



Toolkit for New Accreditation Professionals

Second
Edition



The Joint Commission



Joint Commission
Resources

Senior Editor: Jennifer K. Ahearn

Project Manager: Lisa M. King

Content Development Manager: Lisa K. Abel

Editorial Intern: Andrea L. Goethals

Associate Director, Publications: Helen M. Fry, MA

Associate Director, Production and Meeting Support: Johanna Harris

Executive Director, Global Publishing: Catherine Chopp Hinckley, MA, PhD

Joint Commission/JCR Reviewers: Lynne Bergero, Lynn Berry, Maureen Carr, Caroline Christensen, Mary Fran Clancy, Kathy Clark, Tina Cordero, Emi Datuin-Pal, Kathy DeMase, Kate Dolezal, Lynette Gibbney, John Gibson, Donna Gillespie, Deatrice Greathouse, Jim Kendig, Cynthia Leslie, Kathleen Mika, George Mills, Ken Monroe, Mary Carol Mooney, Sue Boylan Murray, Kelly Podgorny, Lisa Prytula, Ron Quicho, Laura Smith, Phavinee Thongkong-Park, Katherine Tolomeo, Cherie Ulaskas, Tabitha Vieweg, Lisa Waldowski, John Wallin, Joyce Webb, Paul Ziaya

Joint Commission Resources Mission

The mission of Joint Commission Resources (JCR) is to continuously improve the safety and quality of health care in the United States and in the international community through the provision of education, publications, consultation, and evaluation services.

Joint Commission Resources educational programs and publications support, but are separate from, the accreditation activities of The Joint Commission. Attendees at Joint Commission Resources educational programs and purchasers of Joint Commission Resources publications receive no special consideration or treatment in, or confidential information about, the accreditation process.

The inclusion of an organization name, product, or service in a Joint Commission Resources publication should not be construed as an endorsement of such organization, product, or service, nor is failure to include an organization name, product, or service to be construed as disapproval.

This publication is designed to provide accurate and authoritative information in regard to the subject matter covered. Every attempt has been made to ensure accuracy at the time of publication; however, please note that laws, regulations, and standards are subject to change. Please also note that some of the examples in this publication are specific to the laws and regulations of the locality of the facility. The information and examples in this publication are provided with the understanding that the publisher is not engaged in providing medical, legal, or other professional advice. If any such assistance is desired, the services of a competent professional person should be sought.

© 2017 The Joint Commission

Joint Commission Resources, Inc. (JCR), a not-for-profit affiliate of The Joint Commission, has been designated by The Joint Commission to publish publications and multimedia products. JCR reproduces and distributes these materials under license from The Joint Commission.

All rights reserved. No part of this publication may be reproduced in any form or by any means without written permission from the publisher.

Requests for permission to make copies of any part of this work should be sent to permissions@jcrinc.com

ISBN: 978-1-59940-991-7

Library of Congress Control Number: 2014946331

For more information about Joint Commission Resources, please visit <http://www.jcrinc.com>.

Table of Contents

- Introduction**ix

- PART 1**
- Chapter 1: Survival Skills** 1
- The Big Idea** 1
- Key Concepts** 1
 - Getting Oriented 2
 - Building Relationships 4
 - Finding a Mentor 6
 - Communication and Teamwork 6
 - Gaining Skills and Confidence 9

- Chapter 2: The Accreditation Cycle and the Survey Process** 11
- The Big Idea** 11
- Key Concepts** 11
 - The Application Process 12
 - Survey Readiness 14
 - The On-Site Survey Process 16
 - Deemed Status 20
 - After the Survey 21
 - Continuous Compliance 24
- Tools of the Trade** 28
 - E-App Checklist
 - On-Site Survey Readiness Checklist
 - How to Conduct a Mock Tracer
 - Mock Tracer Worksheet
 - Comprehensive Organization Assessment
 - Mock Tracer Worksheet: Emergency Department
 - Daily Compliance Checklist

- Chapter 3: Working with Data** 29
- The Big Idea** 29
- Key Concepts** 29
 - Accessing Data 30
 - Reporting Data 31
 - Tracking Data 32
 - Performance Measurement 33
 - Understanding Data Displays 35

Tools of the Trade	36
• Data Reporting Chart	
• Data Display	

PART 2

Chapter 4: Performance Improvement	37
---	-----------

The Big Idea	37
---------------------------	-----------

Key Concepts	37
---------------------------	-----------

- Improvement Process
- Improvement Infrastructure
- Improvement Team
- Improvement Opportunities
- Improvement Interventions
- Improvement Recognition

It's a Challenge	49
-------------------------------	-----------

Tools of the Trade	52
---------------------------------	-----------

- Proposed PI Projects Decision Checklist
- Classification Codes for PI and Reporting
- RPI Data Collection Template

Chapter 5: Leadership	53
------------------------------------	-----------

The Big Idea	53
---------------------------	-----------

Key Concepts	53
---------------------------	-----------

- Leadership Structure and Responsibilities
- Safety Culture
- Leadership and Performance Improvement
- Operations and Change Management

It's a Challenge	60
-------------------------------	-----------

Tools of the Trade	61
---------------------------------	-----------

- Safety Culture: Organizational Assessment
- Proactive Risk Assessment

Chapter 6: Staffing	63
----------------------------------	-----------

The Big Idea	63
---------------------------	-----------

Key Concepts	63
---------------------------	-----------

- Sufficient and Well-Trained Staff
- Staff Qualifications and Competencies
- Credentialing and Privileging
- Nursing Services

It's a Challenge	69
-------------------------------	-----------

Tools of the Trade 73

- Education Assessment Survey for Managers
- Education and Attendance Documentation
- Credentials Review Tracking Worksheet
- Orientation Competency Assessment and Validation Tool

Chapter 7: Care of the Patient 75

The Big Idea 75

Key Concepts 75

- Planning and Coordinating Care 77
- Assessment and Reassessment 79
- Restraint and Seclusion 80
- Operative or High-Risk Procedures 82
- Patient Rights and Responsibilities 84

It's a Challenge 86

Tools of the Trade 87

- Joint Commission Standards Summary Form
- Discharge Summary Checklist
- Surgical Safety Procedure Checklist
- Mock Tracer Worksheet: Patient/Family Education

Chapter 8: Records and Information Technology 89

The Big Idea 89

Key Concepts 89

- The Medical Record 90
- Health Information Security 93
- Verbal Orders 96
- Informed Consent 97

It's a Challenge 99

Tools of the Trade 100

- Health Information Policy Checklist
- Verbal Order (VO) Policy and Procedure Audit Form
- Mock Tracer Worksheet: Verbal Orders
- Informed Consent Form Checklist

Chapter 9: Infection Prevention and Control	101
The Big Idea	101
Key Concepts	101
• IPC Program and Plan	102
• Hand Hygiene	104
• Transmission of Infections	106
• Health Care–Associated Infections	109
• IPC and EC	111
It’s a Challenge	112
Tools of the Trade	114
• Hand Hygiene / Glove Use Observation Form	
• TST® for Hand Hygiene	
• Environmental Services Checklist: Cleaning of Patient Rooms	
• Infection Control Risk Assessment (ICRA): Matrix of Precautions for Construction and Renovation	
• Endoscope Reprocessing Checklist	
 Chapter 10: Medication Management	 115
The Big Idea	115
Key Concepts	115
• A System of Processes	116
• MM Standards and Other Standards	117
• Medication Errors	118
• Medication Reconciliation	119
• Medication Orders	121
• Medication Equipment and Technology	123
• High-Alert and Hazardous Medications	124
It’s a Challenge	126
Tools of the Trade	127
• Medication Management System: Stakeholder Analysis Form	
• Medication Errors Data Review	
• Medication Event Huddle Data Collection Form	
• Medication Reconciliation Card	
• Medication Storage and Security Checklist	
 Chapter 11: The Physical Environment	 129
The Big Idea	129
Key Concepts	129
• Management Plans and Risk Assessments	130
• Safety and Security	133
• Hazardous Materials and Waste	136

• Medical Equipment and Utilities	138
• Fire Safety and Life Safety	140
It's a Challenge	144
• Emergency Management	148
Tools of the Trade	150
• EC Management Plan Evaluation Checklist	
• EC Management Plans and Risk Management	
• EC Assessment Checklist	
• Health Care Workplace Violence Overview	
• Environmental Risks for Suicide Checklist	
• Hazardous Materials Inventory Checklist	
• AEM Program Checklist	
• Mock Tracer Worksheet: Life Safety	
Chapter 12: Testing and Transplants	151
The Big Idea	151
Key Concepts	151
• Waived Testing	152
• Quality Control Checks	153
It's a Challenge	156
• Nonwaived Testing	158
• Transplants	159
Tools of the Trade	160
• Mock Tracer Worksheet: Point-of-Care Testing (POCT)	
• Mock Tracer Worksheet: Tissue Handling	
• Using FMEA to Improve the Organ Procurement and Transplantation Process	
Appendixes	
Appendix A: Resources	161
Appendix B: FSA Risk Charts	178
Appendix C: Orientation, Training, and Education Requirements	179
Appendix D: Credentialing, Privileging, Qualifications, and Competencies	180
Appendix E: National Patient Safety Goals	181
Glossary	187
Index	201