

PolicySourceTM

AMBULATORY CARE AND OFFICE-BASED SURGERY

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Getting Started with *PolicySource*

What Is *PolicySource*?

PolicySource Ambulatory Care and Office-Based Surgery is an online repository of dozens of sample policies and procedures (P&Ps) organized by Joint Commission ambulatory care and office-based surgery standards and elements of performance (EPs) that require written policies. An annual subscription grants you access to all of the P&Ps, plus attachments, templates, checklists, and other tools to help with development and management.

The files in *PolicySource* are downloadable and adaptable, so you can (and should) customize each P&P to suit your needs. A [table](#) of the P&Ps that require written policies is included with your annual subscription, along with their corresponding Joint Commission ambulatory care and office-based surgery standards and EPs.



A note about terminology:

The word *organization* is used throughout *PolicySource Ambulatory Care and Office-Based Surgery* to refer to both ambulatory care organizations and office-based surgery practices.

The sample policies, procedures, and plans in *PolicySource* meet two key criteria:

1. **Are required by and correlated to a Joint Commission ambulatory care and/or office-based surgery standard.** Most of the P&Ps address standards and EPs of the *Comprehensive Accreditation Manual for Ambulatory Care (CAMAC)* or its E-dition® version or the *Comprehensive Accreditation Manual for Office-Based Surgery Practices (CAMOBS)* E-dition that require written policies and/or appear on the document list of the [Survey Activity Guide for Health Care Organizations](#) (see [Clarifying Required Documentation](#) for more information). At the top of each P&P, there is an applicability box noting if the P&P applies to ambulatory care or office-based surgery practices (or both), as well as whether it corresponds to an EP with required written documentation. In addition, the applicability box includes a link to an [Applicability Grid](#) that identifies how each P&P applies across the spectrum of ambulatory care settings.
2. **Meet customer needs.** We gathered feedback from Joint Commission surveyors and Joint Commission Resources consultants as well as accredited ambulatory care and office-based surgery practices about which sample policies and procedures would provide the most value to our customers—that is, the topics surveyors have seen organizations struggle with or those that organizations have self-reported needing additional resources to address. These are not necessarily required P&Ps for accreditation but are highly recommended.

To determine which of the above criteria each P&P falls under, refer to the [table](#) of policies, procedures, protocols, or plans.

Why Do I Need *PolicySource*?

PolicySource is not meant to be a complete and comprehensive collection of the policies and procedures your organization needs to function effectively and efficiently, nor is it intended to replace any software or other solutions your organization may use to help store, organize, manage, or update its policies and procedures. Instead, it is a collection of P&Ps and corresponding sample attachments designed to provide guidance on a wide range of topics directly related to Joint Commission accreditation compliance.

Your organization or health care system already has dozens, maybe even hundreds, of policies and procedures in a variety of areas. However, there are a number of criteria they should meet to make sure they are effective:

- Do the P&Ps meet applicable laws and regulations, as well as comply with Joint Commission requirements?
- Do they have a standardized look and format to help staff comprehend and implement them most effectively?
- Are there duplicate P&Ps across departments or across sites that should be assessed, merged, and made consistent?

PolicySource is the only product of its kind to include sample P&Ps that have been vetted by experts at The Joint Commission, making it an invaluable resource for any organization attempting to grow and manage its collection of P&Ps.

Please note that at its launch in April 2021, *PolicySource Ambulatory Care and Office-Based Surgery* included many (but not all) of the required P&Ps for Joint Commission accreditation. We will continue to add P&P templates for ambulatory care and office-based surgery biannually. In addition, future updates will include supplementary items listed as “Attachments”; these are examples of forms an organization might want to reference in support of the P&P.

The sample policies and procedures in *PolicySource* can help you establish a P&P collection that meets these and other criteria.

One of the primary benefits of purchasing an annual subscription to *PolicySource* is that the sample P&Ps will be updated to sync with twice-annual Joint Commission standards updates:

- If a new Joint Commission EP has required written documentation, a new sample policy addressing the requirement will appear in the next possible update of *PolicySource*.
- If a current documentation requirement changes, we will update the correlated sample P&P to align with the changes.

All changes will be easy to identify, with red underlined text for additions and ~~red strikethrough~~ text for deletions. The files themselves will be designated with “NEW!” or “UPDATED!” at the end of the file name, and a **What's New** document lists all significant changes made for the current update, including any new or revised attachments.

Clarifying Required Documentation

One of the goals of *PolicySource* is to provide a standardized policy, procedure, protocol, or plan for nearly every Joint Commission–required written P&P. To help organizations stay compliant and survey ready, The Joint Commission offers two primary sources for identifying documentation that surveyors are likely to request during survey:

1. The document list in the ***Survey Activity Guide for Health Care Organizations***
2. The “Required Written Documentation” (RWD) chapter of the CAMAC, CAMOBS, or their E-dition counterparts

Both the *Survey Activity Guide*’s document list and the RWD chapter include many of the documents a surveyor will require or request. Although neither is all inclusive of every document that might be reviewed by a surveyor to establish compliance with Joint Commission standards and EPs, a combination of these two sources comes close.

Survey Activity Guide

The purpose of the document list in the *Survey Activity Guide* is to alert organizations to a combination of required and requested documents the surveyor will want to review during the preliminary planning session and throughout the survey. These documents will help the surveyor better understand the organization itself, its leadership structure, and its daily operations. This document list will also help organizations be ready for survey.

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The sample policies and procedures in *PolicySource* include content (shaded in yellow on the sample P&Ps) that goes above and beyond Joint Commission standards and, therefore, is not specifically required. The information is included to assist you in developing policies and procedures.

RWD Chapter

The RWD chapter lists all the EPs within a given accreditation program for which the organization must have something in writing to demonstrate compliance. Within the standards chapters, these EPs are denoted with a ⓘ icon. The RWD chapter can be used as a checklist to help organizations maintain continuous compliance with those requirements needing written documentation. The documentation icon is used for EPs requiring a range of documentation types—for example, a policy, a written plan, bylaws, state verification of licensure, evidence of testing, data, performance improvement reports, safety data sheets, or meeting minutes, among others.

For the purposes of *PolicySource*, when a P&P indicates in its applicability box that it requires written documentation (or it is listed as the basis for inclusion in this [table](#)), the correlated EP language refers to a written policy, set of procedures or protocols, a plan, or the like. While there are additional EPs that require other forms of written documentation (for example, evaluations, definitions, meeting minutes, training logs, criteria), these EPs are not considered in our count toward providing a P&P for nearly every EP requiring written documentation in *PolicySource*.

Challenges of P&P Development

Today's climate of mergers and acquisitions can make the development of P&Ps even more challenging. Ideally, a new or evolving health care system has a consistent framework for its policies and procedures, including standardized templates and a set review and approval process. At the same time, the system's P&Ps need to account for site-specific differences, such as patient population, practices, and resources.

Whether you are creating a new policy or set of procedures to add to your collection or need to merge existing P&Ps from a number of departments and/or facilities, the following lessons can provide guidance to help ensure your organization has an organized, standardized, and effective collection of P&Ps.

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Not everything in the RWD chapter—that is, EPs with ⓘ icons—appears in the document list of the *Survey Activity Guide*. (Nor does everything in the document list have a corresponding documentation requirement in the manual.) Some items will be encountered naturally during survey activity, so there is no need to add them to the document list. For example, you would probably need to provide an organization chart for your organization or department—but that organization chart is not necessarily listed in the RWD chapter. However, when written documentation is required for an EP, organizations should be prepared to provide it when requested during the survey.

The next section, [Policies and Procedures 101](#), gives a brief overview of the differences between policies, plans, and procedures, as well as some basics on development and management. To jump to helpful tips on developing and managing P&Ps at the department, organization, and system levels, see [Policy and Procedures Development and Management](#).

Policies and Procedures 101

Everyone who works in health care knows how complex it is. There are thousands of rules, regulations, laws, best practices, standards, and guidelines that apply to every component of an organization and the care, treatment, and services it provides. The sheer volume of it all is overwhelming, and it's constantly growing and changing.

Minding Your P&Ps

That's why policies and procedures (sometimes called P&Ps) are so important. Good policies and procedures clearly define the requirements. They break down the vast amount of information into manageable, easy-to-understand goals and actions to accomplish them. They provide the structure and guidance necessary to apply high-level concepts to everyday operations.

Written policies and procedures serve many functions within a health care organization:

- They enable the organization to comply with regulations, laws, accreditation requirements, and best practices.
- They increase safety and reduce risk by setting organizational expectations and reducing variation among individual practitioners, departments, or facilities.
- They offer a valuable resource for training new staff members and an irreplaceable reference for long-time employees.

What is a policy?

A statement of rules and principles to guide decisions and actions. Generally, policy refers to a document that includes the policy statement.

What is a procedure?

A specific way of performing a task, usually to comply with a policy.

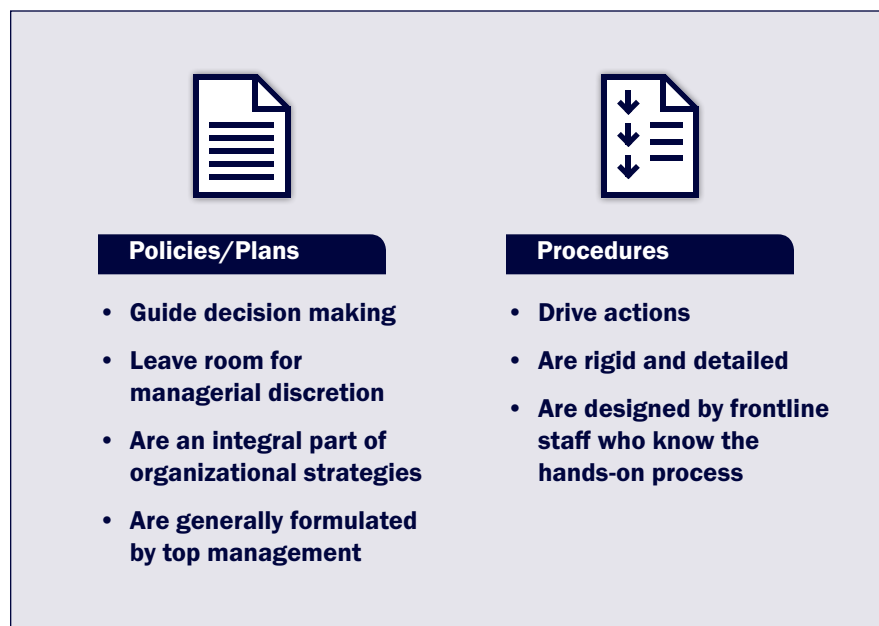
What is a plan?

A high-level document that guides an organization's operations about a broad topic.

Characteristics of P&Ps

Policies, plans, and procedures are often linked together, but there are important differences between them. Policies and plans give the “big picture” on a topic. They explain concepts and provide goals. Procedures, by contrast, are practical actions that must be taken.

In short, a policy or plan tells you what is required, while a procedure tells you how to meet the requirements.



Key Elements of P&Ps

It's best to use a standardized template for your organization's policies and procedures (see [Basic Strategies for P&P Development and Management](#) for downloadable templates). Using the same format for all P&P documents makes finding information quick and easy. Ideally, all policies and procedures will include the same basic elements. These elements fall into five main categories:

1. Applicability Elements
2. Elements for Identification and Tracking
3. Elements That Explain the Policy
4. Elements That Explain the Procedures
5. Elements That Reference Other Documents

Because *PolicySource Ambulatory Care and Office-Based Surgery* offers P&Ps for both ambulatory care settings and office-based surgery practices, the P&Ps in this product include additional Applicability Elements. Each P&P includes an applicability box that shows whether it applies to CAMAC, CAMOBS, or both. The box also identifies whether a P&P requires written documentation and includes a link to an Applicability Grid that shows how that P&P applies to ambulatory care settings.

See the sample policy on the next few pages to learn more about each category.

File Name: LD_Code of Conduct Policy

APPLICABILITY

- ☒ Ambulatory Health Center ☒ Office-Based Surgery
- ☒ **REQUIRES WRITTEN DOCUMENTATION FOR AHC**
- ☒ **REQUIRES WRITTEN DOCUMENTATION FOR OBS**

* See Applicability Grid for applicable services.

Code of Conduct Policy

| | | |
|---|--|--|
| [Logo] + | TITLE Code of Conduct Policy | IDENTIFICATION NUMBER [Number] |
| ORGANIZATION(S) [Organization name] | LEVEL <input type="checkbox"/> System <input type="checkbox"/> Organization <input type="checkbox"/> Division <input type="checkbox"/> Department | CATEGORY POSTING DATE |
| REVIEW CYCLE <input type="checkbox"/> 1 year <input type="checkbox"/> 3 years LAST REVIEW DATE: [MM/DD/YYYY] | | |

Applicability Elements

These elements appear in the header of each policy to help users identify whether the policy is required by The Joint Commission for accredited ambulatory care organizations, office-based surgery practices, or both and (if applicable) how it applies to the range of ambulatory care settings. Applicability elements include the following:

- **Documentation:** Indicates whether a written policy, set of procedures, plan, or protocols are required according to Joint Commission standards.
- **Overall Applicability:** Checkboxes indicate whether a P&P applies to ambulatory care or office-based surgery. The included link to the Applicability Grid shows how a P&P applies across ambulatory care settings.

POLICY STATEMENT

All individuals will conduct themselves in a manner of zero tolerance of behaviors that undermine a culture of respect and appropriate actions taken.

PURPOSE

To set expectations for behavior that foster a culture that encourages respectful, constructive relationships among staff.

SCOPE

Applies to all staff.

DEFINITIONS

Acceptable behavior – Behavior that enables others to perform their duties and fulfill their responsibilities effectively and that results in respectful and constructive communication. Examples include but are not limited to the following:

- Communicating in a calm, respectful, and professional manner
- Addressing disagreements using facts presented in a calm, professional manner, without personal attacks
- Responding to requests and concerns in a timely and appropriate manner
- Interacting with others in a manner that respects the individual's culture and beliefs
- Meeting expectations included in the conditions of employment
- Working within the established chain of command, both departmentally and organizationwide
- Adhering to the established dress code and grooming standards
- Willingness to perform duties requested by the department or organization

Behaviors that undermine a culture of safety – Conduct by staff working in the organization that intimidates others to the extent that quality and safety could be compromised. These behaviors, as determined by the organization, may be verbal or nonverbal, may involve the use of rude language, may be threatening, or may involve physical contact.

RESPONSIBILITIES

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File Name: LD_Code of Conduct Policy

APPLICABILITY

- ☒ Ambulatory Health Center ☒ Office-Based Surgery
☒ **REQUIRES WRITTEN DOCUMENTATION FOR AHC**
☒ **REQUIRES WRITTEN DOCUMENTATION FOR OBS**

* See Applicability Grid for applicable services.

Code of Conduct Policy

| | | |
|---|--|--|
| [Logo] + | TITLE Code of Conduct Policy | IDENTIFICATION NUMBER [Number] |
| ORGANIZATION(S) [Organization name] | LEVEL <input type="checkbox"/> System <input type="checkbox"/> Organization <input type="checkbox"/> Division <input type="checkbox"/> Department | CATEGORY <input type="checkbox"/> Clinical <input type="checkbox"/> Management <input type="checkbox"/> Regulatory |
| REVIEW CYCLE <input type="checkbox"/> 1 year <input type="checkbox"/> 3 years LAST REVIEW DATE: [MM/DD/YYYY] | POSTING DATE [MM/DD/YYYY] EFFECTIVE DATE [MM/DD/YYYY] | |

POLICY STATEMENT

All individuals will conduct themselves in a manner of zero tolerance for behaviors that undermine a culture of safety and appropriate actions taken.

PURPOSE

To set expectations for behavior that foster a culture that encourages respectful, constructive relationships among staff.

SCOPE

Applies to all staff.

DEFINITIONS

Acceptable behavior – Behavior that enables other responsibilities effectively and that results in respect for all but are not limited to the following:

- Communicating in a calm, respectful, and professional manner
- Addressing disagreements using facts and not personal attacks
- Responding to requests and concerns in a timely manner
- Interacting with others in a manner that respects their dignity
- Meeting expectations included in the conditions of employment
- Working within the established chain of command organizationwide
- Adhering to the established dress code and grooming standards
- Willingness to perform duties requested by the organization

Behaviors that undermine a culture of safety – Conduct by staff working in the organization that intimidates others to the extent that quality and safety could be compromised. These behaviors, as determined by the organization, may be verbal or nonverbal, may involve the use of rude language, may be threatening, or may involve physical contact.

RESPONSIBILITIES

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Elements for Identification and Tracking

Elements for identification and tracking let the reader know that they've found the policy they were looking for. They also include details about the document's creation and history.

Elements for identification and tracking include the following:

- The organization(s) affected by the policy
- The systems, locations, departments, and categories (for example, clinical or administrative) the policy applies to
- Title of the policy, which expresses the topic it addresses
- Title of any policy it replaces, if applicable
- ID number, often used as a file name, that includes letters and/or numbers to represent the title, category, and so on
- Dates indicating when the policy was posted, became effective, and was reviewed or revised
- Names of the people who approved the policy, when it was approved, and who created, reviewed, and/or revised it

This information is usually found at the very beginning and end of the document.

File Name: LD_Code of Conduct Policy

APPLICABILITY

- ☒ Ambulatory Health Center ☒ Office-Based Surgery
☒ **REQUIRES WRITTEN DOCUMENTATION FOR AHC**
☒ **REQUIRES WRITTEN DOCUMENTATION FOR OBS**

* See Applicability Grid for applicable services.

Code of Conduct Policy

| | | |
|---|--|--|
| [Logo] + | TITLE Code of Conduct Policy | IDENTIFICATION NUMBER [Number] |
| ORGANIZATION(S) [Organization name] | LEVEL <input type="checkbox"/> System <input type="checkbox"/> Organization <input type="checkbox"/> Division <input type="checkbox"/> Department | CATEGORY |
| REVIEW CYCLE <input type="checkbox"/> 1 year <input type="checkbox"/> 3 years LAST REVIEW DATE: [MM/DD/YYYY] | | POSTING DATE |

POLICY STATEMENT

All individuals who conduct themselves in a manner with zero tolerance for behaviors that undermine a culture of safety and appropriate actions taken.

PURPOSE

To set expectations for behavior that foster a culture that encourages respectful, constructive relationships among staff.

SCOPE

Applies to all staff.

DEFINITIONS

Acceptable behavior – Behavior that enables other staff to perform their responsibilities effectively and that results in respect for all. Examples include but are not limited to the following:

- Communicating in a calm, respectful, and professional manner
- Addressing disagreements using facts present and not personal attacks
- Responding to requests and concerns in a timely manner
- Interacting with others in a manner that respects the individual's culture and beliefs
- Meeting expectations included in the conditions of employment
- Working within the established chain of command, both departmentally and organizationwide
- Adhering to the established dress code and grooming standards
- Willingness to perform duties requested by the department or organization

Behaviors that undermine a culture of safety – Conduct by staff working in the organization that intimidates others to the extent that quality and safety could be compromised. These behaviors, as determined by the organization, may be verbal or nonverbal, may involve the use of rude language, may be threatening, or may involve physical contact.

RESPONSIBILITIES

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Elements That Explain the Policy

These elements describe the policy itself: what it addresses and why. They include the following:

- **Policy statement:** The rules and principles that guide decisions and actions
- **Purpose:** Brief explanation of the reasons behind the policy or procedures
- **Scope:** Summary of the defined confines of the policy or procedures
- **Definitions:** Relevant and unique terms that might not be well known to those using the policies and procedures. **Note:** When available, the definitions in the sample P&Ps come from the CAMAC, which generally mirrors the CAMOBS. However, some definitions go beyond what The Joint Commission addresses in its manuals.
- **Responsibilities:** Explanation of who is responsible for which roles and actions. **Note:** The names of committees or assigned individuals in the downloaded P&P should be adjusted to match the structure in your organization.

This information is usually found near the beginning of the document.

APPLICABILITY

- ☒ Ambulatory Health Center ☒ Office-Based Surgery
- ☒ **REQUIRES WRITTEN DOCUMENTATION FOR AHC**
- ☒ **REQUIRES WRITTEN DOCUMENTATION FOR OBS**

* See Applicability Grid for applicable services.

The staff supervisor is responsible for determining the appropriate level of immediate corrective action.

The Human Resources (HR) department is responsible for the following:

- Approving decisions regarding suspension or termination
- Providing education and training on this policy

The staff supervisor and HR department are responsible for the following:

- Investigating allegations of disruptive and/or inappropriate behavior
- Determining an appropriate plan of action

Organization leadership is responsible for the following:

- Protecting those who report behavior that undermines a culture of safety from retaliatory action
- Overseeing this policy, including analyzing trends in behavior that undermines a culture of safety and identifying opportunities for improvement

All employees are responsible for the following:

- Reporting behavior that undermines a culture of safety to an immediate supervisor
- Understanding and applying this code of conduct

PROCEDURES

1. Inform staff members and licensed independent practitioners about this policy as part of their initial onboarding, orientation, and training.
2. Provide information on this policy to outside agencies or organizations that provide contract staff, students, or others who provide care, treatment, and services on behalf of the organization.
3. Share information about this policy with any services on behalf of the organization at the and annually thereafter.*
4. Report any events of behavior that undermine supervisor using the standardized Incident F
5. Include in the Incident Report the following
 - Name of the person reporting the event
 - Witnessed behavior and/or comment
 - Date and time of the event
 - Facts associated with the event
 - Names of person(s) involved in the event
 - Names of person(s) who witnessed the event
 - Consequences of the event
 - Immediate actions taken to remedy the event
6. Investigate the event as soon as possible by behavior, the individual affected by the behavior done by the supervisor as soon as possible,
7. Determine the appropriate level of corrective
8. Determine whether the individual's behavior hazardous to patients, visitors, or others. If so
 - Immediately suspend the individual.
 - Remove the individual from organization

Elements That Explain the Procedures

These elements describe the procedures that are used to carry out the policy explained in the previous section of the document. This section includes the following:

- Instructions to perform each procedure
- Identification of individual(s) responsible for performing each procedure
- Time line requirements related to the procedures, if applicable
- Description of any training needed to perform the described activities
- Relevant references to other departments, documents, or sections within the same policy and procedure document

This information is usually found in the middle of the document.

File Name: LD_Code of Conduct Policy

APPLICABILITY

- ☒ Ambulatory Health Center ☒ Office-Based Surgery
☒ **REQUIRES WRITTEN DOCUMENTATION FOR AHC**
☒ **REQUIRES WRITTEN DOCUMENTATION FOR OBS**

* See Applicability Grid for applicable services.

9. Document the corrective actions taken in the Corrective Action Report.
10. Provide counseling to the involved parties on completion of the investigation.
11. Develop and document a plan for monitoring progress to change behavior.
12. Engage in established progressive disciplinary actions if the individual's behavior fails to improve.

REFERENCES

Joint Commission Standard LD.03.01.01, EP 4. Less acceptable behavior and behaviors that undermine

The Joint Commission. Behaviors that undermine a Event Alert 40. 2008 Jul 9. Updated 2016 Sep.

The Joint Commission. Preventing violence in the h Event Alert 45. 2010 Jun 3. Updated 2019 Feb.

The Joint Commission. The essential role of leaders Commission Sentinel Event Alert 57. 2017 Mar 1.

The Joint Commission. Physical and verbal violence Sentinel Event Alert 59. 2018 Apr 17.

ATTACHMENTS

Corrective Action Report
Incident Report
Sexual Harassment Policy
Workplace Violence Policy

APPROVAL

| | |
|---|-----------------------------|
| NAME AND CREDENTIALS [Name and Credentials] | |
| TITLE [Title] | |
| SIGNATURE | DATE [MM/DD/YYYY] |
| SIGNATURE | DATE [MM/DD/YYYY] |

Elements That Reference Other Documents

These elements provide additional information that is important to the topics addressed in the policies and procedures. Sometimes they refer the reader to other resources, either within the organization or from external sources. This section might include the following:

- Relevant requirements from external organizations, including The Joint Commission and/or the US Centers for Medicare & Medicaid Services
- Applicable laws and regulations
- Citations of evidence-based resources used to develop the policies and procedures
- References to any related documents from the organization itself
- Forms used for implementation of the policies and procedures, if any

This information is usually found toward the end of the document.

* Text shaded yellow is content that goes above and beyond Joint Commission standards and, therefore, is not specifically required. However, the information is included to assist in developing best-practice policies and procedures.



The Wrong Way

- Find an example from *PolicySource* or another organization.
- Insert your organization's name or department names throughout the document.



The Right Way

- Research best practices and requirements from The Joint Commission, the US Centers for Medicare & Medicaid Services, and other regulatory bodies.
- Examine the needs of your organization and, if you are part of a health care system, any related P&Ps that exist at the system level.
- Determine how to balance these factors.
- Develop a policy that reflects that balance.
- Revise based on actual performance.

Basic Strategies for P&P Development and Management

Developing and managing policies and procedures can feel like a daunting task. However, approaching the process the right way can save you time and effort in the long run.

It's not enough to simply download a sample policy from *PolicySource* and keep it on file. That policy needs to reflect the reality of your organization. If policy does not match practice, patient safety risk increases, as does the likelihood for nonstandardized care, treatment, and services.

The right way takes more time, effort, and resources. However, it is the only way to ensure that the policy and procedures are developed and implemented accurately and effectively and have the desired impact on care at your organization.

There are some simple strategies you can use to overcome the challenges related to developing strong, effective policies and procedures.

General Strategies

- Create and follow a “policy on policies.” In other words, have a designated standardized process for developing P&Ps that applies across the organization.

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To signal the differences in the sample P&Ps between requirements for ambulatory care and office-based surgery, the references to Joint Commission standards include certain words in brackets. For example:

Joint Commission Standard EC.02.04.01, EP 6. The [organization has written/ identifies] procedures to follow when medical equipment fails, including using emergency clinical interventions and backup equipment.

In this example, *organization has written* could be replaced with *practice identifies*.

In other cases, pink shading has been applied to indicate when a standard does not apply to CAMAC, and blue shading has been applied to indicate when a standard does not apply to CAMOBS.

- Decide if any P&Ps exist at the system level that can be used to address the needs of your organization.
- Determine which P&Ps will be created and overseen by which departments, interdepartmental committees, or a dedicated policy committee.
- Establish a schedule for the review of P&Ps, using requirements from The Joint Commission, the US Centers for Medicare & Medicaid Services, and other regulatory bodies as a guide.
- Determine guidelines for how P&Ps are to be documented and where they will be stored. Also determine how changes will be tracked and dated, along with appropriate approvals and approval and effective dates.
- Engage relevant leadership, management, and staff throughout the process.
- Use your organization's standardized template or format, or download our [Policy Template](#), [Plan Template](#), or [Procedures Template](#). These templates and other helpful tools can all be found in the Resources section of *PolicySource*.
- Allow ample time for the development process, including time for gathering information, as well as document creation, review, and implementation.
- Obtain the approving party's sign-off on each individual policy.

Strategies for Policies

- Use a “control box” at the top of the policy document that includes information needed to quickly identify and track it. This information includes, at a minimum, the following:
 - Organization name
 - Policy title
 - Policy ID number
 - Effective date
- Compare new policies against existing ones to ensure there is no confusing overlap or contradiction among them.
- Consider creating a policy committee, if you don't already have one or you are not part of a larger health care system, to centralize policy creation and management.
- Avoid use of superlative language, such as *safest*, *highest*, and *best*.
- Evaluate use of absolutes, such as *must* or *shall*, to ensure that they are used only when necessary. Avoid using absolutes in circumstances that allow for clinical judgment.

Strategies for Procedures

- Use simple words that everyone understands.
- Make expectations reasonable and workable.
- Be specific, leaving no room for individual interpretation.
- Use active verbs rather than the passive voice. For example, say “Place a label on the container” rather than “The container should be labeled.”

Creating effective policies and procedures involves a great deal of cooperation, communication, and input from individuals throughout your organization and across your health system. It is important that leadership, management, and frontline staff all understand their roles in the process and feel comfortable sharing their ideas.

Policy and Procedures Development and Management

Developing policies and procedures is not a “check the box” activity. Each organization or system is different, and what works for one organization will not necessarily work for another.

Developing and Managing a P&P Collection

As your organization changes or your system grows, it may be necessary to create new policies and procedures, revise existing ones, or merge documents across departments or facilities to establish one comprehensive P&P. For example, if your organization begins providing a new service to patients, you may need to design a P&P to address it. Or, if you are part of a health care system that has recently merged with or acquired a number of facilities, system leaders will need to assess the existing P&Ps across all locations, determine which ones are the strongest, update them for consistency, and educate staff about the changes.

In general, developing and managing policies and procedures follow an ongoing five-step process, illustrated in the steps below.

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The information about developing and managing policies and procedures is not a Joint Commission requirement but rather is meant to offer good practices for health care organizations to follow. The Joint Commission does not tell organizations how to create, manage, review, or maintain P&Ps specifically.

1. Identify

The first step is to identify and review all existing policies and procedures in your organization or at each site within a system. Assign an individual to coordinate this task. For systems, although it is also necessary to have a P&P representative at each site, there needs to be at least one lead representative overseeing the entire effort to accurately assess and ultimately implement consistent P&Ps across the organization.

2. Create, Revise, or Merge

After the current policies and procedures have been identified, the lead P&P coordinator should compare duplicate policies and procedures to find similarities and differences and then create one merged organizationwide or systemwide P&P. The new document should be comprehensive and consistent and feature an agreed-upon policy statement that aligns with the organization’s mission, vision, and values. Although the purpose of an organizationwide or systemwide P&P is to establish one policy or one set of procedures for

the entire organization or all sites in a system, there may be a need to have varying procedures, depending on department- or site-specific needs.

For example, perhaps you are merging preprocedure verification procedures and identify two sites in the system that have procedures on this topic. The policy statement for the merged system P&P should include overall expectations for ensuring a safe surgical procedure in each area and/or facility. To address variances at each site, the procedures can be individualized based on the type of services and resources available.

For more direction on revising or creating a new P&P, see the next section, [Writing Policies and Procedures](#).

3. Review

After the lead P&P coordinator has created a draft for each organizationwide or systemwide P&P, he or she should share them with department or site leadership for input. These leaders will then distribute the P&Ps to appropriate staff for review and input, as they are often not the experts on the content but rather are in charge of making sure the draft policy is reviewed appropriately.

Once final drafts of the P&Ps are approved among department or site leadership, they will be sent to leadership or an approval committee at the facility level. Some policies and procedures may require a review by several committees before they are considered final. To return to the preprocedure verification procedures example, these procedures may need to be reviewed by the licensed independent practitioners participating in surgical procedures, the medical director, and/or clinic leadership. For health care systems, the lead P&P coordinator will have the extra step of providing a summary of the draft policy to a system-level multidisciplinary committee and allowing time for questions.

Upon approval at the system or facility level, the lead P&P coordinator assigns an implementation date to the policy if a target date has not already been identified.



Don't assume all P&Ps are accounted for in an electronic storage system. Some departments or facilities may still have policies and procedures that are printed and housed in a three-ring binder or other storage mechanism on the unit instead of being uploaded onto the organization's intranet. Be sure to reach out to all department leaders at all sites when gathering a current listing of policies and procedures.

4. Implement

This step involves disseminating policies and procedures. Most organizations or systems allow two to four weeks before communicating a new policy or changes to an existing policy to staff before implementation. Organizations use a number of methods to successfully communicate P&P information, including e-mail, intranet posts, announcements at staff meetings, and flyers in break rooms. For revised P&Ps, rather than expecting staff to read an entire policy, you may opt to create a one-page summary that includes the following information:

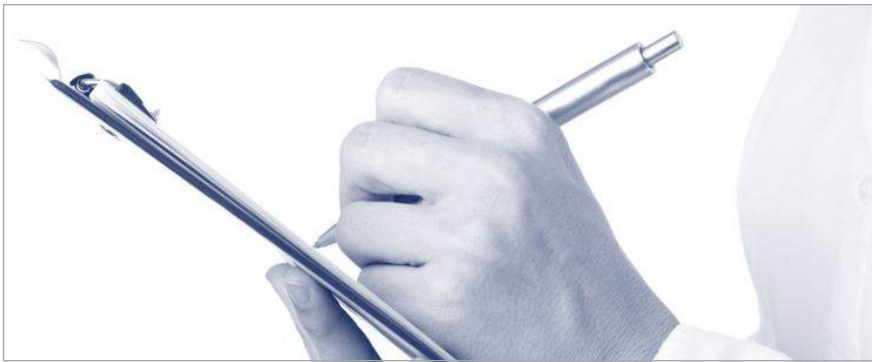
- Policy name
- Bulleted list to highlight what has been revised or will be newly implemented
- Boxes to check which sites are included in the policy
- Implementation date
- Contact person for questions

In some cases, revisions to the P&Ps will arise during implementation. These and other revisions should be documented and communicated to all staff. In addition to notifying staff of new or revised P&Ps, leaders may need to provide training to appropriate staff members and document the completion of this training.

5. Monitor and Maintain

Compliance should be assessed throughout the lifetime of the P&Ps with an active monitoring program, with any instances of noncompliance investigated and addressed. If there are any requests for exceptions, those should be considered and an appropriate response given.

Maintenance of your collection of policies and procedures involves the regular review of P&Ps by users and leaders. In general, policies and procedures are reviewed at least every three years, but some need to be reviewed every year. Any revisions that arise during the implementation or monitoring process should be addressed. You also need to document changes, updates, and approvals. Ensure that all active P&Ps are accessible to staff at all times and that any inactive versions are archived for reference.



Creating a Policy and Procedures Inventory

Policies and procedures inform and drive patient care in your organization. Because of this, access is critical. It is crucial that every member of your staff has quick, easy access to policies and procedures at all times, either as a hard copy or an electronic version.

With so many policies and procedures on so many topics, finding the one you're looking for can be a challenge—unless, of course, you have a good organizational system. That's where a policy and procedures **inventory** can help. It lists the P&Ps in your organization or health system by name and ID code in a single document or file. It's useful to organize the list by subject area or accreditation chapter. An inventory can do more than help you find the policy you need. It should also include:

| | | |
|---|---|---|
|  |  |  |
| Effective dates and review dates | Who is responsible for oversight | Which Joint Commission standards are applicable to the policy's content |

Having this data readily consumable in a single document makes policy monitoring and maintenance easy. For example, including the applicable Joint Commission standards on your inventory will allow you to easily pull and review any policies following an announcement about revised standards.

As you create a policy inventory, it will be helpful to know which Joint Commission ambulatory care or office-based surgery accreditation EPs have required written documentation (RWD). This helpful **table** identifies these standards and EPs, and provides a brief description of each, as well as any corresponding sample P&Ps included in *PolicySource Ambulatory Care and Office-Based Surgery*.

Ensuring the quality of its policies and procedures is one of the most important things an organization can do to support highly reliable care. It does take time and effort, but standardizing the development and management processes can streamline your efforts without compromising accuracy and applicability.

Writing Policies and Procedures

Policies and procedures must be evaluated before, during, and after their creation and implementation. When considering a new policy, it's important to be sure the proposed policy is necessary, relevant, and effective.

To help you determine this, you can ask four questions:

1. Will this policy address critical issues that are not covered by other, existing policies, either within my facility or at the system level?
2. Will this policy be consistent with and not contradict other policies and procedures?
3. Will this policy accurately reflect what the organization does?
4. Will this policy be easy to implement, follow, and monitor for compliance?

If the answer to all four questions is “yes,” then it makes sense to create a new policy. If any answer is “no,” then you might consider revising an existing policy, reviewing the needs and goals of your organization or system, addressing the roadblocks to implementation or monitoring, or approaching the targeted issue from a different direction.

Creating Effective—and Compliant—Policies and Procedures

The Joint Commission commends organizations that strive to follow good or even best practices and incorporate them into their policies and procedures. However, organizations often add requirements that go above and beyond the requirements of The Joint Commission or other national standards, evidence-based guidelines, manufacturer's instructions, or other regulations.



They may identify and include unachievable or unsustainable goals that go beyond what is required. Review of policy-related survey findings indicates that Joint Commission surveyors frequently score organizations out of compliance because they are not following their own policy.

A Hierarchical Approach

The sample policies and procedures included in *PolicySource* are a good place to start when creating new P&Ps or revising existing ones. However, they must be adapted and expanded to fit the needs of the organization's patient population and to address national or state standards, manufacturer's instructions, or other applicable guidance, in addition to the Joint Commission standards that are already included with each P&P. The following is a hierarchical approach that organizations and systems can adhere to when writing or revising policies and procedures.

Regulation

If a state or federal law or regulation exists, first follow its direction in creating related policies.

CMS

If an ambulatory care organization uses accreditation for deemed status purposes to qualify for CMS reimbursements, then it must meet applicable Conditions for Coverage (CfCs), as well as applicable transmittals and Quality, Safety & Oversight (QSO) letters (formerly known as Survey and Certification [S&C] memos).

Deemed status ambulatory care organizations should track and incorporate CMS updates, which can be found online at the following websites:

- **CfCs:** <https://www.cms.gov/Regulations-and-Guidance/Legislation/CfCsAndCoPs>
- **Transmittals:** <https://www.cms.gov/Regulations-and-Guidance/Guidance/Transmittals/index>
- **QSO letters, by state and region:** <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertificationGenInfo/Policy-and-Memos-to-States-and-Regions.html>

Manufacturer's Instructions for Use

Organizations and systems must follow the specific manufacturer's instructions for use for equipment, supplies, and products used and are required to resolve any conflicts that may exist. Often, an organization will include these instructions in procedures documents.

Evidence-Based Guidelines or National Standards

In the absence of clear requirements and recommendations provided by federal or state regulation, CfCs, or instructions for use, the next step for an organization or system is to review evidence-based guidelines or national standards. A facility can choose which evidence-based guidelines or national standards it follows but should establish a system for updating so that the policies and procedures remain current.

Position Statements

In the absence of regulation, CfCs, instructions for use, evidence-based guidelines, or national standards, an organization or system may want to consider position statements and other documents from reputable national or regional associations or organizations as guides for developing or amending policies and procedures.

Following this hierarchical approach—and getting input from the leaders and staff who will implement the policies—can help organizations and systems create policies and procedures that not only keep patients and staff safe but also comply with Joint Commission standards. Surveys are meant to identify deviations from regulations, CfCs, guidelines, and national standards that are promulgated to keep patients and staff safe. Building P&Ps in this way allows staff to understand the process and explain any deviance to a Joint Commission surveyor.

There are a number of resources available to help you as you develop policies and procedures. This [list](#) of regulatory agencies and national organizations is divided by the standards chapters of the CAMAC and CAMOBS.

Assessing New P&Ps

There are a number of ways to ensure the policies and procedures you have created for your organization or system meet all the criteria mentioned here. Below are two often-used methods.

Checklist

A checklist can guide the evaluation of your P&Ps to ensure they contain the key elements described above. It also can address issues such as language and format, which can impact how easy the document is to use and understand. You can adapt this policy and procedures evaluation [checklist](#) to fit the specific needs of your organization.

Scoring Rubric

A [scoring rubric](#) can help you assess whether your plan development process is on track or needs improvement.

The sample P&Ps in *PolicySource* are only examples created to demonstrate how an organization or system may have created a policy or procedure for its particular situation and needs.



If there is a policy you would like us to consider adding to a future update of *PolicySource Ambulatory Care and Office-Based Surgery*, please email us at polycysource@jcrinc.com.

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Published by Joint Commission Resources
Oak Brook, Illinois 60523 USA
<https://www.jcrinc.com>

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Printed in the USA

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