

Prepublication Requirements

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Standards and Elements of Performance Deletions Related to EP Review Phase III

APPLICABLE TO BEHAVIORAL HEALTH CARE ORGANIZATIONS

Effective July 1, 2017

Environment of Care Chapter

EC.01.01.01

The organization plans activities that minimize risks in the environment of care.

Note: One or more persons can be assigned to manage risks associated with the management plans described in this standard.

Elements of Performance for EC.01.01.01

2. Leaders identify an individual(s) to intervene whenever environmental conditions immediately threaten life or health or threaten to damage equipment or buildings.

Rationale: Implicit in EP 1 of this standard

EC.02.01.03

The organization prohibits smoking except in specific circumstances.

Elements of Performance for EC.02.01.03

4. If the organization decides that an adult individual may smoke in specific 24-hour-care buildings, it designates smoking areas that are physically separate from care, treatment, or service areas.

Note: This does not require that a designated smoking area be a specific distance from care, treatment, or service areas. A physically separate, well-ventilated room that is exhausted to the outside is acceptable.

Rationale: Duplicative of EP 1 in this standard

EC.02.03.01

The organization manages fire risks.

Elements of Performance for EC.02.03.01

2. If adults are permitted to smoke in 24-hour-care buildings, the organization takes measures to minimize fire risk. (See also EC.02.01.03, EP 4)

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Rationale: Duplicative of EP 1 in this standard

EC.02.05.07

The organization inspects, tests, and maintains emergency power systems.

Note: This standard does not require organizations to have the types of emergency power equipment described in the elements of performance of this standard. However, if these types of emergency equipment exist within the building, then the following maintenance, testing, and inspection requirements apply. This does not apply to generators used only for convenience purposes.

Elements of Performance for EC.02.05.07

11. If a required emergency power system test fails, the organization implements measures to protect individuals served, visitors, and staff until necessary repairs or corrections are completed.

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Rationale: Part of regular operations/processes

12. If a required emergency power system test fails, the organization performs a retest after making the necessary repairs or corrections.

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Rationale: Part of regular operations/processes

EC.03.01.01

Staff are familiar with their roles and responsibilities relative to the environment of care.

Elements of Performance for EC.03.01.01

1. Staff can describe or demonstrate methods for eliminating and minimizing physical risks in the environment of care.

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Rationale: Should be left to organization discretion

3. Staff can describe or demonstrate how to report environment of care risks.

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Rationale: Should be left to organization discretion

EC.04.01.03

The organization analyzes identified environment of care issues.

Elements of Performance for EC.04.01.03

1. Representatives from clinical, administrative, and support services participate in the analysis of environment of care data.

Rationale: Should be left to organization discretion

EC.04.01.05

The organization improves its environment of care.

Elements of Performance for EC.04.01.05

2. The organization evaluates changes to determine if they resolved environmental safety issues.

Rationale: Implicit in EC.04.01.05, EP 1

Infection Prevention and Control Chapter

IC.01.05.01

The organization has an infection prevention and control plan.

Elements of Performance for IC.01.05.01

7. For 24-hour care settings: The organization has a method for communicating responsibilities for preventing and controlling infection to staff and individuals served. (See also IC.02.01.01, EP 7)
 Note: The communication can be verbal or written, using posters, brochures, or other resources.

Rationale: Duplicative of IC.02.01.01, EP 7

8. The organization identifies methods for reporting infections to local, state, and federal public health authorities in accordance with law and regulation. (See also IC.02.01.01, EP 9)
 Note: The local health department can provide guidance about what types of infections should be reported.

Rationale: Duplicative of IC.02.01.01, EP 9

IC.01.06.01

The organization prepares to respond to an increased number of infectious individuals.

Elements of Performance for IC.01.06.01

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| 1. | The organization identifies resources that can provide information about infections that could cause an increased number of infectious individuals. Note: Resources may include local, state, and federal public health systems. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

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| 5. | If the organization decides it will accept an increased number of infectious individuals, then the organization describes in writing its methods for how it will handle these individuals over an extended period of time. | <input type="checkbox"/> <input checked="" type="checkbox"/> (D) |
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Rationale: Duplicative of EP 4 in this standard

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| 6. | When the organization experiences an increased number of infectious individuals, it activates its planned response. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

Information Management Chapter

IM.01.01.01

The organization plans for managing information.

Elements of Performance for IM.01.01.01

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| 1. | The organization identifies the internal and external information needed to provide safe, quality care. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Duplicative of LD.03.02.01, EP 1

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| 3. | The organization uses the information identified to guide development of processes to manage information. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Duplicative of LD.03.02.01, EP 1

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| 4. | The organization selects staff to participate in the assessment, selection, integration, and use of information management systems for the delivery of care, treatment, or services. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Duplicative of LD.03.02.01, EP 1

IM.01.01.03

The organization plans for continuity of its information management processes.

Elements of Performance for IM.01.01.03

5. The organization's plan for managing interruptions to electronic information systems is tested for effectiveness according to time frames defined by the organization.

Rationale: Duplicative of EC utilities management requirements and EM emergency management requirements

6. The organization implements its plan for managing interruptions to information processes to maintain access to information needed for the care, treatment, or services of the individuals served. (See also IM.03.01.01, EP 1)

Rationale: Duplicative of EC utilities management requirements and EM emergency management requirements

IM.02.01.01

The organization protects the privacy of health information.

Elements of Performance for IM.02.01.01

5. The organization monitors compliance with its policy on the privacy of health information. (See also RI.01.01.01, EP 7)

Rationale: Implicit in EP 3 of this standard

IM.02.01.03

The organization maintains the security and integrity of health information.

Elements of Performance for IM.02.01.03

8. The organization monitors compliance with its policies on the security and integrity of health information.

Rationale: Part of regular operations; process should be left to the discretion of the organization

IM.02.02.01

The organization effectively manages the collection of health information.

Elements of Performance for IM.02.02.01

1. The organization uses uniform data sets to standardize data collection throughout the organization.

Rationale: Process should be left to the discretion of the organization

IM.04.01.01

The organization maintains accurate health information.

Elements of Performance for IM.04.01.01

1. The organization has processes to check the accuracy of health information.
Note: The organization has the flexibility to determine what health information needs to be checked for accuracy and the frequency with which it will be checked.

Rationale: Duplicative of RC.01.04.01, EP 1

Leadership Chapter

LD.01.04.01

A chief executive manages the organization.

Elements of Performance for LD.01.04.01

2. The chief executive provides for the following: Recruitment and retention of staff.

Rationale: Duplicative of LD.03.06.01, EP 3

11. When the chief executive is absent from the organization, a qualified person is designated to perform the duties of this position.

Rationale: Issue should be left to the discretion of the organization

LD.02.03.01

Leaders regularly communicate with each other on issues of safety and quality.

Elements of Performance for LD.02.03.01

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| 2. The organization establishes time frames for the discussion of issues that affect the organization and the population(s) it serves. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Leave to organization discretion

LD.03.01.01

Leaders create and maintain a culture of safety and quality throughout the organization.

Elements of Performance for LD.03.01.01

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| 3. Leaders provide opportunities for all persons who work in the organization to participate in safety and quality initiatives. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

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| 6. Leaders provide education that focuses on safety and quality for all persons. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

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| 7. Leaders establish a team approach among all staff at all levels. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

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| 9. Literature and advisories relevant to the safety of individuals served are available to all who work in the organization. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

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| 10. Leaders define how members of the population(s) served can help identify and manage issues of safety and quality within the organization. | <input type="checkbox"/> <input type="checkbox"/> |
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Rationale: Process should be left to the discretion of the organization

LD.04.01.05

The organization effectively manages its programs or services.

Elements of Performance for LD.04.01.05

1. Leaders of the program or service oversee operations.

Rationale: Duplicative of current LD.04.01.05, EPs 2, 3, 4, 5

LD.04.01.11

The organization makes space and equipment available as needed for the provision of care, treatment, or services.

Note: This standard is applicable only to those settings that are under the control of the behavioral health care organization.

Elements of Performance for LD.04.01.11

2. The arrangement and allocation of space supports safe, efficient, and effective care, treatment, or services.

Rationale: Duplicative of current LD.04.01.11, EP 3

LD.04.02.03

Ethical principles guide the organization's business practices.

Elements of Performance for LD.04.02.03

6. When leaders excuse staff members from a job responsibility, care, treatment, or services are not affected in a negative way.

Rationale: Process should be left to the discretion of the organization

LD.04.02.05

When internal or external review results in the denial of care, treatment, or services, or payment, the organization makes decisions regarding the ongoing provision of care, treatment, or services, and discharge or transfer, based on the assessed needs of the individual served.

Elements of Performance for LD.04.02.05

2. The safety and quality of care, treatment, or services do not depend on the ability of the individual served to pay.

Rationale: Covered by law and regulation and other external requirements

LD.04.03.07

Individuals with comparable needs receive the same standard of care, treatment, or services throughout the organization.

Elements of Performance for LD.04.03.07

2. Care, treatment, or services are consistent with the organization's mission, vision, and goals.

Rationale: Issue should be left to the discretion of the organization

LD.04.04.03

New or modified services or processes are well designed.

Elements of Performance for LD.04.04.03

6. The organization tests and analyzes its design of new or modified services or processes to determine whether the proposed design or modification is an improvement.

Rationale: Process should be left to the discretion of the organization

7. Leaders involve staff, individuals served, stakeholders, and others (such as family and consumer advocates) in the design process.

Rationale: Process should be left to the discretion of the organization

Medication Management Chapter

MM.03.01.05

The organization safely controls medications brought into the organization by individuals served, their families, or prescribers.

Note: This standard is applicable only to organizations in which staff administer medications or self-administration of medications is allowed within the organization's facilities.

Elements of Performance for MM.03.01.05

3. For organizations in which staff administer medications or self-administration is allowed within the organization's facilities: The organization informs the prescriber and individual served if the medications brought into the organization by individuals, their families, or prescribers are not permitted.

Note: This element of performance is also applicable to sample medications.

Rationale: Implicit in EPs 1 and 2 of this standard

Performance Improvement Chapter

PI.01.01.01

The organization collects data to monitor its performance.

Elements of Performance for PI.01.01.01

30. The organization considers collecting data on the following:
- Staff opinions and needs
 - Staff perceptions of risk to individuals
 - Staff suggestions for improving safety of the individuals served
 - Staff willingness to report adverse events
- Note: If the organization has not collected data on this topic, consideration can be demonstrated through methods such as interviews or meeting minutes.

Rationale: Issue should be left to organization discretion

PI.02.01.01

The organization compiles and analyzes data.

Elements of Performance for PI.02.01.01

1. The organization compiles data into formats that enable them to be analyzed.
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- Rationale: Issue should be left to organization discretion**
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2. The organization identifies the frequency for data analysis.
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- Rationale: Issue should be left to organization discretion**
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5. The organization compares data with external sources, when available.
- Note: Examples of external sources of information include the following:
- Recent scientific, clinical, and management literature, including Sentinel Event Alerts
 - Evidence-based guidelines or parameters
 - Performance measures
 - Reference databases
 - Other organizations with similar processes

Rationale: Issue should be left to organization discretion

PI.03.01.01

The organization improves performance.

Elements of Performance for PI.03.01.01

1. Leaders prioritize the identified improvement opportunities. (See also PI.02.01.01, EP 8)

Rationale: Issue should be left to organization discretion

3. The organization evaluates whether actions taken resulted in improvements.

Rationale: Duplicative of PI.03.01.01, EPs 2 and 4

Record of Care, Treatment, and Services Chapter

RC.01.01.01

The organization maintains complete and accurate clinical/case records.

Elements of Performance for RC.01.01.01

4. The clinical/case record contains information unique to the individual served, which is used for identification of the individual.

Rationale: Duplicative of RC.02.01.01, EPs 1 and 2

13. The organization assembles or makes available in a summary in the clinical/case record all information required to provide care, treatment, or services to the individual. (See also MM.01.01.01, EP 1)

Rationale: Part of regular operations/process that should be determined by the organization

Rights and Responsibilities of the Individual Chapter

RI.01.03.01

The organization honors the right of the individual served to give or withhold informed consent.

Elements of Performance for RI.01.03.01

12. The informed consent process includes a discussion about any circumstances under which information about the individual served must be disclosed or reported. Note: Such circumstances may include situations involving threat of harm to self or others, child abuse, or elder abuse.

Rationale: Covered by law and regulation or external requirements

RI.01.03.03

The organization honors the right of the individual served to give or withhold informed consent to produce or use recordings, films, or other images of the individual served for purposes other than his or her care.

Elements of Performance for RI.01.03.03

2. If the organization makes recordings, films, or other images of individuals served for external use, the organization obtains and documents informed consent prior to producing the recordings, films, or other images. This informed consent includes an explanation of how the recordings, films, or other images will be used. (D)
- Note 1: Recordings, films, or other images made for external use are those that will be heard or seen by the public (for example, commercial filming, television programs, or marketing materials).
- Note 2: This element of performance does not apply to the use of security cameras.

Rationale: Process issue that should be left to the discretion of the organization

6. The organization informs the individual served of his or her right to request cessation of the production of the recordings, films, or other images.

Rationale: Process issue that should be left to the discretion of the organization

7. Before engaging in the production of recordings, films, or other images of individuals served, anyone who is not already bound by the organization's confidentiality policy signs a confidentiality statement to protect the individual's identity and confidential information. (D)

Rationale: Process issue that should be left to the discretion of the organization

8. The organization accommodates the right of the individual served to rescind consent before the recording, film, or image is used.

Rationale: Process issue that should be left to the discretion of the organization

RI.01.03.05

The organization protects the individual served and respects his or her rights during research, investigation, and clinical trials.

Note: This standard applies when organizations conduct or permit individuals served to participate in research investigations or clinical trials.

Elements of Performance for RI.01.03.05

1. The organization reviews all research protocols and weighs the risks and benefits to the individual participating in the research.

Rationale: Part of clinical care; process should be left to the discretion of the organization. Implicit in other EPs in this standard

RI.01.06.05

The individual served has the right to an environment that preserves dignity and contributes to a positive self-image.

Elements of Performance for RI.01.06.05

15. In 24-hour settings, the organization offers telephone and mail service to individuals served, based on the setting and population.

Rationale: Operational issue that should be left to the discretion of the organization

16. In 24-hour settings, the organization provides individuals served who desire private telephone conversations with access to telephones in a private space, based on the population.

Rationale: Operational issue that should be left to the discretion of the organization

19. In 24-hour settings, when the organization restricts the visitors, mail, telephone calls, or other forms of communication of the individual served beyond the established program rules, the restrictions are evaluated for clinical necessity in a time frame defined in the care plan, or more frequently as indicated by the needs of the individual served.

Rationale: Part of regular operations that should be left to the discretion of the organization

RI.01.07.01

The individual served and his or her family have the right to have complaints reviewed by the organization.

Elements of Performance for RI.01.07.01

10. The organization allows the individual served and his or her family to complain and recommend changes regarding care, treatment, or services without being subject to coercion, discrimination, or reprisals, or to interruptions of care, treatment, or services that could adversely affect the individual served.

Rationale: Covered by law and regulation or other external requirements

RI.01.07.03

The individual served has the right to access protective and advocacy services.

Elements of Performance for RI.01.07.03

2. The organization maintains a list of names, addresses, and telephone numbers of advocacy groups, such as a state authority or a protection and advocacy network.

Rationale: Implicit in EP 1 of this standard

3. When requested, the organization provides contact information on advocacy groups, such as a state authority or advocacy ombudsperson.

Rationale: Implicit in EP 1 of this standard

Waived Testing Chapter

WT.01.01.01

Policies and procedures for waived tests are established, current, approved, and readily available.

Elements of Performance for WT.01.01.01

5. Current and complete policies and procedures are available for use during testing to the person performing the waived test.

Rationale: Part of regular operations that should be left to the discretion of the organization

6. Written policies, procedures, and manufacturers' instructions for waived testing are followed. (See also WT.04.01.01, EPs 3–5)
 Note: Manufacturers' recommendations and suggestions are surveyed as requirements.

Rationale: Part of regular operations that should be left to the discretion of the organization; covered by law and regulation or other external requirements; also covered at WT.01.01.01, EPs 1 and 2

7. The criteria for confirmatory testing are followed as specified in the waived testing written procedures.

Rationale: Part of regular operations that should be left to the discretion of the organization

8. Clinical use of results is consistent with the organization's policies and the manufacturers' recommendations for waived tests.

Rationale: Part of regular operations that should be left to the discretion of the organization; covered by law and regulation or other external requirements