What to Expect on Your First Joint Commission Survey

September 30, 2019
Webinar Housekeeping

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  - **Note:** Today’s presentation is being recorded.

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What to Expect on Your First Joint Commission Survey

Linda Carlson, MS, BS (ASCP), Laboratory Surveyor, The Joint Commission

Sharon Hibbe, MPH, Business Development Manager-Laboratory, The Joint Commission

September 30, 2019
Overview of Today’s Webinar

- The laboratory’s role: What to expect from a Joint Commission survey

- Challenges in survey expectations

- What can the laboratory do to be ready for the survey

- Resources to prepare for laboratory accreditation

- Questions and answers
Challenges In Identifying Survey Expectations
Survey Expectations

- Both the surveyor and those in and working with the laboratory have expectations

- Differences between CAP and Joint Commission

- What does the surveyor expect?

- What does the laboratory expect?
What Can the Laboratory Do To Be Ready?
Survey Readiness

- Give the surveyor a tour of the laboratory

- Have documents ready for review

- Show and tell

- Go ahead - ask questions before the survey and during the survey
Resources to Prepare for Laboratory Accreditation
View The Standards

- Request E-dition Trial Standards
  - Free 90-day access
  - Print capabilities
  - Filter by specialties via “Service Profile”
  - Contact us at qualitylabs@jointcommission.org

- Purchase hardcopy or electronic manual
  - www.jcrinc.com
  - Comprehensive Accreditation Manual for Laboratory and Point-of-Care Testing (CAMLAB)
  - E-dition electronic copy
Standards and Preparation Resources

Standards Interpretation Group (SIG)
- www.jointcommission.org/standards
- FAQs, online form to submit questions

Joint Commission Resources (JCR)
- Publications
- Custom Education
- JCR Consulting Services*: Mock Surveys and other Preparatory Tools
- www.jcrinc.com

*The use of Joint Commission Resources (JCR) consulting services is not necessary to obtain a Joint Commission Accreditation award, nor does it influence the granting of such awards.
Gauge Your Readiness

- **Conduct a Self-Assessment**
  - Perform a self-assessment of your organization’s readiness, identify opportunities for improvement and implement process changes or policies as needed.

- **Use Prompts and Written Documentation Checklists to Assess Compliance**
  - See samples on next slides
  - Available in E-dition in the worksheets section of each chapter
  - Available by email request: qualitylabs@jointcommission.org

- **Identify Gaps in Compliance**
  - Document areas where improvement is needed and assign completion dates for each gap identified to help you determine a readiness date for your on-site survey.
**Prompts to Assess Your Compliance**

**ENVIRONMENT OF CARE (EC)**

**Prompts to Assess Your Compliance**

*Please Note: Tips do not represent new accreditation requirements. They are intended to provide helpful strategies for standard compliance.*

<table>
<thead>
<tr>
<th>PROMPTS</th>
<th>TIPS</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>(EC.02.01.03)</em>&lt;br&gt;Is the no-smoking policy up-to-date and enforced as written?</td>
<td>Review inventory and evaluate all hazardous materials or waste; also evaluate laboratory’s policy with managing such materials.</td>
</tr>
<tr>
<td><em>(EC.02.02.01)</em>&lt;br&gt;I have all hazardous materials and waste been identified and addressed in the spills and exposure plan?</td>
<td></td>
</tr>
</tbody>
</table>

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# WRITTEN DOCUMENTATION CHECKLIST

This worksheet lists elements of performance (EPs) that require written documentation that a surveyor could ask to see during a survey to show compliance with a standard.

*(Note: Documentation can be on paper or in an electronic format)*

<table>
<thead>
<tr>
<th>ENVIRONMENT OF CARE (EC)</th>
<th>STANDARD AND EP</th>
<th>REQUIRED WRITTEN DOCUMENTATION</th>
<th>DATE LAST VERIFIED</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC.01.01.01, EP 3</td>
<td>The laboratory has a written plan for providing a safe environment for everyone who enters the laboratory’s facilities. (See also EC.04.01.01, EP 15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EC.01.01.01, EP 4</td>
<td>The laboratory has a written plan for providing a secure environment for everyone who enters the laboratory’s facilities. (See also EC.04.01.01, EP 15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EC.01.01.01, EP 5</td>
<td>The laboratory has a written plan for managing the following: Hazardous materials and waste. (See also EC.04.01.01, EP 15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EC.01.01.01, EP 6</td>
<td>The laboratory has a written plan for managing the following: Fire safety. (See also EC.04.01.01, EP 15)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Tracer Methodology Toolkit

- Guidance for how to prepare for Tracers during survey includes:
  - Starting points for Tracers
  - Tips Checklist
  - Sample Tracer Questions
  - Guidance on Areas of Specialty
  - Mock Tracer Worksheet
  - Sample Tracer Questions

**MOCK TRACER TRACKING WORKSHEET FOR LABORATORIES**

Use this worksheet to record notes and areas of concern that your team identifies while conducting your organization’s mock tracers. This information can be used to highlight a good practice or to determine issues that may require further follow-up. “Yes” or “No” indicates whether the staff member interviewed during the tracer answered the question correctly.

<table>
<thead>
<tr>
<th>TRACER QUESTIONS</th>
<th>YES</th>
<th>NO</th>
<th>FOLLOW-UP NEEDED</th>
<th>COMMENTS OR NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe your laboratory process to handle transfusion reactions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What training and orientation have been provided to laboratory staff to handle transfusion reactions?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What data and analysis have you done on the incidence of transfusion reactions in your organization?</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>What measures have you introduced, if any, to reduce the incidence of transfusion reactions?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What initial assessment do you perform for new transfusion patients?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What were the specimen collection requirements for the tests performed for this tracer patient?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Survey Activity Guide

Includes:

- Preparation tools for survey
- Abstract of each survey activity
  - Overview of session
  - Session objectives
  - Logistical needs
  - Suggested participants
- Indicates general order of sessions
- Document List
Notification of Survey Event

- Initial surveys are announced 30 days in advance via email
- 7:30 AM on the first day of survey we post surveyor(s) name(s) and picture(s)
  - Joint Commission Connect
  - Communication
  - Notification of Scheduled Events
Resources: Continuous Compliance

Especially for Customers

- Leading Practice Library
  Real-life solutions from accredited organizations

- Perspectives
  The Joint Commission’s official monthly e-periodical

- Intracycle Monitoring Resources
  Tool to support ongoing performance improvement

- Laboratory Tools
  - Proficiency Testing
  - CLIA Resources
  - IQCP Example

- Targeted Solutions Tool™
  Customized solutions to prevalent issues including hand hygiene, hand off communication
  www.centerfortransforminghealthcare.org/
Laboratory Accreditation Web Site

Web site: https://www.jointcommission.org/accreditation/laboratory.aspx
Time For Your Questions!

Attendee Participation

- Please continue to submit your text questions and comments using the Questions Panel

Note: Today’s presentation is being recorded.
Special Free Laboratory Education Forum
2020 Vision for the Laboratory

- November 12, 2019 at the Westin O’Hare, Rosemont, IL
- Keynote Speaker: Robert Michel, Editor-in-Chief of *DARK Daily* and *The Dark Report*
- Hear from Joint Commission surveyors, staff, and customers
- Earn Continuing Education credits.
- Reception the evening of November 11, 2019
- Register and view the agenda at:
  https://go.jointcommission.org/laboratory-education-forum
How to contact us

qualitylabs@jointcommission.org

- For initial questions
- Discuss eligibility and timeline
- Access to trial standards
- Request for an application
- Pricing estimate worksheet
Thank you for attending today’s webinar!

For additional information, please contact us at: qualitylabs@jointcommission.org
Appendix
Today’s Speakers

- Linda Carlson is a surveyor for the Joint Commission’s Laboratory Accreditation Program

- Sharon Hibbe is a Business Development Manager for Laboratory Accreditation and Patient Blood Management Certification at The Joint Commission.