

SEVENTH EDITION



THE COMPLIANCE
GUIDE TO THE
JOINT COMMISSION'S
STANDARDS

Information Management and Record of Care, Treatment, and Services

JEAN S. CLARK, RHIA, CSHA

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About the Author

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She has served on The Joint Commission (formerly JCAHO) Standards Review Task Force and the expert panel for the Information Management chapter, which resulted in sweeping changes for the accreditation process beginning in January 2004. A past president of the American Health Information Management Association (AHIMA), she received AHIMA's Distinguished Member Award and Volunteer Award.

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Introduction



CHAPTER 1

The Joint Commission (formerly known as the Joint Commission on Accreditation of Healthcare Organizations, or JCAHO) recognizes what health information management (HIM) professionals have always known: that the information a healthcare organization collects and uses is invaluable to its success.

By bringing together the many standards governing information management—such as planning for the management of information; protecting the privacy of health information; capturing, storing, and retrieving data; using knowledge-based information; monitoring data and HIM processes; and obtaining patient-specific information—The Joint Commission has forged an alliance of these departments in healthcare organizations. This alliance, based on the need for communication between the many areas of a healthcare organization, is vital to meeting the Information Management (IM) standards and the newly created 2009 chapter on Record of Care, Treatment and Services (RC).

Effective information management plays a critical role in an organization's response to the information delivery system's transformation. An organization cannot function without it—the care and safety of every patient and the work of all staff members depend on it. Therefore, the IM and RC standards will require that everyone who manages and uses information and provides care to patients works together.

What the IM and RC Standards Mean for Your Organization

Your institution deals with enormous volumes of data. It uses, devours, and generates data, often turning it into useful information. Like it or not, this information is an integral part of your institution's delivery of care.

Chapter 1

The Joint Commission has long been concerned with the quality and accessibility of patient information in the medical record. The Standards Improvement Initiative even went so far as to separate the standards and elements of performance (EP) that relate to documentation in the medical record into a new chapter, Record of Care, Treatment, and Services, for the 2009 accreditation manual. And as a reminder, the ways in which organizations aggregate, analyze, and use information to improve the quality and safety of patient care are primary focuses of Joint Commission surveys.

The IM and RC chapters of The Joint Commission's *Comprehensive Accreditation Manual for Hospitals (CAMH)* emphasize effective, organizationwide information management. This emphasis creates challenges for many individuals, including the following:

- Health information managers are likely facilitators for an ongoing records review process that addresses the analysis and use of aggregate patient information (RC).
- Information systems managers may be called upon to provide information about the security of the information system (IM).
- Organization leaders must determine how to use information based on the mission of the institution and the needs of internal and external users (IM).
- The medical librarian will be called upon to establish processes and systems to provide knowledge-based information 24 hours a day (IM).
- Because the medical record continues to be the road map during the patient tracer methodology, caregivers have an additional reason to provide timely, accurate, and complete documentation in all medical records (RC).

Beyond Compliance

This book outlines the IM and RC chapters' standards, EP requirements, scoring guidelines, and examples of compliance. It provides an overview of the accreditation process to help organizations maintain continuous survey readiness. It also contains case studies that provide examples of HIM success stories. If you follow the advice and examples presented here, surveyors should observe that your organization is complying with the letter and the spirit of the IM and RC standards.

How to Use This Book

Information Management and Record of Care: The Compliance Guide to The Joint Commission Standards, Seventh Edition, will help you plan your organization's information management agenda with the material you'll find in the following chapters.

Chapter 2 provides a summary of The Joint Commission's Standards Improvement Initiative, which resulted in enhancements to the 2009 accreditation manual. This chapter will also give you insight into the accreditation process and will explain the tracer methodology, along with case studies illustrating the use of the tracer patient.

Chapter 3 provides an overview of The Joint Commission 2009 IM and RC standards. If you have not already done so, secure a copy of the current *CAMH* and read the IM and RC chapters. Become familiar with the standards, EPs, and scoring guidelines so that it will be easier to follow the ideas, projects, and activities described in this book. Also read the *CAMH's* overviews of the IM and RC chapters to see why The Joint Commission views information management and medical record documentation as integral to accreditation.

Chapter 4 describes in detail the IM standards, EPs, and scoring, and it provides practical tips and tools for compliance. The chapter covers IM.01.01.01 and IM.01.01.03—planning; IM.02.01.01 and IM.02.01.03—protecting the privacy of health information; IM.02.02.01 and IM.02.01.03—capturing, storing, and retrieving data; IM.03.01.01—knowledge-based information; and IM.04.01.01—monitoring data and HIM processes.

Chapter 5 covers the new chapter devoted to documentation in the medical record, which is divided into two sections:

1. *Plan*, which includes RC.01.01.01—components of the clinical record, RC.01.02.01—authentication, RC.01.03.01—timeliness, RC.01.04.01—audit, and RC.01.05.01—retention.
2. *Implement*, which includes RC.02.01.01, RC.02.01.03, RC.02.01.05, and RC.02.01.07—care, treatment, and services; RC.02.03.07—verbal orders; and RC.02.04.01—discharge information.

Chapter 6 describes ongoing records review and delinquent medical record requirements.

Chapter 1

Chapter 7 provides information on continuous survey readiness.

Chapter 8 introduces The Joint Commission's Strategic Surveillance System. This is a new benefit for accredited hospitals to use to improve care processes.

Chapter 9 provides case studies that will help you with your ongoing records review.

The Appendices contains sample tools and reports, a medical records documentation guide, and a glossary of healthcare terms and other useful references.

Sample forms and checklists included in the book are also provided on the accompanying CD-ROM.

How to Install the CD-ROM

This product was designed for the Windows operating system and includes Word files that will run in Windows 95/98 or later. The CD will work on all PCs and most Macintosh systems. To run the CD-ROM, take the following steps:

1. Insert the CD into your CD-ROM drive.
2. Double-click on the "My Computer" icon. Next, double-click on the CD-drive icon.
3. Double-click on the files you wish to open.
4. Adapt the files by moving the cursor over the areas you wish to change, highlighting them, and typing in the new information.
5. To save a file to your facility's system, click on "File" and then click on "Save As." Select the location where you wish to save the file, and then click on "Save."
6. To print a document, click on "File" and then click on "Print."

How This Book Will Help You

The goal of this book is to provide insightful information and practical advice that will help you understand and comply with The Joint Commission's IM and RC standards and other important medical record documentation requirements. It should be noted that the book's focus is on the standards specific to hospitals; however, the ideas found in this book can be safely applied to other types of organizations as well. It is my sincere hope that you find this book helpful in your mission to achieve continuous survey readiness.

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