
Joint Commission Mock Surveys Psychiatric Hospitals

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. Each document has the relevant standard number listed next to it for your reference.

Environment of Care Chapter

- EOC Management Plan for Safety (EC.01.01.01 EP 3)
- EOC Management Plan for Security (EC.01.01.01 EP 4)
- EOC Management Plan for HAZMAT (EC.01.01.01 EP 5)
- EOC Management Plan for Fire Safety (EC.01.01.01 EP 6)
- EOC Management Plan for Medical Equipment (EC.01.01.01 EP 7)
- EOC Management Plan for Utilities (EC.01.01.01 EP 8)
- Annual evaluation of EOC management plans (EC.04.01.01 EP 15)
- Written fire response plan that describes specific roles of staff (EC.02.03.01 EP 10)
- Critiques of fire drills (EC.02.03.03 EP 5)
- Quarterly summary data of incidents (EC.04.01.01 EP 1)
- Minutes of EOC/Safety committee for past 12 months (EC.04.01.03 EP 1, 2)
- Environmental rounds every 6 months in patient care areas (EC.04.01.01 EP 12)
- Environmental rounds annually in non-patient care areas (EC.04.01.01 EP 13)

Emergency Management Chapter

- Hazard vulnerability analysis (EM.01.01.01 EP 2)
- Emergency Operations Plan (EM.02.01.01 EP 2)
- Disaster privileging policy for LIPs in Medical Staff bylaws (EM.02.02.13 EP 2-5)
- Disaster privileging policy for non-LIPs (EM.02.02.15 EP 5)
- Critiques of two emergency management drills during past year (EM.03.01.03 EP 1, EM.03.01.03 EP 14)

Infection Control Chapter

- Infection Control Annual Risk Assessment (IC.01.03.01 EP 1 - 5)
- Infection Control Plan (IC.01.05.01 EP 2, 3)
- IC Committee minutes for last 12 months including IC surveillance data
- Infection Control Annual Evaluation (IC.03.01.01 EP 1 - 7)
- Policy re cleaning/disinfection of medical equipment (IC.02.02.01 EP 1)

Information Management Chapter

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

Leadership Chapter

- Governing body minutes for past 12 months (LD.01.03.01 EP 1 – 21)
- Conflict of interest policy (LD.02.02.01 EP 1, 2)
- Code of conduct defining disruptive behavior (LD.03.01.01 EP 4, 5)
- UR Plan (LD.04.01.01 EP 17)
- Transfer agreement with general hospital for medical services (LD.04.03.01 EP 1)
 - **Note: New effective 2/1/15**
- List of contracted services and documentation of evaluation of contracted services (LD.04.03.09 EP 2 – 6)
- Proactive risk assessment of a high risk process within last 18 months (LD.04.04.05 EP 10)

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)
- List of look alike/sound alike medications (MM.01.02.01 EP 1)
- Policy re medication ordering (MM.04.01.01 EP 1 - 5)
- ADR policy (MM.07.01.03 EP 1 - 2)
- Pharmacy & Therapeutics Committee minutes for last 12 months

Medical Staff Chapter

- List of LIPs
- Medical Staff bylaws, rules, regulations (MS.01.01.01 EP 1)
- Medical Executive Committee minutes for last 12 months
- Autopsy policy (MS.05.01.01 EP 17)
- Written description of FPPE process (MS.08.01.01 EP 3)
- Written description of OPPE process MS.08.01.03 EP 1)

National Patient Safety Goals Chapter

- Policy re two patient identifiers when administering medications (NPSG.01.01.01 EP 1)
- Critical test results policy (NPSG.02.03.01 EP 1)
- Critical test results data for last 12 months (NPSG.02.03.01 EP 1 - 3)
- Anti-coagulation therapy protocol (NPSG.03.05.01 EP 2)
- Medication Reconciliation policy (if you have one) (NPSG.03.06.01)
- Documentation that shows leadership has reviewed clinical alarm safety and identified related safety issues (NPSG.06.01.01 EP 1, 2)

Performance Improvement Chapter

- Performance Improvement data from past 12 months (PI.02.01.01 EP 1 – 8)
- Patient satisfaction data for all programs (PI.01.01.01 EP 16)

Provision of Care Chapter

- Pain assessment/reassessment policy (if you have one)

- Fall risk assessment policy (if you have one)
- Therapeutic diet manual (PC.02.02.03 EP 22)
- Discharge planning policies (PC.04.01.01 EP 26)
- Restraint/seclusion policy (PC.03.05.09 EP 1)

Record of Care Chapter

- Medical record delinquency data (RC.01.04.01 EP 4 See www.jointcommission.org/hospital_medical_record_statistics_form)
- Policy re authentication of verbal orders (RC.02.03.07 EP 1)

Rights and Responsibilities Chapter

- Informed consent policy (RI.01.03.01 EP 1 – 13)
- Advance directives policy (RI.01.05.01 EP 1)
- Autopsy policy (RI.01.05.01 EP 21)
- Complaint/grievance policy & complaint data for last 12 months (RI.01.07.01 EP 1-10)

Transplant Safety Chapter

- Agreement with Organ Procurement Organization (TS.01.01.01 EP 1, 3)
- Policy re organ, tissue, eye donation (TS.01.01.01 EP 2)

Waived Testing Chapter

- Waived testing policies/procedures (WT.01.01.01 EP 1 - 8)
- CLIA certificate

Additional Documents

- Organizational chart
- Scope of Service for all programs
- Census lists for all programs including diagnosis and date of admission
- Regulatory reports (CMS, state licensing) for past 3 years