Purpose

The purpose of this resource document is to provide a high-level navigation overview of the Evidence of Standards Compliance (ESC) tool. Corrective actions and clarification requests require submission within the ESC tool. The ESC tool is available via The Joint Commission Connect™ site. Please refer to the ESC Instructions and Clarification Instructions for guidelines in submitting a corrective ESC and/or 10-day clarification documentation.

Overview

The Evidence of Standards Compliance (ESC), also referred to as corrective action, is a concise report of actions taken by an organization to correct areas identified as Requirements for Improvement during a survey/review. The report includes specific date(s) when all actions were completed as well as a description of actions taken to ensure compliance is sustainable going forward. Such actions may include, but are not limited to the following:

- Review, revision, and approval of existing policies or procedures
- Implementation of a new policy or procedure
- Modifications to building infrastructure and/or support services
- Modifications to job descriptions; performance reviews; and/or competency assessment processes, forms or other tools
- Re-education or reassignment of responsibilities to qualified individuals assigned to complete specific tasks
- Education of those individuals responsible for the delivery of care, treatment, and services to include, but not be limited to, nursing, pharmacy, respiratory care, rehabilitation services, and licensed independent practitioners
- Leadership involvement with the corrective action to assist in ongoing sustainment.
- Preventive analysis to ensure potential underlying causes surrounding the finding are addressed.

The clarification process provides an organization the opportunity to demonstrate compliance with standards that were scored “not compliant” at the time of the survey/review.
**Getting Started**

To access the ESC tool, click on the *Evidence of Standards Compliance* link under the Post-Survey section.

Click on *Evidence of Standards Compliance*.

Please review the *Evidence of Standards Compliance Instructions* and *Evidence of Standards Compliance FAQs* to assist you in developing your corrective action responses.

**ESC-Tool Home Page**

The ESC event selection screen is the home page. The event selection screen indicates all events, including any current ESCs due, and those previously submitted and/or processed.

The event status is located within the Event Selection Grid. An event can be in one of the following four statuses:

- **Open**: corrective action is required
- **Submitted**: received and pending review with Joint Commission
- **Completed**: processed by Joint Commission
- **Accepted**: organization has accepted terms of the 10-day clarification agreement
**How to Complete the ESC**

Click on the *Evidence of Standards Compliance* link

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This link will direct you to the event summary page, which lists all the standards that were identified as Requirements for Improvement (RFI) from the final report. Corrective actions for all RFIs.

RFIs are due within 60 days. Note the due date bolded in red below.
Click on the standard you wish to address. All corrective actions must be completed at the time of the ESC submission. Note that you will not be able to submit unless all standards/EPs are addressed. You can save your responses until you are ready to submit.

The ESC form displays the standard text and the findings from the final report.
**Responding to Multiple EPs**

You may be required to address one or more EPs within a standard. You must click on the EP number to document your corrective actions. Note each of the highlighted EPs below.

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<tr>
<td>11</td>
<td>11. The informed consent process includes a discussion about reasonable alternatives to the patient’s proposed care, treatment, and services. The discussion encompasses risks, benefits, and side effects related to the alternatives and the risks related to not receiving the proposed care, treatment, and services.</td>
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<tr>
<td>13</td>
<td>13. Informed consent is obtained in accordance with the hospital’s policy and procedures and, except in emergencies, prior to surgery. (See also RC.02.01.01, EP.1)</td>
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**Navigating Between Different Programs, Events, and Standards**

Your organization may have a ESC due and for one or more programs. You can navigate between programs, ESC events, and standards by selecting the drop down menu options as noted below.

*Navigate Between Programs*

*Navigate Between Standards*
Submitting the ESC

Once you have completed documenting all of your corrective actions, you are ready to submit your ESC for review and approval by Joint Commission staff.

Click on the Summary link on the left navigation menu to begin the submission process.

Prior to submitting, confirm that all the EPs have been addressed. The ESC cannot be submitted if all the EPs have not been addressed. On the ESC Summary, you will see a list of standards, along with the total number of EPs that require response for each standard. The total number of total EPs should match the number of addressed EPs.

If all the EPs are not addressed, a red message alert will appear: “Please click the identified standard(s) to add the required information.”

Once you have addressed all the EPs, click Submit. Once your ESC has been successfully submitted to the Joint Commission, your organization will receive a confirmation email.
Saving

Once you begin working on your ESC, do not forget to save your information often. The Save button is located at the bottom of each standard/EP screen.
**10-day Clarification Process**

**Requesting a 10-day Clarification**

The request for a 10-day clarification is located within the ESC tool. Please review the *Clarification Instructions* to assist you in developing your clarification documentation.

At the Event Summary Page, click on the box to view the 10-day clarification agreement.

Note: Clarifications can only be submitted within 10 business days from the final accreditation/certification report posting to The Joint Commission Connect site. The field will be grayed out once the clarification window has passed, and you will no longer be able to clarify a finding.
**10 Day Clarification User Agreement**

The 10 Day Clarification User Agreement will appear. Check the box stating the terms and conditions of the 10-day clarification process have been read.

Once the terms and conditions box has been checked, there are three options:

1. Click *Accept* if your organization wants to clarify a finding;
2. Click *Not Accept* if your organization chooses to waive the clarification; or
3. Click on *Cancel*
Click on the standard you wish to clarify. Make sure that you also click on the *Ten Day Clarif* box. You can save your responses until you are ready to submit.

Note: Be sure to address any and all EPs associated with your clarifying evidence. You must click on the appropriate EP number to document your clarifying evidence.

**Submitting the Clarification**

Once you have completed documenting all of your clarifying evidence, you are ready to submit for review by Joint Commission staff. Note: until the clarifying evidence is reviewed and processed, you will not be able to submit your corrective actions.

Click on the Summary link on the left navigation menu to begin the submission process.
Printing Options

Print Event

To print a submitted ESC or a blank ESC form, click on the + symbol and click Print.

You can also click on the Print Form link in the left navigation menu.
**Additional Resources**

**Contact Your Account Executive**

For additional assistance navigating through the ESC tool, please contact your account executive directly.

**Standards Interpretation Group (SIG)**

If you have a standards interpretation question, please can contact SIG:

- Telephone number (630)792-5900, option 6

Visit our website to submit an online question or review the Standards FAQs