

Site Visit Assessment Tool for Managed Care Plans

Introduction and Overview

The North Carolina Association for Health Plans (NCAHP) Medical Director's Committee is pleased to introduce **The Site Visit Assessment Tool for Managed Care Organizations**. It is the result of a significant collaborative effort between managed care entities and organizations representing physicians in North Carolina. This tool introduces a standardized format for the evaluation of practitioner's offices. The ultimate goal of this tool is to reduce the administrative burden to physician/provider offices and managed care organizations.

The motivation to develop this tool grew out of the realization that managed care organizations and providers have a common interest in standardizing certain administrative processes that accreditation agencies require. Physicians/Providers who practice good risk management can use this tool in their quality improvement programs to perform an assessment of their facility. By developing a common standard tool, practitioners, office managers and managed care organizations will be looking for corresponding quality indicators.

Development of the Tool

The tool was developed by the North Carolina Alliance for Healthy Communities (NCAHC) by consolidating managed care data collection tools as well as requirements of the National Committee for Quality Assurance (NCQA) and the Joint Commission for Accreditation of Health Care Organizations (JCAHO). The Medical Director's ad hoc committee which included representatives from organization of physicians, office managers and representation of health plan medical directors guided the development.

Important Principles

- The tool does not represent nor does it guarantee that the facility meets the standards of the individual health plan. There may be individual agreements between the provider and the MCO that requires additional information.
- The tool does not guarantee a passing score; however, if all elements are met the office practice has established a good foundation.
- The tool excludes specialized product requirements i.e. Medicaid and Medicare. Some unique product line requirements may not be covered in this document.

While it is expected that this tool will evolve over time, it has both near term and long term potential to decrease the administrative burden for both physicians/providers, and health plans, and to improve quality.

Thank you for being a part of this endeavor to work collaboratively to improve the communication and cooperation between managed care organizations and health care practitioners.

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Site Visit Assessment Tool For Managed Care Plans

MANAGED CARE ORGANIZATION (MCO) SITE VISIT ASSESSMENT TOOL					
Date of Review:		Managed Care Organization (MCO):			
Accreditation (s) Held:					
DEMOGRAPHICS					
Name of Practice/Clinic:		Phone Number			
Street Address:		FAX Number:			
Mailing Address:		Office Contact:			
City:	State:	ZIP:	County:		
E-mail Address:	Web Site:	Medical/Geographic Service Area:			
Physician Hours:	Office Hours:	Site:	Type of Review:		
STAFFING					
Total number of full time Physician/Providers at this Site: _____	Total number of Physicians/Providers at this Site: _____	Total number of part time Physician/Providers: _____	Total number of Medical Staff: _____	Total number of Administrative Staff: _____	
List all physicians at this site or attach a list of providers with the specific requested information listed below.					
Physician Mid-Level Practitioner	Specialty	Tax ID	UPIN	Other	Taking New Patients?

The MCO is encouraged to populate this page with as much information as possible prior to the review.

ACCESSIBILITY OF SERVICES													
Site: _____	Primary Care Specialist	<input type="checkbox"/>	Preventive Care	<input type="checkbox"/>	Urgent Care	<input type="checkbox"/>	Routine Care	<input type="checkbox"/>	After hours Care	<input type="checkbox"/>	Emergency Care	<input type="checkbox"/>	Comments
Appointment Waiting Time:													
Time in the Waiting Room:													
Response Time Returning Calls after hours:													
Site: _____	Primary Care Specialist	<input type="checkbox"/>	Preventive Care	<input type="checkbox"/>	Urgent Care	<input type="checkbox"/>	Routine Care	<input type="checkbox"/>	After hours Care	<input type="checkbox"/>	Emergency Care	<input type="checkbox"/>	Comments
Appointment Waiting Time:													
Time in the Waiting Room:													
Response Time Returning Calls after hours:													
Site: _____	Primary Care Specialist	<input type="checkbox"/>	Preventive Care	<input type="checkbox"/>	Urgent Care	<input type="checkbox"/>	Routine Care	<input type="checkbox"/>	After hours Care	<input type="checkbox"/>	Emergency Care	<input type="checkbox"/>	Comments
Appointment Waiting Time:													
Time in the Waiting Room:													
Response Time Returning Calls after hours:													
Standard								Score	Guidelines for Scoring				
FACILITY ACCESS													
1. Facility is adequately marked – <i>Maximum Score: 3</i> <ul style="list-style-type: none"> • Building is identified with a prominently displayed sign. <input type="checkbox"/> • Entrance is easily identified. <input type="checkbox"/> • Practitioner’s name is on the building/directory. <input type="checkbox"/> 									A sign, plaque, or other indication of office location is in a highly visible spot. If physician’s office is in a building, the location of the office is on the building directory.				
Comments:													
2. Office hours are posted and easily identified – <i>Maximum Score: 1</i> <ul style="list-style-type: none"> • There is information available to all patients regarding access to services during and after office hours – may be in the form of sign, brochure, appointment card, etc. 									There is information regarding access to health care services <u>both during and after office hours</u> . This information is available to all patients. This may be in the form of a sign, appointment card, brochure, or a recording. After hours message must give the caller options other than the ER. If the information is in a brochure, determine the procedure used to ensure all patients receive the brochure				
Comments:													

Standard	Score	Guidelines for Scoring
FACILITY ACCESS (CONTINUED)		
3. Handicapped Accommodations – <i>Maximum Score: 4</i> <ul style="list-style-type: none"> • Handicapped building access is easily identified. <input type="checkbox"/> • An access ramp is available. <input type="checkbox"/> • Handicap access is available to restrooms and exam rooms. <input type="checkbox"/> • There are provisions for blind, hearing impaired and language barrier patients. <input type="checkbox"/> 		Handicapped access is easily identified and an access ramp is available. Restrooms are handicapped accessible. The handicapped restroom does not have to be in the office, but must be available within the building. Provisions for hearing impaired may be in the form of TTD/TTY, or a person who is available for interpretation of sign language. Staff can describe how they accommodate the handicapped. Provisions for the blind may be Braille signage, someone to assist the sight impaired, or building accessible for animal assistant.
Comments:		
4. Parking is available and designated – <i>Maximum Score: 2</i> <ul style="list-style-type: none"> • Parking may be in garage or surface parking. <input type="checkbox"/> • Handicap spaces are designated. <input type="checkbox"/> 		There should be at least one parking space near the door designated for handicapped parking for every 25 parking spaces. Parking may be in a garage or surface parking. This standard is in accordance with the Americans With Disabilities Act; however, the Act supercedes this standard.
Comments:		
OFFICE ENVIRONMENT		
1. General appearance of the facility provides an inviting, organized and professional environment – <i>Maximum Score: 1</i>		Floor/carpeting are in good repair and firmly in place.
Comments:		
2. Grounds are maintained and well kept. – <i>Maximum Score: 1</i>		Grass should be trimmed and clean of trash.
Comments:		
3. A smoke-free environment is promoted and provided for patients and family members – <i>Maximum Score: 1</i>		The physician’s office is smoke free.
Comments:		
4. There is adequate reception room seating – <i>Maximum Score: 1</i>		Waiting area is comfortable and seating is adequate. Note in the Comments Section if reception room is so small as to require patients to stand. <i>(Family may be required to stand.)</i>
Comments:		

Standard	Score	Guidelines for Scoring
OFFICE ENVIRONMENT (CONTINUED)		
5. Reception area, restrooms, hallways, and all patient care areas are clean and without safety hazards – <i>Maximum Score: 1</i>		The area is neat and clean. Area is cleaned regularly and is free of excess clutter. If toys are available, they are clean and in good repair.
Comments:		
6. The provider maintains a copy of a current valid license on file of all licensed personnel – <i>Maximum Score: 1</i>		
Comments:		
PROTECTING PATIENT CONFIDENTIALITY		
1. Patient records are stored and maintained to protect confidentiality – <i>Maximum Score: 1</i>		The patient files are maintained in an area that is monitored by office staff. Files are not freely accessible to anyone except appropriate office personnel.
Comments:		
2. Daily patient schedules are not visible to the public – <i>Maximum Score: 1</i>		The office has a procedure for protecting patient confidentiality when the patient signs in, when asking patient questions at front desk or when checking out.
Comments:		
3. A private area is available for confidential discussions with patients – <i>Maximum Score: 1</i>		The office has a room that offers privacy for discussions with patients and their family.
Comments:		
4. Patient privacy is ensured in exam rooms and restrooms – <i>Maximum Score: 1</i>		Rooms are private and protected so that other patients/public cannot hear conversations. Restrooms are private and secure.
Comments:		
5. There is a signed business agreement from all sub-contracted vendors – <i>Maximum Score: 1</i>		The office has obtained a signed confidentiality form from subcontractors (i.e., cleaning crew, building maintenance, off-site storage of files, etc.).
Comments:		
6. A process is in place to protect confidentiality when faxing patient information – <i>Maximum Score: 1</i>		Fax cover sheets must have a statement stating the information is confidential and who to contact if the fax has been misdirected. Fax machine must be maintained in a location that assures privacy.
Comments:		

Standard	Score	Guidelines for Scoring
HAZARDOUS MATERIALS HANDLING, MEDICAL WASTE DISPOSAL AND INFECTION CONTROL		
1. Non-reusable items must be disposed in containers that are clearly marked "Not Reusable" – <i>Maximum Score: 1</i>		The office should have containers clearly marked "Non-Reusable." Regulated or contaminated waste, such as sharps containers or laundry should be labeled with a fluorescent orange-red "Biohazard" label or disposed in a red container or bag.
Comments:		
2. Contaminated waste is labeled "Biohazard" or is deposited in a red container or bag – <i>Maximum Score: 1</i>		Contaminated waste is never mixed with common household waste material.
Comments:		
3. All sterilized items are labeled and dated – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Medical equipment must be properly sterilized, disinfected, and functional. Cleaning and spore testing must be performed and documented. Verify.
Comments:		
4. Personal protective equipment is readily available – – <i>Maximum Score: 1</i>		This could be in the form of disposable gloves, glasses, gowns and masks.
Comments:		
5. Clean and dirty equipment is kept in separate areas – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		To prevent contamination, clean and dirty equipment should be kept in a separate areas.
Comments:		
6. All medical supplies are "in date" – <i>Maximum Score: 1</i>		All supplies must be "in date" i.e., sterile sponges, bandages, etc. Note in Comment Section if any medical supplies have expired dates.
Comments:		
7. Cold disinfectant containers are labeled with solution name and dated – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		The date can be the change date or other date that can be monitored. Solutions utilized must kill HIV/HBV/TB.
Comments:		
8. Sharps containers or needle disposal system is available so as not to create a safety hazard – <i>Maximum Score: 1</i>		Used needles and syringes should be stored in a puncture-proof container that is clearly marked.
Comments:		
9. The office must have a plan for disposal of biohazard materials – <i>Maximum Score: 1</i>		Provide the name of the biohazard disposal company.
Comments:		

Standard	Score	Guidelines for Scoring
EXAMINATION ROOMS		
1. Condition of examination rooms – <i>Maximum Score: 4</i> • Examination rooms are free of excess clutter so as not to create a hazard to patients. <input type="checkbox"/> • Exam rooms are cleaned after each patient. <input type="checkbox"/> • Linen hampers are not overfilled and are covered. <input type="checkbox"/> • Electrical outlets are grounded. <input type="checkbox"/>		The examination rooms are neat and clean. These areas are cleaned regularly and are free of excess clutter. Medical supplies from prior patients have been removed. Exam tables have clean paper replaced between patients. Extension cords are not used for patient care equipment. Adapters for non-grounded outlets are not used for patient care equipment.
Comments:		
2. There is adequate space in patient treatment areas – – <i>Maximum Score: 1</i>		The patient treatment area is large enough to provide room for examination and treatment.
Comments:		
3. A sink with soap is available in or near exam room – – <i>Maximum Score: 1</i>		Preferably, soap dispensers or pump bottles are used to prevent cross-contamination.
Comments:		
EMERGENCY PREPAREDNESS		
1. Evacuation readiness – <i>Maximum Score: 3</i> • Exits are clearly marked and unobstructed. <input type="checkbox"/> • An evacuation diagram is posted. <input type="checkbox"/> • There is an emergency lighting source. <input type="checkbox"/>		Signs indicating office exits are posted in highly visible locations. There must be a patient evacuation plan as designated by the office staff or from building management. The staff can describe the plan. The local Fire Code supersedes this standard.
Comments:		
2. The building is equipped with smoke detectors. <input type="checkbox"/> Fire extinguishers have been checked and tagged within the last year. <input type="checkbox"/> – <i>Maximum Score: 2</i>		If the office does not have proof of a fire department inspection, then they must explain how the fire detection and/or suppression system (fire and/or smoke alarms/sprinkler systems, etc.) works.
Comments:		
3. Staff is trained in CPR/BLS – <i>Maximum Score: 1</i>		A staff member other than physician is trained in Basic Life Support.
Comments:		
4. Emergency medications and equipment are readily available – <i>Maximum Score: 1</i>		A common list includes oxygen, ambubag, airway, emergency drugs (e.g., Epinephrine, Lidocaine, Dextrose).
Comments:		

Standard	Score	Guidelines for Scoring
EMERGENCY PREPAREDNESS (CONTINUED)		
5. Emergency supplies and medications are periodically checked for expiration dates – <i>Maximum Score: 1</i>		A staff member is designated to check emergency supplies.
Comments:		
6. Emergency calls are routed to appropriate staff – – <i>Maximum Score: 1</i>		Office has a triage procedure to ensure calls are routed to the appropriate staff member.
Comments:		
MEDICATION MANAGEMENT AND HANDLING		
1. Drug samples and all pharmaceuticals are stored in a secure location – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Pharmaceuticals are stored outside direct patient care areas. Samples are not kept on counters or other open areas in exam rooms or patient access areas.
Comments:		
2. Drug samples/pharmaceuticals are checked for expiration dates – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		All drugs and medicines on the premises, including samples, do not have an expired expiration date. (A spot check of stock medications and samples must be made.)
Comments:		
3. Samples are dispensed in original packaging – – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		All samples have remained in original packaging in storage and upon dispensing.
Comments:		
4. Controlled substances are stored in a locked location <input type="checkbox"/> Controlled substance log is kept <input type="checkbox"/> N/A <input type="checkbox"/> – <i>Maximum Score: 2</i>		Facility should have controlled substances locked with limited access by staff. The physician's office keeps a five-year controlled substance log.
Comments:		
5. Prescription pads are kept in a secure location – – <i>Maximum Score: 1</i>		Prescription pads are kept with the physician or stored in a drawer or cabinet away from patient access.
Comments:		
6. The medication refrigerator is used strictly for medications – <i>Maximum Score: 1</i>		Medication refrigerator is not used for any purpose other than storage of medications. There should be a daily temperature graph or log to ensure refrigerator stays at the required temperature.
Comments:		

Standard	Score	Guidelines for Scoring
MEDICAL RECORD KEEPING PRACTICE		
1. The medical record is organized in a standard, consistent manner. – <i>Maximum Score: 1</i>		Information in the charts should be organized to allow easy access to office notes, lab, x-ray and consults, i.e., divided or tabbed by subject
Comments:		
2. There is an individual record for each patient. – <i>Maximum Score: 1</i>		There should be a medical record for each individual patient. "Family Charts" do not meet this standard.
Comments:		
3. Active medical records are stored in a way to be accessible for appointments and phone calls, but not accessible to patients and the public.– <i>Maximum Score: 1</i>		Medical records are not accessible to patients and others.
Comments:		
4. Records are maintained in active files for at least two years. – <i>Maximum Score: 1</i>		Medical records are kept available for two years for active patients.
Comments:		
5. Inactive records are maintained in an accessible location where access can be obtained within 24 hours. – <i>Maximum Score: 1</i>		The office has a process for obtaining medical records within 24 hours. This process assures the records remain confidential.
Comments:		
6. There is a method for recording referrals to other health care practitioners – <i>Maximum Score: 1</i>		Practitioner's office records referrals that were requested and those received either in the patient's chart or in a log.
Comments:		

ON-SITE LABORATORY SERVICES		
List laboratory accreditation(s) held: (JCAHO, COLA or CAP) N/A <input type="checkbox"/>		Date accredited: _____/_____/_____
FACILITY AND PERSONNEL		
CLIA Waiver or Certificate Number: Expiration Date: _____/_____/_____ Level:	CLIA/COLA certificate must be current and posted.	
The following questions MUST be answered by facilities that are CLIA WAIVED.		
Standard	Score	Guidelines for Scoring
1. Workstations are free of food/cosmetics – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Laboratory work spaces are used for lab work only.
Comments:		
2. Office personnel has been oriented and authorized to perform lab testing – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify training documentation/explanation related to what training is provided to lab staff.
Comments:		
3. There is a written laboratory Quality Assurance Program. – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify. This standard does not require the approval of the Program.
Comments:		
4. Specimens are prepared and stored out of the patient's reach – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments:		
5. All test kits have internal and external control logs? – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments:		
6. Controls are performed and lot numbers are logged for urine dipsticks? – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments:		

FACILITY AND PERSONNEL (CONTINUED)		
The following questions MUST be answered by facilities that <u>ARE</u> CLIA waived.		
Standard	Score	Guidelines for Scoring
7. Specimen refrigerator temperature log is maintained. – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments		
8. The medication refrigerator is used strictly for medications – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments		
9. Specimens are secured in containers/bag – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments		
10. A tracking mechanism is in place to monitor laboratory specimens and receipt of reports. – <i>Maximum Score: 1</i> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	1	Verify.
Comments		

ON-SITE RADIOLOGY SERVICES		
List the Radiology Accreditation(s) held: Date accredited: _____ / _____ / _____ N/A <input type="checkbox"/>		
FACILITY AND PERSONNEL		
The following questions MUST be answered by facilities that are NOT ACCREDITED by the American College of Radiology.		
Standard	Score	Guidelines for Scoring
1. List the types of x-rays performed in each location. – Maximum Score: 1		Attach additional sheet if needed.
Comments:		
2. If mammograms are performed the facility there must be an American College of Radiology mammography certification and/or state certification. – Maximum Score: 1 Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Verify.
Comments		
3. A current radiation compliance notice is posted or on file in the office. – Maximum Score: 1		Verify.
Comments		
SAFETY		
1. List training and supervision of person who performs radiology services in the office. Also note radiology credentials held by staff. – Maximum Score: 1 Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Verify. Attach additional sheet if needed.
Comments		
2. X-ray hazard and pregnancy warning signs are posted. – Maximum Score: 1 Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Verify.
Comments		
3. Patients and staff are provided with lead gloves and aprons as appropriate. – Maximum Score: 1 Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Verify.
Comments		
QUALITY ASSURANCE		
1. There is a written Radiology Quality Assurance Plan. – Maximum Score: 1 Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>		Verify.
Comments		

REQUIRED POLICY AND PROCEDURES	
	Comments
INFECTION CONTROL	
1. A written infection control policy/program must be maintained by the practice which includes: • Policy for cleaning, disinfecting and/or sterilizing reusable equipment. • A procedure for handling patients with potentially contagious illnesses; e.g., separate waiting room, separate entrance. • A procedure for periodic testing of the autoclave.	
OFFICE EQUIPMENT	
1. There is a policy for preventive maintenance of equipment.	
2. There is a quality control policy on equipment maintenance.	
CLINICAL COMPETENCY	
1. There is a policy that ensures that all licensed personnel have a current valid license.	
2. There is a written procedure for oversight of mid-level providers; i.e., physician assistant, nurse practitioner.	
CONFIDENTIALITY	
1. Employees must sign a written confidentiality statement.	
2. There is a policy to protect medical record confidentiality.	
3. There is a policy for the written release of medical records.	
PATIENT SAFETY	
1. There is a written policy and procedure in place to handle fire/safety issues.	
2. There is a policy regarding detection and reporting of suspected cases of neglect and abuse.	
3. Staff is knowledgeable of process for detection and reporting of suspected cases of abuse and neglect.	
4. There is a policy for handling medical emergencies.	
EDUCATION	
1. Patient education materials, including preventive health are made available.	

The Policies and Procedures listed are the minimum expected. The office may have other policies that direct the operations of the practice and are expected to be available to the MCO at the time of the on site assessment.

