

Prepublication Requirements

• Issued April 25, 2017 •

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

APPLICABLE TO NURSING CARE CENTERS

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 certain patients and residents may smoke, it designates smoking areas that are environmentally separate from care, treatment, and service areas.

Note: This does not require that a designated smoking area be a specific distance from care, treatment, and 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.02.05.01

The organization manages risks associated with its utility systems.

Elements of Performance for EC.02.05.01

12. The organization's procedures address how to obtain emergency repair services.

Rationale: Issue should be left to organization discretion

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 equipment exist within the building, then the following maintenance, testing, and inspection requirements apply.

Elements of Performance for EC.02.05.07

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

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.

Rationale: Part of regular operations/processes

EC.02.06.01

The organization establishes and maintains a safe, functional environment.

Elements of Performance for EC.02.06.01

23. The organization provides emergency access to all locked and occupied spaces.

Rationale: Should be left to organization discretion

EC.04.01.01

The organization collects information to monitor conditions in the environment.

Elements of Performance for EC.04.01.01

14. The organization uses its tours to identify environmental deficiencies, hazards, and unsafe practices.

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.

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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.

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Rationale: Implicit in EC.04.01.05, EP 1

Human Resources Chapter

HR.01.02.05

The organization verifies staff qualifications.

Elements of Performance for HR.01.02.05

6. The organization uses the following information to make decisions about staff job responsibilities:
 - Verified licensure, certification, or registration required by law or regulation or the organization
 - Verified education and experience
 - Results of criminal background check(s), in accordance with law and regulation or organization policy
 - Outcomes of applicable health screenings, in accordance with law and regulation or organization policy

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Rationale: Issue should be left to organization discretion

HR.01.06.01

Staff are competent to perform their responsibilities.

Elements of Performance for HR.01.06.01

2. The organization uses assessment methods to determine the individual's competence in the skills being assessed.

Note: Methods may include test taking, return demonstration, or the use of simulation.

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

15. The organization takes action when a staff member's competence does not meet expectations.

Note: Actions may include, but are not limited to, providing additional training or supervision, or modifying job responsibilities.

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

Infection Prevention and Control Chapter

IC.01.06.01

The organization prepares to respond to an increased number of potentially infectious patients and residents.

Elements of Performance for IC.01.06.01

1. The organization identifies resources that can provide information about infections that could cause an increased number of potentially infectious patients and residents.

Note: Resources may include local, state, and federal public health systems.

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

6. When the organization determines it is necessary, the organization activates its response to an increased number of potentially infectious patients and residents.

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

1. The organization identifies the internal and external information needed to provide safe, quality care.

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 patient and resident care, treatment, and services. (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.02.02.01

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.

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

Leadership Chapter

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

6. Leaders provide education that focuses on safety and quality for all individuals.

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

7. Leaders establish a team approach among all staff at all levels.

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

8. All individuals who work in the organization, including staff and licensed independent practitioners, are able to openly discuss issues of safety and quality. (See also LD.04.04.05, EP 6)

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

9. Literature and advisories relevant to patient and resident safety are available to all individuals who work in the organization.

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

10. Leaders define how members of the population(s) served can help identify and manage issues of safety and quality within the organization.

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

LD.04.01.03

The organization develops an annual operating budget and, when needed, a long-term capital expenditure plan.

Elements of Performance for LD.04.01.03

5. Leaders monitor the implementation of the budget and long-term capital expenditure plan.

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Rationale: Part of regular operations/processes

LD.04.01.05

The organization effectively manages its programs, services, sites, or departments.

Elements of Performance for LD.04.01.05

1. Leaders of the program, service, site, or department oversee operations.

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

LD.04.02.03

Ethical principles guide the organization's business practices.

Elements of Performance for LD.04.02.03

3. The organization follows ethical practices for marketing and billing.

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Rationale: Part of operations

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

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Rationale: Process 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.

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

7. Leaders involve staff and patients and residents in the design of new or modified services or processes.

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 patients, residents, their families, or licensed independent practitioners.

Elements of Performance for MM.03.01.05

3. The organization informs the prescriber and the patient or resident if the medication(s) brought into the organization by the patient or resident, his or her family, or a licensed independent practitioner is not permitted.

Rationale: Implicit in EPs 1 and 2 of this standard

Provision of Care, Treatment, and Services Chapter

PC.01.02.01

The organization assesses and reassesses its patients and residents.

Elements of Performance for PC.01.02.01

23. During assessments and reassessments of the patient or resident, the organization gathers the defined data and information.

Rationale: Part of clinical care process; also covered at PC.01.02.01, EP 1

PC.01.02.09

The organization assesses the patient or resident who may be a victim of possible abuse, neglect, or exploitation.

Elements of Performance for PC.01.02.09

5. The organization either assesses the patient or resident who meets criteria for possible abuse, neglect, and exploitation, or refers the patient or resident to a public or private community agency for assessment.

Rationale: Implicit in other EPs in this standard

PC.01.02.15

The organization provides for diagnostic testing.

Elements of Performance for PC.01.02.15

1. Diagnostic testing and procedures are performed as ordered. (See also PC.02.01.03, EP 7)

Rationale: Part of clinical care process

3. When a test report requires clinical interpretation, information necessary to interpret the results is provided with the request for the test.

Rationale: Part of clinical care process

PC.02.02.07

The organization arranges for academic education to children and youth, as needed.

Elements of Performance for PC.02.02.07

1. The organization arranges for a child or youth to receive academic education based on his or her condition, in accordance with law and regulation.

Rationale: Addressed by law and regulation or other external requirements

PC.02.03.01

The organization provides patient and resident education and training based on each patient's or resident's needs and abilities.

Elements of Performance for PC.02.03.01

4. The organization provides education and training to the patient or resident based on his or her assessed needs.

Rationale: Covered by PC.02.03.01, EP 10

PC.04.01.01

The organization has a process that addresses transitions in the patient's or resident's care.

Elements of Performance for PC.04.01.01

4. The organization agrees with the receiving organization about each of their roles to keep the patient or resident safe during transfer.

Rationale: Duplicative of PC.04.01.01, EP 2

PC.04.01.05

Before the organization transfers or discharges a patient or resident, it informs and educates the patient or resident about his or her follow-up care, treatment, and services.

Elements of Performance for PC.04.01.05

3. Before the patient or resident is transferred or discharged, the organization provides the patient or resident with information about why he or she is being transferred or discharged.

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Rationale: Covered by other EPs in this standard

5. Before the patient or resident is transferred, the organization provides the patient or resident with information about any alternatives to the transfer.

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Rationale: Covered by other EPs in 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

12. The organization collects data on the following: Behavior management and treatment.

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Rationale: Should be left to organization discretion

30. The organization considers collecting data on the following:
- Staff opinions and needs
 - Staff perceptions of risk to individuals
 - Staff suggestions for improving patient and resident safety
 - Staff willingness to report adverse events

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(See also LD.03.01.02, EP 1)

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

5. The organization compares data with external sources, when available.

Rationale: Issue should be left to organization discretion

PI.03.01.01

The organization improves performance.

Elements of Performance for PI.03.01.01

3. The organization evaluates whether action(s) taken resulted in improvement.

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 records.

Elements of Performance for RC.01.01.01

4. The clinical record contains information unique to the patient or resident, which is used for patient or resident identification.

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

9. The organization uses standardized formats to document the care, treatment, and services it provides to patients and residents.

Rationale: Operational issue that should be left to organization discretion

12. The organization tracks the location of all components of the clinical record.

Rationale: Operational issue that should be left to organization discretion

13. If the clinical record is not maintained as a single entity, the organization has a system that allows staff to access information needed to provide care, treatment, and services to patients and residents.

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 patient's or resident's right 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 patient or resident must be disclosed or reported. □ □
 Note: Such circumstances may include requirements for disclosure of information regarding cases of HIV, tuberculosis, viral meningitis, and other diseases that are reported to organizations such as health departments or the Centers for Disease Control and Prevention.

Rationale: Covered by law and regulation or external requirements

RI.01.03.03

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

Elements of Performance for RI.01.03.03

2. When recordings, films, or other images of patients and residents are made 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. □ ©
 Note: 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).

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

RI.01.03.05

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

Elements of Performance for RI.01.03.05

1. The organization reviews all research protocols in relation to its mission, values, and other guidelines, and weighs the risks and benefits to the patient or resident 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 patient or resident 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. For Veterans Affairs Community Living Centers: The organization offers residents telephone and mail service.

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

16. For Veterans Affairs Community Living Centers: The organization provides residents who desire private telephone conversations with access to telephones in a private space, consistent with their needs and appropriate to the care, treatment, and services provided.

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

RI.01.07.01

Patients, residents, and their families have the right to have complaints reviewed by the organization.

Elements of Performance for RI.01.07.01

10. The organization allows the patient or resident to complain and recommend changes without being subject to coercion, discrimination, reprisal, or interruption of care, treatment, or services that could adversely affect the patient or resident.

Rationale: Covered by law and regulation or other external requirements

RI.01.07.03

The patient or resident has the right to access protective and advocacy services.

Elements of Performance for RI.01.07.03

2. For Veterans Affairs Community Living Centers: The organization maintains a list of names, addresses, and telephone numbers of resident advocacy groups, such as a state authority or a protection and advocacy network.

Rationale: Implicit in EP 1 of this standard

3. For Veterans Affairs Community Living Centers: The organization gives the list of resident advocacy groups to the resident when requested.

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. For Veterans Affairs Community Living Centers: Current and complete policies and procedures are available for use during testing to the person performing the waived test.

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

6. For Veterans Affairs Community Living Centers: Written policies, procedures, and manufacturers' instructions for waived testing are followed.
Note: Manufacturers' recommendations and suggestions are surveyed as requirements.

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

7. For Veterans Affairs Community Living Centers: The criteria for confirmatory testing are followed as specified in the waived testing written procedures.

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