FACILITY TOOL

Policy-to-Practice Audit Tool

Compare what the policy requires, what the record shows, what staff describe, and what the workflow produces at the point of service. The goal is operational alignment, not a document-only review.

HOW TO USE	Mark each item Yes, No, Not Applicable, or Needs Follow-up in your working copy. Add evidence, an owner, and a recheck for every gap. Do not use this public blank template to transmit resident information.

Select the policy and outcome

- [ ] Choose one policy requirement and define the observable resident or process outcome it is meant to produce.
- [ ] Identify the roles, shifts, departments, systems, forms, and handoffs involved.
- [ ] Record the current policy version, owner, effective date, and review status.

Policy review

- [ ] Required actions, sequence, triggers, verification, escalation, and documentation are clear.
- [ ] The policy identifies who owns an open exception and how closure is confirmed.
- [ ] References, forms, systems, and job titles named in the policy are current.
- [ ] The policy can be performed under after-hours, call-out, new-staff, and cross-department conditions.

Record review

- [ ] The record can show the required action occurred at the required point in the workflow.
- [ ] Late or copied documentation is distinguishable from timely execution.
- [ ] Exceptions, escalation, follow-up, reassessment, and closure are retrievable.
- [ ] Duplicate records or reports do not create competing versions of the same instruction.

Staff description and observation

- [ ] Staff can describe the trigger, current source, next action, verification, and exception path.
- [ ] Observed work matches the policy without relying on an unwritten workaround.
- [ ] New or covering staff can perform the process using available tools.
- [ ] Managers are not manually compensating for a missing control.

Gap and correction

- [ ] Classify the gap: policy language, source, handoff, workflow, training, verification, exception, ownership, documentation, or technology.
- [ ] Correct the process before rewriting the policy when the policy is already clear.
- [ ] Update the policy when the required process or named tools are outdated.
- [ ] Define owner, implementation evidence, monitoring sample, and effectiveness decision.

Working notes

Use a secure facility or family working copy when recording any resident-specific details. Keep the public blank tool free of identifying information.

Policy / version	______________________________
Required outcome	______________________________
Policy says	______________________________
Record shows	______________________________
Staff describe	______________________________
Observed practice	______________________________
Gap type	______________________________
Control change and verification	______________________________

Action and verification log

Action / control	Owner	Due	Evidence / result

Scope disclaimer

This tool is a general process-control aid. It does not replace emergency care, treating-clinician judgment, legal advice, or facility-specific regulatory review. It does not establish a treating relationship or guarantee compliance or outcomes. Use authorized secure methods for resident-identifying information and records.

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