
Joint Commission Mock Surveys Behavioral Healthcare Organizations

Documents List

Please organize the following documents for review on the first morning of the mock survey. This list includes documents listed in the **TJC Survey Activity Guide** plus additional documents routinely reviewed by surveyors. **Note:** The references to “12 months” of information apply only to organizations undergoing triennial surveys. They are N/A for organizations undergoing initial accreditation surveys.

TJC Required Policies/Procedures and Documents (as applicable to your setting)

The documents have the relevant standard number in the 2015 BH manual listed next to them.

Care, Treatment, and Services Chapter

- Procedure for managing waiting lists (if waiting lists are used) (CTS.01.02.01 EP 1)
- Policy re psychiatric advance directives (if serving seriously mentally ill) (CTS.01.04.01 EP 1 – 3)
- Health screening policy for non-24 hour programs (CTS.02.01.05 EP 1)
- Health screening policy for residential programs (CTS.02.01.06 EP 1)
- Physical exam policy for inpatient crisis stabilization (CTS.02.01.07 EP 1)
- Nutrition screening policy (CTS.02.01.11 EP 1)
- Policy re read-back of verbal orders (CTS.04.01.01 EP 8)
- Policy re responding to medical emergencies (CTS.04.03.35 EP 1)
- Time-out policy (CTS.05.02.01 EP 1)
- Policy re physical holding of children/youth (CTS.05.05.21 EP 1 – 12)
- Restraint/seclusion policy (CTS.05.06.35 EP 1 – 17)

Environment of Care Chapter

- EOC Management Plans (EC.01.01.01 EP 3 – 8)
- EOC Annual Evaluation (EC.04.01.01.15 EP 15)
- Environment of Care data for past 12 months:
 - Critiques of fire drills (EC.02.03.03 EP 5)
 - Quarterly summary data of incidents (EC.04.01.01 EP 1)
 - Environmental monitoring/environmental rounds (EC.04.01.01 EP 14)
 - Minutes of EOC Committee for past 12 months (EC.04.01.03 EP 1 – 2)

Emergency Management Chapter

- Hazard vulnerability analysis (EM.01.01.01 EP 2)
- Emergency Management Plan (EM.02.01.01 EP 2)
- Documentation and critique of disaster drills (EM.03.01.03 EP 1, EM.03.01.03 EP 14)

Infection Prevention and Control Chapter

- Infection Control Plan (IC.01.05.01 EP 2, 3)
- Infection related data from past 12 months (IC.02.01.01 EP 1)
- Infection Control Annual Evaluation (IC.03.01.01 EP 1, 6)

Information Management Chapter

- List of prohibited abbreviations (IM.02.02.01 EP 3)

Leadership Chapter

- List of contracted services; documentation of evaluation of services (LD.04.03.09 EP 2 – 6)

Life Safety Chapter

- Electronic Statement of Conditions (LS.01.01.01 EP 2)

Medication Management Chapter

- Medication orders required elements policy (MM.01.01.01 EP 1)
- List of high alert medications (MM.01.01.03 EP 1)
- Policy re psychotropic medications (MM.01.01.05 EP 1)
- List of look alike/sound alike medications (MM.01.02.01 EP 1)
- Policy re self administration of medications (MM.06.01.03 EP 1)

National Patient Safety Goals Chapter

- Policy re two client identifiers when administering medications (NPSG.01.01.01 EP 1)

Performance Improvement Chapter

- Performance Improvement data from past 12 months (PI.02.01.01 EP 1 – 8)

Rights and Responsibilities Chapter

- Informed consent policy (RI.01.03.01 EP 1 – 6)
- Complaint/grievance policy & complaint data for last 12 months (RI.01.07.01 EP 1-10)

Waived Testing Chapter (if waived testing is conducted by the organization)

- Waived testing policy (WT.01.01.01 EP 2)

Additional Documents

- Organizational chart
- Census lists for all programs including diagnosis and date of admission
- Scope of Service for all programs