evaluation?

Rigorous analysis of completed or ongoing activities that determine or support management accountability, effectiveness, and efficiency.

If our agency is conducting an evaluation of services, what are we required to do?

5122-28-05 (C)

(C) Evaluation activities shall be conducted in accordance with the requirements of a nationally recognized accrediting body, such as the American evaluation association.

Where To Go For More Information On Conducting Program Evaluation

American Evaluation Association:

<http://www.eval.org/>

MHAS Webpage

Webinar Registration Information & Archived Recordings

<http://mha.ohio.gov/Default.aspx?tabid=743>

Rules in Effect Webpage

<http://mha.ohio.gov/Default.aspx?tabid=250>

Certification and Methadone Licensure Applications

<http://mha.ohio.gov/Default.aspx?tabid=259>

Outcomes, PI, Research Contact Info

Sanford Starr, Deputy Director, Office of Quality, Planning and Research

Sanford.Starr@mha.ohio.gov

Kraig Knudsen, Chief, Bureau of Research and Evaluation

Kraig.Knudsen@mha.ohio.gov

Rule Contact Information

Rob Nugen, Supervisor, Licensure and Certification

Robert.Nugen@mha.ohio.gov

Denise Cole, Supervisor, Licensure and Certification

Denise.Cole@mha.ohio.gov

Janel M. Pequignot, Chief, Licensure & Certification

Janel.Pequignot@mha.ohio.gov

Howard Henry, Staff Attorney & MHAS Rules Guru

Howard.Henry@mha.ohio.gov