What's New for 2016

New or revised content for 2016 is identified by underlined text.

Changes effective August 1, 2016

All Programs – Removed all references to the Customer Value Assessment as this tool has been discontinued effective August 1, 2016.

All Programs – Removed all references to the electronic Statement of Conditions (eSOC), Plans for Improvement (PFIs), and Equivalencies “granted by the Joint Commission” – these are no longer required as part of the accreditation process.

Hospital - The Medical Record Statistics Form is no longer applicable to the Hospital Accreditation program – the standard this form was associated with has been retired as of July 1, 2016. PLEASE NOTE: The form continues to appear in the Survey Activity Guide as the standard is still in effect for the Critical Access Hospital Accreditation program.

Hospital and Critical Access Hospital Accreditation Programs Document List – Three new documents have been added to the list.

Changes effective January 1, 2016

Ambulatory Care – No changes

Behavioral Health Care – Document List updated

Hospital – No changes

Critical Access Hospital – No changes

Home Care – No changes

Laboratory

- Document List updated
- Orientation to Organization, Individual Tracer and Regulatory Review activities will also include the topic of Individual Quality Control Plans

Nursing Care Center – Document List updated
How to Use this Guide

The Joint Commission's Survey Activity Guide is available on your organization’s extranet site.

This guide contains:
- Information to help you prepare for survey
- An abstract of each survey activity that includes logistical needs, session objectives, an overview of the session, and suggested participants
- Sessions are listed in the general order that they are conducted.

A template agenda and a list of survey activities that occur during an onsite visit are posted to your organization’s Joint Commission Connect extranet site in proximity to the time your application is received and reviewed. When the template agenda and survey activity list is available, please download and review the activities and think about the people you might like to have involved. The activity list includes a column in which you can record participant names or positions next to each of the sessions. Identifying key participants (and their phone numbers) for each session, including back-ups, is important. Consider including possible meeting locations and surveyor workspace in your planning documents. Reference the sessions in this Survey Activity Guide and learn more about what you can expect to occur during the activity.

The template agenda and activity list includes suggested duration and scheduling guidelines for each of the activities. On the first day of survey, there will be an opportunity for you to collaborate with the surveyor in preparing an agenda for the visit that is considerate of your day-to-day operations.

**Please Note:** Not all of the activities described in this guide are included in the activity list or on the agenda template. Many of the accreditation program-specific activities are designed to take place during individual tracer activity. Surveyors will incorporate these into the onsite survey when they are applicable to your organization.

For complex organizations (being surveyed under more than one accreditation manual or for more than one service under one accreditation manual), you will receive an activity list and agenda template for each of the programs being surveyed (e.g., hospital, home care, long term care). Include an organization contact name and phone number for each program, as well as, names or positions and phone numbers of activity participants from all of the programs on these activity lists. Identify when it would be most effective to conduct an activity with all programs present (e.g., Leadership, Daily Briefing, and System Tracer--Data Management) and suggest this to the surveyors when they arrive.

For multiple services being surveyed under a single accreditation program, be sure to include contact names and phone numbers from all of your organization’s services. For example, Home Care might have the following services: Home Health, Hospice, Personal Care /Support Services, Home Medical Equipment, or Pharmacy.

Finally, please recognize that this Survey Activity Guide is created for small and large organizations. Some organizations will have one surveyor while others will have multiple surveyors. If you have any questions about the number of surveyors who will arrive at your site, please contact your Account Executive. If you are unsure of your Account Executive’s name or phone number, call the Joint Commission switchboard operator at 630-792-3007 for assistance.
Key: The following abbreviations are used throughout this Guide to identify specific accreditation programs and the survey activities applicable to the program.
- All – All programs (All accreditation programs listed below)
- AHC – Ambulatory Health Care (surveyed from the Comprehensive Accreditation Manual for Ambulatory Health Care and not the Hospital Accreditation Manual)
- BHC – Behavioral Health Care
- CAH – Critical Access Hospitals
- HAP – Hospital
- LAB – Laboratory
- NCC – Nursing Care Centers (previously Long Term Care or Nursing and Rehabilitation Centers)
- OBS – Office-Based Surgery
- OME – Home Care
- HME – Home Medical Equipment

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¹ Only applies to Federal Bureau of Primary Health Care programs

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¹ Applies to the following types of programs: Addictions, Children & Youth, Developmental Disabilities, Foster/Therapeutic Foster Care, Group Homes, Mental Health, and Residential Treatment
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\(^1\) -- Applies to Post-Acute Care Optional Certification surveys ONLY

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<td>Life Safety Code® Building Assessment&lt;sup&gt;4&lt;/sup&gt;</td>
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</tr>
<tr>
<td>Organization Exit Conference</td>
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</tbody>
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1- Only applies to Home Medical Equipment (HME) programs
2- Applies to the following programs: Home Health/Personal Care, HME, and hospice
3- Only applies to Medicare Certified Home Health
4- Only applies to Inpatient Hospice programs
Preparing for Surveyor Arrival

Overview
The surveyors arrive unannounced or with short notice for most surveys. Please consult the program accreditation manual, “The Accreditation Process chapter”, “Unannounced Surveys” section, for more information about exceptions to the unannounced survey process. Changes to these exceptions may occur at any time and are published in the Joint Commission newsletter Perspectives.

Comments received from staff in accredited organizations indicate that a planned approach for the surveyor’s arrival allows them to feel calmer and more synchronized with the survey. Whether the surveyor arrival is announced or unannounced, the first hour of the surveyor’s day is devoted to planning for your survey activities. This planning requires review of specific documents provided by your organization which can be found on the Document Lists for each accreditation program in the pages that follow. If these documents are not available when the surveyors arrive, they immediately begin to evaluate the care, treatment, or services provided to one of your patients/residents/individuals served through an individual tracer.

Preparing for Survey
Prepare a plan for staff to follow when surveyors arrive. The plan should include:

- Greeting surveyors: Identify the staff usually at the main entrance of your organization. Tell them about The Joint Commission and educate them about what to do upon the arrival of surveyors. Explain the importance of verifying any surveyor’s identity by viewing their Joint Commission identification badge. This badge is a picture ID.
- Who to notify upon their arrival: Identify leaders and staff who must be notified when surveyors arrive. Create a list of names, phone numbers, or cell phone numbers. Also, include the individual who will be the surveyor’s “contact person” during the survey. Identify alternate individuals in the event that leaders and staff are unavailable.
- A location for surveyors: Ask surveyors to wait in the lobby until an organization contact person is available. Surveyors will need a location that they will call their “base” throughout the survey. This location should have a desk or table, electrical outlet, phone access, and internet access.
- Validation of survey: Identify who will be responsible for the validation of the survey and the identity of surveyors. Identify the steps to be taken for this process. (See Surveyor Arrival Session for these steps.)
- Readiness Guide and Accreditation Program-specific Document Lists: The Guide is created for you to use as a planning tool and can be included with your survey plan. The document list portion of the Readiness Guide now appears as six separate lists specific to each accreditation program. Your organization should be prepared to have documents available for each program for which you are seeking accreditation. These documents should be given to surveyors as soon as your organization validates their identity. If this information is not immediately available for surveyors at the Surveyor Preliminary Planning Session, they will begin the survey with an individual tracer.
- Identifying who will serve as escorts for the surveyors.

*All CMS deemed surveys or surveys conducted for CMS recognition are unannounced.*

Applicable Programs
All Programs
• Identifying who will assist the surveyors with review of electronic records of care, if applicable to your organization; surveyors may ask to print some components of the record in order to facilitate tracer activity and subsequent record review.

Note: When a situation is identified that could be a threat to health and safety, surveyors contact the Joint Commission administrative team. The Joint Commission either sends a different surveyor to investigate the issue or the surveyor on site will be assigned to conduct the investigation. Investigations include interviews, observation of care, treatment and service delivery and document review. Your cooperation is an important part of this process. Surveyors collaborate with the Joint Commission administrative team and outcomes will be communicated to your organization when a determination is reached.
**Readiness Guide**

<table>
<thead>
<tr>
<th>Actions to take when surveyor arrives</th>
<th>Responsible Staff</th>
<th>Comments:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Greet surveyor(s)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Verify identity</td>
<td>Look at picture ID to ensure they are from the Joint Commission</td>
<td></td>
</tr>
<tr>
<td>Ask them to wait</td>
<td>Location:</td>
<td></td>
</tr>
<tr>
<td>Validate authenticity of survey</td>
<td>Contact: _____________ (this individual has a user ID and password to access the organization’s Joint Commission extranet site) Phone number: _____________</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** Please download the entire Survey Activity Guide for additional information on how to prepare for survey

Document Lists and Survey Activity Lists for each accreditation program appear on the pages that follow. These lists are intended for use with the Survey Activity Guide.

**Survey Planning and Readiness Notes:**

1. Please review the Program-Specific Survey Activity List to assist you in preparing for your survey. The list includes the potential survey activities that can occur on an accreditation survey, including the suggested duration, and suggested timing for these activities. This information will allow your organization to begin identifying participants that need to be involved in the survey. The activity list includes a column for your organization to use for recording participant names, possible meeting locations, times that could conflict with participant availability, or any other notes.

2. If more than one of your programs is being surveyed by The Joint Commission at the same time, please consider the following in your survey readiness plans:
   - Making available as many of the materials noted on the applicable program-specific document list at the organization’s primary location for the Surveyor Arrival and Preliminary Planning Session. (Note: This does not apply to the Laboratory) Program.
   - Arrangements to have a staff representative from each applicable program available in-person or by phone for the Opening Conference and Orientation to the Organization session.

Please work with your surveyor(s) to confirm the best day and time for specific survey activities to take place.

Contact your Account Executive with any questions related to this information.
Ambulatory Care Accreditation Program
Office-Based Surgery Accreditation Program
Document List

As an Ambulatory Care or Office-Based Surgery organization, you will need the following information and documents available for the surveyor to review during the Preliminary Planning Session and Surveyor Planning Session, which occurs on the first day of survey.

Note: The 12-month reference in the following items is not applicable to initial surveys.

- Performance / Quality Improvement Data from the past 12-months
- Infection Control surveillance data from the past 12-months
- Infection Control Plan
- Environment of Care data
- Environment of Care management plans and annual evaluations
- Environment of Care team meeting minutes for the 12-months prior to survey
- An organization chart
- A map of the organization, if available
- List of all sites that are eligible for survey (AHC only, as applicable)
- List of locations where services are provided, including anesthetizing locations (AHC only, as applicable)
- List of sites where high-level disinfection and sterilization is in use
- Any reports or lists of patient appointment schedules or surgery schedules for each day of the survey
- A list of contracted services
- Name and extension of key contacts who can assist surveyors in planning tracer selection

For Ambulatory Surgery Center (ASC) Deemed Status surveys:
- List of surgeries from the past six months
- List of cases in the past 12-months, if any, where the patient was transferred to a hospital or the patient died
  (Note: The 12-month time frame for this data applies to all ASC organizations seeking deemed status, whether undergoing a Joint Commission initial survey or resurvey.)
- Documents related to the infection control program (e.g., description, policy, procedures, surveillance data)

For Bureau of Primary Health Care (BPHC) surveys:
- Health Center’s responses to the “Health Center Self-Report Tool for BPHC Program Expectations,” if the organization completed one (optional as of April, 2012)
- List of Board of Directors membership, including the user/patient/consumer status, occupational/areas of expertise, geographic location, and special population representation
- Board minutes (past 12 months on all surveys); annual Uniform Data System (UDS) report
- Most recent BPHC Notice of Grant Award (with any conditions or management assessment items)
- Items from most recent BPHC Grant Application: Health Care Plan, Scope of Services; Overall Summary (if available)
- Health Center’s bylaws, strategic plan, and needs assessment

Please note that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
<th>Key Organization Participants (Refer to Survey Activity Guide for more info.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveyor Arrival and Preliminary Planning</td>
<td>30-60 minutes</td>
<td>1st day, upon arrival</td>
<td></td>
</tr>
<tr>
<td>Opening Conference</td>
<td>15 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Orientation to Organization</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Surveyor Planning</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Individual Tracer</td>
<td>60-120 minutes</td>
<td>Individual Tracer activity occurs throughout the survey; the number of individuals who surveyors trace varies by organization</td>
<td></td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Team Meeting/Surveyor Planning</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except last</td>
<td></td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>15-30 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Competence Assessment and Credentialing &amp; Privileging</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Environment of Care and Emergency Management</td>
<td>45-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>System Tracer – Data Management</td>
<td>30-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization. If this is the only system tracer taking place during survey, the topics of Infection Control and Medication Management will be covered in this discussion.</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td>60 minutes</td>
<td>Towards the middle or end of survey at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60-120 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30 minutes</td>
<td>Last day, final activity of survey</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** The following activities may be incorporated into the survey agenda as noted under the Suggested Scheduling of Activity column.

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>Life Safety Code Building Assessment</td>
<td>45-90 minutes</td>
<td>Occurs on all Ambulatory Surgery Center deemed status surveys; occurs on surveys where four or more</td>
</tr>
<tr>
<td>Activity Name</td>
<td>Suggested Duration of Activity</td>
<td>Suggested Scheduling of Activity</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>System Tracer – Infection Control</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; topic may be covered during the Data Management system tracer depending on the length of survey</td>
</tr>
<tr>
<td>System Tracer – Medication Management</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; topic may be covered during the Data Management system tracer depending on the length of survey</td>
</tr>
<tr>
<td>Bureau of Primary Health Care Surveys only – Governance Discussion</td>
<td>45-60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
</tr>
<tr>
<td>Bureau of Primary Health Care Surveys only – Clinical Leadership &amp; Staff Discussion</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
</tr>
</tbody>
</table>
Behavioral Health Care Accreditation Program
Document List

As a Behavioral Health Care organization accredited under the Accreditation Manual for Behavioral Health Care, you will need the following information and documents available for the surveyor to review during the Preliminary Planning Session and Survey Planning Session which occurs on the first day of survey.

Note: The 12-month reference in the following items is not applicable to initial surveys.

- Organization Chart, if available
- Contact person who will assist the surveyor(s) during survey (name, phone number, extension)
- Map of your organization, if applicable/available
- Results of data analysis
  - Performance improvement projects
  - Infection Control
  - Environment of Care (e.g., fire drill critiques, reports of injuries to individuals served, occupational illnesses and staff injuries, property damage or security incident reports, environmental monitoring for deficiencies, hazards or unsafe practices)
  - Emergency Management Plan and evaluations of exercises and responses to actual emergencies
- Lists of individuals served by program/service with diagnosis or condition
- Reports or recommendations from external authorized agencies, such as accreditation, certification, or regulatory bodies and annual objective evaluation of organization’s financial ability to provide care, treatment or services. Regulatory body reports include, but are not limited to licensing reports and local/state fire inspections.

For organizations that elect the Behavioral Health Home (BHH) Certification option
- Health screening policy with triggers
- Policy on performing assessments
- Treatment planning policy
- Brochure/information on BHH services for individuals served
- If EHR system in use, evidence of certification

Please note that this is not intended to be a comprehensive list of documentation that may be requested during the survey. The surveyor(s) may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
### Behavioral Health Care Accreditation Survey Activity List

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
<th>Key Organization Staff (Refer to Survey Activity Guide for more info.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveyor Arrival and Preliminary Planning</td>
<td>30 minutes</td>
<td>1st day, upon arrival</td>
<td></td>
</tr>
<tr>
<td>Opening Conference</td>
<td>15 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Orientation to Organization</td>
<td>45 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Surveyor Planning Initial</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Individual Tracer</td>
<td>60-120 minutes</td>
<td>Individual Tracer activity occurs throughout the survey; the number of individuals served that surveyors trace varies by organization. If travel is required to perform tracer activity it will be planned into this time.</td>
<td></td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Team Meeting/Surveyor Planning</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except last</td>
<td></td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>30 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Competence Assessment</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred</td>
<td></td>
</tr>
<tr>
<td>Environment of Care and Emergency Management</td>
<td>60-90 minutes</td>
<td>After some individual tracer activity has occurred</td>
<td></td>
</tr>
<tr>
<td>System Tracer – Data Management</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred at a time negotiated with the organization. If this is the only system tracer taking place during survey, the topics of Infection Control and Medication Management will be covered in this discussion.</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td>60 minutes</td>
<td>Towards the middle or end of survey at time negotiated with organization</td>
<td></td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60-90 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>Interim Exit</td>
<td>30 minutes</td>
<td>Last activity on last day of survey on surveys occurring simultaneously with other program surveys, e.g., hospital</td>
<td></td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30 minutes</td>
<td>Last day, final activity of survey</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** The following activities may be incorporated into the survey agenda as noted under the Suggested Scheduling of Activity column.

<p>| Life Safety Code Building Assessment | 60 minutes | Only takes place on surveys when the behavioral health |</p>
<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
<th>Key Organization Staff (Refer to Survey Activity Guide for more info.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>care organization is subject to compliance with the Life Safety Code standards. See the Accreditation Manual for Behavioral Health Care, Life Safety chapter Overview, Applicability of the Standards section. If required, occurs at a time negotiated with organization</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foster Parents Group Meeting</td>
<td>60 minutes</td>
<td>Only applicable to organizations providing Foster Care services; At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Foster/Therapeutic Foster Family Home Visit</td>
<td>60-90 minutes</td>
<td>Only applicable to organizations providing Foster Care services; At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>System Tracer – Infection Control</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred; topic may be covered during the Data Management system tracer depending on the length of survey</td>
<td></td>
</tr>
<tr>
<td>System Tracer – Medication Management</td>
<td>60 minutes</td>
<td>Only occurs if the organization is responsible for any of the critical medication processes. Takes place after some individual tracer activity has occurred. Topic may be covered during the Data Management system tracer depending on the length of survey</td>
<td></td>
</tr>
</tbody>
</table>
Hospital Accreditation Program
Critical Access Hospital Accreditation Program
Document List

As a Hospital, you will need the following information and documents available for the surveyor to review during the Preliminary Planning Session and Surveyor Planning Session, which occurs on the first day of survey.

In addition to the documents noted below, please be prepared to provide the Life Safety Surveyor, upon arrival, the documents found on the Life Safety and Environment of Care Document List and Review Tool, which is located later in this Guide.

*Note: The 12-month reference in the following items is not applicable to initial surveys.*

1. Hospital license
2. CLIA Certificates
3. An organization chart
4. Name of key contact person who can assist surveyors in planning tracer selection
5. A map of the organization, if available
6. List of all sites that are eligible for survey
7. List of sites where deep or moderate sedation is in use
8. List of sites where high-level disinfection and sterilization is in use
9. List of departments/units/areas/programs/services within the organization, if applicable
10. List of patients that includes: name, location, age, diagnosis and length of stay, admit date, source of admission (ED, direct admit, transfer)
11. Lists of scheduled surgeries and special procedures, e.g. cardiac catheterization, endoscopy lab, Electroconvulsive Therapy, Caesarian Sections, including location of procedure and time
12. List of unapproved abbreviations
13. List of all contracted services
14. Agreement with outside blood supplier *(Not applicable to Critical Access Hospitals unless they operate Rehab and Psych Distinct Part Units)*
15. Organ Procurement Organization agreement
16. Tissue and Eye Procurement Organization agreement
17. Organ, tissue and eye procurement policies
18. Performance improvement data from the past 12 months
19. Documentation of performance improvement projects being conducted, including the reasons for conducting the projects and the measurable progress achieved (this can be documentation in governing body minutes or other minutes)
20. Patient flow documentation: Dashboards and other reports reviewed by hospital leadership; documentation of any patient flow projects being conducted (including reasons for conducting the projects); internal throughput data collected by emergency department, inpatient units, diagnostic services, and support services such as patient transport and housekeeping
21. Analysis from a high risk process
22. Organ donation and procurement conversion rates (Hospital)
23. Environment of Care data
24. Environment of Care Management Plans and annual evaluations
25. Environment of Care multidisciplinary team meeting minutes for the 12 months prior to survey
26. Emergency Operations Plan (EOP) and annual evaluation
27. Hazard Vulnerability Analysis
28. Emergency management drill records and after action reports
29. Written fire response plan
30. Interim Life Safety Measure policy
31. Fire drill evaluations
Hospital & Critical Access Hospital Accreditation Document List

32. Infection Control Plan
   - Annual risk assessment and Annual Review of the Program
   - Assessment-based, prioritized goals
33. Infection Control surveillance data from the past 12 months
34. Medical Staff Bylaws and Rules and Regulations
35. Medical record delinquency data (Critical Access Hospitals only)
36. Medical Executive Committee meeting minutes
37. The organization's signed and dated agreement with the QIO; in the absence of an agreement with a QIO, the organization's Utilization Review plan (Not applicable to Critical Access Hospitals unless they operate Rehab and Psych Distinct Part Units)
38. Governing Body minutes for the last 12 months
39. Autopsy policy
40. Blood transfusion policy
41. Complaint/grievance policy
42. Restraint and seclusion policy
43. Waived testing policy and quality control plan
44. ORYX data – (required only for very small hospitals exempt from submitting this data through vendors)
45. Available regulatory reports (CMS, State)
46. Medication management policy (which defines what is a complete medication order and therapeutic duplication)
47. Abuse and neglect policy for inpatient, and ambulatory sites, if applicable
48. Fall risk assessment and policy

Please note that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may ask, on an as needed basis, to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
<table>
<thead>
<tr>
<th>Survey Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
<th>Organization Participants (Refer to Survey Activity Guide for more info.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveyor Arrival and Preliminary Planning</td>
<td>30-60 minutes</td>
<td>1st day, upon arrival</td>
<td></td>
</tr>
<tr>
<td>Opening Conference and Orientation to the Organization</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Surveyor Planning Initial</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Individual Tracer</td>
<td>60-120 minutes</td>
<td>Individual Tracer activity occurs each day throughout the survey; the number of individuals that surveyors trace varies by organization. If travel is required to perform tracer activity (e.g., to an outpatient setting), it will be planned into this time.</td>
<td></td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Team Meeting/Surveyor Planning</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except first and last</td>
<td></td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>30-45 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Competence Assessment</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Medical Staff Credentialing &amp; Privileging</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Environment of Care</td>
<td>60-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Emergency Management</td>
<td>60-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>System Tracer − Data Management</td>
<td>60-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization. If this is the only system tracer taking place during survey, the topics of Infection Control and Medication Management will be covered in this discussion.</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td>60 minutes</td>
<td>Towards the middle or end of survey at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60-120 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15-30 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30-45 minutes</td>
<td>Last day, final activity of survey</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** The following activities may be incorporated into the survey agenda as noted under the Suggested Scheduling of Activity column.

| System Tracer − Infection Control                        | 60 minutes                     | Occurs on surveys greater than three days in duration. After some individual tracer activity has   |                                                                           |
## Hospital & Critical Access Hospital Accreditation Survey Activity List

### Survey Activity Name
- **System Tracer – Medication Management**
- **Interim Exit – w/ early departing surveyors & Org.**

### Suggested Duration of Activity
- **System Tracer – Medication Management**: 60 minutes
- **Interim Exit – w/ early departing surveyors & Org.**: 30 minutes

### Suggested Scheduling of Activity
- **System Tracer – Medication Management**: Occurs on surveys greater than three days in duration. After some individual tracer activity has occurred; at a time negotiated with the organization.
- **Interim Exit – w/ early departing surveyors & Org.**: At the end of any day another program surveyor or Life Safety Code Specialist is departing from the survey in advance of the team.

### Life Safety Code® Survey Activity

<table>
<thead>
<tr>
<th>Activity</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Life Safety Code Specialist Arrival and Preliminary Planning Session</td>
<td>30 minutes</td>
<td>LSCS survey 1st day, early</td>
</tr>
<tr>
<td>Facility Orientation/ Maintenance Document Review</td>
<td>60-90 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Life Safety Code® Building Assessment</td>
<td>2 - 5 hours per day</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Facility Maintenance / Document Review (Critical Access Hospital ONLY)</td>
<td>60-90 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Environment of Care &amp; Emergency Management (Critical Access Hospital ONLY)</td>
<td>60-90 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Facility Tracer / Issue resolution (Critical Access Hospital ONLY)</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60 minutes</td>
<td>Towards the end of last day of survey</td>
</tr>
<tr>
<td>Interim Exit</td>
<td>30 minutes</td>
<td>Last activity on last day of survey</td>
</tr>
</tbody>
</table>

### California Hospital – Unique Survey Activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDPH – System Tracer – Medical Staff Functions/Regulatory Review</td>
<td>60 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>IMQ – System Tracer – Medical Staff Leadership</td>
<td>60 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>CDPH – System Tracer – Dietetic Service and Food Service Visit</td>
<td>60 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>CDPH – System Tracer – Pharmaceutical Services and Clinical Unit Inspection</td>
<td>60 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
</tbody>
</table>
Laboratory Accreditation Program
Document List

As a Laboratory, you will need the following information and documents available for the surveyor to review during the Surveyor Planning Session which occurs on the first day of survey:

Note: The 24-month reference in the following items is not applicable to initial surveys, except for proficiency data. For initial surveys, a minimum of 4 months of data must be available for review.

- Name of key contact person who can assist surveyors in planning tracer selections
- CLIA Certificates, Specialties and Subspecialties, State Licenses, and personnel licenses or certification if required by the state or the policy of the organization. (Needed for Regulatory Review)
- An organizational chart and map of the facility
- Ability to retrieve testing records for patients who have had laboratory tests or other services for the past 24 months
- Performance Improvement Data for the past 24 months
- Proficiency data by CLIA number for the past 24 months (required for initial and resurveys)
- Results of periodic laboratory environment inspections from the safety committee or safety officer and manifests for disposal of hazardous waste
- Emergency Operations Plan, and evaluations of exercises and responses to actual emergencies
- A list of specialties and subspecialties performed by the laboratory, a list of tests performed (e.g. the test menu) and major instruments used by the laboratory service, including all other ancillary and point-of-care sites performing laboratory tests
- Correlations and Calibration Verifications for the past two years
- A list of new instruments and new tests that have been implemented in the past two years and their validation studies
- List of all testing personnel qualifications, hire date, training & competency records
- Errors/accidents/nonconformances/complaints
- Internal and external audits/assessments
- Temperature and QC records including EQC and attempts at IQCP
- List of critical equipment/supplies and maintenance records Policies, processes, and procedures
- A list of tests that do not use proficiency testing for accuracy and precision for verification
- The normal patient prothrombin time mean for your current lot of thromboplastin reagent
- The international sensitivity index (ISI) value specific to the lot of thromboplastin reagent in use
- IQCP documentation for all applicable test systems
- In cases where IQCP was discontinued, risk assessment documentation for the past 24 months
- State of Florida surveys: Laboratories should complete the Clinical Laboratory Personnel Roster form in advance of the on-site visit (the form is available on the organizations secure Joint Commission Connect extranet site under the Survey Process tab, Laboratory Tools)

Please note that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
# Laboratory Accreditation Survey Activity List

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening Conference</td>
<td>15 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, as early as possible</td>
</tr>
<tr>
<td>Orientation to Organization</td>
<td>30-45 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, as early as possible</td>
</tr>
<tr>
<td>Surveyor Planning Initial</td>
<td>30-45 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, as early as possible</td>
</tr>
<tr>
<td>Tracer Activity</td>
<td>60-120 minutes</td>
<td>Tracer activity occurs throughout the survey; the amount of tracer activity varies by organization</td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
</tr>
<tr>
<td>Team Meeting/Surveyor Planning</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except last when more than one surveyor on site</td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>15-30 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
</tr>
<tr>
<td>Competence Assessment</td>
<td>60 minutes</td>
<td>Topic is explored during Tracer Activity</td>
</tr>
<tr>
<td>Proficiency Testing</td>
<td>90-120 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, must occur immediately after Regulatory Review</td>
</tr>
<tr>
<td>Validation/Performance</td>
<td>90-120 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, must occur immediately after Regulatory Review</td>
</tr>
<tr>
<td>Improvement Data Review</td>
<td>90-120 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, must occur immediately after Regulatory Review</td>
</tr>
<tr>
<td>Regulatory Review</td>
<td>30 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day; must occur before or just after Surveyor Planning Session</td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60-90 minutes</td>
<td>Last day of survey</td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15 minutes</td>
<td>Last day of survey</td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30 minutes</td>
<td>Last day, final activity of survey</td>
</tr>
</tbody>
</table>

NOTE: Regulatory review may be extended for laboratories performing IQCP to provide adequate time for document review.
Nursing Care Center (NCC) Accreditation Program
Document List

As a Nursing Care Center, you will need the following information and documents available for the surveyor to review during the Preliminary Planning Session and Survey Planning Session, which occurs on the first day of survey.

**Note:** The 12-month reference in the following items is not applicable to initial surveys.

- Organization Chart
- Contact person who will assist the surveyor during survey: Name and phone extension
- Map of your organization, if available
- List of sites where high-level disinfection and sterilization is in use, when applicable
- List of staff members on the interdisciplinary team, and when the team meets
- List of patients/residents discharged in the last 48 hours
- Facility Level Quality Measure Report, most current
- Resident Level Quality Measure Report (also known as CMS Form 802)
- Patient/resident treatment schedules
- Performance Improvement data from the past 12 months, including your proactive risk assessment
- Infection Control Plan, including risk assessment
- Environment of Care Plan
- Emergency management hazard vulnerability analysis (HVA)
- Emergency Operations Plan and evaluations of exercises and responses to actual emergencies
- Evaluations and results of the organization’s culture of person-centered care

**For Nursing Care Centers that elect the Post-Acute Care Certification option**

The following additional documents will need to be available for the surveyor:
- List of patient or resident discharges within the past 30 days
- List of patients or residents readmitted to the hospital within the past 90 days

**For Nursing Care Centers that elect the Memory Care Certification option**

The following additional documents will need to be available for the surveyor:
- Performance Improvement data from the past 12 months related to psychotropic medication use
- Activity calendar for past 3 months
- Nurse staffing schedule (RN, LPN, CNA) for past 3 months

**Please note** that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
### Nursing Care Center Accreditation Survey Activity List

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
<th>Key Organization Participants (Refer to Survey Activity Guide for more information)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveyor Arrival and Preliminary Planning</td>
<td>30-60 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, upon arrival</td>
<td></td>
</tr>
<tr>
<td>Opening Conference, Orientation to Organization and Brief Orientation Tour</td>
<td>30-60 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Surveyor Planning Initial</td>
<td>30-60 minutes</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; day, as early as possible</td>
<td></td>
</tr>
<tr>
<td>Individual Tracer</td>
<td>60-120 minutes</td>
<td>Individual tracer activity occurs each day throughout the survey; the number of individuals that surveyors trace varies by organization</td>
<td></td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Surveyor Team Meeting/Planning Session</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except last</td>
<td></td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>30-45 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
<td></td>
</tr>
<tr>
<td>Competence Assessment &amp; Credentialing of Licensed Independent Practitioners</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Environment of Care and Emergency Management</td>
<td>60-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Life Safety Code Building Assessment</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
<td></td>
</tr>
<tr>
<td>Leadership and Data Use</td>
<td>90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization. The topics of Infection Control and Medication Management will be covered in this discussion.</td>
<td></td>
</tr>
<tr>
<td>Report Preparation</td>
<td>60-90 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15 minutes</td>
<td>Last day of survey</td>
<td></td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30 minutes</td>
<td>Last day, final activity of survey</td>
<td></td>
</tr>
<tr>
<td><strong>For Nursing Care Centers that elect the Post-Acute Care Certification option</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The following activity will be incorporated into the survey agenda as noted under the Suggested Scheduling of Activity column.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transitions of Care Session</td>
<td>60 minutes</td>
<td>Only occurs in organizations that elect the optional Post-Acute Care Certification. Occurs towards the middle of survey at a time negotiated with the organization.</td>
<td></td>
</tr>
</tbody>
</table>
Home Care Accreditation Program
Document List

As a Home Health, Hospice, Pharmacy and or Home Medical Equipment/DMEPOS organization, you will need the following information and documents available for the surveyor to review during the Preliminary Planning Session and Surveyor Planning Session, which occurs on the first day of survey.

Note: The 12-month reference in the following items is not applicable to initial surveys.

As a Home Health, Hospice, Pharmacy and or Home Medical Equipment/DMEPOS organization, you will need the following information and documents available for the surveyor to review.

Documents Needed Within One Hour of Surveyor Arrival

General Organization Information

- Name and phone number of key contact person who can assist surveyors in patient visits or observation of service delivery
- A copy of your organizational chart
- Active employee list with discipline or title
- List of all sites, branches and services provided, if applicable
- State licenses, certificates, etc.
- CLIA waiver and Waived tests being performed
- List of contracted agencies or contracted staff and the contract(s)

Tracer Selection Documentation (Lists needed within one hour of surveyor arrival)

- Active patient list with
  - Patient name
  - Diagnosis or therapy, equipment provided
  - Start of care date

- List of scheduled home visits for the duration of the survey including:
  - Type of service (home health, hospice, personal care and support)
  - Disciplines
  - Diagnosis
  - Date of admission

- List of scheduled deliveries, mail orders or planned walk in business for the days of survey and from specific points in time as delineated by the surveyor, including: Home Medical Equipment/DMEPOS, Pharmacy
  - Type of medication/therapy
  - Durable Medical Equipment, Prosthetics or Orthotics being supplied/delivered
  - Supplier’s date of first encounter/admission
  - Address, IF delivery is part of the service

- List of all active rental equipment patients

Documents Needed During the Course of the Survey

General Organization Information

- Marketing material
- Admission packet – Documents such as patient rights and responsibilities, advanced directives, consents, charges, medication education information
- Policies and Procedures including:
  - Home Safety – safety checklist, O2, signs, fire extinguisher, smoke alarm (see NPSG.15.02.01)
  - Do not use abbreviations, approved abbreviations
  - Medication management policy
    - High risk medications and Look Alike Sound Alike (LASA)
- Assessment and reassessment policies
- Pain assessment and reassessment policies
- Process/policy for case conferencing
- Complaint process/policy
- Budget & Surety Bond - DMEPOS
- Equipment cleaning policy - DMEPOS
- After Hours On-Call log - DMEPOS and Pharmacy
- Selected personnel files for employees and contractors observed during the survey will be requested for review

**Performance Monitoring and Improvement Documentation**
- Performance improvement data (12 months for re-surveys) including Perception of care/satisfaction data
- Medication error reports and adverse drug reactions
- Fall reduction program, fall risk assessment and evaluation of program
- Patient event, incident, or unusual occurrence reports logs or summary data
- Complaint logs
- Staff event, incident, unusual occurrence reports (for example: falls, sharps injury)
- Infection Control Summary Reports, 12 months of surveillance data
- Infection Control Plan including risk analysis
- Hand hygiene program, including policy, goals and surveillance data
- Emergency Management plan (Annual drill and evaluation of drills)
- Clean room monitoring records - Providers of Infusion Pharmacy Services

**Documents Required on Deemed Status Surveys**
1. Unduplicated admissions for the past 12 months with diagnosis, start of care date and disciplines
2. Discharged patients for the past 12 months with diagnosis, start of care date and disciplines
3. Last State survey report, if applicable
4. Professional Advisory Committee meeting minutes, & Board meeting minutes
5. Annual program evaluation
6. Budget, capital expenditures – 3 years
7. Quarterly record review documentation (recent 12 months)
8. HHA training program, if applicable, and 12 month education calendar
9. OBQM/OBQI/HHA provider reports (Please provide this data by lunch of day one)
   a. OBQM Adverse Outcome Report
   b. OBQI (Avoidable Event Report) Outcome Report
   c. OBQI (Avoidable Event Report) Case Mix Report
   d. OASIS Submission Statistics by Agency report
   e. Error Summary Report by HHA
10. HQRP/QAPI reports for the past quarter (initial survey) or past year (re-survey)

**For Hospice organizations that are Medicare certified:**
- Hospice Quality Reporting Program (HQRP) reports on QAPI data collection and submission to CMS

**For Hospice Inpatient facility-based care sites:**
- Environment of care data

**Please note** that this is not intended to be a comprehensive list of documentation that may be requested during the survey. Surveyors may need to see additional documents throughout the survey to further explore or validate observations or discussions with staff.
# Home Care Accreditation Survey Activity List

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surveyor Arrival and Preliminary Planning</td>
<td>30-60 minutes</td>
<td>1st day, upon arrival</td>
</tr>
<tr>
<td>Opening Conference</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible; may be combined with the Orientation to Organization on surveys of shorter duration</td>
</tr>
<tr>
<td>Orientation to Organization</td>
<td>45 minutes</td>
<td>1st day, as early as possible; may be combined with the Opening Conference on surveys of shorter duration</td>
</tr>
<tr>
<td>Surveyor Planning Initial</td>
<td>30-60 minutes</td>
<td>1st day, as early as possible</td>
</tr>
<tr>
<td>Individual Tracer</td>
<td>90-120 minutes</td>
<td>Individual Tracer activity occurs throughout the survey; the number of individuals that surveyors trace varies by organization. Travel to perform tracer activity (e.g., patient home visits) will be planned into this time.</td>
</tr>
<tr>
<td>Lunch</td>
<td>30 minutes</td>
<td>At a time negotiated with the organization</td>
</tr>
<tr>
<td>Issue Resolution</td>
<td>30 minutes</td>
<td>End of each day except last; can be scheduled at other times as necessary</td>
</tr>
<tr>
<td>Team Meeting/Surveyor Planning</td>
<td>30 minutes</td>
<td>Mid-day and/or end of each day except last</td>
</tr>
<tr>
<td>Daily Briefing</td>
<td>15-30 minutes</td>
<td>Start of each survey day except the first day; can be scheduled at other times as necessary</td>
</tr>
<tr>
<td>Competence Assessment</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization or in conjunction with Leadership session</td>
</tr>
<tr>
<td>Environment of Care and Emergency Management</td>
<td>45-90 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization</td>
</tr>
<tr>
<td>System Tracer – Data Management</td>
<td>60 minutes</td>
<td>After some individual tracer activity has occurred; at a time negotiated with the organization. If this is the only system tracer taking place during survey, the topics of Infection Control and Medication Management will be covered in this discussion.</td>
</tr>
<tr>
<td>Leadership</td>
<td>60 minutes</td>
<td>Towards the middle or end of survey at a time negotiated with the organization</td>
</tr>
<tr>
<td>Report Preparation</td>
<td>90-120 minutes</td>
<td>Last day of survey</td>
</tr>
<tr>
<td>CEO Exit Briefing</td>
<td>15-30 minutes</td>
<td>Last day of survey</td>
</tr>
<tr>
<td>Interim Exit</td>
<td>30 minutes</td>
<td>Last activity on last day of survey on surveys occurring simultaneously with other program surveys, e.g., hospital</td>
</tr>
<tr>
<td>Organization Exit Conference</td>
<td>30-45 minutes</td>
<td>Last day, final activity of survey</td>
</tr>
</tbody>
</table>

**Note:** The following activities may be incorporated into the survey agenda as noted under the Suggested Scheduling of Activity column.

<table>
<thead>
<tr>
<th>Activity Name</th>
<th>Suggested Duration of Activity</th>
<th>Suggested Scheduling of Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Tracer – Infection Control</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; topic may be covered during the...</td>
</tr>
<tr>
<td>Activity Name</td>
<td>Suggested Duration of Activity</td>
<td>Suggested Scheduling of Activity</td>
</tr>
<tr>
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</tr>
<tr>
<td>System Tracer – Medication</td>
<td>30-60 minutes</td>
<td>After some individual tracer activity has occurred; topic may be covered during the Data Management system tracer depending on the length of survey</td>
</tr>
<tr>
<td>Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Life Safety Code Building</td>
<td>45-60 minutes</td>
<td>Only occurs on Facility-Based Hospice surveys; at time negotiated with organization</td>
</tr>
<tr>
<td>Assessment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regulatory Review</td>
<td>45-60 minutes</td>
<td>Only occurs on DMEPOS surveys; At time negotiated with organization</td>
</tr>
</tbody>
</table>
Surveyor Arrival

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include organization staff and leaders as identified in the Pre-survey Planning process.

Logistical Needs
Identify a location where surveyors can wait for organization staff to greet them and a location where surveyors can consider as their “base” throughout the survey.

Overview
Surveyors arrive at approximately 7:45-7:50 a.m. unless business hours, as provided in the application, indicate that your organization opens at a later time. Surveyors will check in at the front desk, identifying themselves as Joint Commission surveyors.

Surveyor Arrival Activities
- Implement your Readiness Guide as discussed in the Preparing For Surveyor Arrival section
- Notify key organization members as identified in the pre-survey planning session of the surveyor’s arrival
- Validate that the survey is legitimate by accessing your Joint Commission extranet site. A staff member in your organization with a login and password to your Joint Commission extranet website will follow through with this by:
  - Accessing the Joint Commission’s website at www.jointcommission.org
  - Click on “the Joint Commission Connect” logo
  - Enter a login and password
  - If you cannot access the extranet site to validate the survey or surveyors, call your Account Executive
- Your organization’s extranet site contains the following information (posted by 7:30 a.m. on the morning of your survey):
  - Notification of scheduled Joint Commission event authorizing the surveyor’s presence for the unannounced survey
  - Surveyor name(s), picture and biographical sketch
  - Scheduled survey dates
- If you have not already downloaded a copy of your survey agenda, do so at this time.
- Begin gathering and presenting documents as identified in the Document List applicable to your program(s). Surveyors will start reviewing this information immediately.
Surveyor Preliminary Planning Session

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include the staff responsible for coordinating The Joint Commission survey and others as needed and identified by surveyors.

Logistical Needs
The suggested duration of this session is approximately 30 to 60 minutes. Surveyors need a workspace they can use as their “base” for the duration of the survey. This area should have a desk or table, telephone, internet access, and access to an electrical outlet, if possible. Provide the surveyors with the name and phone number of a key contact person who will assist them in planning for the survey and their tracer selection.

Objectives
Surveyors will:
- Review organization documents to become acquainted with your organization
- Plan for tracer activity

Overview
After surveyors have arrived and their identification has been verified, surveyors immediately begin planning for tracer activity by reviewing the documents you provide them (refer to the program-specific Document Lists on the preceding pages). They begin discussing the focus of the survey with the other surveyors (when applicable). If documents are not available for surveyors to review during this session, they will proceed to areas where care, treatment, or services are provided and begin individual tracer activity.

For complex organizations being surveyed under more than one accreditation manual or for more than one service under one accreditation manual, surveyors review information from all accredited programs. It is important to have documents available at this session for each program being surveyed.
Opening Conference

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include members of the governing body and senior leadership (representing all accredited programs/services). Attendees should be able to address leadership’s responsibilities for planning, resource allocation, management, oversight, performance improvement, and support in carrying out your organization’s mission and strategic objectives. Other attendees may include at least one member of the governing body or organization trustee and leaders of the medical staff, when applicable.

Logistical Needs
The duration of this session is approximately 15 minutes. Immediately following this session is the Orientation to Your Organization. If possible, designate a room or space that will hold all participants and will allow for an interactive discussion. Inform surveyors at this time of any agenda considerations that may impact the activities for the day.

Objectives
Surveyors will:
- Describe the structure of the survey
- Answer questions your organization has about the survey
- Review your organization’s expectations for the survey

Overview
Surveyors introduce themselves and describe each component of the survey agenda. Surveyors describe the System Tracers they will conduct. It is important for you to discuss and review your organization’s expectations for the on-site survey with the surveyor(s). Questions about the on-site visit, schedule of activities, availability of documents or people and any other related topics should be raised at this time.

Nursing Care Centers: Surveyors explain the patient and resident-centered approach to the survey process and the need to interview patients and residents privately.
**Orientation to Your Organization**

**Joint Commission Participants**
Surveyors

**Organization Participants**
Suggested participants include the same participants as the Opening Conference. Suggested participants include members of the governing body and senior leadership (representing all accredited programs/services). Attendees should be able to address leadership’s responsibilities for planning, resource allocation, management, oversight, performance improvement, and support in carrying out your organization’s mission and strategic objectives. Other attendees may include at least one member of the governing body or organization trustee and leaders of the medical staff, when applicable.

**For Office-Based Surgery organizations:** It is very helpful if physicians can be present for at least some portion of this session.

**Logistical Needs**
The suggested duration of this session is approximately 30-60 minutes. **Do not prepare a formal presentation.** This session is an interactive discussion, and it is usually combined with the Opening Conference.

**Objective**
Surveyors will learn about your organization through an interactive dialogue to help focus subsequent survey activities.

**Overview**
During this session surveyors become acquainted with your organization. They begin to learn how your organization is governed and operated, discuss leaders’ planning priorities, and explore your organization’s performance improvement process.

Governance and operations-related topics for discussion include:
- Organization’s mission, vision, goals, and strategic initiatives
- Organization structure
- Operational management structure
- Information management, especially the format and maintenance of medical records
- Contracted services and performance monitoring
- Health care errors reduction and/or patient/resident/individual served safety initiatives
- National Patient Safety Goals
- Community involvement
- Leader’s role in emergency management planning
- **Ambulatory Care, Home Care, Hospital:** Cleaning, disinfection and sterilization
- **Nursing Care Centers:** Culture transformation, initiatives for patient and resident centered care
- **Hospital:** Patient flow, specifically, inpatient admission sources, volume and types of patients seen in the emergency department, how ED throughput is monitored, managing care of patients presenting with conditions outside the scope of services (e.g., mental health, trauma), patient boarding
- **Hospital:** Organ procurement and donation including conversion rates
- **Laboratory:** Test utilization and process for addition/deletion of tests and quality management system in place (e.g. IQCP)

Discussion topics include your:
- Leaders’ ideas of your organization’s potential risk areas
- Leader’s approach to completing the Focused Standards Assessment (FSA) Tool and methods used to address areas needing improvement (resurveys only)
- Management and leadership’s oversight and other responsibilities

Senior Leadership Role in Improving Performance discussion topics may include:
• How leaders set expectations, plan, assess, and measure initiatives to improve the quality of services
• Organization approach to safety, including selection of Proactive Risk Assessment topics, resulting improvements, and Board/Governance involvement in safety issues
• Provision of personnel and resources including time, information systems, data management, and staff training
  Note: Surveyors will request examples of performance improvement initiatives including evidence that performance was achieved and sustained.

Long Term Care Medicare/Medicaid Certification Option discussion topics include:
• Long Term Care based physicians (for example the Medical Director)
• MDS Quality Measure Reports, Facility MDS Quality Indicator Profile, or Quality Measure Reports
• Most recent CMS state certification report, i.e., CMS form 2567
Initial Surveyor Planning Session

Joint Commission Participants
Surveyors

Organization Participants
Joint Commission Coordinator (at the request of surveyors)

Logistical Needs
The suggested duration of this session is approximately 30 to 60 minutes.

Objectives
Surveyors will:
- Review organization documents to become acquainted with your organization
- Plan for tracer activities

Overview
This is a continuation of the Preliminary Planning Session. Surveyors begin by selecting individuals served/patients/residents for tracers based on the care, treatment and services your organization provides. They also continue reviewing the materials listed in the Surveyor Preliminary Planning Session. For complex organizations (being surveyed under more than one accreditation manual or for more than one service under one accreditation manual), surveyors review materials relative to all accredited programs.
Individual Tracer Activity

Joint Commission Participants
One surveyor per individual tracer

Organization Participants
Suggested participants include staff and management involved in the individual’s care, treatment, and services.

Logistical Needs
The suggested duration of individual tracer activity varies but typically is 60-120 minutes. Care is taken by surveyors to assure confidentiality and privacy and they will seek the help and guidance of staff in this effort. Surveyors may use multiple individual served/patient/resident records of care, treatment or services during an individual tracer. The purpose of using the record is to guide the review, following the care, treatment, or services provided by the organization to the individual served/patient/resident.

A surveyor may arrive in a setting/unit/program/service and need to wait for staff to become available. If this happens, the surveyor may use this time to evaluate environment of care issues or observe the care, treatment, or services being rendered.

If there are multiple surveyors conducting the survey, they will make every effort to avoid visiting areas at the same time and will try to minimize multiple visits to the same location. However, an individual tracer does follow where the individual served/patient/resident received services.

Objective
The surveyor will evaluate your organization’s compliance with standards as they relate to the care and services provided to individuals served/patients/residents.

Overview
The majority of survey activity occurs during individual tracers. The term “individual tracer” denotes the survey method used to evaluate your organization’s compliance with standards related to the care, treatment, and services provided to an individual served/patient/resident. Most of this survey activity occurs at the point where care, treatment, or services are provided.

Initially, the selection of individual tracer candidates is based on your organization’s clinical services as reported in your e-application and the general risk areas identified for the accreditation program which are listed in the Intra-Cycle Monitoring (ICM) Profile. Surveyors will also consider any organization-specific risk areas listed in the ICM Profile. As the survey progresses, the surveyors may select individuals served/patients/residents with more complex situations, which are identified through the system tracers, and whose care crosses programs. For Laboratory surveys, additional tracers may be selected through review of proficiency testing and quality control data.

The individual tracer begins in the setting/unit/program/service/location where the individual served/patient/resident and his/her record of care are located. The surveyor starts the tracer by reviewing a record of care with the staff person responsible for the individual’s care, treatment, or services. The surveyor then begins the tracer by:

- Following the course of care, treatment, or services provided to the individual served/patient/resident from preadmission through post discharge
- Assessing the interrelationships between disciplines, departments, programs, services, or units (where applicable), and the important functions in the care, treatment or services provided
- Identifying issues that will lead to further exploration in the system tracers or other survey activities such as Environment of Care and Leadership Sessions

During the individual tracer, the surveyor observes the following (includes but is not limited to):
• Care, treatment or services being provided to individuals served/patients/residents by clinicians, including physicians
• The medication process (e.g., preparation, dispensing, administration, storage, control of medications)
• Infection control issues (e.g., techniques for hand hygiene, sterilization of equipment, disinfection, food sanitation, and housekeeping)
• The process for planning care, treatment or services
• The environment as it relates to the safety of individuals served/patients/residents and staff
• LAB: Quality control, IQCP documentation (as applicable), maintenance and testing performance

During the individual tracer, the surveyor interviews staff about:
• Processes as they relate to the standards
• Intradepartmental and interdepartmental communication for the coordination of care, treatment or services. (e.g., hand offs)
• The use of data
• Individual served/patient/resident flow through the organization
• National Patient Safety Goals
• Individual served/patient/resident education
• Orientation, education, and competency of staff
• Other issues

During the individual tracer, the surveyor may speak with available licensed independent practitioners about:
• Organization processes that support or may be a barrier to individual served/patient/resident care, treatment and services
• Communications and coordination with other licensed independent practitioners (hospitalists, consulting physicians, primary care practitioners)
• Discharge planning, or other transitions-related resources and processes available through the organization
• Awareness of roles and responsibilities related to the Environment of Care, including prevention of, and response to incidents and reporting of events that occurred

During the individual tracer, the surveyor interviews individuals served/patients/residents and their families about:
• Coordination and timeliness of services provided
• Education, including discharge instructions
• Response time when call bell is initiated or alarms ring, as warranted by care, treatment or services
• Perception of care, treatment or services
• Staff observance of hand-washing and verifying their identity
• Understanding of instructions (e.g., diet or movement restrictions, medications, discharge and provider follow-up), as applicable
• Rights of individuals served/patients/residents
• Other issues

**Home Medical Equipment only:** The surveyor requests the manufacturer, model, and serial numbers for all medical equipment provided by your organization.

**Home Medical Equipment Mail Order:** The surveyor traces mail order clients/patients in the same manner. They will utilize telephone support in lieu of patient home visits.

**Home Medical Equipment Walk-in Business:** The surveyor traces the client/patient services when they arrive at your organization. Due to the unscheduled nature of this business, survey activity is interrupted to accommodate tracers for walk-in clients/patients.
Using individual tracers for continuous evaluation

Many organizations find tracer activity helpful in the continuous evaluation of their services. If you choose to conduct mock tracers, in addition to clinical services, consider the following criteria in selecting the individual served/patient/resident.

Selection Criteria

- Individuals served/patients/residents related to system tracers such as infection control and medication management
- Individuals served/patients/residents who move between programs/services (e.g. individuals served/patients/residents scheduled for a follow-up in ambulatory care, home care patients received from the hospital, long term care residents transferred from the hospital, individuals served receiving behavioral health care and ambulatory health care services, individuals served moving from behavioral health care residential program to a day program, patients referred to another specialty provider within the same organization, patients who received radiology or laboratory services, assisted living residents receiving home care services)
- Individuals served/patients/residents recently admitted
- Individuals served/patients/residents due for discharge or recently discharged
- Individuals served/patients/residents who cover multiple additional criteria listed below

Ambulatory Health Care and Office Based Surgery:

Surgery/Anesthesia Services
- Operative and other procedures
- IV/Infusion therapy
- Blood/blood component administration
- Alternative complementary care
- Care for a terminal condition
- Pediatric or less than 18 year old care
- Geriatric care
- Pain Management

Medical/Dental Services:
- Maternal/child care
- Pediatric or less than 18 year old care
- Geriatric care
- Terminal condition
- Equipment maintenance

Bureau of Primary Health Care:

Care provided to:
- School-based health center patients
- Homeless patients
- Migrant and seasonal farm workers
- Individuals in public housing
- Individuals with HIV/AIDS

Other Services:
- Pain Management (uncontrolled pain)
- High risk areas
- Equipment Maintenance
- Cleaning, disinfection and sterilization
- Point of Care Testing (CLIA Waived Testing)
**Behavioral Health Care:**
Care provided through programs and services to:
- High risk populations (restraint use, seclusion, suicidal)
- Vulnerable populations (very young, very old, reclusive, persons with intellectual or developmental disabilities)
- Long length of stay populations (perhaps more complicated)

**Home Care**
Care provided to:
- A patient who is on a high-risk medication or piece of equipment
- A patient receiving ventilator care
- A pediatric patient or a patient < 18 years old
- A patient receiving Maternal/Child care
- A patient receiving IV/Infusion therapy
- A patient receiving blood/blood component administration
- A patient undergoing acute care re-hospitalizations
- A patient receiving personal care and support services
- A patient receiving alternative complementary care
- A patient receiving oxygen therapy
- A patient in a terminal condition

**Hospice Services:**
- A patient receiving facility-based care within the past 12 months
- A patient receiving continuous care/respite care
- A patient to whom infusion therapy is being administered
- A pediatric patient or a patient <18 years old
- A patient receiving alternative complementary care
- A patient undergoing pain management

**Home Medical Equipment:**
Patients who use:
- Custom adult wheelchairs (usually fixed frame requiring assessment and fitting)
- Custom pediatric wheelchairs (usually fixed frame requiring assessment and fitting)
- Custom seating systems associated with the provision of wheelchairs
- Custom power wheelchairs (including power stretchers, etc)
- Standard adult and pediatric power wheelchairs (custom and non-custom)
- Custom adult and pediatric ambulatory aids (prone standers, circular walkers, etc)
- A customer receiving multiple types of equipment
- A customer receiving clinical respiratory services
- A customer receiving rehab technology services
- A patient receiving customized orthotics or prosthetics
- A patient using respiratory equipment
- A patient using durable medical equipment
- A patient using specialized equipment with supplies
Pharmacy:
Care provided to patients on high-risk medication

Hospitals and Critical Access Hospitals:
- A patient in the intensive care units (MICU, SICU, CVCU, etc.)
- A patient who entered the health care system through the emergency department
- A patient in labor and delivery services (including patients scheduled for C-section)
- A patient who receives sedation and anesthesia (includes hand-off communication)
- A patient on a skilled nursing unit and/or subacute care
- A patient who is a 23-hour admit
- A patient receiving dialysis
- A psychiatric patient
- A pediatric patient
- A patient receiving radiology or nuclear medicine services
- A patient receiving rehabilitation services
- A patient who is a possible organ donor or transplant recipient
- A patient receiving waived lab services
- A deceased patient or terminal patient
- A patient discharged (or retrospective review and interview of recently discharged patient)

Laboratory
- Patient sample testing in laboratory sections (i.e., hematology, chemistry, microbiology, blood bank)
- Policy and procedures that guide testing performance of patient samples
- Maintenance of laboratory equipment
- Pre- and Post- analytical procedures

Nursing Care Centers
- Patient or resident receiving health services coordination (i.e., medication management, skin integrity, complex medical services)
- Patient or resident with limited mobility
- Resident who smokes
- Resident from a special population (children/young adults, neurologic ITBI, developmentally disabled)
- Resident with a dementia diagnosis
- Resident on an antipsychotic medication
- Resident residing in the organization's distinct dementia or memory care unit, if applicable
- Resident receiving supervised assistance with one or more Activities of Daily Living
- Patient or resident receiving rehabilitation therapy
- Organization's quality indicators from MDS, if available
Program Specific Tracer – Continuity of Care

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff involved in an individual’s care, treatment, or services.

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity.

Objectives
The surveyor will:
- Evaluate the effectiveness of your organization’s processes from prescribing a diagnostic study through the follow-up of the patient
- Identify processes and system level issues contributing to missed follow-up of diagnostic studies

Overview
Organizations providing medical services, by design, have patients who often receive care from multiple clinicians. A frequently cited concern by care providers is missing an abnormal test result and failing to coordinate necessary follow-up. The surveyor conducts an in-depth evaluation of the communication, coordination, and continuity of care for a patient receiving laboratory or diagnostic studies.

The surveyor reviews the clinical record and may interview the patient, family, and other health care staff involved in the patient’s care.
Program Specific Tracer – Elopement

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff and management who have been involved in the care, treatment, or services of the individual served

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:

- Evaluate the effectiveness of the organization’s processes to prevent elopement therefore enhancing safety
- Identify process and system level issues contributing to successful elopements

Overview
The surveyor selects an individual served who eloped multiple times. The surveyor begins by reviewing the case/clinical record for the events leading up to the elopement of the individual served. The surveyor evaluates your organization’s physical environment and security systems.

The surveyor interviews staff about the elopement and the processes that are in place to prevent elopement and ensure the safety of individuals served.

The surveyor also interviews the individual served, if available, and family, if applicable about:

- Their perception of the services provided, the episode of elopement, the causation and treatment, and use of restraints
- Elopement prevention activities for which they are aware
- Guidance provided from staff to prevent escalation in the future

Applicable Programs

BHC
[24 hour care settings only; Addictions, Children & Youth, Residential Treatment, Group homes, Developmental Disabilities, Foster /Therapeutic Foster Care, Mental Health]
Program Specific Tracer – Continuity of Foster/Therapeutic Foster Care

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include the case manager, individual served, and foster parents/family members

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Evaluate the effectiveness of the foster care agency’s processes surrounding number of foster home placements
- Identify processes and system level issues contributing to multiple placements

Overview
A problem in Foster Care may be the issue of multiple foster home placements of a single individual served. This leads to disconnects in the continuity of care, a sense of alienation and isolation, and potential for the foster care agency/organization missing serious problems with the individual served.

The surveyor selects an individual served with multiple foster homes within the foster care agency being surveyed. The surveyor conducts a home visit at the current foster home and interviews the individual served about their experience with foster care homes; their perception of issues that led to multiple placements; and their involvement in the process including communications from their case worker.

The surveyor also interviews foster parents/caregivers, when possible, about the placement process and how they were assessed for fostering.

The surveyor interviews the case manager about:
- the assessment process
- content and use of information communicated from a state or county agency
- process and content of basic assessment to ensure the safety of the individual served and foster family when emergency placement is made
- compliance with the triage process for initial placement
- the use of guiding criteria for appropriate placement
- ongoing evaluation of the foster family
**Program Specific Tracer – Violence**

**Joint Commission Participants**
Surveyor

**Organization Participants**
Suggested participants include staff and management involved in the care, treatment, or services of the individual served.

**Logistical Needs**
This focused tracer occurs during time designated for Individual Tracer Activity

**Objectives**
The surveyor will:
- Evaluate the effectiveness of your organization’s processes to control violence and ensure the safety of others
- Identify process and system level issues contributing to violent behavior

**Overview**
The surveyor selects an individual served who had a history of violent behavior with or without injury to self, staff, or others. The surveyor begins the tracer by reviewing the clinical record to identify the documentation of events leading up to the violence. The surveyor also evaluates the following:
- The physical environment that could make violent behavior possible
- Measures taken by your organization to ensure security for individuals served
- Security systems such as security cameras and alarm mechanisms, when present

The surveyor interviews the individual served and family about the following:
- Their perception of the episodes of violent behavior and use of restraints
- Violent behavior prevention activities
- Guidance provided from staff to prevent further violent behavior

The surveyor interviews staff about the following issues:
- The episodes of violent behavior
- Communication to other caregivers
- Inclusion of the individual served and family in identifying the risk for and prevention of violent behavior
- The risk assessment process
- Restraint use
- Orientation and training of staff about violent behavior risks and de-escalation techniques
Program Specific Tracer - Suicide Prevention

Joint Commission Participants
Surveyor

Organization Participants
Staff and management who have been involved in the care, treatment, or services of the individual served

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Evaluate the effectiveness of your organization’s suicide prevention strategy
- Identify processes and system level issues contributing to suicide attempts

Overview
Suicide ranks as the 11th most frequent cause of death (third most frequent in young people) in the United States, with one person dying from suicide every 16.6 minutes. Suicide of a care recipient while in a staffed, round-the-clock care setting has been the #1 most frequently reported sentinel event to the Joint Commission. Identification of individuals at risk for suicide while under the care of, or following discharge from a behavioral health care organization or a hospital psychiatric inpatient setting, is an important first step in protecting and planning the care of these at-risk individuals.

The surveyor begins by reviewing the record of the patient/individual served to attain an understanding of services provided and individual served/patient specific issues. The surveyor interviews the clinical staff working with the individual served/patient about the following issues:
- Crisis process
- Initial assessment process
- Reassessment process
- Planning of care, treatment or services
- Continuum of care, treatment or services
- Education provided to the individual served/patient and family
- Orientation, training, and competency of clinicians
- Staffing
- Information management
Program Specific Tracer - Laboratory Integration

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include laboratory and other hospital staff

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Evaluate the consistent application of processes related to laboratory testing throughout the hospital
- Evaluate the exchange of information (specimen collection and handling, specimen identification) and integration of the laboratory processes in the hospital setting
- Evaluate the involvement of laboratory personnel in important processes within the hospital, such as point of care testing

Overview
The surveyor traces the processes and flow of communication between the laboratory and hospital units, beginning with the order for testing, and moving through physician/licensed independent practitioners' actions based on testing results.

This tracer does not address laboratory functioning, quality control, proficiency testing, or technical competence. It does address the communication and integration between the hospital and the laboratory. The surveyor will review collected data and seek to understand actions taken by leaders.
Program Specific Tracer – Patient Flow

Joint Commission Participants
Surveyor

Organization Participants
Staff involved in patient care, treatment, or services throughout the hospital and leaders responsible for the planning, development and oversight of related systems, as available

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Look for organization awareness and improvements in patient flow
- Evaluate process issues throughout the hospital contributing to patient flow concerns

Overview
Growing concerns from the health care field about increasing patient congestion continue. Poorly managed patient flow most often impacts vulnerable areas in the hospital first, such as the emergency department, critical care units and surgical areas; but these are not always the causative factors and answers lie throughout the hospital. Treatment delays, medical errors and generally, unsafe practices thrive in the presence of patient congestion; these are precursors to and contributing factors in negative sentinel events. Many hospitals have improved their flow of patients through due diligence. Joint Commission accredited hospitals are required to identify and correct patient flow issues throughout their organization. While evidence of patient flow issues surface in the emergency department, post anesthesia care unit or other patient care units, corrective improvements must be organization-wide.

Surveyors may trace patients who were affected by patient flow issues, (e.g., bed availability delays, lengthy boarding experiences, transport or transfer delays, delays in performing tests and receiving test results, availability of providers), during their hospitalization that may or may not have impacted their care, treatment or services. Surveyors seek information at different locations throughout the hospital about unit-specific and hospital-wide processes that support unrestricted patient flow.

Discussions with leaders occur to learn more about the data that is being collected and monitored related to patient flow. Surveyors will want to learn about leaders sharing accountability with the medical staff for patient flow situations, and the actions being taken throughout the organization to mitigate the impact of patient flow issues. Surveyors will have these discussions with leaders per the planned agenda encounters; however, if a department leader or manager is available during the tracer the surveyor will speak with them at that time.
Program Specific Tracer – Staffing

Joint Commission Participants
Surveyors

Organization Participants
The surveyor will suggest participants. This may include CNAs, as applicable; agency staff; non-nursing ancillary staff; administrator; family council members, if available (may be telephonic); and other leaders

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity. Documents that are requested include staffing plans, staff variance reports, and meeting minutes.

Objectives
The surveyor will:
- Evaluate actions taken by your organization during staff turnover to ensure positive outcomes to resident care
- Identify processes and possibly system issues contributing to negative resident outcomes in light of staff or administrative turnover

Overview
The focus of this session is to identify breeches in continuity of care and explore operational processes in the presence of staff or administrative turnover.

The surveyor conducts individual interviews with staff that includes the following discussions:
- Processes pertaining to the care of residents to prevent negative outcomes
- Barriers to those processes
- Staff's knowledge of the residents for which they are assigned
- Perception of issues leading to turnover
- Staff communication
- Recruitment and hiring practices
- Orientation and training
- Changes in policy, procedure, vision, expectations

The surveyor also conducts interviews with residents and/or their family members (family interviews can be conducted telephonically) to ask questions about:
- The care received and the perceived barriers to that care
- Communication regarding administrative and staff turnover
- Changes in the provision of care when there is administrative or staff turnover

The surveyor conducts individual interviews with leadership (for example, governing body member, administrator, director of nursing, etc.) to discuss their knowledge regarding:
- MDS outcomes
- Association of negative outcomes with staff issues
- Follow-up actions taken
- Monitoring of actions taken
- Communication of changes in mission, vision, process, etc.
- Methods used to stabilize or prevent turnover
Program Specific Tracer – Equipment & Supply Management

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff from various areas such as drivers, technicians, and warehouse employees.

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Learn how your organization processes equipment and supplies from initial receipt through decommissioning
- Evaluate the implementation effectiveness for specific pieces of equipment
- Identify processes and system issues contributing to failed equipment/supply management

Overview
During this tracer the surveyor focuses on high risk equipment identified from individual tracers. They evaluate all aspects of procurement, inventory, cleaning, maintenance, and decommissioning. The surveyor spends time walking through the sites responsible for the equipment management plan to evaluate the following:
- Safe environment and processes
- Staff education about the equipment/supplies
- Storage
- Obtaining physician orders
- Selection of the most suitable equipment/supplies to meet the patient's needs
- Preparation for delivery
- Delivery and set-up
- Tracking equipment location
- Patient education about the care and use of equipment/supplies
- Preventive maintenance
- Equipment failure management, including back-up
- Recall of equipment – monitoring, back-up equipment process
- Equipment return - cleaning and inspection processes
- Equipment repair
- Obsolete inventory
- Incident management

The surveyor interviews staff about:
- Any of the above processes
- Orientation, training and competency evaluation processes
Program Specific Tracer – Fall Reduction

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff and management who have been involved in the individual’s care, treatment, or services

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
- Learn how your organization evaluates the patient’s risk for falls
- Evaluate the action taken to reduce the risk of falling
- Understand your organization’s plan for reducing the risk of injury, should a fall occur
- Identify processes and system issues contributing to a high re-hospitalization rate
- Evaluate the organization’s compliance with NPSG.09.02.01 (Reduce the risk of falls).

Overview
During this tracer, the surveyor begins where the patient’s home care record is located.

The surveyor interviews the direct care provider about the following issues:
- Entry into care
- Risk assessment process for falls
- Identification of in-home environment
- Care planning process
- Coordination of care and communication process to internal and external customers
- Fall reduction education to the patient and caregiver

The surveyor conducts a home visit and interviews the patient and/or the caregiver about:
- Possible unsafe environmental issues that could lead to a fall
- Relevancy of the patient’s medication to potential for falls
- Knowledge level about their fall risk status and preventive techniques to remain safe in the home
Program Specific Tracer – Hospital Readmission

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff and management involved in the individual’s care, treatment, or services.

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity

Objectives
The surveyor will:
• Evaluate the action taken to reduce the hospital readmission rate
• Evaluate the accuracy of medication lists and education
• Identify processes and system issues contributing to a high re-hospitalization rate

Overview
This tracer is conducted when the home health organization has a significantly higher percentage of patients who had to be admitted to the hospital or need urgent, unplanned medical care.
The surveyor begins this tracer where the home care record is maintained.

The surveyor interviews the case manager or direct care provider about the following issues:
• Entry into care
• Assessment of the patient
• Care planning process
• Coordination of care between patient care providers
• Education provided to the patient

The surveyor conducts a home visit and interviews the patient/caregiver about the following issues:
• Conditions leading to re-hospitalization
• Review medication
• The patients understanding about their medical condition and treatment.
• Educational materials received from your organization
Special Issue Resolution

Joint Commission Participants
Surveyors

Organization Participants
None, unless otherwise requested by the survey team

Logistical Needs
For surveys lasting more than one day, 30 minutes is scheduled toward the end of each day except the last.

Surveyors will inform your organization’s contact person of what documentation, if any, is needed and any staff who they would like to speak with or locations they want to visit.

Overview
Surveyors explore issues that surfaced during the course of the survey that could not be resolved. Depending on the circumstances, this may include:

- The review of policies and procedures
- The review of additional patient/resident/individual served records to validate findings
- Discussions with staff, if necessary
- Review of personnel and credentials files
- Review of data, such as performance improvement results
- Review of medical record delinquency data (applicable only to hospitals)
- Other issues requiring more discussion
Team Meeting/Surveyor Planning

Joint Commission Participants
Surveyors

Organization Participants
None

Logistical Needs
The suggested duration for this session is 30 minutes.

Overview
Surveyors use this session to debrief on the day’s findings and observations and plan for upcoming survey activities.

Before leaving the organization, surveyors will return organization documents to the survey coordinator / liaison. If surveyors have not returned documentation, your organization is encouraged to ask surveyors for the documents prior to their leaving.
Daily Briefing

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include representative(s) from governance, CEO/Administrator or Executive Director, individual coordinating the Joint Commission survey, and other staff at the discretion of organization leaders.

Logistical Needs
The suggested duration for this session is approximately 15 to 30 minutes and occurs every morning of a multi-day survey, with the exception of the first day. Surveyors may ask to hold a daily briefing before concluding activity on the first day, depending on circumstances. If a surveyor cannot participate in this session because they are surveying at a remote location, you may be asked for assistance with setting up a conference call to include all surveyors and appropriate staff.

Objective
The surveyor will summarize the events of the previous day and communicate observations according to standards areas that may or may not lead to findings.

Overview
The surveyors briefly summarize the survey activities completed the previous day. During this session the surveyors make general comments regarding significant issues from the previous day, note potential non-compliance, and emphasize performance patterns or trends of concern that could lead to findings of non-compliance. The surveyors will allow you the opportunity to provide information that they may have missed or that they requested during the previous survey day. You may also present surveyors with information related to corrective actions being implemented for any issues of non-compliance. Surveyors will still record the observations and findings, but will include a statement that corrective actions were implemented by the organization during the on site survey.

Your organization should seek clarification from the surveyors about anything that you do not understand. Note that the surveyors may decide to address your concerns during a Special Issue Resolution Session, later in the day. It is important for you to seek clarification if you do not understand anything that the surveyors discuss.
Competence Assessment and Credentialing/Privileging

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff responsible for the human resources processes; orientation and education of staff; assessing staff competency; assessing licensed independent practitioner and other credentialed practitioner competency. There should be someone with authority to access information contained in personal and credential files. For complex organizations (being surveyed under more than one accreditation manual or for more than one service under one accreditation manual), representatives from each applicable accreditation program or service should be available.

Logistical Needs
The suggested duration for this session is 30-60 minutes. In order to plan for a file review, inform the surveyors of your process for maintaining competency records. The review of files is not the primary focus of this session; however, the surveyor verifies process-related information through documentation in personnel or credential files. The surveyor identifies specific staff, licensed independent practitioners, or other credentialed practitioners whose files they would like to review.

Objectives
The surveyor will:
- Learn about your organization’s competence assessment process for staff, licensed independent practitioners, and other credentialed practitioners
- Learn about your organization’s orientation, education, and training processes as they relate to staff, licensed independent practitioners, and other credentialed practitioners encountered during individual tracers

Overview
The surveyor discusses the following topics:
- Internal processes for determining compliance with policies and procedures, applicable law and regulation, and Joint Commission standards
- Methods used to determine staffing adequacy, frequency of measurement, and what has been done with the results
- Performance improvement initiatives related to competency assessment for staff, licensed independent practitioners, and other credentialed practitioners
- Orientation of staff, licensed independent practitioners, and other credentialed practitioners to your organization, job responsibilities, and/or clinical responsibilities
- Experience, education, and abilities assessment
- Ongoing education and training
- Competency assessment, maintenance, and improvement
- Competency assessment process for contracted staff, as applicable
- Process for granting of privileges to licensed independent practitioners (AHC, NCC, OBS, OME)
- Process for assigning clinical responsibilities (BHC only)
- Other topics and issues discovered during the tracer activity
Competence Assessment

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff responsible for the human resources processes; orientation and education of staff; assessing staff competency. There should be someone with authority to access information contained in personal files. For complex organizations (being surveyed under more than one accreditation manual or for more than one service under one accreditation manual), representatives from each applicable accreditation program or service should be available.

Logistical Needs
The suggested duration for this session is 30-60 minutes. In order to plan for a file review, inform the surveyors of your process for maintaining competency records. The review of files is not the primary focus of this session; however, the surveyor verifies process-related information through documentation in personnel files. The surveyor identifies specific staff whose files they would like to review.

Objectives
The surveyor will:
- Learn about your organization’s competence assessment process for staff
- Learn about your organization’s orientation, education, and training processes as they relate to staff, encountered during individual tracers

Overview
The surveyor discusses the following topics:
- Internal processes for determining compliance with policies and procedures, applicable law and regulation, and Joint Commission standards
- Methods used to determine staffing adequacy, frequency of measurement, and what has been done with the results
- Performance improvement initiatives related to competency assessment for staff
- Orientation of staff to your organization, job responsibilities, and/or clinical responsibilities
- Experience, education, and abilities assessment
- Ongoing education and training
- Competency assessment, maintenance, and improvement
- Competency assessment process for contracted staff, as applicable
- Other topics and issues discovered during the tracer activity
Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include individuals familiar with the management of the environment of care and emergency management in all major areas within your organization. This may include the safety management coordinator, security management coordinator, facility manager, building utility systems manager, and the person responsible for emergency management.

Objective
The surveyor will assess your organization’s degree of compliance with relevant standards and identify vulnerabilities and strengths in your organization’s environment of care management and emergency management processes.

Overview
The duration of this session is approximately 45-90 minutes depending on the type of organization, services provided and facilities, and will consist of two parts: Environment of Care/Emergency Management discussion and Environment of Care tracer.

During the first part, there is a group discussion that takes approximately 70% of this session. Surveyors are not the primary speakers during this time; they are listeners to the discussion, it is not intended to be an interview. The surveyors review the Environment of Care risk categories as indicated in the matrix below, and safety data analysis and actions taken by your organization.

The remaining time is spent as the surveyor observes and evaluates your organization’s performance in managing a particular risk or management process in the environment of care. The management process or risk selected for observation is based on the environment of care documents previously reviewed, observation by other surveyors, and knowledge gained during the group discussion of this session.

Environment of Care Discussion and Emergency Management (Approximately 70% of session time) – Be prepared to discuss how the various Environment of Care risk categories and construction activities, when applicable, are addressed in each of the following six management processes.

Plan
• What specific risks related to its environment of care have been identified by your organization?

Teach
• How have roles/responsibilities for staff/volunteers been communicated by your organization.

1 The environment of care risk categories include: general safety and security, hazardous materials and waste, fire safety, medical/laboratory equipment, and utilities (see matrix on the next page for applicability of risk categories to each accreditation program).
Implement
- What procedures and controls (both human and physical components) does your organization implement to minimize the impact of risk to patients, visitors, and staff?

Respond
- What procedures does your organization implement to respond to an environment of care incident/failure?
- How, when, and to whom are environment of care problems, incidents, and/or failures reported within your organization.

Monitor
- How is environment of care performance (both human activities and physical components) monitored by your organization?
- What monitoring activities have taken place within the last 12 months (on re-surveys)?

Improve
- What environment of care issues are currently being analyzed?
- What actions have been taken as a result of monitoring activities?

The following matrix is provided to assist in determining patterns of management process or risk category areas of concern and strengths.

<table>
<thead>
<tr>
<th>SAFETY and SECURITY 2</th>
<th>HAZMAT 2</th>
<th>EMER. MGT 2</th>
<th>FIRE 2</th>
<th>MED/LAB. EQ. 1</th>
<th>UTILITIES</th>
<th>CONSTRUCTION 2</th>
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<td>PLAN</td>
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<td>IMPROVE</td>
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</table>

Note: 1 = Not applicable to Behavioral Health Care
2 = Not applicable to Long Term Care Medicare/Medicaid Certification-Based Option Surveys

If your organization wants to conduct a mock Environment of Care Session:
1. Identify a high risk process or category
2. Determine the location for that risk or category in your plans, e.g. safety, security etc.
3. Trace the risk or category through the phases in the first column: planning, teaching, implementing, responding, monitoring and improving
4. Note any gaps between what exists and what should be in place
5. Modify the process, as needed
Be prepared to discuss your organization’s performance addressing the emergency management requirements including performance in:

- Identifying potential emergencies that could affect demand for organization services or the organization’s ability to provide services (sometimes referred to as a, Hazard Vulnerability Analysis)
- Identifying your role in relation to the community’s, county’s, or region’s emergency management program
- Identifying processes for the timely sharing of information with other health care organizations that provide services within the contiguous geographic area (for hospitals and long term care organizations only)
- Identifying an “all hazards” command structure that links with the community’s command structure and
- Making any necessary improvements to its emergency management based on critiques of emergency management drills

Environment of Care Tracer (Approximately 30% of session time)
The surveyor observes and evaluates your organization’s performance in managing the selected Environment of Care risk. They observe implementation of those particular management processes determined to be potentially vulnerable or trace a particular risk(s) in one or more of the environment of care risk categories your organization manages by:

- Beginning where the risk is encountered or first occurs. (i.e., a starting point might be where a particular safety or security incident occurs, a particular piece of medical equipment is used, or a particular hazardous material enters your organization)
- Having staff describe or demonstrate their roles and responsibilities for minimizing the risk, what they are to do if a problem or incident occurs, and how to report the problem or incident
- Assessing any physical controls for minimizing the risk (i.e., equipment, alarms, building features)
- Assessing the emergency management plan for mitigation, preparedness, response, and recovery strategies, actions and responsibilities for each priority emergency
- Assess the emergency plan for responding to utility system disruptions or failures (e.g., alternative source of utilities, notifying staff, how and when to perform emergency clinical interventions when utility systems fail, and obtaining repair services)
- If equipment, alarms, or building features are present for controlling the particular risk, reviewing implementation of relevant inspection, testing, or maintenance procedures
- If others in your organization have a role in responding to the particular problem or incident, having them describe or demonstrate that role, and reviewing the condition of any equipment they use in responding

If the risk moves around in your organization’s facility (i.e., a hazardous material or waste), the surveyor follows the risk from “cradle to grave.”
Facility Orientation – Life Safety Surveyor

Applicability
This activity only applies to Critical Access Hospitals and Hospitals.

Joint Commission Participants
Life Safety Code Specialist

Organization Participants
Suggested participants include the individual who manages your organization's facility(ies) and other staff at the discretion of your organization. Due to the limited amount of time the Life Safety Surveyor is onsite, please be prepared to facilitate this activity upon his/her arrival.

Logistical Needs
Upon arrival by the surveyor, an escort will be needed to take him/her to the main fire alarm panel to verify that it is functional. The surveyor will then meet with an organization staff member(s) to become oriented to the layout of the building. This activity is greatly facilitated if the organization has plans and drawings available that display the building fire safety features. Other documents need for this session include your organization's:

- Policies and procedures for Interim Life Safety Measures (ILSMs)
- Written fire response plans
- Evaluations of fire drills conducted for the past 12 months
- Maintenance records for fire protections and suppressions equipment,
- Maintenance records for emergency power systems
- Maintenance records for piped medical gas and vacuum systems

A detailed listing of these documents along with their related standards and elements of performance Life Safety and Environment of Care Document List and Review Tool found at the end of this guide.

Objectives
The surveyor will:

- Assess the main fire alarm panel
- Become familiar with the layout of the building (including arrangement of smoke compartments, location of any suites, age of building additions, areas with sprinklers, areas under construction, and any equivalencies).
- Evaluate the effectiveness of processes for identifying and resolving Life Safety Code® problems
- Evaluate the effectiveness of processes for activities developed and implemented to protect occupants during periods when a building does not meet the applicable provisions of the Life Safety Code® or during periods of construction
- Evaluate the effectiveness of processes for maintaining fire safety equipment and fire safety building features
- Evaluate the effectiveness of processes for maintaining and testing any emergency power systems
- Evaluate the effectiveness of processes for maintaining and testing any medical gas and vacuum systems
- Educate attendees on potential actions to take to address any identified Life Safety Code® problems
Joint Commission Participants
Surveyor

Organization Participants
At a minimum, representation should include safety, security management coordinator, facility manager, building utility systems manager, responsible person for medical/laboratory maintenance, Environment of Care team or safety committee leader, and organizational leadership.

Objective
The surveyor will assess your organization’s degree of compliance with relevant standards and identify vulnerabilities and strengths in your organization’s environment of care management processes.

Overview
The suggested duration of this session is approximately 60-90 minutes and will consist of two parts: Environment of Care discussion and Environment of Care tracer. In preparation for this session, the surveyor evaluates the Environment of Care management plans, any Environment of Care multidisciplinary team meeting minutes for the previous 12 months, and the annual evaluation of the environment of care management plans from the previous year.

During the first part, there is a group discussion that takes approximately 50% of this session. Surveyors are not the primary speakers during this time; they are listeners to the discussion, it is not intended to be an interview. The surveyors review the Environment of Care risk categories as indicated in the matrix below, and safety data analysis and actions taken by your organization.

The remaining time is spent as the surveyor observes and evaluates your organization’s performance in managing a particular risk or management process in the environment of care. The management process or risk selected for observation is based on the environment of care documents previously reviewed, observation by other surveyors, and knowledge gained during the group discussion of this session.

Environment of Care Discussion (Approximately 70% of session time) – Be prepared to discuss how the various Environment of Care risk categories and construction activities are addressed in each of the following six management processes.

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2 The environment of care risk categories include: general safety and security, hazardous materials and waste, fire safety, medical/laboratory equipment, and utilities (see matrix on the next page for applicability of risk categories to each accreditation program).
Plan
- What specific risks related to its environment of care have been identified by your organization?

Teach
- How have roles/responsibilities for staff/volunteers been communicated by your organization (HR).

Implement
- What procedures and controls (both human and physical components) does your organization implement to minimize the impact of risk to individuals served/patients/residents, visitors, and staff?

Respond
- What procedures does your organization implement to respond to an environment of care incident/failure?
- How, when, and to whom are environment of care problems, incidents, and/or failures reported within your organization.

Monitor
- How is environment of care performance (both human activities and physical components) monitored by your organization
- What monitoring activities have taken place within the last 12 months?

Improve
- What environment of care issues are currently being analyzed?
- What actions have been taken as a result of monitoring activities?

Environment of Care Tracer (Approximately 30% of session time)
The surveyor will select an Environment of Care risk category to trace based on the Environment of Care session discussion, individual tracer activity observations, or high risk areas based on your type of organization and the services you provide.

The surveyor observes and evaluates your organization’s performance in managing the selected Environment of Care risk. He or she observes implementation of those particular management processes determined to be potentially vulnerable or trace a particular risk(s) in one or more of the environment of care risk categories your organization manages by:

- Beginning where the risk is encountered or first occurs. (i.e., a starting point might be where a particular safety or security incident occurs, a particular piece of medical equipment is used, or a particular hazardous material enters your organization).
- Having staff describe or demonstrate their roles and responsibilities for minimizing the risk, what they are to do if a problem or incident occurs, and how to report the problem or incident.
- Assessing any physical controls for minimizing the risk (i.e., equipment, alarms, building features).
- Assessing the emergency management plan for mitigation, preparedness, response, and recovery strategies, actions and responsibilities for each priority emergency
- Assess the emergency plan for responding to utility system disruptions or failures (e.g., alternative source of utilities, notifying staff, how and when to perform emergency clinical interventions when utility systems fail, and obtaining repair services)
- If equipment, alarms, or building features are present for controlling the particular risk, reviewing implementation of relevant inspection, testing, or maintenance procedures.
• If others in your organization have a role in responding to the particular problem or incident, having them describe or demonstrate that role, and reviewing the condition of any equipment they use in responding.

If the risk moves around in your organization’s facility (i.e., a hazardous material or waste), the surveyor follows the risk from “cradle to grave.”
Life Safety Code® Building Assessment

Applicability
This activity only applies to Critical Access Hospitals and Hospitals.

Joint Commission Participants
Life Safety Code Specialist

Organization Participants
Suggested participants include the individual who manages your organization's facility(ies) and other staff at the discretion of your organization.

Logistical Needs
The surveyor will need a ladder and flashlight for this activity and the escort needs to have keys or tools necessary to open locked rooms, closets or compartments in order to allow the surveyor access to and observation of space above the ceilings.

Objectives
The surveyor will:
- Evaluate the effectiveness of processes for maintaining fire safety equipment and fire safety building features
- Evaluate the effectiveness of processes for maintaining and testing any emergency power systems
- Evaluate the effectiveness of processes for maintaining and testing any medical gas and vacuum systems
- Determine the degree of compliance with relevant Life Safety Code® requirements
- Educate attendees on potential actions to take to address any identified Life Safety Code® problems

Overview of Building Tour
Surveyors will:
- Assess Operating Room(s) for proper pressure relationships
- Assess required fire separations
- Assess required smoke separations (at least two)
- Assess hazardous areas, such as soiled linen rooms, trash collection rooms, and oxygen storage rooms
- Conduct an "above the ceiling" survey at each location identified above by observing the space above the ceiling to identify:
  - penetrations of smoke, fire or corridor walls
  - smoke or fire walls that are not continuous from slab-to-slab and outside wall to outside wall
  - penetrations or discontinuities of rated enclosures including hazardous areas, stairwells, chutes, shafts, and floor or roof slabs
  - corridor walls that are not slab-to-slab or do not terminate at a monolithic ceiling (if the building is fully sprinkled and the ceiling is smoke tight, the walls may terminate at the ceiling line)
  - the presence or absence of required smoke detectors or fire dampers
  - the presence or absence of required fire proofing on structural members such as columns, beams, and trusses
- Verify that fire exits per building and verify that they are continuous from the highest level they serve to the outside of the building
- Assess any kitchen grease producing cooking devices
- Assess any laundry and trash chutes (including the bottoms of any laundry and trash chutes
- Assess the condition of all emergency power systems and equipment

Applicable Programs
CAH, HAP
• Verify that there is a reliable emergency power system that supplies electricity when normal electricity is interrupted to the following areas: exit route illumination, emergency/urgent care areas, areas where electrically powered life-support equipment is used, operating rooms, and postoperative recover rooms

• Assess any medical gas and vacuum system components including master signal panels, area alarms, automatic pressure switches, shutoff valves, flexible connectors, and outlets
Emergency Management

Joint Commission Participants
Surveyor (or Life Safety Code Specialist)

Organization Participants
Suggested participants include individuals familiar with emergency management within your organization. This may include the emergency management coordinator, safety management coordinator, security management coordinator, facility manager, building utility systems manager, nursing administration, infection control staff, and organizational leadership including representation from the Medical Staff.

Logistics
The suggested duration of the Emergency Management session is approximately 60-90 minutes. In preparation for this session, the surveyor evaluates the Hazard Vulnerability Analysis, the Emergency Operation Plan, annual evaluation of the Emergency Operation Plan from the previous year, and Emergency Management (EM) drills and after action reports.

Objective
The surveyor will assess your organization’s degree of compliance with relevant standards and identify vulnerabilities and strengths in your organization’s emergency management processes structure, operations, and planning activities.

Overview
The surveyor initiates discussion around the four emergency management categories: mitigation, planning, response, and recovery.
Discussion topics include:

- Your organization’s involvement with your community and its relationship with other health care organizations
- Inventory of the assets it has on-site, that would be needed during an emergency.
- Capabilities and response efforts when the organization cannot be supported by the local community for at least 96 hours.
- Planning performance for the six critical functions:
  - Communication (including backup communications capabilities)
  - Resources and assets
  - Safety and Security
  - Staff responsibilities (including orientation/ competency/training of staff
  - Utilities management
  - Patient and clinical support activities
- Your organization’s processes for the disaster privileging of licensed independent practitioners and verification of other practitioners who are required to have licensure, certification or registration
- Recent improvements to the Emergency Operations Plan or any lessons learned from your emergency management exercises.

Potential for survey team to follow-up on emergency management related issues during Individual Tracers, System Tracers, Leadership session, and other activities as needed.
Life Safety Code® Building Assessment

Applicability
This activity does not apply to Behavioral Health Care organizations designated as business occupancies. For the Home Care accreditation program, this activity only applies to certain facility-based hospice settings (see the Life Safety chapter Overview in each program’s Accreditation Manual for more information).

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include the individual who manages your organization’s facility(ies) and other staff at the discretion of your organization.

Logistical Needs
The surveyor will need a ladder and flashlight for this activity and the escort needs to have keys or tools necessary to open locked rooms, closets or compartments in order to allow the surveyor access to and observation of space above the ceilings. NOTE: Nursing Care Center surveyors will limit their Life Safety Code® tour to issues below the ceiling and will not require ladder and flashlight.

In preparation for this session, the surveyor meets with an organization staff member to become oriented to the layout of the building (including arrangement of smoke compartments, location of any suites, age of building additions, areas with sprinklers, areas under construction, and any equivalencies granted by the Joint Commission). This activity is greatly facilitated if the organization has plans and drawings available that display the building fire safety features. The surveyor will also review your organization’s processes for Interim Life Safety Measures (ILSMs).

Objectives
The surveyor will:
- Evaluate the effectiveness of processes for maintaining fire safety equipment and fire safety building features
- Evaluate the effectiveness of processes for identifying and resolving Life Safety Code® problems
- Evaluate the effectiveness of processes for activities developed and implemented to protect occupants during periods when a building does not meet the applicable provisions of the Life Safety Code® or during periods of construction
- Evaluate the effectiveness of processes for maintaining and testing any emergency power systems
- Evaluate the effectiveness of processes for maintaining and testing any medical gas and vacuum systems
- Determine the degree of compliance with relevant Life Safety Code® requirements
- Educate attendees on potential actions to take to address any identified Life Safety Code® problems

Facility Orientation
Meet with appropriate organization staff to become oriented to the:
- Layout of the building (including arrangement of smoke compartments, location of any suites, age of building additions, areas with automatic sprinklers, areas under construction, and any equivalencies granted by the Joint Commission
- Organization processes for Interim Life Safety Measures (ILSMs)

Overview of Building Tour
Surveyors will:
• Assess hazardous areas, such as soiled linen rooms, trash collection rooms, and oxygen storage rooms
• Assess required fire separations
• Assess required smoke separations (at least two)
• Conduct an "above the ceiling" survey at each location identified above by observing the space above the ceiling to identify:
  ▪ penetrations of smoke, fire or corridor walls
  ▪ smoke or fire walls that are not continuous from slab-to-slab and outside wall to outside wall
  ▪ penetrations or discontinuities of rated enclosures including hazardous areas, stairwells, chutes, shafts, and floor or roof slabs
  ▪ corridor walls that are not slab-to-slab or do not terminate at a monolithic ceiling (if the building is fully sprinklered and the ceiling is smoke tight, the walls may terminate at the ceiling line)
  ▪ the presence or absence of required smoke detectors or fire dampers
  ▪ the presence or absence of required fire proofing on structural members such as columns, beams, and trusses
• Verify that fire exits per building and verify that they are continuous from the highest level they serve to the outside of the building
• Assess any kitchen grease producing cooking devices
• Assess the bottoms of any laundry and trash chutes
• Assess the main fire alarm panel (if any)
• Assess the condition of all emergency power systems and equipment
• Assess any medical gas and vacuum system components including master signal panels, area alarms, automatic pressure switches, shutoff valves, flexible connectors, and outlets
System Tracer – Data Management

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants vary depending on the focus of the tracer. Surveyors inform your organization who should participate in this session.

Logistical Needs
The suggested duration for this activity is 30-90 minutes depending on the number of days surveyors spend onsite and the size and complexity of your organization. A room that can accommodate both organization and Joint Commission participants is needed.

Objective
Surveyors will learn about how your organization is using data to evaluate the safety and quality of care being provided to individuals served/patients/residents. They will also seek to understand, as well as, assess your organization’s performance improvement processes including the management and use of data.

Overview
During the Surveyor Planning Session, surveyors review your organization’s data. Surveyors will review your organization’s data and performance improvement projects during planning activity in preparation to discuss the following topics:

- Planning for data use including how your organization identifies and prioritizes measurement and performance improvement projects
- Data collection methodology to ensure that all data is collected as planned, and that it is accurate and reliable
- Data aggregation and analysis and the processes for turning it into useful information
- Data use in your organization – be prepared with examples of how it is used on an ongoing basis, how it is used in periodic performance monitoring and project based activities

Data-related topics that will be discussed during this session include:

- Infection Control
- Medication Management
- National Patient Safety Goal data
- Contracted services performance monitoring
- Organization directed data collection
- Proactive risk assessment, when applicable
- Regulated data collection, e.g., OASIS, MDS, other federal or state reporting, etc.
- Incident/error reporting
- Staffing issues
- Hospital only:
  - Core Measures
  - Patient flow
  - Readmission rates

Applicable Programs
All programs, except LAB and NCC
Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include the infection control coordinator for each program being surveyed; physician member of the infection control team; clinicians from the laboratory; clinicians knowledgeable about the selection of medications available for use and pharmacokinetic monitoring, as applicable; facility or facilities staff; organization leadership; and staff involved in the direct provision of care, treatment, or services.

Logistical Needs
The duration of this session is approximately 30-60 minutes. The surveyor may need a quiet area for brief interactive discussion with staff who oversee the infection control process. The remaining session is spent where the care, treatment, or services are provided.

Objectives
The surveyor will:
• Learn about the planning, implementation, and evaluation of your organization’s infection control program
• Identify who is responsible for day-to-day implementation of the infection control program
• Evaluate your organization’s process for the infection control plan development, outcome of the annual infection control evaluation process, and oversight of opportunities for improvement
• Understand the processes used by your organization to reduce infection

Overview
The infection control session begins during one of the individual tracers where the surveyor identifies an individual served/patient/resident with an infectious disease. This session is conducted in two parts. During the first part, surveyors meet with staff from all programs being surveyed to discuss your organization’s infection control program. During the remaining time, surveyors spend their time where care, treatment, or services are provided.

Topics of discussion include:
• How individuals with infections are identified
• Laboratory testing and confirmation process, if applicable
• Staff orientation and training activities
• Current and past surveillance activity
• Analysis of infection control data
• Reporting of infection control data
• Prevention and control activities (for example, staff training, staff and licensed independent practitioner vaccinations and other health-related requirements, housekeeping procedures, organization-wide hand hygiene, food sanitation, and the storage, cleaning, disinfection, sterilization and/or disposal of supplies and equipment)
• Staff exposure
• Physical facility changes that can impact infection control
• Actions taken as a result of surveillance and outcomes of those actions

Note: These topics are covered by surveyors during other activities on surveys that do not have a specific system tracer related to infection control.
System Tracer – Medication Management

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include clinical and support staff responsible for medication processes.

Logistical Needs
The suggested duration of this session is approximately 30-60 minutes. A room is needed to accommodate organization and Joint Commission surveyor participation.

Objectives
The surveyor will:
- Learn about your organization’s medication management processes
- Evaluate the continuity of medication management from procurement of medications through monitoring, if applicable
- Evaluate the medication reconciliation process during “hand-offs” from one level of care to another, if medication is prescribed

Overview
The surveyor targets a individual served/patient/resident receiving a specific medication. The review begins with the individual’s record of care then follows the medication throughout the system.

For complex organizations being surveyed under more than one accreditation manual or for more than one service under one accreditation manual, the surveyor selects an individual served/patient/resident who is receiving a high-risk medication, who moves between or who has the potential of moving between programs/services. If a program is not involved in the selected medication, then a surveyor from each program will trace a high risk medication through their program.

For Home Care Pharmacy organizations being surveyed: The surveyor will observe the sterile compounding process as part of the Medication Management session, or as part of a patient tracer.

Other discussion issues include:
- Process for reporting errors, system breakdowns, near misses, or overrides
- Data collection, analysis, systems evaluation, and performance improvement initiatives
- Medications brought into an organization by the patient/resident/individual served
- Education of staff and individual served/ patient/resident
- Information management systems related to medication management
- Individual served/ patient/resident involvement in medication management

Note: These topics are covered by surveyors during other activities on surveys that do not have a specific system tracer related to medication management.
Foster Family Home Visits

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include the case manager, foster parent or family, and individual served

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity. The suggested duration for this activity is approximately 90 minutes. Time will be spent in the agency, traveling, and in the foster family home. To help with planning for this session, identify the foster parents/family scheduled for a visit that a Joint Commission surveyor can observe. This provides the surveyor with an opportunity to interview the individual served and the family about the foster care program. You will need to obtain written permission for the home visit from the foster parent/family. This signed permission form should be kept by your organization.

Objectives
The surveyor will:
- Assess the interaction among the foster parents/family, the individual served, and the case worker
- Assess the environmental safety issues in the home

Overview
Prior to the home visit, the surveyor asks the Case Manager for an overview of the services and care required by and provided to the individual served. This overview includes the following:
- History of the individual served
- The medical and emotional assessments of the individual served
- The case plan
- Special needs of the individual served
- The plan for coordination with other service providers
- Permanency goal for the individual served (children/youth only)
- The Case Manager’s understanding of organization policies, procedures, job responsibilities and performance improvement

During the home visit, the surveyor observes the home environment for:
Staff/individual served/foster family interaction including:
- Safety, security, and confidentiality
- Communication in a language the individual served/foster family can understand
- Encouragement by the case manager for the individual served/foster family to verbalize and ask questions
- Respect for the privacy of the individual served and foster family
- Respect for their culture/religious beliefs

Care, including:
- Provision of a nurturing care environment
- Recognition of (and provision for) the assessed special needs of the individual served
- Opportunities for the individual served to interact with siblings and other members of the family of origin, if indicated in the case plan (children/youth only)
- Participation of the individual served/foster family in case planning, permanency planning (children/youth only) and planning for independent living (when appropriate)

Environmental safety issues including:
- Life safety issues such as smoke detectors in or near the sleeping room of the individual served and a large window or other means of secondary egress from the sleeping room
- Safe storage, handling, and dispensing of medications in the home
• Sanitary living conditions

Depending on the level of maturity of the individual served, and their condition, and personal wishes, the surveyor interviews him or her (without the foster parents present) to discover the opinions about his or her placement, agency support, protection of his or her individual rights, involvement in case plan decisions, and permanency planning (for children/youth only). The surveyor interviews the individual served in the presence of the case manager or other agency staff, or may talk privately with him or her as long as they stay in visual contact with the foster parents and the case manager. This casual talk may include the following topics:

- His or her involvement in case planning, permanency planning (for children/youth only), and preparation for independent living (if appropriate)
- Steps taken to meet any “special needs” that may have been identified during assessment
- How the his or her unique cultural/ethnic/religious needs (if any) are addressed
- How the foster parents handle the situation if he or she doesn’t obey the house rules"
- His or her understanding of their rights to safety and privacy (to learn how these issues are addressed by your organization and the foster family)
- His or her contacts with organization staff and the support services received

The surveyor inquires about the information the foster parents/family received from your organization in the following areas:

- The special physical, emotional, and social needs of the individual served
- The rights of the individual served, foster family, and family of origin
- Procedures for reporting incidents and accidents
- Support services available from your organization and the community
- Foster care financial reimbursement issues
- Respite care policies and procedures
- How to ensure a safe living environment
- Provision for the educational and health needs of the individual served
- Confidentiality of information
- How the special cultural/ethnic needs of the individual served are addressed
- Education and training provided by your organization
- Requirements for foster care family licensure
- Competency assessment and evaluation

The surveyor is also interested to know if the foster parent/family have ever identified any problems with the support or services offered by your organization and, if so, how these problems were handled.
Foster Parents Group Meeting

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff who are familiar with your organization’s foster care services and foster parents who are representative of all the foster care services provided by your organization.

Logistical Needs
This focused tracer occurs during time designated for Individual Tracer Activity. The suggested duration of this session is approximately 60 minutes. During this session, surveyors visit foster homes. You are responsible for making all arrangements for this visit, including securing a location, notifying foster parents of the date, time, and place. If you host a regularly scheduled meeting with foster parents for training, education, communication, or other purposes, explore the possibility of scheduling this meeting during the survey. It may be held any afternoon or evening of the survey except for the last day.

Objectives
The surveyor will:
- Learn about your organization’s recruitment, licensing, and training process
- Learn about the preparation of foster parents to meet the needs of individuals served
- Learn about your organization’s foster care program from the foster parent’s perspective

Overview
Foster parents provide important information about a foster care program’s services and support which makes them key participants in an accreditation survey. A Foster Parents Group meeting provides a surveyor the opportunity to speak with more foster parents than individual home visits will allow.

The surveyor asks about information foster parents receive from your organization regarding the following areas:
- The special physical, emotional, and social needs of the individual served
- The rights of the individual served, foster family, and family of origin
- Procedures for reporting incidents and accidents
- Support services available from your organization and the community
- Foster care financial reimbursement issues
- Respite care policies and procedures
- How to ensure a safe living environment
- Provision for the educational and health needs of the individual served
- Confidentiality of information
- How the special cultural/ethnic needs of the individual served are addressed
- Education and training provided by your organization
- Requirements for foster care family licensure, including competency

Applicable Programs
BHC
[Foster / Therapeutic Foster Care Only]
Joint Commission Participants
Surveyor

Organization Participants
Laboratory director(s) on all CLIA certificates held by the organization, the laboratory administrative director and/or manager and other staff or laboratory staff as designated by the organization

Logistical Needs
The suggested duration of this session is approximately 30 minutes. A room is needed to accommodate organization and Joint Commission surveyor participation.

Objective
The surveyor will verify that the laboratory is enrolled and participates in a CMS-approved proficiency testing program for each regulated analyte and will review proficiency testing performance for regulated and non-regulated analytes (if applicable), including documentation of remedial action for each result exceeding acceptable limits.

Overview
During this session the surveyor will review and discuss the following documents with laboratory representatives:

- All proficiency testing results for the last two years (previous six testing events)
- All records of test handling, preparation, processing, examination, and results reporting and signed attestation statements provided by the proficiency feedback reports
- Documentation of review of each proficiency report and documentation of review of problems or potential problems with remedial actions, as indicated
- Performance improvement data
- Record retention policies and procedures
Regulatory Review - HME

Joint Commission Participants
Clinician surveyor

Organization Participants
Suggested participants include those responsible for billing, posting revenue and reconciliation of accounts. Additionally, staff responsible for budgeting and oversight of client complaints will be interviewed.

Logistical Needs
The suggested duration of this session is approximately 60 minutes. A location with access to accounting documents is needed. Surveyors can go to the billing staff desks and review information on the computer if that is the most convenient way of viewing the information.

Objective
The surveyor will learn about your organization’s financial management processes relative to Medicare/Medicaid billing and receivables

Overview
During this session the surveyor will want to learn about your organization's processes for internal oversight and reconciliation processes (monitoring) to ensure that:
- Medicare/Medicaid is being billed only for supplies and equipment provided to a patient/client; and
- Medicare/Medicaid payments are being appropriately assigned to a patient/client account; and
- Money is being deposited into the organization's account.

Surveyors will want to interview staff about your organization's process for complaint receipt, tracking and resolution and will ask to see your complaint log.

Annual Budget Review: Your organization's annual budget will be reviewed if it is available.
Joint Commission Participants
Surveyor

Organization Participants
Laboratory leadership

Logistical Needs
The suggested duration of this session is approximately 30 minutes. A room is needed to accommodate organization and Joint Commission surveyor participation.

Objective
The surveyor will verify that licensing and services provided by the laboratory comply with law and regulation.

Overview
During this session the surveyor will:
- Verify CLIA certificates:
  - Director
  - Specialties/subspecialties
  - Type corresponds to level of testing
- Verify license requirements of lab, director and staff
- Verify proficiency testing provider and enrollment period
- Determine test volumes per CMS guidelines for specialties
- Review of IQCP documentation, if applicable

Applicable Programs
LAB
Clinical Leadership and Staff Discussion

Joint Commission Participants
Surveyor

Organization Participants
Required participants include at a minimum:
• Clinical leadership
• One licensed independent practitioner or clinical staff member from each satellite/remote site that is not scheduled for a site visit
• One clinical staff member responsible for providing direct care to any special population for which the Health Center receives specific funding support (e.g. homeless, migrant and seasonal farm workers, public housing residents, HIV/AIDS)
• A cross section of providers including physicians, dentists, other licensed independent practitioners, nurses, social workers, and other categories of staff who provide direct care to patients
• If all sites are scheduled for a visit, at least one person who may not otherwise be available to participate in the site visit, e.g. part-time individual with clinical responsibilities who is not scheduled to work on the day of the site visit, part-time or week-end staff member, individual with a schedule conflict which would preclude participation during a scheduled on-site visit

Logistical Needs
The suggested duration of this session is approximately 60 minutes.

[NOTE: As of April, 2012 Health Center completion and surveyor review of the “Health Center Self-Report Tool for BPHC Program Expectations” is an option.]

The surveyor will review the health care plan, credentialing and privileging policies and procedures, risk management policies and procedures, and clinical practice guidelines

Objectives
The surveyor will:
• Understand the clinical staff’s role in your organization
• Learn about the clinician’s understanding of performance improvement approaches and methods, and their involvement in your organization’s approach to performance improvement
• Assess the interrelationships and communication between and among disciplines, departments, programs, services or settings, when applicable to your organization

Overview
Based on prior survey findings and other available information the surveyor assesses issues according to the following framework:
• Pre-entry and entry phases of the continuum of care
  ▪ Linkage with and use of available information sources about the patient's needs
  ▪ Linkages with other care settings within and/or outside your organization
  ▪ Availability of and access to services consistent with your organization's mission, populations, and treatment settings or services to meet the patient's needs, including BPHC required services
  ▪ Arrangements with other organizations and the community to facilitate entry and access to comprehensive health and social services
  ▪ Referrals and transfers to meet the patient's needs and BPHC requirements
  ▪ The use of clinical consultants and contractual arrangements
• Care within your organization
  ▪ Scope of service being provided directly or indirectly; including those required by BPHC
  ▪ Continuous flow of services from assessment through treatment and reassessment
  ▪ Coordination of care among providers

• Pre-exit and exit phases of the continuum of care
  ▪ Assessment of the patient's status and need for provision of continuing care
  ▪ Direct referral to practitioners, settings, and organizations to meet the patient's continuing needs
  ▪ Reassessment of the use and value of providing continuing care in meeting the patient's needs
  ▪ Provision of information or data to help others meet the patient's continuing needs.
  ▪ Systems issues supporting the continuum of patient care
Governance Discussion Session

Joint Commission Participants
Administrative surveyor (or clinician surveyor on surveys with one surveyor)

Organization Participants
Required participants include at least the following:
- Chairperson/President or Vice-Chair/Vice President
- Treasurer or Chair of the Finance Committee
- A board member who represents the users/patients/consumers, if one of the above officers is not a patient/user/consumer
- If the center receives funding for any special population groups (e.g. Migrant and Seasonal Farm Workers, Homeless Individuals, Residents of Public Housing), the representative for this population group

Note: Board members may participate by conference call.

Logistical Needs
The suggested duration of this session is approximately 45 to 60 minutes.

Objective
The surveyor will learn about your organization’s governance, particularly as it pertains to compliance with BPHCs statutory and regulatory requirements.

Overview
The surveyor begins this session with a brief overview of the Joint Commission’s mission and goals as well as a description of the benefits of the combined Joint Commission - BPHC survey. Discussion is based on relevant standards-based issues, BPHC Program Expectations required by law or regulation, and information presented by your organization during the opening conference and orientation to the organization. Information gained during the session is used to assess levels of compliance with BPHC statutory and regulatory requirements. Assessments of compliance with The Joint Commission standards may also occur.

The surveyor addresses the following issues:
- The structure and composition of the governing body
- The functioning, participation, and involvement of the governing body in the oversight and operation of your organization
- The level of communication among the board members
- The governing body's perception and implementation of its role in your organization, especially regarding the governance, and mission and strategy expectations, if described in the “Health Center Self-Report Tool for BPHC Program Expectations”
- The knowledge of the governing body members with respect to federal law and regulation
- The governing body’s understanding of performance improvement approaches and methods and involvement in your organization’s approach to performance improvement
- Pertinent Joint Commission Leadership standards relevant to the governing body’s role in your organization

The surveyor engages the governing body participants in discussions regarding new processes or services in your organization, and about the collaboration and involvement of appropriate leaders and other individuals.

The surveyor reviews and summarizes the issues or opportunities for improvement that relate to the BPHC’s statutory and regulatory requirements and those that are Joint Commission standards-related areas that will be addressed in subsequent system or patient tracers.

*[NOTE: As of April, 2012 Health Center completion and surveyor review of the “Health Center Self-Report Tool for BPHC Program Expectations” is an option.]
Leadership Session

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include senior leaders who have responsibility and accountability for design, planning, and implementation of organization processes. Leaders typically include but are not limited to members of the governing body/trustee, CEO, and leaders of the medical staff and clinical staff.

For complex surveys, there is a single Leadership Session that will include discussion of all programs and services being accredited at the time of this survey. Surveyors from all programs should participate in this session if they are onsite. Your organization should have leadership representation from all programs undergoing survey.

Logistical Needs
The suggested duration of this session is approximately 60 minutes.

Objective
Surveyors will explore leadership’s responsibility for creating and maintaining your organization’s systems, infrastructure, and key processes which contribute to the quality and safety of care, treatment, or services.

Overview
During this session, surveyors will explore, through organization-specific examples,

- Leadership commitment to improvement of quality and safety
- Creating a culture of safety
- Robust process improvement
- Observations that may be indicative of system-level concerns

The surveyor facilitates discussion with leaders to understand their roles related to performance of your organization-wide processes and functions. This discussion will be a mutual exploration of both successful and perhaps less successful organization performance improvement initiatives, or introduction of a new service or an optimal performing department, unit or area vs. one in need of improvement. Surveyors will want to hear how leaders view and perceive these successes and opportunities and learn what they are doing to sustain the achievements, as well as encourage and support more of the same success. Throughout the discussion surveyors will listen for examples of

- The planning process used
- How data is used once it is collected
- The approach used to change processes and work flow
- How information about newly implemented processes is communicated throughout your organization
- How leaders assess the culture of safety throughout the organization
- How leaders envision the performance of processes that are selected for improvement
- Leadership support and direction, including planning and resource allocation
- The degree to which the implementation is comprehensive and organization-wide
- The relationship of the function or process to patient/resident/individual served safety and quality
- How the effective performance of the function or process is evaluated and maintained

Applicable Programs
All programs, except LAB and NCC
Leadership and Data Use Session

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include leaders with responsibility and accountability for design, planning, organizational processes, and data management. Typically participants include the following:
- At least one member of the governing body or an organization trustee (in single-owner organizations, this individual may also be the Administrator)
- Senior organization leaders (Administrator, COO, CNO, CFO, CIO, VP for Clinical Services, Director of Patient Services or Branch Manager)
- Other organization leaders (Director of Human Resources, MDS Coordinator, and Performance Improvement).

Logistical Needs
The suggested duration of this session is approximately 90 minutes.

Objective
Surveyors will explore and evaluate how leaders of the organization oversee the collection and use of data to evaluate the safety and quality of care being provided to patients and residents, where the organization is on its journey to high reliability, and to understand and assess the organization’s performance improvement process.

Overview
During this session, the surveyor will facilitate discussion with staff to understand the organization’s adoption of performance improvement fundamental principles for the following topics:
- MDS outcomes
- Medication monitoring through data including medication errors, adverse events, and utilization
- Infection prevention and control, collection and use of surveillance data
- The influenza vaccination program, including education, vaccination goals, and vaccination rates
- Risk assessment/management activities National Patient Safety Goals, including monitoring of CDC or WHO hand hygiene compliance
- Monitoring performance of contracted services
- Monitoring staff compliance with employee health screening requirements
- The culture transformation planning process, evaluation of culture transformation efforts, and the quality of person-centered care being provided to patients and residents

For NCC Organizations that elect the Post-Acute Care Certification option
The following additional topics will be explored by the surveyor during the Leadership and Data Use Session:
- Post-acute patients that are readmitted to the hospital or emergency department
- Opportunities for improvement identified following the discharge of post-acute patients

For NCC Organizations that elect the Memory Care Certification option
The following additional topics will be explored by the surveyors during the Leadership and Data Use Session:
- The role of the Coordinator in the provision of dementia care, programs, and services
- How the organization remains current with trends in the provision of dementia care
- Efforts to minimize the use of psychotropic medications, particularly antipsychotic medications
Medical Staff Credentialing and Privileging

Joint Commission Participants
One clinician surveyor

Organization Participants
Suggested participants include the President of the medical staff; Medical Director and Medical Staff Coordinator, if applicable; and Medical staff credentials committee representatives.

Logistical Needs
The suggested duration of this session is approximately 60 minutes. The surveyor requests specific credential files of practitioners who are identified from tracers, from OR log, from the ICU and special procedures unit logs, etc. The type of files a surveyor requests are from high-risk specialties, non-physician specialties, non-physician licensed independent practitioners, moonlighters, hospitalists, practice outside the usual scope of specialty, and low volume specialties. When a Nursing Care Center is integrated with the hospital, the surveyor reviews credential files of the Medical Director of the NCC and other licensed independent practitioners.

The surveyor also requests the Medical Staff Bylaws, Rules, and Regulations, Medical Executive Committee minutes, peer review and focused monitoring records for the session.

Objectives
The surveyor will:
- Learn about the process used to collect data relevant to appointment decisions, the process for granting and delineating privileges, and the structures that guide consistency of implementation (e.g., bylaw requirements)
- Evaluate the credentialing and privileging process for the medical staff and other licensed independent practitioners who are privileged through the medical staff process

Overview
During this session, the surveyor discusses with organization participants:
- How your organization collects data used in making decisions on appointment, granting and delineating privileges
- Consistent implementation of the credentialing and privileging process for the medical staff and other licensed independent practitioners who are privileged through the medical staff process
- Processes for granting privileges and the delineation of privileges
- Whether practitioners practice within the limited scope of delineated privileges
- The link between peer review and focused monitoring to the credentialing and privileging process
- Potential concerns in the credentialing, privileging, and appointment process
**Surveyor Report Preparation**

**Joint Commission Participants**
Surveyors

**Organization Participants**
None

**Logistical Needs**
The suggested duration of this session is approximately 60-120 minutes. Surveyors need a room that includes a conference table, power outlets, telephone, and internet access.

**Overview**
Surveyors use this time to compile, analyze, and organize the data collected during the survey into a report reflecting your organization’s compliance with the standards. Surveyors will provide you with the opportunity to present additional information at the beginning of this session if there are any outstanding surveyor requests or further evidence to present from the last day of survey activity. Surveyors may also ask organization representatives for additional information during this session.
CEO Exit Briefing

**Joint Commission Participants**
Surveyors

**Organization Participants**
Suggested participants include the Chief Executive Officer (CEO) or Administrator, if available

**Logistical Needs**
The suggested duration of this session is approximately 10 to 15 minutes.

**Objectives**
Surveyors will:
- Review the survey findings as represented in the Summary of Survey Findings Report
- Discuss any concerns about the report with the CEO/Administrator
- Determine if the CEO/Administrator wishes to have an Organization Exit Conference or if the CEO/Administrator prefers to deliver the report privately to your organization

**Overview**
Surveyors will review the Summary of Survey Findings Report (organized by chapter) with the most senior leader. Surveyors will discuss any patterns or trends in performance. Surveyors will also discuss with the most senior leader if they would like the Summary of Survey Findings Report copied and distributed to staff attending the Organization Exit Conference.
Organization Exit Conference

Joint Commission Participants
Surveyors

Organization Participants
Suggested participants include the CEO/Administrator (or designee), senior leaders and staff as identified by the CEO/Administrator or designee.

Logistical Needs
The suggested duration of this session is approximately 30 minutes and takes place immediately following the Exit Briefing.

Objectives
Surveyors will:
• Verbally review the Summary of Survey Findings Report, if desired by the CEO
• Review identified standards compliance issues

Overview
Surveyors will verify with participants that all documents have been returned to the organization. You are encouraged to question the surveyor about the location of documents if you are unsure.

Surveyors will review the Summary of Survey Findings Report with participants. Discussion will include the Requirements for Improvement, Opportunities for Improvement and any patterns or trends in performance. If follow-up is required in the form of an Evidence of Standard Compliance (ESC) or Measure of Success (MOS), the surveyors explain the ESC and MOS submission process.

Note: Surveyors will direct you to information on your extranet site that explains "What Happens after Your Survey.”

For complex organizations (being surveyed under more than one accreditation manual or for more than one service under one accreditation manual), there may be instances when surveyors from other programs will not be present for the entire duration of the survey. In this situation, the surveyor departing early will request an Interim Exit Conference where he/she may provide your organization with a brief oral report of their findings and at that time will respond to questions.

For Hospital, Ambulatory Surgery Centers and Home Care & Hospice Deemed Status, surveyors communicate their findings relating to the Medicare Conditions of Participation. This includes describing the regulatory requirements that the organization does not meet and the findings that substantiate these deficiencies.
Organization Guide for OPTIONAL Memory Care Certification (MCC)

Joint Commission Participants:
Surveyor

Organization Participants:
Staff involved in patient or resident care, support staff, and clinical management staff, interdisciplinary team

Objective:
To survey nursing care centers identified to take part in optional certification.

Logistical Needs:
During the surveyor planning session, your organization will need to provide the surveyor with information related to the memory care services provided at your nursing care center. This information will help the surveyor determine the areas of focus for the certification survey.

- Profile of memory care services:
  - Number of patients or residents with dementia
  - Varying cognitive levels or stages of dementia
  - Services provided in distinct specialized memory care unit or throughout the organization

Overview:
Memory Care (MCC) certification is optional and can be obtained initially through an extension survey or as part of your triennial accreditation survey. Once certification is obtained, recertification will always occur at the time of the triennial survey. If an extension survey is chosen as the route for initially obtaining MCC certification, then only the unique MCC accreditation requirements are evaluated during the certification survey. When MCC certification is obtained as part of the accreditation survey, all nursing care center standards as well as the unique MCC accreditation requirements are evaluated.

Documents to have available:
There are no additional documents required for the MCC survey beyond the list of documents to have available for the accreditation survey.

Scope of MCC survey:
The MCC survey will focus on evaluating the organization’s provision of care needed for patients or residents who have been diagnosed with memory-impacting conditions such as Alzheimer’s disease or dementia. The survey will include an evaluation of how the organization:

- Coordinates care through collaborative assessment and planning
- Provides care that is consistent with current advances in dementia care practices
- Ensures staff possess the knowledge and competency to assess and provide care for a patient or resident population with memory impairment
- Provides activity programming matched with the patient’s or resident’s cognitive ability, memory, attention span, language, reasoning ability, and physical function.
- Manages patient or resident behaviors with emphasis on the use of non-pharmacological interventions as an alternative to antipsychotic medication use
- Provides a safe and supportive physical environment to promote safety and minimize confusion and overstimulation
- Conducts PI activities related to MCC
Joint Commission Participants:
Surveyor

Organization Participants:
Staff involved in patient care, support staff, and clinical management staff, interdisciplinary team

Objective:
To survey nursing care centers identified to take part in optional certification.

Logistical Needs:
During the surveyor planning session, your organization will need to provide the surveyor with information related to the types of post-acute care services provided at your nursing care center, such as stroke, post-op wound care, or orthopedic rehab. Additionally, you will want to be prepared to share the average length of stay and census, as well as whether or not post-acute care services are provided in a distinct unit(s) or throughout the organization. This information will help the surveyor determine the areas of focus for the certification survey.

Overview:
Post-Acute Care (PAC) certification is optional and can be obtained initially through an extension survey or as part of your triennial accreditation survey. Once certification is obtained, recertification will always occur at the time of the triennial survey. If an extension survey is chosen as the route for initially obtaining PAC certification, then only the unique PAC accreditation requirements are evaluated during the certification survey. When PAC certification is obtained as part of the accreditation survey, all nursing care center standards as well as the unique PAC accreditation requirements are evaluated.

Documents to have available:
In addition to the list of documents to have available for the accreditation survey, organizations taking part in the optional PAC certification survey should have the following additional documents available:

- List of patient discharges within the past 30 days
- List of patients readmitted to the hospital within the past 90 days

Scope of PAC survey:
The survey will focus on evaluating the organization’s provision of goal-directed, time-limited medically complex care or rehabilitative services to patients who have typically been recently hospitalized. Additionally, the survey will include an evaluation of how the organization:

- Uses clinical practice guidelines to guide the provision of care, treatment, and services of the post-acute patient
- Identifies early warning signs of a change in patient’s condition and responds to a decline in condition
- Helps the patient transition from the nursing care center to a lower level of care setting or home
- Manages the discharge/post-discharge process to minimize the risk of unnecessary rehospitalizations
- Conducts initial and ongoing assessments
- Ensures physician availability and provides medical director oversight
- Provides collaborative effective communication processes
- Conducts provider hand-offs
- Conducts staff competencies
- Conducts PI activities related to PAC
Transitions of Care Session

Joint Commission Participants
Surveyor

Organization Participants
Suggested participants include staff and leaders who are involved in the patient admission and discharge process (e.g., as applicable, post acute care coordinator, discharge planner, social worker, case manager, clinical liaison).

Logistical Needs
The suggested duration of this session is approximately 60 minutes.

Objective
Surveyors will explore and evaluate the effectiveness of the organization’s processes related to transitions of care of the post acute patient, and to help the organization identify opportunities for process improvement.

Overview
During this session, the surveyor will facilitate discussion with staff to understand their roles related to the following processes:

- The admission process, including sources of patient referrals, procedures followed to determine if a prospective patient is eligible for admission, how communication occurs between care settings, and physician coordination of care
- Provider hand-off, including the availability of advance information to ensure timely availability of needed medications, equipment, and accommodations
- The medication reconciliation process during transitions between care settings
- How to recognize and respond to a patient’s change in condition
- The development, implementation, and evaluation of the effectiveness of clinical practice guidelines
- Physician availability to meet the needs of the post-acute patient population
- The discharge process, including the provision of patient/family education, and how the organization facilitates the transfer of important information to other service providers
- The surveyor may also speak with patients and family members who have recently been admitted to the post-acute care setting or who are close to being discharged
- The post-discharge process, including the topics discussed during the follow-up communication with the patient and/or family, and how this information is used for process improvement

The medical director’s review of admissions, transfers and discharges for appropriateness
Critical Access Hospital Medical Record Statistics Form
(Determines compliance with CAH standard RC.01.04.01 EP 4)

Organization ID: __________________________ City/State __________________________

**Average Monthly Discharge Rate (AMD):** Total number of inpatient discharges in the 12 months prior to survey ÷ 12.

This number represents all inpatient records, and can include other records if they are observation visits, ambulatory surgery visits, endoscopy visits, cardiac catheterization visits, and Emergency Department visits. No other type of ambulatory or outpatient encounter may be included. Place this number in Box #1.

**Medical Record Delinquency Timeframe:** Place the number of days within which a medical record must be completed, as specified within the Medical Staff rules and regulations, in Box #2.

This value may not exceed 30 days. If the Medical Staff has not defined this value, or if the defined number exceeds 30, place the number 30 in Box #2.

**Monthly Delinquency Totals**

Calculate the total number of medical records which are delinquent (not completed within the number of days specified in Box #2), on the last day of the month immediately preceding the survey. This is a cumulative number and includes all records still delinquent on the last day of that month, for any reason. This number represents all inpatient records, and **must** include other records such as observation visits, ambulatory surgery visits, endoscopy visits, cardiac catheterization visits, and Emergency Department visits, if they were included in Box #1. No other type of ambulatory or outpatient encounter may be included. Place this number in Box #3. Or, in other words: Most recent month.

- Use instructions for Box #3, for the mo. preceding the one in Box #3. This is the month of _______________ Place #  in Box #4.
- Use instructions for Box #3, for the mo. preceding the one in Box #4. This is the month of _______________ Place # in Box #5.
- Use instructions for Box #3, for the mo. preceding the one in Box #5. This is the month of _______________ Place # in Box #6.
- Use instructions for Box #3, for the mo. preceding the one in Box #6. This is the month of _______________ Place # in Box #7.
- Use instructions for Box #3, for the mo. preceding the one in Box #7. This is the month of _______________ Place # in Box #8.
- Use instructions for Box #3, for the mo. preceding the one in Box #8. This is the month of _______________ Place # in Box #9.
- Use instructions for Box #3, for the mo. preceding the one in Box #9. This is the month of _______________ Place # in Box #10.
- Use instructions for Box #3, for the mo. preceding the one in Box #10. This is the month of _______________ Place # in Box #11.
- Use instructions for Box #3, for the mo. preceding the one in Box #11. This is the month of _______________ Place # in Box #12.
- Use instructions for Box #3, for the mo. preceding the one in Box #12. This is the month of _______________ Place # in Box #13.
- Use instructions for Box #3, for the mo. preceding the one in Box #13. This is the month of _______________ Place # in Box #14.

**Quarterly Numerator Averages**

<table>
<thead>
<tr>
<th>Quarter 1</th>
<th>Quarter 2</th>
<th>Quarter 3</th>
<th>Quarter 4</th>
<th>Total Numerator Avg.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add the numbers in boxes 3, 4, &amp; 5, + 3, and place below in Box #15</td>
<td>Add the numbers in boxes 6, 7 &amp; 8, + 3, and place below in Box #16</td>
<td>Add the numbers in boxes 9, 10 &amp; 11, + 3, and place below in Box #17</td>
<td>Add the numbers in boxes 12, 13 &amp; 14, + 3, and place below in Box #18</td>
<td>Add the numbers in boxes 15, 16, 17 &amp; 18, + 4, and place below in Box #19</td>
</tr>
<tr>
<td>15</td>
<td>16</td>
<td>17</td>
<td>18</td>
<td>19</td>
</tr>
</tbody>
</table>

Completed by: __________________________ (Print) ______________ Date: ______________

The above numbers (Boxes 15 through 18) will be used by surveyors to compute your quarterly and total average delinquency rates. These numbers are entered into the surveyor’s computer. The computer completes the calculations to arrive at your quarterly and total delinquency rates. If you would like to calculate your delinquency rates in the same way, use the formula provided below:

Box 15 ÷ Box 1 = Box 16 ÷ Box 1 = Box 17 ÷ Box 1 = Box 18 ÷ Box 1 = Box 19 ÷ Box 1 =

**Scoring Rules at RC.01.04.01, Element of Performance 4:**

The medical record delinquency rate averaged from the last four quarterly measurements (Box #24) is the following:

- Not greater than 50% of the Average Monthly Discharge (AMD) rate and no single quarterly measurement (Boxes 20 through 23) are greater than 50% of the AMD rate -- the score is 2 - Compliance.
- Not greater than 50% of the AMD rate but one or more quarterly measurements (Boxes 20 through 23) is greater than 50% of the AMD rate -- the score is 0 – Insufficient Compliance.
- Greater than 50% of the AMD rate (Box #24) but less than twice (that is, 200%) the AMD rate, the score is 0 – Insufficient Compliance.
Organization Guide for OPTIONAL
Primary Care Medical Home (PCMH) Certification

Joint Commission Participants:
Surveyor

Organization Participants:
Staff involved in patient care, support staff, and clinic management staff

Objective: To survey primary care medical home clinics identified by a hospital to take part in optional certification.

Logistical Needs:
During the surveyor planning session, your hospital will need to provide the surveyor with information related to the services provided at your primary care medical home clinics, the distance of the clinic from the hospital site, and who is serving in the role of the primary care clinician at each site. This information will help the surveyor determine which sites will be visited.

Overview: Primary care medical home certification is optional and can be obtained initially through an extension survey or as part of your triennial accreditation survey. Once certification is obtained, re-certification will always occur at the time of the triennial survey. Hospitals are allowed to choose which sites they want PCMH certified.

If an extension survey is chosen as the route for initially obtaining PCMH certification, then only the unique PCMH accreditation requirements are evaluated during the certification survey.

When PCMH certification is obtained as part of the accreditation survey, all hospital standards as well as the unique PCMH accreditation requirements are evaluated.

Documents to have available:

- Performance improvement data related to:
  - Disease management outcomes
  - Patient access to care
  - Patient experience and satisfaction related to access to care, treatment, or services, and communication
  - Patient perception of the comprehensiveness, coordination, and continuity of care, treatment, or services
  - Patient perception of the continuity of care

- PCMH Self-assessment tool if completed (available on The Joint Commission’s website at http://www.jointcommission.org/accreditation/primary_care_medical_home_certification_option_for_hospitals.aspx)

Scope of PCMH Site Visit:

The survey will focus on evaluating the organization’s provision of patient-centered care, comprehensive care, coordinated care, and superb access to care. Additionally, the survey will include an evaluation of the
organization’s system-based approach to quality, that is, the commitment to quality and quality improvement through ongoing engagement in activities such as:

- Using evidence-based medicine and clinical decision support tools,
- Guiding shared decision making with patients and families,
- Engaging in performance measurement and improvement,
- Measuring and responding to patient experiences and patient satisfaction, and
- Practicing population health management.

The site visit will include evaluation of hospital accreditation standards as well as unique PCMH standards when the certification occurs at the time of the accreditation survey. An extension survey performed for certification purposes would only include evaluation of the unique PCMH requirements.

Individual tracer activity for unique PCMH requirements will focus on areas such as:

- Information provided to patients related to access to care, treatment and services, as well as primary care clinician information (for example, information related to selection of primary care clinician, how to access clinic staff, make appointments, and obtain specialty care)
- Tracking and follow-up on referrals and test results
- Interdisciplinary team collaboration and communication
- Involvement of patients in establishing treatment goals
- How patients are assessed for health literacy
- 24/7 access to prescription renewal requests, test results, clinical advice for urgent health care needs, and appointment availability
- Competence of primary care clinicians and staff
- PI activities related to PCMH
Documentation required by the Hospital Accreditation program Life Safety (LS) and selected Environment of Care (EC) standards is presented in the following pages. These documents will be reviewed by the Life Safety surveyor upon their arrival for the on-site survey.

Other EC and LS documents may be requested by surveyors, as needed, throughout the survey.

This tool is provided to organizations for use in their continuous compliance and survey readiness efforts.
## Life Safety and Environment of Care - Document List and Review Tool

<table>
<thead>
<tr>
<th>STANDARD</th>
<th>See Legend</th>
<th>DOCUMENT</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>LS.01.01.01</td>
<td>C NC NA IOU</td>
<td>Buildings serving patients comply with NFPA 101 (2000 edition)</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 1</td>
<td></td>
<td>Individual assigned to assess LSC compliance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 2</td>
<td></td>
<td>Current e-SOC maintained</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 3</td>
<td></td>
<td>Timely completion of PFIs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 4</td>
<td></td>
<td>Documentation of inspections and approvals made by state or local AHJs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### EP 1 Alarms / sprinklers out of service 4 or more hrs in 24 hrs - Fire watch / Fire Dept. notification

### EP 2 Signs for alternate exits posted

### EP 3 ILSM policy identifying when and to what extent ILSM implemented

### EP 4 Daily inspection of routes of egress (See also 19.7.9.2 RE: daily inspections)

### EP 5 Temporary but equivalent systems while system is impaired

### EP 6 Additional fire fighting equipment provided

### EP 7 Smoke tight non-combustible temporary barriers

### EP 8 Increased surveillance implemented

### EP 9 Storage and debris removal

### EP 10 Additional training on fire fighting equipment

### EP 11 Additional fire drill per shift per quarter

### EP 12 Temporary systems tested and inspected monthly

### EP 13 Additional training on bldg deficiencies, construction hazards, temp measures

### EP 14 Training for impaired structural or impaired compartment fire safety features

### COMMENTS:

<table>
<thead>
<tr>
<th>STANDARD</th>
<th>See Legend</th>
<th>DOCUMENT</th>
<th>Addressed in Policy?</th>
<th>Implemt. as required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>LS.01.02.01</td>
<td>C NC NA IOU</td>
<td>Interim Life Safety Measures (ILSM)</td>
<td>YES</td>
<td>NO</td>
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<td>Alarms / sprinklers out of service 4 or more hrs in 24 hrs - Fire watch / Fire Dept. notification</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>EP 2</td>
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<td>Signs for alternate exits posted</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>EP 3</td>
<td></td>
<td>ILSM policy identifying when and to what extent ILSM implemented</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>EP 4</td>
<td></td>
<td>Daily inspection of routes of egress (See also 19.7.9.2 RE: daily inspections)</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 5</td>
<td></td>
<td>Temporary but equivalent systems while system is impaired</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>EP 6</td>
<td></td>
<td>Additional fire fighting equipment provided</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 7</td>
<td></td>
<td>Smoke tight non-combustible temporary barriers</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 8</td>
<td></td>
<td>Increased surveillance implemented</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 9</td>
<td></td>
<td>Storage and debris removal</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 10</td>
<td></td>
<td>Additional training on fire fighting equipment</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 11</td>
<td></td>
<td>Additional fire drill per shift per quarter</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 12</td>
<td></td>
<td>Temporary systems tested and inspected monthly</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 13</td>
<td></td>
<td>Additional training on bldg deficiencies, construction hazards, temp measures</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>EP 14</td>
<td></td>
<td>Training for impaired structural or impaired compartment fire safety features</td>
<td>YES</td>
<td>NO</td>
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</tbody>
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### COMMENTS:
**STANDARD**

<table>
<thead>
<tr>
<th>STANDARD</th>
<th>See Legend</th>
<th>DOCUMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC.02.03.01</td>
<td>C NC NA IOU</td>
<td>Hospital Manages Fire Risk - Fire Response Plan</td>
</tr>
</tbody>
</table>

**EP 9** The hospital has a written fire response plan.

**EP 10** The plan describes the specific roles of staff and LIPs at and away from fire.

- *when and how to sound and report fire alarms,
- *how to contain smoke and fire
- *how to use a fire extinguisher,
- *how to evacuate to areas of refuge

**COMMENTS:**

<table>
<thead>
<tr>
<th>STANDARD</th>
<th>See Legend</th>
<th>DOCUMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC.02.03.03</td>
<td>C NC NA IOU</td>
<td>Fire Drills</td>
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</table>

**FREQUENCY**

<table>
<thead>
<tr>
<th>EP 1</th>
<th>Fire drills once per shift per quarter: Health Care and Ambulatory Health Care (if available, please provide five quarters of fire drill data)</th>
<th>1st QTR</th>
<th>2nd QTR</th>
<th>3rd QTR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Quarterly</td>
<td></td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>EP 2</th>
<th>Fire drills every 12 months from date of last drill: Business Occupancies</th>
<th>1st QTR</th>
<th>2nd QTR</th>
<th>3rd QTR</th>
<th>4th QTR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td>Annually</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EP 3</th>
<th>When quarterly fire drills are required, at least 50% unannounced.</th>
<th>1st QTR</th>
<th>2nd QTR</th>
<th>3rd QTR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Quarterly</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EP 4</th>
<th>Staff participate in the drills according to the hospital's fire response plan.</th>
<th>1st QTR</th>
<th>2nd QTR</th>
<th>3rd QTR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>EP 5</th>
<th>Critiques include fire safety equipment &amp; building features and staff response.</th>
<th>1st QTR</th>
<th>2nd QTR</th>
<th>3rd QTR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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**COMMENTS:**
<table>
<thead>
<tr>
<th>STANDARD</th>
<th>DOCUMENT</th>
<th>FREQUENCY</th>
<th>1st QTR/ Semi</th>
<th>2nd QTR</th>
<th>3rd QTR/ Semi</th>
<th>4th QTR/ Ann.</th>
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<tbody>
<tr>
<td>EC.02.03.05</td>
<td>Fire Protection and Suppression Testing and Inspection</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>EP 1</td>
<td>Supervisory Signals &quot;fire pump running &amp; fire pump failure&quot; trouble signals</td>
<td>Quarterly</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>EP 2</td>
<td>Water flow devices -- Deemed Hospitals and CAHs</td>
<td>Quarterly</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Water flow devices -- Non-Deemed Hospitals</td>
<td>Semiannually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Tamper switches</td>
<td>Semiannually</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>EP 3</td>
<td>Duct, heat, smoke detectors, pull boxes, elect. releasing devices</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 4</td>
<td>Notification devices (audible &amp; visual)</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 5</td>
<td>Emergency services notification transmission equipment</td>
<td>Quarterly</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 6</td>
<td>Fire pump(s) tested - under no flow</td>
<td>Weekly</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 7</td>
<td>Water storage tank high &amp; low level alarms</td>
<td>Semiannually</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>EP 8</td>
<td>Water storage tank low water temp alarms (cold weather only)</td>
<td>Monthly</td>
<td></td>
<td></td>
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<tr>
<td>EP 9</td>
<td>Sprinkler systems main drain tests on all risers</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 10</td>
<td>Fire department connections inspected (Fire hose connections N/A)</td>
<td>Quarterly</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 11</td>
<td>Fire pump(s) tested - underflow</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 12</td>
<td>Standpipe flow test every 5 years</td>
<td>5 years</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>EP 13</td>
<td>Kitchen suppression semi-annual testing</td>
<td>Semiannually</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>EP 14</td>
<td>Gaseous extinguishing systems inspected (no discharge req)</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 15</td>
<td>Portable fire extinguishers inspected monthly</td>
<td>Monthly</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>EP 16</td>
<td>Portable fire extinguishers maintained annually</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 17</td>
<td>Fire hoses hydro tested 5 yrs after install, every 3 yrs thereafter</td>
<td>5 yrs / 3yrs</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 18</td>
<td>Smoke &amp; fire dampers tested ( fusible links removed when applicable)</td>
<td>4-6 years</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>EP 19</td>
<td>Smoke detection shutdown devices for HVAC tested</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 20</td>
<td>All horizontal &amp; vertical roller &amp; slider doors tested</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>EP 25</td>
<td>Deemed Hospitals: Documentation includes activity name, date, frequency, contact info for person performing activity, NFPA standard, activity results</td>
<td></td>
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**COMMENTS:**
## Life Safety and Environment of Care - Document List and Review Tool

### STANDARDS

<table>
<thead>
<tr>
<th>STANDARD</th>
<th>See Legend</th>
<th>DOCUMENT REVIEW</th>
<th>FREQUENCY</th>
<th>YES</th>
<th>NO / Missing Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC.02.05.07</td>
<td>C NC NA IOU</td>
<td>Emergency Power Systems are Maintained and Tested</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 1</td>
<td></td>
<td>Battery powered egress lights tested monthly - 30 seconds</td>
<td>Monthly</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>EP 2</td>
<td></td>
<td>Battery powered egress lights tested annually - 90 minutes</td>
<td>Annually</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>EP 3</td>
<td></td>
<td>Quarterly functional test of SEPSS for 5 min/class and 60% full duration of class annually</td>
<td>Qtrly/Ann.</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note 1: Non-SEPSS tested per manufacturer's specifications.</td>
<td></td>
<td>Per Mfg.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note 2: SEPSS for critical areas and equipment tested monthly</td>
<td></td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note 3: Class defines minimum time which SEPSS is designed to operate</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EP 4</td>
<td></td>
<td>Generator load test monthly for 30 min under load (plus cool-down)</td>
<td>Monthly</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>EP 5</td>
<td></td>
<td>Monthly load test 30% or exhaust gas temp or annual load bank 25/50/75%</td>
<td>Monthly/Ann.</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>EP 6</td>
<td></td>
<td>All Transfer switches monthly/12 times per Yr.</td>
<td>Monthly</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>EP 7</td>
<td></td>
<td>Generator load test once every 36 months for 4 hours</td>
<td>36 Months</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>EP 8</td>
<td></td>
<td>Generator 4 hour test @ at least 30% nameplate</td>
<td>36 Months</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>EP 9</td>
<td></td>
<td>If generator testing fails, review contingency &amp; implement protective measures</td>
<td>Per occurrence</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>EP 10</td>
<td></td>
<td>If load test fails retest after making repairs</td>
<td>Per occurrence</td>
<td>YES</td>
<td></td>
</tr>
</tbody>
</table>

### COMMENTS:

- Test, inspect & maintain: master panels, area alarms, automatic pressure switches, shut-off valves, flexible connectors and outlets. No prescribed frequency; recommend risk assessment if < annual.

### EC.02.05.09

<table>
<thead>
<tr>
<th>C NC NA IOU</th>
<th>Medical Gas and Vacuum Systems are Inspected and Tested</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>EP 1</td>
<td>Test, inspect &amp; maintain: master panels, area alarms, automatic pressure switches, shut-off valves, flexible connectors and outlets. No prescribed frequency; recommend risk assessment if &lt; annual.</td>
<td>Per Policy</td>
<td></td>
</tr>
<tr>
<td>EP 2</td>
<td>Review med gas installation/modification/breech certification results for: cross-connection, purity and pressure</td>
<td>As applicable</td>
<td></td>
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<tr>
<td>EP 3</td>
<td>Med gas supply and zone valves are accessible and clearly labeled</td>
<td>On Bldg Tour</td>
<td></td>
</tr>
</tbody>
</table>

### COMMENTS:

See Legend DOCUMENT REVIEW: THIS MAY BE SCORED AS CONDITIONAL OR STD
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