DRAFT Safe Patient Handling and Mobility (SPHM) National Standards

October 29, 2012

For Posting for Public Comment

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Guidance for Public Comment

The Safe Patient Handling and Mobility (SPHM) National Standards Working Group is seeking public comment on the new multi-disciplinary *Draft National Safe Patient Handling and Mobility Standards.*

The goal of these standards is to provide evidence-based and outcomes-focused standards of care that will be applied by all disciplines across all settings where health care services are provided.

The attached document contains the proposed standards and related definitions. Interpretive statements with specific guidance and examples of implementation strategies will be published later.

The expert panel is interested in your recommendations for refinement, and will especially appreciate comments regarding the following:

- The scope of the standards, specifically, whether they are universal, inclusive, multi-disciplinary and applicable across all practices and population foci
- Whether the standards encompass foreseeable SPHM concerns for all Health Care Recipients, across the Continuum of Care
- Whether the standards will be current over the next five (5) years

Comments must be received by 5pm ET on Friday, November 30th. For questions or technical issues, please email healthyworkenvironment@ana.org.

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Acknowledgements

ANA would like to recognize the members of its multidisciplinary working group:

Mary Bliss, RN, COHN
Assn. of Occupational Health Professionals in Healthcare Board Member
Coordinator of Employee Health Services
Methodist Medical Center
Peoria, Illinois

Colin J. Brigham, CIH, CSP, CPE, CPEA, CSPHP
President
Assn. of Safe Patient Handling Professionals
Vice President
1 Source Safety & Health Inc.

Myrna C. Callison
COL, SPPhD, OTR/L, AEP
OT Consultant to the Army Surgeon General
Assistant Chief, Army Medical Specialist Corps
Occupational Health Sciences Portfolio Executive Officer,
US Army Public Health Command

Mary Carr, RN, MPH
Associate Director for Regulatory Affairs
National Assn. for Home Care & Hospice

Colleen Christopher, OTR
Clinical Consultant, Diligent Services
ArjoHuntleigh Inc.

James W. Collins, PhD, MSME
Associate Director for Science
Division of Safety Research
National Institute for Occupational Safety and Health
Centers for Disease Control and Prevention

Amy Darragh, PhD , OTR/L
American Occupational Therapy Assn. Rep.
School of Health and Rehabilitation Sciences
The Wexner Medical Center
The Ohio State University

Lena L. Deter, RN, MPH, CSPHP
Clinical Consultant
DELHEC, LLC
Educational Services & Consulting

Lynda Enos, RN, MS, CIHN-S, CPE
American Assn. of Safe Patient Handling and Movement Rep.
Certified Professional Ergonomist
Ergonomics/Human Factors Consultant
Human Fit

Guy Fragala, PhD, PE, CSP, CSPHP
Senior Advisor for Ergonomics
Patient Safety Center of Inquiry

Amy Garcia, MSN, RN, CAE
Technical Editor
Independent Consultant
(Former Chief Nursing Officer,
American Nurses Association)

Genevieve Gipson, CNA
National Network of Nursing Assistants Rep.

Ed Hall, MS, CSP
Chief Safety Officer and Senior Director Risk Finance
Stanford University Medical Center

Kenneth J. Harwood, PT, PhD, CIE
American Physical Therapy Assn. Rep.
President, Ken Harwood Consulting

Bill Hirschuber, MA, OTR/L
Ergonomics & Safe Patient Handling Coordinator, Case Manager
Employee Occupational Health & Safety
Park Nicollet Health Services

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Ninica (Niki) Howard, MSc, CPE
Senior Researcher
Safety and Health Assessment and Research for Prevention
SHARP Program, WA Department of Labor and Industries

Dee Kumpar, RN, MBA, CSPHP
Director, Safe Lifting Programs & Services
Hill-Rom

Mary W. Matz, MSPH, CPE, CSPHP
Working Group Chair
National Program Manager, Patient Care Ergonomics
Veterans Health Administration, Office of Public Health
Occ. Health Strategic Healthcare Group

Kelsey L. McCoskey, MS, OTR/L, CPE, CSPHP
Ergonomist
U.S. Army Public Health Command
Army Institute of Public Health

Marsha Medlin, RN
Founder, Coalition for Health Care Worker and Patient Safety
President, Safe Lifting Solutions

Vivian B. Miller, **BA, CPHQ, LHRM, CPHRM, DFASHRM**
Quality, Risk and Compliance Consultant
Washington Hospital Center Outpatient Behavioral Health Services

Mary J. Ogg, MSN, RN, CNOR
Perioperative Nursing Specialist
Assn. of periOperative Registered Nurses

Gail Powell-Cope, PhD, RN, FAAN
Associate Director, VA Patient Safety Center of Inquiry
James A. Haley Veterans Hospital

Ron Romano, RN
American Assn. of Safe Patient Handling and Movement Rep.
Vice President of Professional Services
American Assn. for Long Term Care Nursing

Rich Schleckser, ARM, NEBOSH, CMIOSH, CSPHP
Senior Service Director
Liberty Mutual Insurance Company
Board Member
Association of Safe Patient Handling Professionals

Lori Severson, MS, HEM, ASP
Loss Control Consultant
Lockton Companies, LLC

Barbara Silverstein, PhD, MPH
Research Director
Safety and Health Assessment and Research for Prevention
Washington State Department of Labor and Industries

Deb Spratt, MPA, BSN, RN, CNOR, NEA-BC CRCST, CHL
President
Assn. of periOperative Registered Nurses

Bob Williamson, RN, BSN, MS, CWCP
Director, Associate Safety
Ascension Health

Donna Zankowski, RN, COHN
American Assn. of Occ. Health Nurses Rep.
Occupational Nurse Case Manager
Corporate Health Resources

ANA Staff

Carol Bickford, PhD, RN-BC, CPHIMS
Senior Policy Fellow
Department of Nursing Practice and Policy

Maureen E. Cones, Esq.
Senior Nursing Practice and Association Counsel
Office of General Counsel

Jaime Murphy Dawson, MPH
Senior Policy Analyst
ANA's Center for Health, Safety, and Wellness

Suzy Harrington, DNP, RN, MCHES
Director
ANA's Center for Health, Safety, and Wellness

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Definitions

Ancillary/Support Staff: Individuals whose work provides necessary support to the SPHM Program. This may include staff members from departments such as risk management, safety, infection prevention, environmental services, laundry, bio-medical engineering, facilities, purchasing and contracting.

Assessment of Health Care Recipient: Evaluation of a Health Care Recipient's physical and medical conditions to determine appropriate SPHM strategies specific to the individual, including appropriate patient handling technology and number of staff members required to perform task by a licensed personnel

Care Plan: An individualized Written Health Care Recipient-centered Patient Handling and Mobilization plan of action based on an Assessment or Screening of the assessed Health Care Recipient's needs and goals

Competency: An expected and measurable level of performance that integrates knowledge, skills, abilities, and judgment, based on established scientific knowledge and expectation for practice

Continuum of Care: Health care received by the Health Care Recipient on a continuing basis that is provided from the first point of contact through all phases of care to include ambulatory, acute care, long term care, and home health

Culture of Safety: Core values and behaviors resulting from a collective and sustained commitment by organizational Leaders, Managers and Health Care Workers to emphasize safety over competing goals

Delegation: The transfer of responsibility for the performance of a task from one individual to another while retaining accountability for the outcome

Education: The transfer of information to others in order to raise awareness and increase understanding of the subject. Includes relaying of information during orientation and in-service Education

Employer: The health care organization, agency, system, corporation, business or person(s) that employ or contract with the Health Care Worker, at all levels of the Continuum of Care

Environment of Care: The environment in which care is being provided to the Health Care Recipient In the context of these standards, environments may include hospital, emergency, surgical, acute, rehabilitation, long-term care, assisted living, educational and residential, including group homes, community settings, and individual homes

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Essential Functions: The basic job duties that an Health Care Worker must be able to perform, with or without reasonable accommodation

Handling: The use of the hands and/or assistive devices to perform an activity. Handling may involve either dynamic (movement) activities such as repositioning, lifting/lowering, pushing/pulling, carrying or turning or static (stationary) activities such as holding or supporting

Health Care Recipient: An individual who is receiving health care. In the context of these standards, they are individuals who are receiving health care that involves assistance with Handling and Mobility. This definition is inclusive of patient, clients, residents, students, prisoners and other individuals living in community settings. Patient families and volunteer caregivers are included

Health Care Worker: An individual involved in the provision of care to another individual and who works for the Employer at any level in the continuum of care. Examples of Health Care Workers are nurses, nursing assistants, resident assistants, home health aides, direct care workers working in community settings, occupational therapists, physical therapists, therapy assistants, radiology technologists, morgue personnel, emergency medical technicians, and transporters, physicians, teachers and para-educators

Just Culture: An environment that fosters trust to encourage Health Care Workers to disclose health care errors so that the precursors to errors can be better understood and remedied

Manager/Management: defined for the purpose of these standards as "middle"and frontline management, such as nurse managers, radiology supervisors, charge nurses, operation leaders, who ensure application of leadership policies and procedures

Mobility: Defined for the purpose of these standards as the progressive and active maintenance of or increase in physical activity of a Health Care Recipient with or without assistance of Health Care Worker action and SPHM Technology

Organizational Leader/Leadership: defined for the purpose of these standards as the high level senior organizational Leadership of the Employer such as the chief executive officer, chief financial officer

Patient: see Health Care Recipient

Peer Leader: A staff member who receives special training and then returns to the unit to share knowledge and skills with coworkers. Unit Peer Leaders foster knowledge transfer and forge a direct connection between staff and program goals. (Nelson, A.L., & Fragala, G. (2004))

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Prevention through Design (PtD): A systematized proactive approach to prevent or reduce occupationally related illnesses, fatalities, and exposures by including prevention considerations in all designs that affect individuals in the occupational environment

Return to Work Program: A program designed and administered to return workers who have sustained injuries or illnesses to the work environment as quickly as is medically advisable, thereby minimizing wage loss, preventing service interruption, and speeding recovery

Right of Refusal: The Health Care Worker has the Right to Refuse, in writing, any assignment that places the Health Care Worker or the Health Care Recipient at significant risk for harm. The Health Care Recipient has the Right to Refuse the use of specific treatments or technologies, however, in doing so, the Health Care Recipient may not place the Health Care Worker at risk for harm. These situations should be systematically addressed with assessment of the hazard or perceived hazard, development of an agreed upon plan, implementation and evaluation

Safe Patient Handling and Mobility (SPHM) Program: A formal, systematized program for reducing ergonomic risk for Health Care Workers and Health Care Recipient, while improving the quality of care for Health Care Recipients. A SPHM Program involves support structures and change Management strategies to facilitate use of Patient Handling Technology and fosters a Culture of Safety In the Environment of Care

Screening: Use of a scoring or other system to examine/evaluate the physical and medical conditions of a Health Care Recipient to determine appropriate SPHM strategies specific to the individual, including appropriate patient handling technology and number of staff members required to perform task

Technology: The assistive tools, equipment,and devices used to aid Health Care Workers in performing SPHM tasks, thus minimizing the risk of injury to both the Health Care Recipient and the Health Care Worker

Technology Needs Assessment: An evaluation performed using ergonomic principles and methods to recommend appropriate technology and SPHM strategies on a clinical unit/area basis determined by the Health Care Recipient population characteristics and the physical environment of each specific unit/area

Training: The process of bringing a person to an agreed standard of proficiency by practice and instruction. Include**s** Training provided by the Employer to ensure Health Care Workers are competent

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DRAFT Safe Patient Handling and Mobility (SPHM) National Standards

Standard 1: Create a Culture of Safety

1.1 Employers

Organizational Leaders and Managers will:

1.1.1 Establish a statement of commitment to a Culture of Safety

A written commitment to a culture of safety will be used to guide the organization's priorities, resource allocation, policies and procedures

1.1.2 Establish a blame free or Just Culture Environment

As an alternative to a punitive system, the Organizational Leaders and Managers create an environment that encourages Health Care Workers to report errors, incidents and accidents so that the precursors to errors can be better understood and system issues can be fixed

1.1.3 Provide a system for Right of Refusal

Health Care Workers have the right to accept, reject or object in writing, to any Health Care Recipient assignment that puts Health Care Recipients or themselves at serious risk for harm

1.1.4 Provide safe levels of staffing

A system will be used to determine safe and appropriate caseloads, considering skill and experience of the Health Care Worker, and acuity of the Health Care Recipient

1.1.5 Facilitate interdisciplinary communication about safety

Safety plans and programs will be developed with input from departments and ranks across the organization

1.1.6 Promote safety as a group value

Health Care Workers will be encouraged to report hazards to protect co-workers, patients, families and visitors

1.2 Health Care Workers

Health Care Workers will:

1.2.1 Participate in creating a safe Environment of Care

Health Care Workers will actively participate in safety Training, follow policies and procedures, and communicate hazards

1.2.2 Notify the Employer of hazards, incidents, accidents, and near misses

Health Care Workers will notify the Employer of hazards, incidents and accidents related to SPHM as soon as possible, using Employer's reporting procedures

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Standard 2 Implement and Sustain a SPHM Program

2.1 Employers

Organizational Leaders and Managers will:

2.1.1 Develop and implement a written SPHM program, goals and objectives
The written program will address all eight standards within these multi-disciplinary SPHM Standards

2.1.2 Provide funding to implement and sustain the program
Sustainable funding will be allocated for program components such as personnel, purchase of technology, equipment and supplies, maintenance, infection control, upgrades and replacement, Education and Training

2.1.3 Integrate the SPHM program across the organization
The SPHM program must be interpreted and integrated into every department.

2.1.4 Communicate the importance of the SPHM program to employees
The communication will include SPHM program compliance as a component of the individual performance evaluation

2.1.5 Develop a support structure for program compliance and use of Technology
The organizational structure will include multiple levels of support, such as committees, facility coordinators, Peer Leaders, coaches and subject matter experts

2.1.6 Develop a structure for collaboration around the SPHM program
A multi-disciplinary team will represent all ranks of employees and include representatives of Health Care Recipients for the development, implementation and evaluation of the SPHM program

2.1.7 Promote Technology use
Systems will be developed to promote the consistent use of SPHM Technology

2.2 Health Care Workers

Health Care Workers will:

2.2.1 Participate in the SPHM program
Health Care Workers will actively participate in safety Training and use SPHM technology, and communicate hazards

2.2.2 Follow organizational policies, procedures and individualized Health Care Recipient Care Plans
Health Care Workers will consistently follow organizational policies, procedures and individualized Health Care Recipient Care Plans

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Standard 3 Incorporate Prevention through Design Providing a Safe Environment of Care

3.1 Employers

Organizational Leaders and Managers will:

3.1.1 Provide a safe Environment of Care during new construction and/or renovation design

Construction and/or renovation of health care delivery areas must incorporate review of ergonomic and other safety and health risk factors in order to integrate control of these risk factors into design recommendations

3.1.2 Sustain a safe Environment of Care

Continued application of the principles of Prevention through Design will be used to sustain a safe Environment of Care

3.1.3 Include diverse perspectives about the Environment of Care

Health Care Workers, Ancillary / Support Staff, and representatives of Health Care Recipients are given opportunities to provide input during each step of the design process

3.2 Health Care Workers

Health Care Workers and Ancillary / Support Staff will:

3.2.1 Provide input into the design

Health Care Workers will actively participate and provide input into the design process

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Standard 4 Select, Install, and Maintain SPHM Technology

4.1 Employers

Organizational Leaders and Managers will:

4.1.1 Perform a SPHM Technology Needs Assessment

A team composed of all appropriate ranks and disciplines will perform an initial and then periodic, comprehensive needs assessments to determine which Technology will achieve the objectives of Health Care Recipient's safety, progressive mobility and Health Care Worker safety

4.1.2 Develop a SPHM Technology acquisition plan and introduction schedule

A plan will identify and prioritize the types and amounts of SPHM Technology and accessories needed and when they will be introduced into the facility

4.1.3 Provide opportunities to trial and provide feedback about SPHM technologies

Health Care Workers, Ancillary / Support staff and representatives of Health Care Recipients will participate in the selection process, including opportunities to trial and provide feedback about SPHM technologies

4.1.4 Provide and strategically place SPHM Technology and accessories for accessibility

Sufficient SPHM Technology and accessories will be supplied as needed and strategically placed for accessibility for use

4.1.5 Ensure fixed Technology is safely and appropriately installed

The organization is responsible to ensure manufacturer installations will provide safe patient handling

4.1.6 Establish a system to clean, maintain, repair and upgrade SPHM Technology

Responsibility will be assigned within the organization to ensure that equipment is cleaned, maintained, repaired and upgraded as required; Surveillance of recall notices will include SPHM technology and supplies

4.2 Health Care Workers

Health Care Workers will:

4.2.1 Use the SPHM Technology resources

The Health Care Worker will consistently and correctly use the Technology and accessories

4.2.2 Participate in the Technology Assessment process

The Health Care Worker will engage in the ongoing assessment of Technology needs and problems.

4.2.3 Participate in the selection process

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Health Care Workers from all clinical areas who handle or mobilize Health Care Recipients will participate in the Technology selection process, including opportunities to trial and provide feedback about SPHM technologies

4.2.4 Maintain Competency

Health Care Workers will assume responsibility to stay up to date on evidence based best practices and new SPHM Technology and will maintain Competency

4.2.5 Empower the Health Care Recipient and family to obtain and use safe, clean and appropriate SPHM Technology and supplies

Health Care Workers will provide information, Education and/or Training, and referrals for SPHM technologies.

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Standard 5 Establish a System for Education, Training and Competency

5.1 Employers

Organizational Leaders and Managers will:

5.1.1 Establish an Education and Training system

Establish high quality, initial and ongoing Education and Training to assure evidence based knowledge, skills, and excellence in practice

5.1.2 Include workers from across the continuum of care

Provide comparable and appropriate Education and Training across the continuum of care to Health Care Workers, Leadership and Management, as well as Ancillary / Support Staff

5.1.3 Provide time for employees to participate

Provide time for employees to participate in Education and Training

5.1.4 Provide appropriate Technology and supplies for Education and Training

Ensure Competency with the type(s) of Technology that will be used for Health Care Recipients

5.1.5 Require and document Health Care Worker Competency

Establish a record of demonstrated Competency on a periodic, routine basis

5.1.6 Provide time and sources for Education of Health Care Recipients

Provide time and resources for Health Care Workers to educate Health Care Recipients, family and/or volunteer care givers

5.2 Health Care Workers

Health Care Workers will:

5.2.1 Actively establish and sustain Competency

Demonstrate the ability to safely handle and mobilize Health Care Recipients using evidence based practice and Technology

5.2.2 Engage and educate the Health Care Recipient regarding SPHM

Health Care Recipients will be responsible to stay up to date on skills and evidence based best practices

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Standard 6 Incorporate Health Care Recipient Centered Assessment, Care Planning, and Use of Technology

6.1 Employers

Organizational Leaders and Managers will:

6.1.1 Require initial and ongoing Health Care Recipient Assessment for SPHM

Policy and procedure will define the frequency of, and the employees who can perform, Assessments, Screenings and documentation

6.1.2 Include SPHM in individualized Care Plans

The individual Care Plan will specify procedures, Technology, supplies and parameters for use

6.1.3 Require documentation of non-compliance with the Care Plan that requires Technology

A system will be developed to clearly communicate when a SPHM plan is in place and Health Care Workers will be required to document deviation from the plan and rationale

6.1.4 Provide a system to resolve Health Care Recipients refusal of the use of SPHM Technology

A system will be developed to address the issue of the Health Care Recipient who refuses the use of SPHM Technology; Alternative SPHM Technology will be offered

6.2 Health Care Workers

Health Care Workers will:

6.2.1 Perform initial and ongoing assessment of Mobility

Licensed Health Care Workers will perform Assessments of mobility per organizational policy

6.2.2 Communicate with the Health Care Recipient

Re-evaluate progress and update the plan regularly; A system will be used to clearly communicate SPHM requirements of the Care Plan, particularly at transitions across the Continuum of Care

6.2.3 Delegate care tasks in a safe manner

The licensed Health Care Worker will ensure that tasks related to SPHM are Delegated to individuals with the knowledge and skills to perform those tasks

6.2.4 Ensure a Continuum of Care

Health Care Workers will develop and communicate discharge plans that consider limitations of the Health Care Recipient

6.2.5 Acknowledge the Health Care Recipients' Right to Refuse the use of SPHM Technology

Health Care Workers will acknowledge, and inform Health Care Recipients' of the right to refuse the use of SPHM Technology and will problem solve, document, and offer alternative technologies

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Standard 7 Include SPHM in Reasonable Accommodation and Post Injury Return to Work

7.1 Employers

Organizational Leaders and Managers will:

7.1.1 Identify high risk tasks

Utilize the existing body of knowledge or other evidence based methods to determine the physical demands of the Essential Functions of high risk tasks involving SPHM

7.1.2 Reduce the physical requirements of high risk tasks through SPHM Technology

Reduce the hazard by modifying the physical demand of the high risk task through the use of SPHM Technology

7.1.3 Facilitate the employment of differently abled workers

Consider the use of SPHM procedures and Technology as a reasonable accommodation for otherwise qualified Health Care Workers

7.1.4 Facilitate early return to work following injury

Establish a formal Return-to-Work plan following injury; Use SPHM procedures and Technology as a strategy for meeting and honoring work restrictions placed by the treating medical professional

7.2 Health Care Workers

Health Care Workers will:

7.2.1 Notify the Employer of documented physical limitations

Notify the Employer regarding temporary or permanent impairments which limit the ability to handle and mobilize Health Care Recipients; provide written documentation from a treating medical provider as required

7.2.2 Participate in the Return-to-Work plan

Following injury, actively participate the workers compensation, medical and/or rehabilitation plan

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Standard 8 Establish a Comprehensive Evaluation Program

8.1 Employers

Organizational Leaders and Managers will:

8.1.1 Establish an evaluation system for the SPHM Program

Establish a comprehensive evaluation system that includes qualitative and quantitative measures of processes and outcomes, that are assessed on a regular basis

8.1.2 Identify a variety of data sources and measures

Identify a variety of measures and data sources that assess the goals and objectives of the SPHM program, the processes implemented during program development, selected program outcomes and all eight SPHM Standards; Include the perspectives of Health Care Workers, Support / Ancillary Staff and Health Care Recipients

8.1.3 Utilize evidence based methods for data collection and analysis

Establish and maintain a consistent and evidenced based data collection and analysis system that tracks and analyzes SPHM program element effectiveness, and injuries and costs related to SPHM

8.1.4 Disseminate findings

Establish a process for continuous and periodic reporting by Organizational Leadership and Managers with dissemination of results to Health Care Workers, Ancillary / Support Staff

8.1.5 Develop a plan for quality improvement and remediation of deficiencies

Develop, resource and implement a plan or activities to remediate any identified deficiencies, within a reasonable timeline

8.1.6 Comply with the law and ethical, privacy and other policies

Assure that all communication regarding the SPHM Program is consistent with applicable federal and state law and institutional ethical, privacy and other legal policies

8.2 Health Care Workers

Health Care Workers will:

8.2.1 Assist with data collection

Actively participate in the collection of data using methods to assure the accuracy and integrity of the results; The type and level of data collected will be determined by the job position and role within the SPHM program

8.2.2 Comply with the law and ethical, and other policies

Assure that all communication regarding the SPHM Program is consistent with applicable federal and state law and institutional ethical, privacy and other legal policies

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