

# History Tracking Report: 2010 to 2009 Requirements

## Accreditation Program: Behavioral Health Care

### 2010 Chapter: Information Management

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#### **Standard IM.01.01.01**

##### **2010 Standard Text:**

The organization plans for managing information.

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**2010 Standard:** IM.01.01.01

**2010 EP:** 1

##### **2010 EP Text:**

The organization identifies the internal and external information needed to provide safe, quality care.

#### **Standard IM.1.10**

##### **2009 Standard Text:**

The {jc}organization{/2} plans and designs information management processes to meet internal and external information needs.

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**2009 Standard:** IM.1.10

**2009 EP:** 1

##### **2009 EP Text:**

The {jc}organization{/2} bases its information management processes on an assessment of internal and external information needs. The assessment identifies the flow of information throughout {jc}an organization{/5}, including information storage and feedback mechanisms. The assessment identifies the data and information needed: within and among services, or programs; within and among the staff, the administration, and the governance for supporting relationships with outside services and contractors; with licensing, accrediting, and regulatory bodies; with purchasers, payers, and employers; for supporting informational needs between the {jc}organization{/2} and the {jc}patients{/6}; and for participating in research and databases.

**Revision Code:** Split

**2010 Standard:** IM.01.01.01**2010 EP:** 2**2010 EP Text:**

The organization identifies how data and information enter, flow within, and leave the organization.

Note: The flow of data and information within the organization includes how it moves into and out of storage.

**2009 Standard:** IM.1.10**2009 EP:** 1**2009 EP Text:****Revision Code:** Split

The {jc}organization{/2} bases its information management processes on an assessment of internal and external information needs. The assessment identifies the flow of information throughout {jc}an organization{/5}, including information storage and feedback mechanisms. The assessment identifies the data and information needed: within and among services, or programs; within and among the staff, the administration, and the governance for supporting relationships with outside services and contractors; with licensing, accrediting, and regulatory bodies; with purchasers, payers, and employers; for supporting informational needs between the {jc}organization{/2} and the {jc}patients{/6}; and for participating in research and databases.

**2010 Standard:** IM.01.01.01**2010 EP:** 3**2010 EP Text:**

The organization uses the information identified to guide development of processes to manage information.

**2009 Standard:** IM.1.10**2009 EP:** 2**2009 EP Text:****Revision Code:** Retain

To guide development of processes for managing information used internally and externally, the {jc}organization{/2} assesses its information management needs based on the following: Its missionIts goalsIts servicesStaff{jc}Patient{/1} safety considerationsQuality of care, treatment, and services Mode(s) of service deliveryResourcesAccess to affordable technologyIdentification of barriers to effective communication among caregivers

**2010 Standard:** IM.01.01.01**2010 EP:** 4**2010 EP Text:**

The organization selects staff to participate in the assessment, selection, integration, and use of information management systems for the delivery of care, treatment, or services.

**2009 Standard:** IM.1.10**2009 EP:** 4**2009 EP Text:****Revision Code:** Retain

Identified staff participates in assessment, selection, integration, and use of information management systems for clinical/service and {jc}organization{/2} information.

**Standard IM.01.01.03**

**2010 Standard Text:**

The organization plans for continuity of its information management processes.

**2010 Standard:** IM.01.01.03

**2010 EP:** 1

**2010 EP Text:**

The organization has a written plan for managing interruptions to its information processes (paper-based, electronic, or a mix of paper-based and electronic). (See also EM.01.01.01, EP 6)

**2010 Standard:** IM.01.01.03

**2010 EP:** 2

**2010 EP Text:**

The plan for managing interruptions to electronic information systems addresses the following: Scheduled and unscheduled interruptions. (See also IM.03.01.01, EP 1; EM.01.01.01, EP 6)

**2010 Standard:** IM.01.01.03

**2010 EP:** 3

**2010 EP Text:**

The plan for managing interruptions to electronic information systems addresses the following: Training for staff on alternative procedures to follow when systems are unavailable. (See also EM.01.01.01, EP 6)

**Standard IM.2.30**

**2009 Standard Text:**

Continuity of information is maintained.

**2009 Standard:** IM.2.30

**2009 EP:** 1

**2009 EP Text:**

The {jc}organization{/2} has a business continuity/disaster recovery plan for its information systems.

**Revision Code:** Retain

**2009 Standard:** IM.2.30

**2009 EP:** 2

**2009 EP Text:**

For electronic systems, the business continuity/disaster recovery plan includes the following: Plans for scheduled and unscheduled interruptions, which includes end-user training with the downtime proceduresContingency plans for operational interruptions (hardware, software, or other systems failure)Plans for minimal interruptions as a result of scheduled downtimeAn emergency service plan A back-up system (electronic or manual) Data retrieval, including retrieval from storage and information presently in the operating system, retrieval of data in the event of system interruption, and back up of data

**Revision Code:** Split

**2009 Standard:** IM.2.30

**2009 EP:** 2

**2009 EP Text:**

For electronic systems, the business continuity/disaster recovery plan includes the following: Plans for scheduled and unscheduled interruptions, which includes end-user training with the downtime proceduresContingency plans for operational interruptions (hardware, software, or other systems failure)Plans for minimal interruptions as a result of scheduled downtimeAn emergency service plan A back-up system (electronic or manual) Data retrieval, including retrieval from storage and information presently in the operating system, retrieval of data in the event of system interruption, and back up of data

**Revision Code:** Split

**2010 Standard:** IM.01.01.03                      **2010 EP:** 4  
**2010 EP Text:**  
 The plan for managing interruptions to electronic information systems addresses the following: Backup of the electronic information systems. (See also EM.01.01.01, EP 6)

**2009 Standard:** IM.2.30                      **2009 EP:** 2  
**2009 EP Text:**                      **Revision Code:** Split  
 For electronic systems, the business continuity/disaster recovery plan includes the following: Plans for scheduled and unscheduled interruptions, which includes end-user training with the downtime proceduresContingency plans for operational interruptions (hardware, software, or other systems failure)Plans for minimal interruptions as a result of scheduled downtimeAn emergency service plan A back-up system (electronic or manual) Data retrieval, including retrieval from storage and information presently in the operating system, retrieval of data in the event of system interruption, and back up of data

**2010 Standard:** IM.01.01.03                      **2010 EP:** 5  
**2010 EP Text:**  
 The organization's plan for managing interruptions to electronic information systems is tested for effectiveness according to time frames defined by the organization.

**2009 Standard:** IM.2.30                      **2009 EP:** 3  
**2009 EP Text:**                      **Revision Code:** Retain  
 The plan is tested periodically as defined by the {jc}organization{/2} (or in accordance with law or regulation) to ensure that the business interruption back-up techniques are effective.

**2010 Standard:** IM.01.01.03                      **2010 EP:** 6  
**2010 EP Text:**  
 The organization implements its plan for managing interruptions to information processes to maintain access to information needed for the care, treatment, or services of the individuals served. (See also IM.03.01.01, EP 1)

**2009 Standard:** IM.2.30                      **2009 EP:** 4  
**2009 EP Text:**                      **Revision Code:** Retain  
 The business continuity/disaster recovery plan is implemented when information systems are interrupted.

**Standard IM.02.01.01****2010 Standard Text:**

The organization protects the privacy of health information.

**2010 Standard:** IM.02.01.01

**2010 EP:** 1

**2010 EP Text:**

The organization has a written policy addressing the privacy of health information. (See also RI.01.01.01, EP 7)

**2010 Standard:** IM.02.01.01

**2010 EP:** 2

**2010 EP Text:**

The organization implements its policy on the privacy of health information. (See also RI.01.01.01, EP 7)

**2010 Standard:** IM.02.01.01

**2010 EP:** 3

**2010 EP Text:**

The organization uses health information only for purposes permitted by law and regulation or as further limited by its policy on privacy. (See also MM.01.01.01, EP 1; RI.01.01.01, EP 7)

**2010 Standard:** IM.02.01.01

**2010 EP:** 4

**2010 EP Text:**

The organization discloses health information only as authorized by the individual served or as otherwise consistent with law and regulation. (See also RI.01.01.01, EP 7)

**Standard IM.2.10****2009 Standard Text:**

Information privacy and confidentiality are maintained.

**2009 Standard:** IM.2.10

**2009 EP:** 1

**2009 EP Text:**

**Revision Code:** Retain

The {jc}organization{/2} has a written policy(ies) for addressing the privacy\* and confidentiality\*\* of information, that is based on and consistent with law or regulation.\*Privacy An individual's right to limit the disclosure of personal information.\*\*Confidentiality The safekeeping of data/information so as to restrict access to individuals who have need, reason, and permission for such access.

**2009 Standard:** IM.2.10

**2009 EP:** 3

**2009 EP Text:**

**Revision Code:** Retain

The {jc}organization{/2} implements the policy.

**2009 Standard:** IM.2.10

**2009 EP:** 8

**2009 EP Text:**

**Revision Code:** Split

Protected clinical/service information\* is used for the purposes identified or as required by law or regulation and not further disclosed without client authorization.\*Protected clinical/service information Clinical/service information that contains information such that an individual person can be identified as the subject of that information.

**2009 Standard:** IM.2.10

**2009 EP:** 8

**2009 EP Text:**

**Revision Code:** Split

Protected clinical/service information\* is used for the purposes identified or as required by law or regulation and not further disclosed without client authorization.\*Protected clinical/service information Clinical/service information that contains information such that an individual person can be identified as the subject of that information.

**2010 Standard:** IM.02.01.01**2010 EP:** 5**2009 Standard:** IM.2.10**2009 EP:** 4**2010 EP Text:**

The organization monitors compliance with its policy on the privacy of health information. (See also RI.01.01.01, EP 7)

**2009 EP Text:**

The {c}organization{/2} monitors compliance with the policy.

**Revision Code:** Retain

**Standard IM.02.01.03**

**2010 Standard Text:**

The organization maintains the security and integrity of health information.

**2010 Standard:** IM.02.01.03

**2010 EP:** 1

**2010 EP Text:**

The organization has a written policy that addresses the security of health information, including access, use, and disclosure.

**2010 Standard:** IM.02.01.03

**2010 EP:** 2

**2010 EP Text:**

The organization has a written policy addressing the integrity of health information against loss, damage, unauthorized alteration, unintentional change, and accidental destruction.

**2010 Standard:** IM.02.01.03

**2010 EP:** 3

**2010 EP Text:**

The organization has a written policy addressing the intentional destruction of health information.

**2010 Standard:** IM.02.01.03

**2010 EP:** 4

**2010 EP Text:**

The organization has a written policy that defines when and by whom the removal of health information is permitted.  
 Note: Removal refers to those actions that place health information outside the organization's control.

**Standard IM.2.20**

**2009 Standard Text:**

Information security, including data integrity, is maintained.

**2009 Standard:** IM.2.20

**2009 EP:** 1

**2009 EP Text:**

**Revision Code:** Split

The {jc}organization{/2} has a written policy(ies) for addressing information security, including data integrity\* that is based on and consistent with law or regulation. \*Integrity In the context of data security, data integrity means the protection of data from accidental or unauthorized intentional change.

**2009 Standard:** IM.2.20

**2009 EP:** 1

**2009 EP Text:**

**Revision Code:** Split

The {jc}organization{/2} has a written policy(ies) for addressing information security, including data integrity\* that is based on and consistent with law or regulation. \*Integrity In the context of data security, data integrity means the protection of data from accidental or unauthorized intentional change.

**2009 Standard:** IM.2.20

**2009 EP:** 7

**2009 EP Text:**

**Revision Code:** Split

Controls to safeguard data and information include the following:Policies indicating when the removal of records from the control of the organization is permitted Protection against unauthorized intrusion, corruption, or damageMinimization of the risk of falsification of data and informationGuidelines for preventing the loss and destruction of recordsGuidelines for destroying copies of recordsProtection of records in a manner that minimizes the possibility of damage from fire and water

**2009 Standard:** IM.2.20

**2009 EP:** 7

**2009 EP Text:**

**Revision Code:** Split

Controls to safeguard data and information include the following:Policies indicating when the removal of records from the control of the organization is permitted Protection against unauthorized intrusion, corruption, or damageMinimization of the risk of falsification of data and informationGuidelines for preventing the loss and destruction of recordsGuidelines for destroying copies of recordsProtection of records in a manner that minimizes the possibility of damage from fire and water

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**2010 Standard:** IM.02.01.03                      **2010 EP:** 5  
**2010 EP Text:**  
 The organization protects against unauthorized access, use, and disclosure of health information.

**2009 Standard:** IM.2.20                      **2009 EP:** 3  
**2009 EP Text:**                      **Revision Code:** Retain  
 The {jc}organization{/2} implements the policy.

**2010 Standard:** IM.02.01.03                      **2010 EP:** 6  
**2010 EP Text:**  
 The organization protects health information against loss, damage, unauthorized alteration, unintentional change, and accidental destruction.

**2009 Standard:** IM.2.20                      **2009 EP:** 6  
**2009 EP Text:**                      **Revision Code:** Retain  
 The {jc}organization{/2} develops and implements controls to safeguard data and information, including the clinical/case record, against loss, destruction, and tampering.

**2010 Standard:** IM.02.01.03                      **2010 EP:** 7  
**2010 EP Text:**  
 The organization controls the intentional destruction of health information.

**2009 Standard:** IM.2.20                      **2009 EP:** 7  
**2009 EP Text:**                      **Revision Code:** Split  
 Controls to safeguard data and information include the following: Policies indicating when the removal of records from the control of the organization is permitted Protection against unauthorized intrusion, corruption, or damage Minimization of the risk of falsification of data and information Guidelines for preventing the loss and destruction of records Guidelines for destroying copies of records Protection of records in a manner that minimizes the possibility of damage from fire and water

**2010 Standard:** IM.02.01.03                      **2010 EP:** 8  
**2010 EP Text:**  
 The organization monitors compliance with its policies on the security and integrity of health information.

**2009 Standard:** IM.2.20                      **2009 EP:** 4  
**2009 EP Text:**                      **Revision Code:** Retain  
 The {jc}organization{/2} monitors compliance with the policy.

**Standard IM.02.02.01****2010 Standard Text:**

The organization effectively manages the collection of health information.

**2010 Standard:** IM.02.02.01

**2010 EP:** 1

**2010 EP Text:**

The organization uses uniform data sets to standardize data collection throughout the organization.

**Standard IM.3.10****2009 Standard Text:**

The {jc}organization{/2} has processes in place to effectively manage information, including the capturing, reporting, processing, storing, retrieving, disseminating, and displaying of clinical/service and non-clinical data and information.

**2009 Standard:** IM.3.10

**2009 EP:** 3

**2009 EP Text:**

Minimum data sets, terminology, definitions, classifications, vocabulary, and nomenclature, including abbreviations, acronyms, symbols, and dose designations are standardized throughout the {jc}organization{/2}.

**Revision Code:** Split

**Standard IM.02.02.03**

**2010 Standard Text:**

The organization retrieves, disseminates, and transmits health information in useful formats.

**2010 Standard:** IM.02.02.03

**2010 EP:** 2

**2010 EP Text:**

The organization's storage and retrieval systems make health information accessible when needed for care, treatment, or services of the individual served.

**2010 Standard:** IM.02.02.03

**2010 EP:** 3

**2010 EP Text:**

The organization disseminates data and information in useful formats within time frames that are defined by the organization and consistent with law and regulation.

**2010 Standard:** IM.02.02.03

**2010 EP:** 12

**2010 EP Text:**

The organization retains data and information for time frames consistent with law and regulation.

**Standard IM.3.10**

**2009 Standard Text:**

The {jc}organization{/2} has processes in place to effectively manage information, including the capturing, reporting, processing, storing, retrieving, disseminating, and displaying of clinical/service and non-clinical data and information.

**2009 Standard:** IM.3.10

**2009 EP:** 5

**2009 EP Text:**

**Revision Code:** Retain

Storage and retrieval systems are designed to support {jc}organization{/2} needs for clinical/service and {jc}organization{/2}-specific information. Storage and retrieval systems are designed to balance the ability to retrieve data and information with the intended use for the data and information. Storage and retrieval systems are designed to balance security and confidentiality issues with accessibility. Systems for paper and electronic records are designed to reduce disruption or inaccessibility during such times as diminished staffing and scheduled and unscheduled downtimes of electronic information systems.

**2009 Standard:** IM.3.10

**2009 EP:** 9

**2009 EP Text:**

**Revision Code:** Retain

Dissemination of data and information is timely\* and accurate.\*Timely Defined by organization policy and based on the intended use of the information.

**2009 Standard:** IM.3.10

**2009 EP:** 6

**2009 EP Text:**

**Revision Code:** Retain

Data and information are retained for sufficient time to comply with law or regulation.

**Standard IM.03.01.01****2010 Standard Text:**

Knowledge-based information resources are available, current, and authoritative.

**2010 Standard:** IM.03.01.01

**2010 EP:** 1

**2010 EP Text:**

The organization provides access to knowledge-based information resources. (See also IM.01.01.03, EPs 2 and 6)

**2010 Standard:** IM.03.01.01

**2010 EP:** 1

**2010 EP Text:**

The organization provides access to knowledge-based information resources. (See also IM.01.01.03, EPs 2 and 6)

**Standard IM.5.10****2009 Standard Text:**

Knowledge-based information resources are readily available, current, and authoritative.

**2009 Standard:** IM.5.10

**2009 EP:** 2

**2009 EP Text:**

The {jc}organization{/2} provides access to knowledge-based information resources\* needed by staff in any of the following forms: print, electronic, Internet, or audio. \*Examples of knowledge-based information resources include current texts; periodicals; indexes; abstracts; reports; documents; databases; directories; discussion lists; successful practices; equipment and maintenance user manuals; standards; protocols; practice guidelines; clinical trials and other resources.

**Revision Code:** Consolidate

**2009 Standard:** IM.5.10

**2009 EP:** 3

**2009 EP Text:**

Knowledge-based information resources are available to clinical/service staff, through electronic means, after-hours access to an in-house collection, or other methods.

**Revision Code:** Consolidate

**Standard IM.04.01.01****2010 Standard Text:**

The organization maintains accurate health information.

**2010 Standard:** IM.04.01.01

**2010 EP:** 1

**2010 EP Text:**

The organization has processes to check the accuracy of health information.  
Note: The organization has the flexibility to determine what health information needs to be checked for accuracy and the frequency with which it will be checked.

**Standard IM.3.10****2009 Standard Text:**

The {jc}organization{/2} has processes in place to effectively manage information, including the capturing, reporting, processing, storing, retrieving, disseminating, and displaying of clinical/service and non-clinical data and information.

**2009 Standard:** IM.3.10

**2009 EP:** 4

**2009 EP Text:**

**Revision Code:** Retain

Quality control systems are used to monitor data content and collection activities. The method used provides for timely and economical data collection with the degree of accuracy, completeness, and discrimination necessary for their intended use. The method used minimizes bias in the data and regularly assesses the data's reliability, validity, and accuracy. Those responsible for collecting and reviewing the data are accountable for information accuracy and completeness.