

Survey Analysis for Evaluating Risk™ (SAFER™) Matrix Tool

User Guide

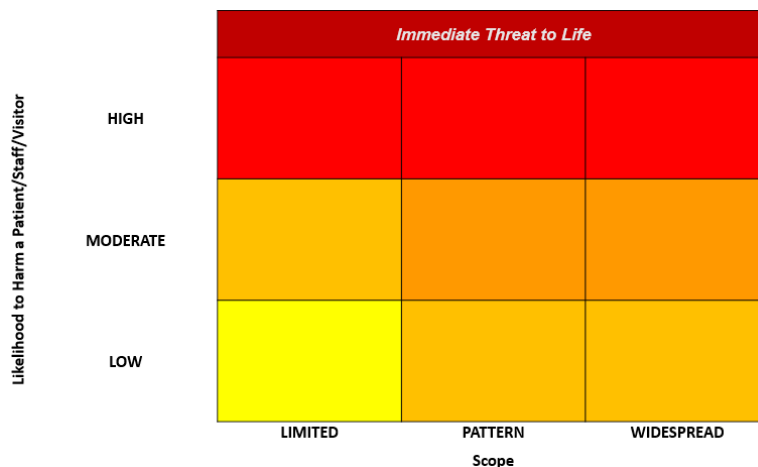
Purpose:

The purpose of this document is to provide a high-level navigation overview of the SAFER Matrix tool. The SAFER Matrix tool is a tool that allows organizations to filter Requirements for Improvement (RFIs) that were documented during historical SAFER accreditation surveys and certification reviews. The SAFER Matrix Tool is available via The Joint Commission Connect site™.

Overview:

The SAFER matrix is a transformative approach for identifying and communicating risk levels associated with deficiencies cited during accreditation surveys and certification reviews. This additional information related to risk provided by the SAFER Matrix helps organizations prioritize and focus corrective actions. The SAFER Matrix allows the organization to see areas of noncompliance at an aggregate level — one that shows significant components of risk analysis and allows surveyors/reviewers to perform real-time, on-site evaluations of deficiencies.

If an Element of Performance (EP) is determined to be out of compliance, it will be cited as a RFI. Each RFI is placed in the SAFER Matrix according to how likely it is that the RFI will harm a patient(s), staff, and/or visitor (low, moderate, high) and the scope, or prevalence, at which the RFI was cited (limited, pattern, widespread). As the risk level of a finding or an observation increases, the placement of the standard and EP moves from the bottom left corner (lowest risk level) to the upper right corner (highest risk level).



The SAFER Matrix is a 3x3 grid. The vertical axis is labeled 'Likelihood to Harm a Patient/Staff/Visitor' with levels HIGH, MODERATE, and LOW. The horizontal axis is labeled 'Scope' with levels LIMITED, PATTERN, and WIDESPREAD. The top row is labeled 'Immediate Threat to Life'. The grid cells are colored as follows: HIGH/LIMITED is red; HIGH/PATTERN is dark orange; HIGH/WIDESPREAD is dark orange; MODERATE/LIMITED is orange; MODERATE/PATTERN is orange; MODERATE/WIDESPREAD is orange; LOW/LIMITED is yellow; LOW/PATTERN is orange; LOW/WIDESPREAD is orange.

		<i>Immediate Threat to Life</i>		
		LIMITED	PATTERN	WIDESPREAD
Likelihood to Harm a Patient/Staff/Visitor	HIGH	Red	Dark Orange	Dark Orange
	MODERATE	Orange	Orange	Orange
	LOW	Yellow	Orange	Orange

All observations of noncompliance will be documented within the SAFER Matrix and will require follow-up activity based on surveyors'/reviewers' observations. For deficiencies of a higher risk level in the matrix (that is, the dark orange and red areas of the SAFER matrix), additional information will be required within the Evidence of Standards Compliance (ESC) regarding

sustainment of corrective actions. Please see the below table for additional information surrounding the post-survey process.

SAFER Matrix™ Placement	Required Follow-Up Activity
<p>HIGH/LIMITED, HIGH/PATTERN, HIGH/WIDESPREAD</p>	<ul style="list-style-type: none"> • 60 day Evidence of Standards Compliance (ESC) <ul style="list-style-type: none"> - ESC will include Who, What, When, and How sections • ESC will also include two additional areas surrounding Leadership Involvement and Preventive Analysis • Finding will be highlighted for potential review by surveyors on subsequent onsite surveys up to and including the next full survey or review
<p>MODERATE / PATTERN, MODERATE/WIDESPREAD</p>	
<p>MODERATE / LIMITED, LOW / PATTERN, LOW / WIDESPREAD</p>	<ul style="list-style-type: none"> • 60 day Evidence of Standards Compliance (ESC) <ul style="list-style-type: none"> - ESC will include Who, What, When, and How sections
<p>LOW/LIMITED</p>	

*Note: Please refer to the *Accreditation Process Chapter (ACC)* within the Joint Commission’s Accreditation or Certification Manuals for post-survey processes for Immediate Threat to Health and Safety and Decision Rules scenarios.

Getting Started:

To access the SAFER matrix tool for accreditation programs, hover over the *Survey Process* tab on your organization’s secure Joint Commission Connect™ site. Then click on the *Accreditation SAFER™ Matrix* link under the Post-Survey section.



To access the SAFER matrix tool for certification programs, hover over the *Review Process* tab on your organization’s secure Joint Commission Connect™ site. Then click on the *Certification SAFER™ Matrix* link under the Post-Review section.



***Note:** The SAFER matrix tool will automatically default to show only the accreditation and/or certification content that you have security access to view. If you have access to both accreditation and certification content, please refer to page 8 for instructions as to how to switch between the accreditation and certification information within the SAFER matrix tool.

SAFER Matrix Tool Home Page:

The SAFER matrix tool home page includes both the Event List table in the center of the page in addition to resource documents on the left hand-side of the page. The Event List table indicates all onsite events that have gone through a SAFER survey or review. The survey/review event status can be found within the Event List table, and can be in one of the two following statuses:

- **Completed:** the report has been processed by The Joint Commission (either within 10 business days after the survey/review is completed or after the Clarification submitted by the organization is reviewed and finalized)
- **In Progress:** the report is under review and the SAFER matrix tool cannot be accessed as the survey/review information is being assessed

Resource Documents		Event List			
SAFER PowerPoint Presentation SAFER MatrixTM Frequently Asked Questions (FAQs) SAFER Infographic		Select Event Type: <input checked="" type="radio"/> Accreditation			
Event Name	Program(s)	Event Date	Status	SAFER Matrix	
Unannounced Medicare Deficiency Survey (Unannounced Full Event)	Hospital Accreditation Program	08/04/2016	Completed 08/26/2016	View	
Unannounced Full Event	Hospital Accreditation Program Behavioral Health Care Accreditation Program	06/21/2016	Completed 08/01/2016	View	

How to Access Survey/Review SAFER Matrix:

Find the survey/review event you want to access and click on the *View* link to the right of the survey/review event:

Resource Documents

- [SAFER PowerPoint Presentation](#)
- [SAFER Matrix™](#)
- [Frequently Asked Questions \(FAQs\)](#)
- [SAFER Infographic](#)

Event List

Select Event Type: Accreditation

Event Name	Program(s)	Event Date	Status	SAFER Matrix
Unannounced Medicare Deficiency Survey (Unannounced Full Event)	Hospital Accreditation Program	08/04/2016	Completed 08/26/2016	View
Unannounced Full Event	Hospital Accreditation Program Behavioral Health Care Accreditation Program	06/21/2016	Completed 08/01/2016	View

This link will take you into the SAFER matrix tool where you will see the SAFER matrix with all RFIs from the final report for the survey/review event included.

SAFER

[Go to Event List](#)

FILTER RESULTS

Unannounced Full Event
06/21/2016 - 06/24/2016

Program

Hospital Accreditation Program

Behavioral Health Care Accreditation Program

Chapter

Environment of Care

Infection Prevention and Control

Leadership

Life Safety

Medical Staff

National Patient Safety Goals

Provision of Care, Treatment, ...

Good to harm a patient/visitor/staff

	Unannounced Full Event 06/21/2016 - 06/24/2016		
<i>ITL</i>	[Redacted]		
<i>HIGH</i>	IC.02.02.01 EP2	[Redacted]	[Redacted]
<i>MODERATE</i>	EC.02.03.01 EP1 LD.01.03.01 EP2 LS.02.01.10 EP1 LS.02.01.10 EP5	EC.02.06.01 EP1 LS.02.01.30 EP2 MS.03.01.01 EP2 MS.08.01.01 EP1 MS.08.01.03 EP1 PC.01.03.01 EP1	LD.03.06.01 EP3 PC.01.02.13 EP2

Below the SAFER matrix, you will see each RFI's details including the Standard Chapter, Element of Performance, Likelihood to Harm designation, Scope designation, and Observation text.

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LOW	LS.02.01.35 EP9		
	MS.01.01.01 EP5		
	RC.01.01.01 EP19		
	LIMITED	PATTERN	WIDESPREAD

Scope

Findings Text

Program: Hospital Accreditation Program
 Standard/EP: EC.02.03.05. EP19
 Likelihood to Cause Harm: High
 Scope: Widespread

Observed in Building Tour at ABC Medical Center (123 Anywhere Street, Somewhere, IL) site. At the time of the survey there was no record of the hospital's automatic smoke detection shutdown devices for air-handling equipment being tested.

Program: Hospital Accreditation Program
 Standard/EP: IC.02.02.01, EP4
 Likelihood to Cause Harm: Moderate

How to Apply Filters:

The SAFER matrix tool allows organizations to filter the RFIs within the SAFER matrix and creates a more dynamic interaction with the survey/review information. Filter categories are located on the left side of the page and only those filters applicable to your organization will appear. At this time, filters include: Standard Chapter, Conditions of Participation/Conditions for Coverage, Site, and CLIA Number.

To apply a filter, simply select one or more of the desired boxes. A horizontal list of filters that have been selected will appear above the SAFER matrix to indicate which filters are applied at that point in time.



[Go to Event List](#)

FILTER RESULTS

Program

Hospital Accreditation Program

Behavioral Health Care Accreditation Program

Chapter

Environment of Care

Infection Prevention and Control

Leadership

Life Safety

Medical Staff

National Patient Safety Goals

Provision of Care, Treatment,...

Filters : Leadership [Clear All](#)

Unannounced Full Event
06/21/2016 - 06/24/2016 PDF

Likelihood to harm a patient/visitor/staff	ITL			
	HIGH			
	MODERATE	LD.01.03.01 EP2		LD.03.06.01 EP3
	LOW			
		LIMITED	PATTERN	WIDESPREAD

Scope

***Note:** The order of filters chosen will have a downstream effect and will impact the final SAFER matrix displayed. Thus, after the first filter is applied, subsequent filter choices will result in the

RFIs currently viewed in the SAFER matrix (based upon previous filter selections) to be further parsed down.

How to Clear Filters Applied:

To clear the filters previously selected and start anew, click on the *Clear All* link located above the SAFER matrix to the upper right. Clicking this link will remove all filters currently applied and will revert to showing all RFIs from the final report for that particular survey/review event.

The Joint Commission
Connect™ / SAFER Matrix™

SAFER [Go to Event List](#)

FILTER RESULTS

Program

- Hospital Accreditation Program
- Behavioral Health Care Accreditation Program

Chapter

- Environment of Care
- Infection Prevention and Control
- Leadership
- Life Safety
- Medical Staff
- National Patient Safety Goals
- Provision of Care, Treatment, ...

Filters : Leadership [Clear All](#)

Unannounced Full Event
06/21/2016 - 06/24/2016 PDF

Likelihood to harm a patient/visitor/staff	ITL			
	HIGH			
	MODERATE	LD.01.03.01 EP2		LD.03.06.01 EP3
	LOW			
		LIMITED	PATTERN	WIDESPREAD
		Scope		

How to Navigate between Different Accreditation Programs:

If your organization is accredited for more than one accreditation program with The Joint Commission, then you will be able to view each program's SAFER matrix from the survey event's final report. To do so, click on the program that you would like to view in the SAFER matrix.

The Joint Commission
Connect™ / SAFER Matrix™

SAFER [Go to Event List](#)

FILTER RESULTS

Program

- Hospital Accreditation Program
- Behavioral Health Care Accreditation Program

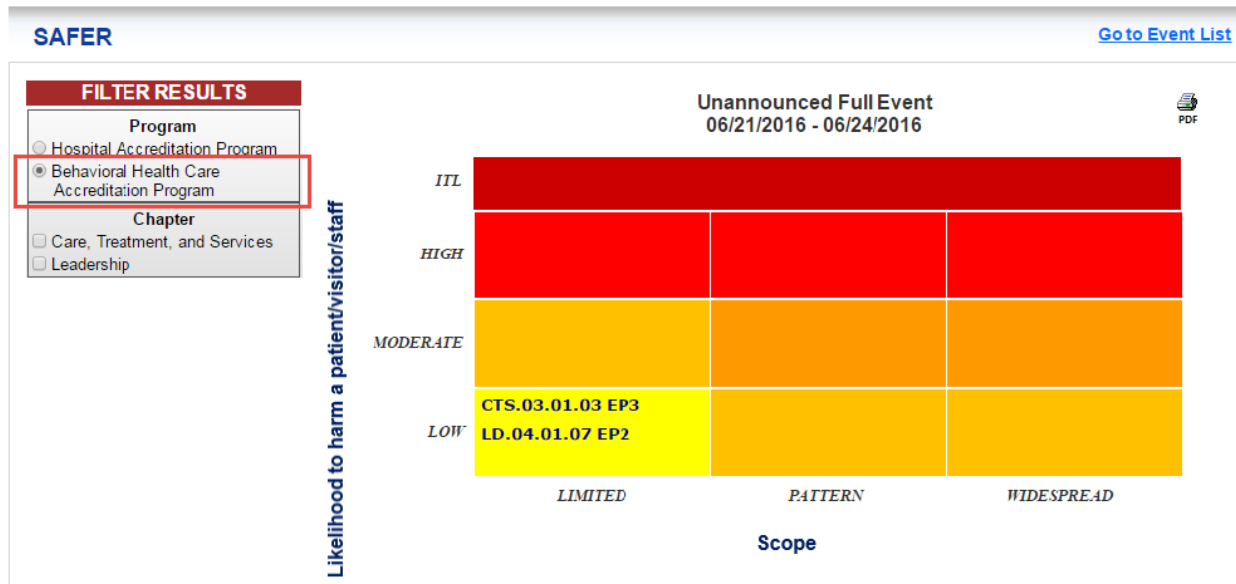
Chapter

- Environment of Care
- Infection Prevention and Control
- Leadership
- Life Safety
- Medical Staff
- National Patient Safety Goals
- Provision of Care, Treatment, ...

Unannounced Full Event
06/21/2016 - 06/24/2016 PDF

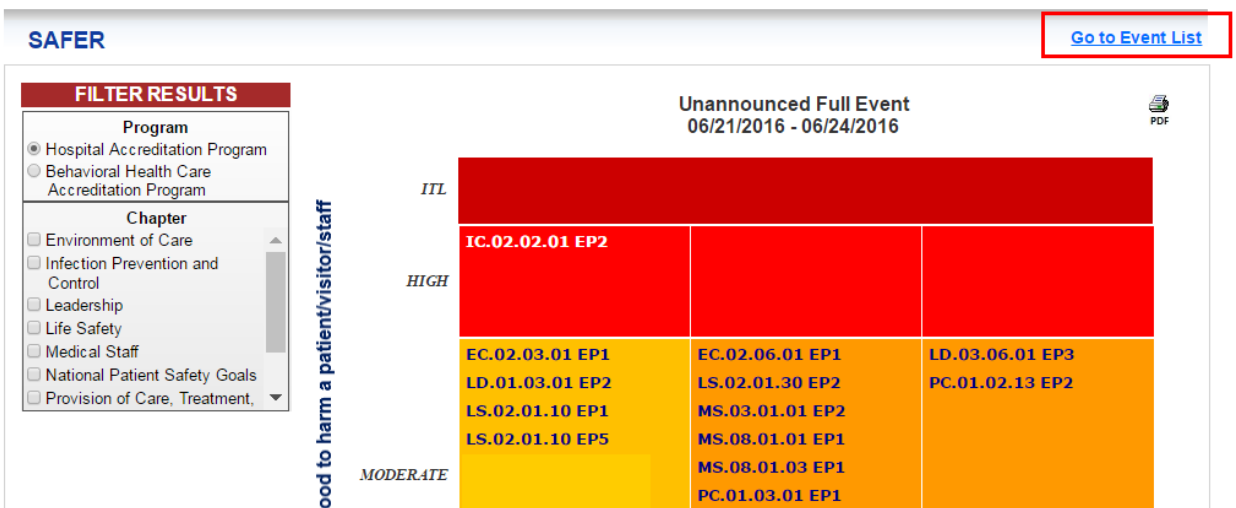
Likelihood to harm a patient/visitor/staff	ITL			
	HIGH	IC.02.02.01 EP2		
	MODERATE	EC.02.03.01 EP1 LD.01.03.01 EP2 LS.02.01.10 EP1 LS.02.01.10 EP5	EC.02.06.01 EP1 LS.02.01.30 EP2 MS.03.01.01 EP2 MS.08.01.01 EP1 MS.08.01.03 EP1 PC.01.03.01 EP1	LD.03.06.01 EP3 PC.01.02.13 EP2
	LOW			
		LIMITED	PATTERN	WIDESPREAD
		Scope		

After the program is selected, the SAFER matrix tool will automatically refresh and will show all RFIs from the final report for that program.



How to Select a Different Survey/Review Event to View:

To change the survey/review event, click the *Go to Event List* link on the upper right side of the webpage.



This link will take you to the Event List page where you can choose another survey/review event to view.



Resource Documents

- [SAFER PowerPoint Presentation](#)
- [SAFER Matrix™](#)
- [Frequently Asked Questions \(FAQs\)](#)
- [SAFER Infographic](#)

Event List

Select Event Type: Accreditation

Event Name	Program(s)	Event Date	Status	SAFER Matrix
Unannounced Medicare Deficiency Survey (Unannounced Full Event)	Hospital Accreditation Program	08/04/2016	Completed 08/26/2016	View
Unannounced Full Event	Hospital Accreditation Program Behavioral Health Care Accreditation Program	06/21/2016	Completed 08/01/2016	View

How to Navigate between Accreditation and Certification:

To switch from accreditation survey events to certification review events on the Event List page, click on either *Accreditation* or *Certification* located above the Event List table depending on which events you would like to see. This will update the table to show the accreditation survey events or certification review events.



Resource Documents

- [SAFER PowerPoint Presentation](#)
- [SAFER Matrix™](#)
- [Frequently Asked Questions \(FAQs\)](#)
- [SAFER Infographic](#)

Event List

Select Event Type: Accreditation Certification

Event Name	Program(s)	Event Date	Status	SAFER Matrix
Unannounced Medicare Deficiency Survey (Unannounced Full Event)	Hospital Accreditation Program	08/04/2016	Completed 08/26/2016	View
Unannounced Full Event	Hospital Accreditation Program Behavioral Health Care Accreditation Program	06/21/2016	Completed 08/01/2016	View

***Note:** If you do not have security access to both accreditation survey and certification reviews, then you will not see the above visual. The SAFER matrix tool will automatically default to show only the content that you have security access to view.

Additional SAFER Resources:

For more information on the SAFER matrix, go to the SAFER matrix tool home page. Additional information is located on the left-side of the page under the *Resource Documents* header.

Resource Documents

- [SAFER PowerPoint Presentation](#)
- [SAFER Matrix™](#)
- [Frequently Asked Questions \(FAQs\)](#)
- [SAFER Infographic](#)

Event List

Select Event Type: Accreditation Certification

Event Name	Program(s)	Event Date	Status	SAFER Matrix
Unannounced Medicare Deficiency Survey (Unannounced Full Event)	Hospital Accreditation Program	08/04/2016	Completed 08/26/2016	View
Unannounced Full Event	Hospital Accreditation Program Behavioral Health Care Accreditation Program	06/21/2016	Completed 08/01/2016	View