JOINT COMMISSION RESOURCES MISSION
The mission of Joint Commission Resources, Inc. (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.

DISCLAIMERS
JCR educational programs and publications support, but are separate from, the accreditation activities of The Joint Commission. Attendees at JCR educational programs and purchasers of JCR publications receive no special consideration or treatment in, or confidential information about, the accreditation process. The inclusion of an organization’s name, product, or service in a JCR publication should not be construed as an endorsement of such organization, product, or service, nor is failure to include an organization’s name, product, or service to be construed as disapproval.

This publication is designed to provide accurate and authoritative information regarding 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 should be sought.

© 2018 The Joint Commission

Joint Commission Resources
Oak Brook, Illinois 60523
http://www.jcrinc.com

Joint Commission Resources, 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 (print): 978-1-63585-059-8
ISBN (ebook): 978-1-63585-060-4
Printed in the USA

For more information about The Joint Commission, please visit http://www.jointcommission.org.

DEVELOPMENT TEAM
Executive Editor: Kathleen T. DeMase
Senior Project Manager: Allison Reese
Associate Director, Publications: Helen M. Fry, MA
Associate Director, Production: Johanna Harris
Executive Director, Global Publishing: Catherine Chopp Hinckley, MA, PhD

REVIEWERS
Joint Commission Division of Accreditation and Certification Operations
Barbara Buturusis, RN, MSN, Director, Field Staff Education and Development
Kathy Clark, MSN, RN, Home Care Surveyor
James Kendig, MS, CHSP, CHCM, CHEM, LHRM, Field Director, Surveyor Management and Support
Cynthia Leslie, APRN, RN-BC, MSN, Field Surveyor
Wade Parker, RN, MHA, Ambulatory Surveyor
Deborah A. Ryan, MS, RN, Senior Director, Field Operations
Stuart Shikora, MD, FACEP, Hospital Surveyor
Timothy Sorg, MD, MBA, Field Staff
Emily J. Wells, CSW, MSW, Project Director and Behavioral Health Care Surveyor, Surveyor Management and Development

Joint Commission Division of Health Care Improvement
Joseph V. Bellino, MS, CHPA, CHEM, Engineer, Standards Interpretation Group
Lisa Buczkowski, RN, MS, CPPS, Associate Director, Office of Quality and Patient Safety
Robert Campbell, PharmD, Director of Medication Management, Co-Director of Standards Interpretation Group
Gerard M. Castro, PhD, MPH, Project Director, Patient Safety Initiatives, Office of Patient Safety
Sylvia Garcia-Houchins, MSN, RN, CIC, Director of Infection Prevention and Control
Hermann A. McKenzie, MBA, CHSP, Engineer, Department of Engineering
Kenneth A. Monroe, PE, MBA, CHC, PMP, Director, Department of Engineering
Edward Smith, RN, MSN, Associate Director, Standards Interpretation Group

Joint Commission Division of Health Care Quality Evaluation
Mary Brockway, MS, RN, Director, Clinical Research, Department of Standards and Survey Methods
Caroline Christensen, BS, Project Director, Department of Standards and Survey Methods
Christina L. Cordero, PhD, MPH, Technical Project Director, Department of Standards and Survey Methods
Jennifer Hurlburt, MSN, RN, APN/CNS, Associate Director, Department of Standards and Survey Methods
Stacey Paul, RN, MSN, APN, PMHNP-BC, Project Director, Department of Standards and Survey Methods
Ron S. Quicho, MS, MLT, Technical Project Director, Department of Standards and Survey Methods
Natalya Rosenberg, PhD, RN, Clinical Project Director, Department of Standards and Survey Methods
Lisa Wilson, MBA, BSN, RN, CEN, NE-BC, Clinical Project Director, Department of Standards and Survey Methods

Joint Commission Resources
Karen M. Caywood, RN, MBA, CJCP, Clinical Advisor
Mary Cole, RN, MSN, CIC, CJCP, Nurse Consultant
Lisa Hardesty, MA, CHSP, CH-I, HEM, Principal Consultant
Laura Sutton, MPH, BSN, RN, Clinical Advisor
## INTRODUCTION

1. Evaluation of Checklist Effectiveness

## SECTION 1—CARE OF THE PATIENT

1. Discharge Summary Evaluation Checklist
2. Interdisciplinary Care Plan Evaluation Checklist
3. Operating Room Count Discrepancy Procedure Checklist
4. Required Education and Information Checklist for Home Care Patients
5. Required Education and Information Checklist for Individuals Served in Behavioral Health Care Settings
6. Required Education and Information Checklist for Patients and Caregivers
7. Required Patient Rights and Responsibilities Checklist
8. Suicide Prevention Assessment Checklist
9. Surgical Patient Education Assessment Checklist
10. Surgical Safety Procedure Checklist
11. Universal Protocol Procedure Assessment Checklist

## SECTION 2—CONTINUOUS COMPLIANCE

1. Checklist for Evaluating Policy and Procedure Templates
2. Daily Compliance Checklist
3. Mock Tracer Evaluation Checklist
4. Procedure Checklist for First-Day-of-Survey Readiness
5. Required Written Policies Checklist
6. Survey Day Documents Checklist for Ambulatory Health Care and Office-Based Surgery Settings
7. Survey Day Documents Checklist for Behavioral Health Care Settings
8. Survey Day Documents Checklist for Critical Access Hospitals and Hospitals
## Accreditation Programs/Settings

<table>
<thead>
<tr>
<th>Accreditation Programs/Settings</th>
</tr>
</thead>
<tbody>
<tr>
<td>AHC</td>
</tr>
<tr>
<td>-----</td>
</tr>
</tbody>
</table>

### SECTION 3—EMERGENCY MANAGEMENT

1. **Procurement** Disaster Volunteer Procedure Checklist
   - Checklist
   - 55

2. **Evaluation** Emergency and Disaster Preparedness Evaluation Checklist
   - Checklist
   - 56

3. **New** Emergency Management Health Care Environment Evaluation Checklist
   - Checklist
   - 59

### SECTION 4—HEALTH INFORMATION AND TECHNOLOGY

1. **Evaluation** Health Information Policy Evaluation Checklist
   - Checklist
   - 73

2. **Decision** Health Information Technology Security Decision Checklist
   - Checklist
   - 79

3. **New** New Technology Decision Checklist
   - Checklist
   - 81

4. **To-Do** Point-of-Care Medical Records Checklist
   - Checklist
   - 83

### SECTION 5—INFECTION PREVENTION AND CONTROL

1. **Evaluation** Antimicrobial Stewardship Program Evaluation Checklist
   - Checklist
   - 87

2. **Procedure** Central Line Insertion Procedure Checklist
   - Checklist
   - 91

3. **Procedure** Central Line Maintenance Procedure Checklist
   - Checklist
   - 93

4. **Procedure** Daily Patient Room Cleaning Procedure Checklist
   - Checklist
   - 94

5. **Assessment** Endoscope Reprocessing Assessment Checklist
   - Checklist
   - 97

6. **Assessment** Flu Patient Assessment and Procedure Checklist
   - Checklist
   - 99

7. **Assessment** Infectious Disease Response Assessment Checklist
   - Checklist
   - 101

8. **Assessment** Laundry Practices Infection Control Assessment Checklist
   - Checklist
   - 103

9. **Assessment** Surgical Site Infection Interventions Assessment Checklist
   - Checklist
   - 105

### SECTION 6—LEADERSHIP

1. **Evaluation** Contracted Services Evaluation Checklist
   - Checklist
   - 109

2. **Assessment** Patient Flow Assessment Checklist
   - Checklist
   - 112

3. **To-Do** Required Board Review and Approval Checklist
   - Checklist
   - 115

4. **To-Do** Safety Culture Actions Checklist
   - Checklist
   - 117

5. **Assessment** Safety Culture Assessment Checklist
   - Checklist
   - 119

6. **Evaluation** Safety Culture Policy Evaluation Checklist
   - Checklist
   - 121
<table>
<thead>
<tr>
<th>SECTION 7—MEDICAL EQUIPMENT AND UTILITIES MANAGEMENT</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>EVALUATION</td>
<td>1. NEW Alternative Equipment Maintenance Evaluation Checklist ..................................................</td>
</tr>
<tr>
<td>ASSESSMENT</td>
<td>2. NEW Diagnostic Imaging Compliance Assessment Checklist ..................................................</td>
</tr>
<tr>
<td>ASSESSMENT</td>
<td>3. NEW Inspection, Testing, and Maintenance Schedule Assessment Checklist ..................................</td>
</tr>
<tr>
<td>EVALUATION</td>
<td>4. NEW Medical Equipment Maintenance Evaluation Checklist ..................................................</td>
</tr>
<tr>
<td>DECISION</td>
<td>5. Medical Devices Security Assessment and Selection Decision Checklist ..................................</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SECTION 8—MEDICATION MANAGEMENT</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ASSESSMENT</td>
<td>1. Emergency Cart Assessment Checklist ..................................................................................</td>
</tr>
<tr>
<td>EVALUATION</td>
<td>2. NEW Medication Compounding Policy Evaluation Checklist ..................................................</td>
</tr>
<tr>
<td>PROCEDURE</td>
<td>3. Medication Error Investigation Procedure Checklist ................................................................</td>
</tr>
<tr>
<td>PROCEDURE</td>
<td>4. Medication Labeling Procedure Checklist .............................................................................</td>
</tr>
<tr>
<td>EVALUATION</td>
<td>5. Medication Reconciliation Policy Evaluation Checklist ........................................................</td>
</tr>
<tr>
<td>ASSESSMENT</td>
<td>6. Medication Storage and Security Assessment Checklist ................................................................</td>
</tr>
<tr>
<td>ASSESSMENT</td>
<td>7. Patient Medication Understanding Assessment Checklist .....................................................</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SECTION 9—PERFORMANCE IMPROVEMENT</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>TO-DO</td>
<td>1. NEW Performance Improvement Data Sources Checklist ................................................................</td>
</tr>
<tr>
<td>DECISION</td>
<td>2. Proposed Performance Improvement Project Decision Checklist ..................................................</td>
</tr>
<tr>
<td>TO-DO</td>
<td>3. NEW Quality System Assessment Required Policies Checklist ..................................................</td>
</tr>
<tr>
<td>TO-DO</td>
<td>4. Required Performance Improvement Documents and Data Checklist ..................................................</td>
</tr>
<tr>
<td>EVALUATION</td>
<td>5. Root Cause Analysis Evaluation Checklist .............................................................................</td>
</tr>
<tr>
<td>PROCEDURE</td>
<td>6. Root Cause Analysis Procedure Checklist .............................................................................</td>
</tr>
<tr>
<td>EVALUATION</td>
<td>7. NEW Sentinel Event Policy Evaluation Checklist .........................................................................</td>
</tr>
<tr>
<td>ASSESSMENT</td>
<td>8. Sentinel Event Root Causes Assessment Checklist .......................................................................</td>
</tr>
<tr>
<td>TO-DO</td>
<td>9. Systems and Processes Problems Factors Checklist .......................................................................</td>
</tr>
</tbody>
</table>
SECTION 10—THE PHYSICAL ENVIRONMENT

1. Construction and Design Partner Decision Checklist ........................................ 183
2. Construction Project Plan Procedure Checklist ........................................ 185
3. Daily Construction Site Safety Inspection Assessment Checklist ......................... 189
4. Decorations Assessment Checklist ....................................................................... 192
5. Door and Corridor Egress Assessment Checklist ................................................ 194
6. Environment of Care Rounds Assessment Checklist ........................................... 196
8. Environmental Hand Hygiene Assessment Checklist ............................................. 205
9. Environmental Risks for Suicide Assessment Checklist ...................................... 207
10. Environmental Risks for Workplace Violence Assessment Checklist ................. 212
11. Fire Safety and Building Feature Maintenance Assessment Checklist ................ 215
12. Latch-and-Label Door Assessment Checklist ....................................................... 217
13. Required Environment of Care Documentation Checklist .................................. 218

SECTION 11—STAFFING AND MEDICAL STAFF

1. Employment Application Content Evaluation Checklist ........................................ 229
2. Focused Professional Practice Evaluation Assessment Checklist ......................... 232
3. Focused Professional Practice Evaluation Procedure Checklist .......................... 234
4. Performance Data Sources Assessment Checklist ................................................. 235
5. Procedure for Evaluating Privileging Process Checklist ...................................... 238
6. Proctoring Policy Evaluation Checklist ................................................................ 239
7. Reappointment and Reprivileging Application Assessment Checklist .................. 242
8. Registered Nurse Orientation Competency Assessment Checklist ....................... 243
9. Required Staff Education and Training Checklist ................................................. 246
10. Staffing Firm Decision Checklist ......................................................................... 249