



BCBSM Physician Group Incentive Program

Patient-Centered Medical Home and Patient-Centered Medical Home-Neighbor Domains of Function

Interpretive Guidelines

**V1.0
2013-2014**



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Blue Cross Blue Shield of Michigan Physician Group Incentive Program

Patient-Centered Medical Home And Patient-Centered Medical Home-Neighbor Domains of Function Interpretive Guidelines

Under Blue Cross Blue Shield of Michigan's (BCBSM) Physician Group Incentive Program (PGIP), Patient-Centered Medical Home (PCMH)-based infrastructure and care processes have been organized into 12 "Domains of Function" (listed in Table of Contents). Each PCMH Domain of Function has a set of required capabilities, collaboratively developed by BCBSM and PGIP Physician Organizations (POs), which are described in this document. To provide further information regarding the definition of each required capability, a BCBSM-PO team was assembled to review and finalize these PCMH Interpretive Guidelines.

Any capability reported to BCBSM as "in place" must be fully in place and *in use* by all appropriate members of the practice unit team on a routine and systematic basis, and, where applicable, patients must be able to use the capability. "Clinical Practice Unit teams" should be composed of "clinicians," defined as physicians, nurse practitioners, or physician assistants (unless otherwise specified in the guidelines).

Capabilities are not necessarily listed in sequential order (except for patient-provider partnership capabilities) and may be implemented in any sequence the PO and/or practice unit feels is most suitable to their practice transformation strategy.

Note: Domains 7 and 8 are not included in this document. Domain 7 was previously used to collect evidence-based care data, and Domain 8 is used to collect self-reported electronic prescribing data.

Note regarding expansion to address role of specialists and subspecialists: PCMH-Neighbor (PCMH-N) Interpretive Guidelines (June 2012):

BCBSM's PCMH program provides the foundation to build Organized Systems of Care (OSCs). These expanded PCMH-N Interpretive Guidelines support implementation of capabilities that will enable specialists and sub-specialists, including behavioral health providers, to partner with primary care physicians and other providers to create OSCs.

The goals of the PCMH-N model are to:

- Ensure effective communication, coordination and integration with PCMH practices, including appropriate flow of patient care information
- Provide appropriate and timely consultations and referrals that complement and advance the aims of the PCMH practices

- Clearly define roles and responsibilities of primary care physicians and specialists in caring for the patient

Under the PGIP program, specialists must be **members** of one, and only one, PGIP Physician Organization. A specialist practice will be identified as a Principal Partner of another PO (a PO which the specialist is not a member of) if all of the following criteria are met:

- the patients attributed to the non-member PO account for a substantial proportion of the patients a practice serves,
- the non-member PO represents a greater share of the members who received services from the practice than the member PO,
- the practice provided services to at least 50 patients from the non-member PO,
- the non-member PO represents at least 20% of the total BCBSM members who received services from the practice

POs and OSCs are encouraged to execute Primary Care-Specialist agreements with their member and principal partner specialists (a sample template of a high-level, one page agreement is available at the BCBSM website, but providers may also develop their own agreements). When POs nominate a specialist for an uplift, they must attest that there is a signed Primary Care-Specialist agreement with that specialist. (For information on the specialist nomination for uplift process and requirements regarding Primary Care-Specialist agreements, please check the BCBSM PGIP Collaboration site.)

Types of PCP/Specialist Clinical Interactions
Pre-consultation exchange - Expedite/prioritize care, clarify need for a referral, answer a clinical question and facilitate the diagnostic evaluation of the patient prior to specialty assessment
Formal consultation - Deal with a discrete question regarding a patient's diagnosis, diagnostic results, procedure, treatment or prognosis with the intention that the care of the patient will be transferred back to the PCMH/PCP after one or two visits.
Co-management <ul style="list-style-type: none"> • <i>Co-management with shared management for the disease</i> – specialist shares long-term management with the PCP for a patient's referred condition and provides advice, guidance and periodic follow-up for one specific condition.
<ul style="list-style-type: none"> • <i>Co-management with principal care for the disease</i> – (referral) the specialist assumes responsibility for long-term, comprehensive management of a patient's referred medical/surgical condition; PCP receives consultation reports and provides input on secondary referrals and quality of life/treatment decisions and continues to care for all other aspects of patient care and new or other unrelated health

problems and remains first contact for patient.
<ul style="list-style-type: none"> • <i>Co-management with principal care of the patient for a consuming illness for a limited period</i> – when, for a limited time due to the nature and impact of the disease, the specialist becomes first contact for care until the crisis or treatment has stabilized or completed. PCP remains active in bi-directional information and provides input on secondary referrals and other defined areas of care.
Transfer of patient to Specialist - Transfer of patient to specialist for the entirety of care.

Overview of Capabilities

		Total Capabilities Applicable for Adult Patients	Total Capabilities Applicable for Pediatric Patients	Total Capabilities
1.0	Patient-Provider Partnership	9	9	9
2.0	Patient Registry	17	17	19
3.0	Performance Reporting	13	13	15
4.0	Individual Care Management	21	21	21
5.0	Extended Access	9	9	9
6.0	Test Tracking	9	9	9
9.0	Preventive Services	9	9	9
10.0	Linkage to Community Services	8	8	8
11.0	Self-Management Support	8	8	8
12.0	Patient Web Portal	13	13	13
13.0	Coordination of Care	10	10	10
14.0	Specialist Referral Process	10	10	10
	TOTAL	136	136	140

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
1.0 Patient-provider partnership				
Capability 1.1	Communication tools developed		✓	Demonstration
Capability 1.2	Process underway	✓		Demonstration
Capability 1.4	Completed for 10% of patients		✓	Demonstration

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 1.4-1.8	Completed for 30-90% of patients		✓	Demonstration & current reports
Capability 1.9	Patients informed that health information may be shared with care partners		✓	Demonstration
2.0 Patient registry				
Capability 2.1	Pt registry for diabetes or condition relevant to specialty		✓	Demonstration & current reports
Capability 2.2	Info on health care services at other sites		✓	Demonstration & current reports
Capability 2.3	Evidence-based care guidelines		✓	Demonstration & current reports
Capability 2.4	Point of Care		✓	Demonstration & current reports
Capability 2.5	Attributed practitioner		✓	Demonstration & current reports
Capability 2.6	Gaps in care alerts to patients		✓	Demonstration & current reports
Capability 2.7	Gaps in care flags for all patients		✓	Demonstration & current reports
Capability 2.8	Patient demographics and clinical parameters		✓	Demonstration & current reports
Capability 2.9	Electronic		✓	Demonstration & current reports
Capability 2.10	Asthma		✓	Demonstration & current reports
Capability 2.11	CAD (adult pts)		✓	Demonstration & current reports
Capability 2.12	CHF (adult pts)		✓	Demonstration & current reports
Capability 2.13	2 other chronic conditions		✓	Demonstration & current reports
Capability 2.14	Preventive services		✓	Demonstration & current reports
Capability 2.15	Assigned patients		✓	Demonstration & current reports
Capability 2.16	CKD		✓	Demonstration & current reports
Capability 2.17	Pediatric obesity (peds pts)		✓	Demonstration & current reports
Capability 2.18	Pediatric ADHD (peds pts)		✓	Demonstration & current reports
Capability 2.19	Care manager identified		✓	Demonstration & current reports
3.0 Performance reporting				
Capability 3.1	Diabetes		✓	Demonstration & current reports

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 3.2	PO/sub-PO, practice unit, and individual provider level		✓	Demonstration & current reports
Capability 3.3	2 other chronic conditions		✓	Demonstration & current reports
Capability 3.4	Data validated		✓	Demonstration & current reports
Capability 3.5	Trend reports		✓	Demonstration & current reports
Capability 3.6	Pediatric obesity		✓	Demonstration & current reports
Capability 3.7	All current patients		✓	Demonstration & current reports
Capability 3.8	Reports on health care services at other sites		✓	Demonstration & current reports
Capability 3.9	Specialists		✓	Demonstration & current reports
Capability 3.10	Asthma		✓	Demonstration & current reports
Capability 3.11	CAD		✓	Demonstration & current reports
Capability 3.12	CHF		✓	Demonstration & current reports
Capability 3.13	Pediatric ADHD		✓	Demonstration & current reports
Capability 3.14	Reports include care manager activity		✓	Demonstration & current reports
Capability 3.15	Quality metrics reported to external entities		✓	Demonstration & current reports
4.0 Individual care management				
Capability 4.1	PCMH training		✓	Current documentation & training documents
Capability 4.2	Integrated team of multi-disciplinary providers		✓	Demonstration
Capability 4.3	Evidence-based care guidelines in use at point of care		✓	Demonstration and review of guidelines
Capability 4.4	Patient satisfaction/office efficiency measured		✓	Documentation of aggregated results
Capability 4.5	Action plan and self-management goal-setting		✓	Demonstration
Capability 4.6	Appointment tracking and reminders – one chronic condition		✓	Demonstration
Capability 4.7	Follow-up for needed services – one chronic condition		✓	Demonstration

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 4.8	Planned visits – one chronic condition		✓	Demonstration and documentation
Capability 4.9	Group visit		✓	
Capability 4.10	Medication review and management		✓	Demonstration
Capability 4.11	Action plan development and self-management goal-setting -- all chronic conditions or other complex health care needs		✓	Demonstration and documentation
Capability 4.12	Appointment tracking and reminders - all patients		✓	Demonstration
Capability 4.13	Follow-up for needed services – all patients		✓	Demonstration
Capability 4.14	Planned visits – all chronic conditions		✓	Demonstration and documentation
Capability 4.15	Group visit option -- all chronic conditions		✓	
Capability 4.16	Advance care planning		✓	Demonstration
Capability 4.17	Survivorship Plan		✓	Demonstration
Capability 4.18	Palliative Care		✓	Demonstration
Capability 4.19	Identify candidates for care management		✓	Documentation of process results
Capability 4.20	Inform patients about care management services		✓	
Capability 4.21	Conduct regular case reviews		✓	Example of developed care plan
5.0 Extended access				
Capability 5.1	24-hour access to a clinical decision-maker by phone with feedback loop within 24 hours		✓	Demonstration
Capability 5.2	Clinical decision-maker has access to EMR or registry info during phone call		✓	
Capability 5.3 & 5.5	Access to non-ED after-hours provider for urgent care needs during at least 8 after-hours per week, with feedback loop		✓	
Capability 5.4	All patients fully informed about after-hours care availability		✓	

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 5.5	Access to non-ED after-hours provider for urgent care needs during at least 12 after-hours per week, with feedback loop		✓	
Capability 5.6	After-hours provider has access to EMR or patient's registry record during the visit		✓	Demonstration
Capability 5.7	Advanced access scheduling for at least 30% of appointments (tiered access for specialists)	✓		Demonstration and Written policy
Capability 5.8	Advanced access scheduling for at least 50% of appointments	PCP only		Demonstration and Written policy
Capability 5.9	Practice unit has telephonic or other access to interpreters for all languages common to practice's established patients		✓	
6.0 Test results tracking & follow-up				
Capability 6.1	Process/procedure documented,		✓	Demonstration and Written process
Capability 6.2	Ensure patients receive needed tests and practices obtains results		✓	
Capability 6.3	Patient contact details are kept up to date		✓	
Capability 6.4	Mechanism for patients to obtain information about normal tests		✓	Demonstration
Capability 6.5	Systematic approach to inform patients about abnormal test results		✓	Demonstration
Capability 6.6	Patients with abnormal results receive recommended follow-up care		✓	
Capability 6.7	All test tracking steps documented		✓	Demonstration
Capability 6.8	All clinicians and appropriate office staff trained		✓	Demonstration Documentation of training
Capability 6.9	Computerized order entry integrated with automated test tracking system		✓	Demonstration

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
9.0 Preventive services				
Capability 9.1	Primary prevention program		✓	
Capability 9.2	Systematic approach to providing preventive services		✓	
Capability 9.3	Outreach regarding ongoing well care visits and screenings		✓	Demonstration
Capability 9.4	Process in place to inquire and incorporate information about patient's outside health encounters		✓	
Capability 9.5	Provision of tobacco use assessment tools and smoking cessation advice		✓	Demonstration
Capability 9.6	Written standing order protocols for preventive services without examination by a clinician		✓	Demonstration and standing order protocols
Capability 9.7	Secondary prevention program		✓	Demonstration
Capability 9.8	Staff training		✓	Demonstration
Capability 9.9	Planned visits for preventive services		✓	Planned visit template
10.0 Linkage to community services				
Capability 10.1	Comprehensive review		✓	Demonstration
Capability 10.2	PO maintains a community resource database		✓	Demonstration
Capability 10.3	Collaborative relationships with appropriate community-based agencies and organizations		✓	Demonstration
Capability 10.4	Staff training		✓	Demonstration
Capability 10.5	Systematic approach for educating all patients about community resources and assessing/discussing need for referral		✓	Demonstration
Capability 10.6	Systematic approach for referring patients to community resources		✓	Demonstration
Capability 10.7	Systematic approach for tracking referrals of high-risk patients		✓	Demonstration

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 10.8	Systematic approach for conducting follow-up with high-risk patients		✓	Demonstration
11.0 Self-management support				
Capability 11.1	Member of clinical care team or PO educated about and familiar with self-management support concepts and techniques		✓	Demonstration
Capability 11.2	Self-management support – initial chronic condition		✓	Demonstration
Capability 11.3	Follow-up to discuss action plans and goals and provide supportive reminders – initial chronic condition		✓	Demonstration
Capability 11.4	Regular patient experience/satisfaction surveys of patients engaged in self-management support		✓	Demonstration & aggregated survey results
Capability 11.5	Self-management support – all chronic conditions		✓	Demonstration
Capability 11.6	Follow-up to discuss action plans and goals and provide supportive reminders – all chronic conditions		✓	Demonstration
Capability 11.7	Self-management goal-setting - all patients		✓	Demonstration
Capability 11.8	One member of PO or practice unit is formally trained and regularly works with appropriate staff members		✓	Demonstration
12.0 Patient web portal				
Capability 12.1	Available vendor options have been evaluated		✓	Demonstration
Capability 12.2	Liability and safety issues assessed		✓	Demonstration
Capability 12.3	Electronic appointment scheduling		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.4	Patients can log results of self-administered tests		✓	Demonstration & documentation of usage logs (even if patients aren't using)

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 12.5	Automatic alerts for self-reported patient data that indicates a potential health issue		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.6	E-visits		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.7	Using patient portal to send automated care reminders, other info		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.8	Capability for patient to create personal health record		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.9	Ability for patients to review test results electronically		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.10	Ability for patients to request prescription renewals electronically		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.11	Ability for patients to graph and analyze results of self-administered tests		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.12	Ability for patients to view registries, electronic medical records online		✓	Demonstration & documentation of usage logs (even if patients aren't using)
Capability 12.13	Ability to schedule appointments electronically		✓	Demonstration & documentation of usage logs (even if patients aren't using)
13.0 Coordination of care				
Capability 13.1	Notified of each patient admit and discharge - initial chronic condition		✓	Demonstration
Capability 13.2	Process for exchanging medical records – initial chronic condition		✓	Demonstration
Capability 13.3	Systematically track care coordination – initial chronic condition		✓	Demonstration
Capability 13.4	Flags for time-sensitive health issue – initial chronic condition		✓	Demonstration

PCMH Domain		Separate PCP & Specialist Guidelines	Combined PCP & Specialist Guidelines	Site Visit Requirements
Capability 13.5	Written transition plans for patients leaving the practice - initial chronic condition		✓	Demonstration
Capability 13.6	Coordinate care with payer case manager		✓	Demonstration
Capability 13.7	Written procedures, team members trained		✓	Demonstration
Capability 13.8	Capabilities 13.1-13.7 extended to all chronic conditions		✓	Demonstration
Capability 13.9	Capabilities 13.1-13.7 extended to all patients		✓	Demonstration
Capability 13.10	Discharge follow-up		✓	Demonstration & documentation of tracking method
14.0 Specialist referral process				
Capability 14.1	Documented procedures for preferred/high-volume specialists	✓		Documented process
Capability 14.2	Documented procedures for other key providers	✓		Documented process
Capability 14.3	Directory maintained			Demonstration
Capability 14.4	Specialist referral materials	✓		Demonstration
Capability 14.5	Makes specialist appointments on behalf of patients	✓		
Capability 14.6	Electronically-based tools and processes	✓		Demonstration
Capability 14.7	Process to monitor and confirm referrals and follow-up took place	✓		Demonstration
Capability 14.8	Staff trained	✓		
Capability 14.9	Practice unit regularly evaluates patient satisfaction	✓		Documentation of aggregated survey results
Capability 14.10	Phys-to-phys pre-referral communication	✓		Demonstration and documented process

Note: Electronic prescribing is not a PCMH domain, but is included in the capability counts for PCMH Designation, and so is part of the site visit review process. Starting in 2013, e-prescribing opportunity reports, which are generated for each PO and show actual rate of e-prescribed claims at the provider level, will be reviewed during the site visit.

1.0 Patient-Provider Partnership

All capabilities and guidelines are applicable to PCPs for all current patients (regardless of insurance coverage). “Current” patients for PCPs are defined as patients who the practice unit considers to be active in the practice (e.g., practices may define “current” as seen within the past 12 months or 24 months)

For specialists, there are two ways to implement the patient-provider partnership capabilities: 1) specialist has patient-provider partnership discussion with “current” patients with whom the specialist has an ongoing treating relationship, which is defined as having primary responsibility or co-management responsibility with PCP for patients with an established chronic condition; 2) specialist has patient-provider partnership discussion with all patients at the onset of treatment.

1.1

Practice unit has developed PCMH-related patient communication tools, has trained staff, and is prepared to implement patient-provider partnership with each current patient, which may consist of a signed agreement or other documented patient communication process to establish patient-provider partnership

PCP and Specialist Guidelines:

- a. Patient communication process must include a conversation between the patient and a member of the clinical practice unit team. In extenuating circumstances, well-trained Medical Assistants who are highly engaged with patient care may be considered a member of the clinical practice unit team.
- b. The patient-provider partnership must only be established one time per patient.
- c. Documentation may consist of note in medical record, sticker placed on front of the chart, indicator in patient registry, patient log, or similar system that can be used to identify the percent of patients with whom the partnership has been discussed.
- d. Documents and patient education tools are developed that explain PCMH concepts and outline patient and provider roles and responsibilities.
- e. Practice unit team members and all appropriate staff are educated/trained on patient-provider partnership concepts and patient communication processes
- f. Process has been established for patients to receive PCMH information, and for practitioner to have conversation with patients about PCMH patient-provider partnership.
- g. Mechanism and process has been developed to document establishment of patient-provider partnership in medical record or patient registry.

1.2

Process of reaching out to current patients is underway, and practice unit is using a systematic approach to inform patients about PCMH

PCP Guidelines:

- a. Outreach process must include patients who do not visit the practice regularly

- b. Examples of outreach include discussion at the time of visit, mailings, emails, websites, telephone outreach, or other electronic means,
 - i. Mass mailings do not meet the requirements for 1.3 through 1.8
 - ii. Outreach materials should explain the PCMH concept and patient-provider partnership
 - iii. For any reference to a practice having “BCBSM Designation status” please reference BCBSM’s recommended language for communications to patients from PCMH-Designated practices
- c. For those patients who do not come into the practice regularly, outreach must consist of distribution of material that the patient receives personally, either via mail, email, telephone, or patient portal.

Specialist Guidelines:

- a. Examples of outreach include discussion at the time of visit, mailings, emails, websites, telephone outreach, or other electronic means,
 - i. Mass mailings do not meet the requirements for 1.3 through 1.8
 - ii. Outreach materials should explain the PCMH concept and patient-provider partnership

1.3

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 10% of current patients

PCP and Specialist Guidelines:

- a. Establishment of patient-provider partnership must include conversation between patient and a member of the practice unit clinical team
 - i. In extenuating circumstances, well-trained Medical Assistants who are highly engaged with patient care may be considered a member of the clinical practice unit team.
 - ii. Conversation should preferably take place in person, but may take place over phone in extenuating circumstances, for a limited number of patients
 - iii. Other team members may begin the conversation, or follow-up after physician conversation with more detailed discussion/information, but a clinical team member must participate in at least part of the patient-provider partnership conversation
- b. Conversation may be documented in medical record, patient registry, or other type of list.
- c. Practice must also have mechanism to track percent of patients that have established partnership, and be able to provide data during site visit showing denominator (total number of “current” patients in the practice) and numerator (total number of patients in the denominator with whom conversations have been held and partnerships established at any point in the past).

1.4

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 30% of current patients

PCP and Specialist Guidelines:

- a. Reference 1.3

1.5

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 50% of current patients

PCP and Specialist Guidelines:

- a. Reference 1.3

1.6

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 60% of current patients

PCP and Specialist Guidelines:

- a. Reference 1.3

1.7

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 80% of current patients

PCP and Specialist Guidelines:

- a. Reference 1.3

1.8

Patient-provider agreement or other documented patient communication process is implemented and documented for at least 90% of current patients

PCP and Specialist Guidelines:

- a. Reference 1.3

1.9

Providers ensure that patients are aware that as part of comprehensive, quality care and to support population management, health care information is shared among care partners as necessary.

PCP and Specialist Guidelines:

- a. Providers ensure that patients are aware and clearly understand that in the course of providing care, providers will share patient information with other providers who are involved in the patient's care, as appropriate. The

data sharing may be through provision of written medical information or through electronic sharing of information (for example, electronic transmission of information about admissions, discharges and transfers from/to hospital based care settings).

- b. Language regarding the sharing of health information with other providers can be added to the patient-provider partnership documentation, or it may be incorporated into the practice's existing HIPAA documentation, such as a "notice of privacy practices", in order to fulfill the requirement to inform patients in this regard.

2.0 Patient Registry

Applicable to PCPs; and to specialists for the condition(s) relevant to their patient population for which the specialist has primary responsibility (regardless of insurance coverage and including Medicare patients).

For all Patient Registry capabilities except 2.9, registry may be paper or electronic. A fully electronic registry may be the last capability to be implemented.

Nine of the Patient Registry capabilities identify the population of patients included in the registry (2.1, 2.10, 2.11, 2.12, 2.13, 2.15, 2.16, 2.17, and 2.18). The other nine Patient Registry capabilities pertain to registry functionality (2.2, 2.3, 2.4, 2.5, 2.6., 2.7, 2.8, 2.9, and 2.14). All capabilities pertaining to functionality that are marked as in place must be in place for each population of patients marked as included in the registry.

2.1

A paper or electronic all-payer registry is being used to manage all established patients in the Practice Unit with: Diabetes (or, for specialists, relevant condition)

PCP and Specialist Guidelines:

- a. A patient registry is a database that contains several dimensions of clinical data on patients to enable providers to manage their population of patients. Relevant clinical information that is the focus of attention in generally accepted guidelines and is incorporated in common quality measures pertinent to the chronic illness must be incorporated in the registry (i.e., physiologic parameters, lab results, medication prescription in use, physical findings, and patient behaviors such as peak flow meter use or daily salt intake).
- b. Registry data must be in the form of data fields that are accessible for tabulation and population management.
- c. Registry must include all established patients with the disease referenced in the capability, regardless of insurance coverage (including Medicare patients)
- d. Patients assigned by managed care organizations do not have to be included in registry if they are not established patients (reference 2.15).

- e. Patient information may be entered by the practice, populated from EMR or other electronic or manual sources, or populated with payer-provided data
 - i. Registry must include data pertinent to the clinical performance measures contained in the EBCR (e.g., BCBSM-provided data or similar data from other sources)
- f. Registry may initially be a component of EMR for basic-level functioning, as long as the practice or the PO has the capability to use the EMR to generate routine population-level performance reports and reports on subsets of patients requiring active management.
 - i. Subsets of patients requiring active management refers to those patients with particular chronic illness management needs including but not limited to those who have physiologic parameters out of control or who have not received specified, essential services
- g. Reference AAFP article for additional information on creating a registry:
<http://www.aafp.org/fpm/20060400/47usin.html>

2.2

Registry incorporates patient clinical information, for all established patients in the registry, for a substantial majority of health care services received at other sites that are necessary to manage chronic care and preventive services for the population

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic
- b. “All patients in the registry” may consist, for example, of diabetes patients only, if practice unit has only implemented task 2.1.
- c. The registry is not expected to contain clinical information on all health care services received at any site for 100% of patients in the registry, but is expected to contain a critical mass of information from various sources, including the PO’s or practice unit’s own practice management system, and electronic or other records from facilities with which the PO or practice unit is affiliated
- d. Other sites and service types are defined as labs, inpatient admissions, ER, UCC, and pharmaceuticals (with dates and diagnoses where applicable).
- e. The definition of “substantial majority of health care services” is three-quarters of preventive and chronic condition management services rendered to patients.
- f. If registry is paper, information may be extracted from records and recorded in registry manually, and must be in the form of an accessible data field for population level management of patients

2.3

Registry incorporates evidence-based care guidelines

PCP and Specialist Guidelines:

- a. Registry functionality may be paper or electronic.

- b. Guidelines should be drawn from recognized, validated sources at the state or national level (e.g., MQIC Guidelines, USPSTF).
- c. Determination of which evidence-based care guidelines to use should be based on judgment of practice leaders.

2.4

Registry information is available and in use by the Practice Unit team at the point of care

PCP and Specialist Guidelines:

- a. Registry functionality may be paper or electronic.
- b. Practice unit has and is fully using the capability to generate up-to-date, integrated individual patient reports at the point of care to be used during the visit.
- c. EMR would meet the requirements of this capability provided it has evidence-based guidelines embedded in the tool, and relevant information is identified and imported into screens or reports that facilitate easy access to all relevant data elements particular to the conditions under management, for the purpose of guiding point of care services.

2.5

Registry contains information on the individual attributed practitioner for every patient currently in the registry who has a medical home in the practice unit

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic
- b. The individual practitioner responsible for the care of each patient is identified in the registry
 - i. Occasional gaps in information about some patients' individual attributed practitioner due to changes in medical personnel are acceptable

2.6

Registry is being used to generate routine, systematic communication to patients regarding gaps in care

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic.
- b. Communications may be manual, provided there is a systematic process in place and in use for generation of regular and timely communications to patients.
- c. Communications may be sent to patients via email, fax, regular mail, text messaging, or phone messaging.

2.7

Registry is being used to flag gaps in care for every patient currently in the registry

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic.
- b. Registry must have capability to identify all patients with gaps in care based on evidence-based guidelines incorporated in the registry.
- c. EMR would meet the requirements of this capability if it can be used to produce population level information on gaps in care for chronic condition patients.

2.8

Registry incorporates information on patient demographics for all patients currently in the registry

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic.
- b. Registry must contain all relevant patient demographics, such as name, gender, age.

2.9

Registry is fully electronic, comprehensive and integrated, with analytic capabilities

PCP and Specialist Guidelines:

- a. Practice unit must have capability 2.2 in place in order to receive credit for 2.9
- b. All entities must flow electronically into the registry
- c. Data is housed electronically
- d. Linkages to other sources of information (as defined in 2.2) are electronic for all facilities and other health care providers with whom the practice unit regularly shares responsibility for health care.
- e. Registry has population-level database and capability to electronically produce comprehensive analytic integrated reports that facilitate management of the entire population of the Practice Unit's patients.

2.10

Registry is being used to manage all patients with: Persistent Asthma

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).

2.11

Registry is being used to manage all patients with Coronary Artery Disease (CAD)

PCP and Specialist Guidelines:

- b. Reference 2.1(a)-(g).

2.12

Registry is being used to manage all patients with: Congestive Heart Failure (CHF)

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).

2.13

Registry is being used to manage patients with at least 2 other conditions

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).
- b. Registry is being used to manage all patients with at least 2 other **chronic conditions (or for specialists, 2 other conditions relevant to the specialist's practice)** for which there are evidence-based guidelines and the need for ongoing population and patient management, and which are sufficiently prevalent in the practice to warrant inclusion in the registry based on the judgment of the practice leaders
 - i. Examples of other chronic conditions include (but are not limited to) depression or sickle cell anemia

2.14

Registry incorporates preventive services guidelines and is being used to generate routine, systematic communication to all patients in the practice regarding needed preventive services

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).
- b. Registry must include all current patients in the practice, including well patients, regardless of insurance coverage and including Medicare patients
- c. Preventive services guidelines must be drawn from a recognized state or national source, such as USPSTF, CDC, or national guidelines that address standard primary and secondary preventive services (i.e., mammograms, cervical cancer screenings, colorectal screening, immunizations, well-child visits, well adolescent visits, and well-adult visits).

2.15

Registry incorporates patients who are assigned by managed care plans and are not established patients in the practice

PCP and Specialist Guidelines:

- a. Patients assigned by managed care plans who are not established patients must be included in the registry, and active outreach conducted to engage them as established patients

2.16

Registry is being used to manage all patients with: Chronic Kidney Disease

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).

2.17

Registry is being used to manage all patients with: Pediatric Obesity

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).

2.18

Registry is being used to manage all patients with: Pediatric ADD/ADHD

PCP and Specialist Guidelines:

- a. Reference 2.1(a)-(g).

2.19

Registry contains information identifying the individual care manager for every patient currently in the registry who has an assigned care manager

PCP and Specialist Guidelines:

- a. Registry may be paper or electronic
- b. Registry includes name of the care manager for each patient with an assigned care manager
- c. Where a patient has more than one care manager, registry must identify which care manager is the lead care manager

3.0 Performance Reporting

Applicable to PCPs; and to specialists for the condition(s) relevant to their patient population for which the specialist has primary responsibility (regardless of insurance coverage and including Medicare patients).

Seven of the Performance Reporting capabilities identify the population(s) of patients included in the reports (3.1, 3.3, 3.6, 3.10, 3.11, 3.12, and 3.13). The other six Performance Reporting capabilities pertain to report attributes (3.2, 3.4, 3.5, 3.7, 3.8, and 3.9). All capabilities pertaining to report attributes that are marked as in place must be in place for each population of patients marked as included in the reports.

3.1

Performance reports that allow tracking and comparison of results at a specific point in time across the population of patients are generated for: Diabetes (or, for specialists, relevant condition)

PCP and Specialist Guidelines:

- a. Performance reports are systematic, routine, aggregate-level reports that provide current, clinically meaningful health care information on the entire population of patients of all ages that are included in the registry (e.g., all diabetics, regardless of payor and including Medicare patients), allowing comparison across the population of patients, at a single point in time.
- b. The performance reports must be actively analyzed and used in self-assessment of provider performance
- c. The reports must contain several dimensions of clinical data on patients to enable providers to manage their population of patients. Relevant clinical information that is the focus of attention in established generally accepted guidelines and is incorporated in common quality measures pertinent to the chronic illness must be incorporated in the reports (i.e., physiologic parameters, lab results, medication prescription in use, physical findings, and patient behaviors such as peak flow meter use or daily salt intake)
- d. It is acceptable for the performance reports to be produced and distributed on a regular basis by the PO or sub-PO, as long as the practice units have the capability to request and receive reports on a timely basis.

3.2

Performance reports are generated at the population level, Practice Unit, and individual provider level

PCP and Specialist Guidelines:

- a. Population level optimally consists of PO and/or sub-PO population, but alternatively, as the PO works toward implementing registry capabilities across all practice units, the population level report may be based on a meaningful subset of relevant aggregated practice unit performance
- b. Performance reports provide information and allow comparison at the population, practice unit, and individual provider level for all patients currently in the registry, regardless of insurance coverage and including Medicare patients

3.3

Performance reports include patients with at least 2 other conditions

PCP Guidelines:

- a. Reference 2.13
- b. Performance reports are being generated for at least 2 other **chronic conditions** (or for specialists, 2 other conditions relevant to the specialist's practice) for which there are evidence-based guidelines and the need for ongoing population and patient management, and which are sufficiently prevalent in the practice to warrant inclusion in the registry based on the

judgment of the practice leaders (regardless of insurance coverage and including Medicare patients).

3.4

Data contained in performance reports has been fully validated and reconciled to ensure accuracy

3.5

Trend reports are generated, enabling physicians and their POs/sub-POs to track, compare and manage performance results for their population of patients over time

PCP and Specialist Guidelines:

- a. Performance reports include both current and past health care information for the population of patients currently in the registry (regardless of insurance coverage and including Medicare patients), allowing analysis and comparison of results across time (e.g., quarter to quarter, year to year).
- b. Trend reports must be generated by the PO/sub-PO at the individual provider, practice unit, and population level
- c. Population level optimally consists of PO and/or sub-PO population, but alternatively, as the PO works towards implementing registry capabilities across all practice units, the population level report may be based on a meaningful subset of relevant aggregated practice unit performance

3.6

Performance reports are generated for the population of patients with: Pediatric Obesity

PCP and Specialist Guidelines:

- a. Reference 3.1.

3.7

Performance reports include all current patients in the practice, including well patients, and include data on preventive services

PCP and Specialist Guidelines:

- a. Performance reports include all current patients in the practice, including well patients, as defined in 2.14 and 3.1
- b. Reports include preventive services information

3.8

Performance reports include patient clinical information for a substantial majority of health care services received at other sites that are necessary to manage chronic care and preventive services for the population

PCP and Specialist Guidelines:

- a. Reference guidelines for Capability 2.2

- b. For all established patients in the registry, the performance reports are expected to include treatment information pertinent to standard quality metrics (e.g., use of beta blockers following AMI), but are not expected to contain comprehensive treatment information as this level of information is often contained in detailed narrative text in clinical notes.
- c. Reportable items could include diagnosis and associated labs, physiologic parameters such as blood pressure, medications, or diagnostic services provided during the encounter.

3.9

Performance reports include information on services provided by specialists

PCP and Specialist Guidelines:

- a. Reference 3.1
- b. Information on key preventive or disease specific services provided by specialists (e.g., ob-gyn, ophthalmologists, podiatrists, endocrinologists) is incorporated into performance reports.

3.10

Performance reports are generated for the population of patients with: Persistent Asthma

PCP and Specialist Guidelines:

- a. Reference 3.1

3.11

Performance reports are generated for the population of patients with: Coronary Artery Disease [not applicable to pediatric practices]

PCP and Specialist Guidelines:

- a. Reference 3.1

3.12

Performance reports are generated for the population of patients with: Congestive Heart Failure [not applicable to pediatric practices]

PCP and Specialist Guidelines:

- a. Reference 3.1

3.13

Performance reports are generated for the population of patients with: Pediatric ADD/ADHD

PCP and Specialist Guidelines:

- a. Reference 3.1

3.14

Performance reports include care management activity

PCP and Specialist Guidelines:

- a. Care management activity should include the following information for each member of the care management team:
 - i. Patient caseload (number of unique patients)
 - ii. Number of in-person encounters
 - iii. Number of telephonic encounters

3.15

Key clinical indicators are tracked and reported to external entities to which practices are accountable for quality measurement

PCP and Specialist Guidelines:

- a. Practices are tracking and reporting on key clinical indicators, such as rates of patients with HTN who are well controlled, patients with LDL levels below 200, and patients with DM who have an A1C showing reasonable control, in a manner consistent with standardized, generally accepted specifications for such measures

4.0 Individual Care Management

Applicable to PCPs and specialists. For patients with an ongoing care relationship with a specialist, PCP and specialist must establish agreement regarding who will have lead responsibility for care management.

4.1

Practice Unit leaders and staff have been trained/educated and have comprehensive knowledge of the Patient Centered-Medical Home model, the Chronic Care model, and practice transformation concepts

PCP and Specialist Guidelines:

- a. Training content should include comprehensive information about the Chronic Care Model
 - i. Reference information provided at the Improving Chronic Illness Care website: <http://www.improvingchroniccare.org>
- b. Training/educational activity is documented in personnel or training records, and content material used for training is available for review.

4.2

Practice Unit has developed an integrated team of multi-disciplinary providers and a systematic approach is in place to deliver coordinated care management services that address patients' full range of health care needs for at least one chronic condition (or, for some specialists, a sub-acute condition)

PCP and Specialist Guidelines:

- a. The integrated team of multi-disciplinary providers must consist of at least 3 non-physician members, including an RN and at least 2 of the following: certified diabetes educator, nutritionist (RD or Masters-trained nutritionist), respiratory therapist, PharmD or RPH, MSW, certified asthma health educator or other certified health educator specialist (Bachelors degree, or higher, in Health Education), licensed professional counselor, licensed mental health counselor, or an NP and/or PA with training/experience in health education who is actively engaged in care coordination/self-management training separate from their office visit E&M duties
 - i. When they are unable to include RNs or PharmDs in the multi-disciplinary care management team, individual practices may use LPNs or PharmD students, in which case these ancillary providers with lesser training must be actively supervised by the physician and/or by a supervising RN or PharmD, with regard to the educational and care management interventions provided to each individual patient. This supervision must be provided either directly in the practice (e.g., by the primary care physician) or by staff employed by the Physician Organization.
- b. Practice unit team members hold regular team meetings and/or other structured communications about patients whose chronic conditions are being actively managed.
- c. All members of the team do not have to be at the same location or at the practice site, but care delivered by the team must be coordinated and integrated with the practice.
 - i. When care is delivered by travel teams or at sites other than the practice:
 - the care must be fully coordinated by a practice team member or a health navigator who has ongoing communication with the practice
 - the PCMH practice must be involved in ongoing monitoring, follow-up and reinforcement of health education/training received by patients at other sites
 - monitoring includes proactive outreach to engage the patient in actively addressing ongoing health needs and health care goals on a longitudinal basis
 - ii. The multi-disciplinary providers are not required to be employees of the PCMH practice, but must have an ongoing relationship with, and communication with, the practice team members
 - Communication can be a combination of verbal, written, and electronic methods, preferably including some direct verbal communication and participation in in-person team meetings, although individual team members who are not on-site at a practice can make their information and perspective known to specific team members so that their information about individual patients is actively considered by the team as a routine part of case review and planning
 - iii. The care management services must be coordinated and integrated with the patient's overall care plan

- The requirements for capability 4.2 can be met through referrals to hospital-based diabetes educators that take place in the context of an overall coordinated, integrated care plan and include bi-lateral communication between the diabetes educator and care management team, with individualized feedback provided to care team following the diabetes education sessions. Diabetes educator and care team collaborate to ensure that referred patients receive needed services, and that patients understand that they should follow-up with PCMH practice regarding questions and concerns.
 - Standard referrals to hospital-based diabetes educators with summary reports sent back to the PCP do not constitute care that is coordinated and integrated, and would not meet the requirements for capability 4.2
- d. Tools such as Interactive Voice Response systems may be helpful in coordinating transition care and managing patients with chronic conditions.

4.3

Systematic approach is in place to ensure that evidence-based care guidelines are established and in use at the point of care by all team members of the Practice Unit

PCP and Specialist Guidelines:

- a. Guidelines are available and used at the point of care by all clinical staff in the Practice Unit
 - i. Guidelines are activated and used regularly to provide alerts about gaps in care on the Point of Care report or in the EMR
- b. All members in the practice, including front office staff who work with clinicians and patients, are knowledgeable about the type and length of appointments to book and their responsibilities for preparing resources for visits, based on the guidelines
 - i. Guidelines are actively used to monitor, track, and conduct outreach to patients to schedule care as needed
- c. Guidelines are used by PO to evaluate performance of physicians, Practice Units, and PO.

4.4

PCMH patient satisfaction/office efficiency measures are systematically administered

PCP and Specialist Guidelines:

- a. Patient satisfaction and office efficiency measures (e.g., patient waiting time to obtain appointment, office visit cycle time, percentage of no-show appointments) are monitored
 - i. Measures must be derived from surveys conducted by the office or from information provided by health plans, the PO, or other sources
 - Surveys do not need to focus on single specific chronic condition, providing they are capturing information relevant to all chronic conditions, such as asking about whether the primary practitioner discusses health care goals, diet and

- exercise, and supports the patient in achieving health management goals
- ii. Reference information at Institute for Healthcare Improvement: <http://www.ihl.org/IHI/Topics/OfficePractices/Access/Measures/>
- iii. Results must be quantified, aggregated, and tracked over time
- b. If office is not meeting standards for patient-centered care, follow-up occurs (e.g., process improvements are implemented; efficiencies are improved; practice culture is addressed)

[Please see Patient Registry and Performance Reporting Initiatives for clinical monitoring expectations]

4.5

Development and incorporation into the medical record of written action plan and goal-setting is systematically offered to all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus, with substantive patient-specific and patient-friendly documentation provided to the patient

PCP and Specialist Guidelines:

- a. Physicians and other practice team members are actively involved in working with patients to use goal-setting techniques and develop action plans
 - i. Goal-setting should focus on specific changes in behavior (e.g., walking around the block once a day) or concrete, tangible results (e.g., losing 2 pounds) rather than general clinical goals (such as lowering blood pressure or reducing LDL levels)
- b. Patient-specific action plan and patient's individual goals must be documented in medical record, enabling providers to monitor and follow-up with patient during subsequent visits
- c. Reference information provided at the Improving Chronic Illness Care website: http://www.improvingchroniccare.org/index.php?p=self-management_support&s=39

4.6

A systematic approach is in place for appointment tracking and generation of reminders for all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus

PCP and Specialist Guidelines:

- a. Evidence-based guidelines are used systematically as a basis for:
 - i. Conducting tracking and follow-up regarding missed appointments
 - ii. Providing patients with mail and/or telephone reminders of upcoming appointments

4.7

A systematic approach is in place to ensure that follow-up for needed services is provided for all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus

PCP and Specialist Guidelines:

- a. Evidence-based guidelines are used systematically as a basis for:
 - i. Following up with patients to ensure that needed services, whether at the PCMH practice site or at another care site, are obtained by the patients

4.8

Planned visits are offered to all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus

PCP and Specialist Guidelines:

- a. Planned visits consist of a documented, proactive, comprehensive approach to ensure that patients receive needed care in an efficient and effective manner.
 - i. Planned visits include the well-orchestrated, team-based approach to managing the patient's care during the visit, all performed on a routine basis, as well as the tracking and scheduling of regular visits, and the guideline-based preparation that occurs prior to the visit.
- b. Reference information provided at the Improving Chronic Illness Care website:
http://www.improvingchroniccare.org/index.php?p=Planned_Visits&s=48
- c. "Many healthcare providers believe themselves to already be doing 'planned' visits. They note that their patients with chronic conditions come back at defined intervals. Yet upon closer inspection, these visits may look a lot like acute care: the provider might lack necessary information about the patient's care needs; provider and patient might have different expectations for the visit; and staff may not be fully utilized to help with the organization of the visit and delivery of care. These "check-back" visits, while scheduled in advance, are often not efficient nor productive for the provider and patient.
- d. Key Components of a Planned Visit
 - i. Assign Team Roles and Responsibilities
 - For example, the following questions might need to be addressed: who is going to call the patient to schedule the visit? Who will room the patient? If the patient has diabetes, who will remove her/his shoes and socks? Who will examine the feet? Who will prepare the patient encounter form for use during the visit? All tasks need to be delegated to specific team members so that nothing is left to chance.
 - ii. Call a Patient In For a Visit
 - Develop a script for the call, and decide which team member will make the call. Set the tone and expectations for the issues addressed in the visit.
 - If you choose to mail an invitation to patients, be sure to track respondents. Typically, less than 50% of patients respond to a letter. You will need to plan an alternative method of contacting non-responders.
 - iii. Deliver Clinical Care and Self-Management Support
 - In preparation for the visit, print an encounter form from your registry or pull the chart in advance so that you can review the

patient's care to date. Document what clinical care needs to be done during the visit.

- iv. Until new roles are well integrated into the normal work flow, many practices have team huddles for 5-10 minutes...to review the schedule and identify chronic care patients coming in that day for an acute care visit. Decide how best to meet as a team to manage these patients. Determine the best intervals and timing for these meetings, and stick to them. The brief get-togethers help the team stay focused on practice redesign and create a spirit of 'one for all'."

4.9

Group visit option is available for all patients in the practice unit with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus (as appropriate for the patient)

PCP and Specialist Guidelines:

- a. Reference AAFP information on group visits at:
<http://www.aafp.org/fpm/20060100/37grou.html>
- b. Group visits are a form of office visit. (They are not the same as care coordination/care management services, which are follow-up services delivered by non-physician clinicians antecedent to an office visit at which individual treatment and/or health behavior goals have been established.)
- c. Group visits include not only group education and interaction but also all essential elements of an individual patient visit, including but not limited to the collection of vital signs, history taking, relevant physical examination and clinical decision-making.
 - i. Group visits differ from other forms of group interventions, such as support groups, which are generally led by peers and do not include one-on-one consultations with physicians.
- d. The clinician is directly involved and meets with each patient individually
- e. Members of the care management team may take vital signs and other measurements and assist with individual encounters
- f. Dietitians or pharmacists may lead educational sessions. Topics such as medication management, stress management, exercise and nutrition, and community resources, may be suggested by the group facilitator or by patients, who raise concerns, share information and ask questions. In programs emphasizing self-management, physicians and patients work together to create behavior-change action plans, which detail achievable and behavior-specific goals that participants aim to accomplish by the next session. Once plans are set, the group discusses ways to overcome potential obstacles, which raises patients' self-efficacy and commitment to behavioral change. Patients' family members can also be included in these group sessions."
- g. Group visits generally last from two to 2.5 hours and include no more than 20 patients at a time.
- h. Group visits may be conducted in collaboration with other Practice Units

4.10

Medication review and management is provided at every visit for all patients with chronic conditions

PCP and Specialist Guidelines:

- a. Chronic conditions under 4.10 are defined as any condition requiring maintenance drug therapy.
- b. During every patient encounter, a list of all medications currently taken by the patient is reviewed and updated, and any concerns regarding medication interactions or side effects are addressed.

4.11

Development and incorporation into medical record of written action plans and goal-setting is systematically offered to all patients with chronic conditions or other complex health care needs prevalent in practice's patient population

PCP and Specialist Guidelines:

- a. Reference 4.5

4.12

A systematic approach is in place for appointment tracking and generation of reminders for all patients

PCP and Specialist Guidelines:

- a. Reference 4.6

4.13

A systematic approach is in place to ensure follow-up for needed services for all patients

PCP and Specialist Guidelines:

- a. Reference 4.7

4.14

Planned visits are offered to all patients with chronic conditions (or, for some specialists, all sub-acute conditions) prevalent in practice population

PCP and Specialist Guidelines:

- a. Reference 4.8

4.15

Group visit option is available to all patients with chronic conditions (or, for some specialists, all sub-acute conditions) prevalent in practice population

PCP and Specialist Guidelines:

- a. Reference 4.9

4.16

A systematic approach is in place for engaging patients in conversation about advance care planning, executing an advance care plan with each patient who wishes to do so, and including a copy of a signed advance care plan in the patient's medical record

PCP and Specialist Guidelines:

- a. PCP and specialist(s) must have systematic process in place to identify who has lead responsibility for discussing and assisting each patient with advance care planning
 - i. Training and information about advance care planning is available from the Centers for Disease Control and through a number of healthcare organizations
- b. Provider with lead responsibility must ensure that all care partners are aware of and have copies of advance care plan

4.17

A systematic approach is in place for developing a survivorship plan for patients once treatment is completed, including a copy of the survivorship plan in the patient's medical record, and ensuring that the plan is shared with the patient and the patient's providers

PCP and Specialist Guidelines:

- a. PCP and specialist(s) must have systematic process in place to identify who has lead responsibility for developing each patient's individualized patient survivorship care plan that includes guidelines for monitoring and maintaining the health of patients who have completed treatment
 - i. Information about survivorship plans can be accessed at:
<http://www.cancer.org/Treatment/SurvivorshipDuringandAfterTreatment/SurvivorshipCarePlans/index>
- b. Provider with lead responsibility must ensure that key care partners are aware of and have copies of the survivorship care plan

4.18

A systematic approach is in place for assessing patient palliative care needs and ensuring patients receive needed palliative care services

PCP and Specialist Guidelines:

- a. PCP and specialist(s) have systematic process in place to identify who has lead responsibility for addressing each patient's palliative care needs
 - i. Provider with lead responsibility ensures that all care partners are aware that patient is receiving palliative care services
- b. Reference
http://www.nationalconsensusproject.org/Guidelines_Download2.aspx for definition of palliative care, and an overview of the domains that should be addressed in the delivery of palliative care
- c. Practice has established written protocols for determining when patients should be assessed for palliative care needs, based on accepted standards relevant to their patient population. Tools that can be used to support

assessment of palliative care needs:

<http://www.palliative.org/newpc/professionals/tools/esas.html> ,
http://www.hpsm.org/documents/End_of_Life_Summit_FICA_References.pdf ,
http://www.cqaimh.org/pdf/tool_phq9.pdf ,
http://www.cqaimh.org/pdf/tool_phq2.pdf

- d. Options for delivery of palliative care include:
 - ii. Delivery within practice: At least one member of practice has received training through established palliative care training program (cite examples), and has educated other practice staff. For domains that cannot be addressed directly by practice staff, practice has knowledge of community resources that will enable patient to receive palliative care across all domains (e.g., legal, ethical, spiritual).
 - iii. Referrals: Practice maintains information on availability of comprehensive palliative care teams, and makes referrals as appropriate. Sources for referral can found at <http://www.mihospice.org/>

4.19

Systematic process is in place to identify patients who would benefit from care management services based on clinical conditions and ED, inpatient, and other service use

PCP and Specialist Guidelines:

- a. PCP and specialist(s) must have systematic process in place to identify patients who are candidates for care management, and to document the results of the identification process

4.20

Systematic process is in place to inform patients about availability of care management services

PCP and Specialist Guidelines:

- a. PCP and specialist(s) must have systematic process in place to inform patients about availability of care management services, and to document the conversation and the patient's response

4.21

Inter-disciplinary team meetings are held regularly to conduct patient case reviews, with development and review of comprehensive care plans for medically complex patients

PCP and Specialist Guidelines:

- a. PCP and specialist(s) must have systematic process in place to conduct and document regular patient case reviews, and develop and review comprehensive care plans for medically complex patients
- b. Common elements of a comprehensive care management plan include:
 - i. Full problem list

- ii. Expected outcome and prognosis
- iii. Measureable treatment goals
- iv. Symptom management
- v. Planned interventions
- vi. Medication management
 - Medication allergies
- vii. Community/social services ordered
- viii. Plan for directing/coordinating the services of agencies and specialists which are not connected to the practice
- ix. Identify individual who is responsible for each intervention

5.0 Extended Access

Applicable to PCPs and specialists.

5.1

Patients have 24-hour access to a clinical decision-maker by phone, and clinical decision-maker has a feedback loop within 24 hours or next business day to the patient's PCMH

PCP and Specialist Guidelines:

- a. Clinical decision-maker must be an M.D., D.O., P.A., or N.P. If not M.D. or D.O., clinical-decision maker must have ability to contact supervising M.D. or D.O. on an immediate basis if needed
 - i. Clinical decision-maker may be, but is not required to be, the patient's primary care provider
- b. Clinical decision-maker has the ability to direct the patient regarding self-care or to an appropriate level of care.
 - i. When reason for patient contact is not relevant to provider's domain of care, provider will ensure that patient is able to contact PCP or other relevant provider
- c. Clinical decision-maker communicates all clinically relevant information via phone conversation directly to patient's primary physician, by email, by automated notification in an EMR system, or by faxing directly to primary physician regarding the interaction within 24 hours (or next business day) of the interaction
- d. Clinical decision-maker responds to patient inquiry in a timely manner (generally 15-30 minutes, and no later than 60 minutes after initial patient inquiry)

5.2

Clinical decision-maker accesses and updates patient's EMR or registry info during the phone call

PCP and Specialist Guidelines:

- a. Clinical decision-maker (as defined in 5.1) must routinely have access to and update patient's EMR or registry information during all calls

- i. Occasional technical problems, such as failure of internet service in rural areas, may occur and would not constitute failure to meet the requirements of 5.2 as long as access to the EMR or registry is typically and routinely available

5.3

Provider has made arrangements for patients to have access to non-ED after-hours provider for urgent care needs during at least 8 after-hours per week and, if different from the PCMH office, after-hours provider has a feedback loop within 24 hours or next business day to the patient's PCMH

PCP and Specialist Guidelines:

- a. After-hours is defined as office visit availability during weekday evening (e.g., 5-8 pm) and/or early morning hours (e.g., 7-9 am) and/or weekend hours (e.g., Saturday 9-12), sufficient to reduce patients' use of ED for non-ED care
- b. After-hours provider may be at Practice Unit site or may be in a physically separate location (e.g., an urgent care location or a separate physician office) as long as it is within 30 minutes travel time of the PCMH
 - i. Services provided by the after-hours provider must be billable as an office visit or an urgent care visit, not as an ER visit
- c. If after-hours provider is different from Practice Unit (e.g., they are an urgent care center or a physician who shares on-call responsibilities), there must be an established arrangement for after-hours coverage, and the after-hours provider must be able to provide feedback regarding care encounter to the patient's Practice Unit within 24 hours or on the next business day
- d. Practice Units may team with other practice units/physicians to provide after-hours urgent care
- e. Patient referral to specialists, high tech imaging, and inpatient admissions recommended by urgent care providers should be made by or coordinated with PCP

5.4

A systematic approach is in place to ensure that all patients are fully informed about after-hours care availability and location, at the PCMH site as well as other after-hours care sites, including urgent care facilities, if applicable

5.5

Practice Unit has made arrangements for patients to have access to non-ED after-hours provider for urgent care needs (as defined under 5.3) during at least 12 after-hours per week

PCP and Specialist Guidelines:

- a. Reference 5.3

5.6

Non-ED after-hours provider for urgent care accesses and updates the patient's EMR or patient's registry record during the visit

PCP and Specialist Guidelines:

- a. Reference 5.3 for definition of non-ED after-hours provider for urgent care needs
- b. Clinical decision-maker must routinely have access to and update patient's EMR or registry information during all visits
 - i. Occasional technical problems, such as failure of internet service in rural areas, may occur and would not constitute failure to meet the requirements of 5.6 as long as access to the EMR or registry is typically and routinely available

5.7

Advanced access scheduling is in place: for PCPs, at least 30% of appointments are reserved for same-day appointments for acute and routine care (i.e., any elective non-acute/urgent need, including physical exams and planned chronic care services, for established patients); for specialists, tiered access is in place

PCP Guidelines:

- a. 30% of the day's appointments should be available at the start of business for same-day appointments for both acute and routine care needs
 - i. In unusual, extenuating circumstances (such as a solo practice in a rural or urban under-served area), practice units may meet the requirements of capability 5.7 by having a routine, systematic procedure that practice unit clinicians remain after-hours as necessary to see the majority of patients requesting routine or acute care
- b. Written policy for advanced access is available
 - i. Patients are aware of policy and do not feel that they must self-screen to avoid imposing on practice unit staff
- c. Patients can be accommodated throughout the day (not only during lunch or after-hours)
- d. Patients are seen on a timely basis with no excessive waiting time
- e. Patients can be seen by PAs/NPs or by any physician in practice
- f. **If practice does not have an approach to scheduling that closely follows the structure and process of formal open access scheduling consistent with the sources cited herein, then they must have documented policy and procedures demonstrating that the practice's advanced access approach has the attributes referenced at the following sites:**
 - i. <http://www.aafp.org/fpm/20000900/45same.html>
 - ii. Reference Institute for Healthcare Improvement articles at <http://www.ihl.org/IHI/Topics/OfficePractices/Access/Changes/IH> for information on implementing advanced access

Specialist Guidelines:

- a. Specialists must establish tiered access system to address needs of sub-acute, chronic, and routine patients

- i. Same day appointments available for urgent patients
- ii. Appointments within 1-3 weeks available for sub-acute patients

5.8

Advanced access scheduling is in place reserving at least 50% of appointments for same-day appointment for acute and routine care (i.e., any elective non-acute/urgent need, including physical exams and planned chronic care services, for established patients)

[Applicable to PCPs only]

PCP Guidelines:

- a. 50% of the day's appointments should be available at the start of the business day for same-day appointments for acute and routine patient needs
- b. Reference 5.7

5.9

Practice unit has telephonic or other access to interpreter(s) for all languages common to practice's established patients.

6.0 Test Results Tracking & Follow-up

Applicable to PCPs and specialists.

When patient is co-managed by PCP and specialist, provider ordering the test is responsible for all follow-up and for clearly communicating information about test orders and test results to partner provider. When specialist recommends tests for co-managed patient, ordering PCP is responsible for all follow-up and for clearly communicating test orders and test results to partner provider.

6.1

Practice has test tracking process/procedure documented, which requires tracking and follow-up for all tests and test results, with identified timeframes for notifying patients of results

PCP and Specialist Guidelines:

- a. Test tracking procedure must be in writing and identify all steps in process and timeframes

6.2

Systematic approach and identified timeframes are in place for ensuring patients receive needed tests and practice obtains results

PCP and Specialist Guidelines:

- a. Follow-up occurs with patients to ensure necessary tests are performed
- b. Communication processes are in place with testing entities as necessary, to ensure results are received
- c. Results are reviewed, signed, and dated by the physician and filed in the patient's medical record

6.3

Process is in place for ensuring patient contact details are kept up to date

PCP and Specialist Guidelines:

- a. Patients are asked at every visit to confirm that address and phone numbers are current

6.4

Mechanism is in place for patients to obtain information about normal tests

PCP and Specialist Guidelines:

- a. Patients are informed about how to access normal test results
- b. Process may use any of the following mechanisms:
 - i. Patient phone call to specific phone number at practice
 - ii. Phone call from practice to patient
 - iii. Mail from practice
 - iv. Patient access via secure web portal (in conjunction with one of the above options for patients without internet access)

6.5

Systematic approach is used to inform patients about all abnormal test results

PCP and Specialist Guidelines:

- a. Systematic approach is in place to flag as high priority results where follow-up is essential and the risk of not following up is high, i.e., tissue biopsies, diagnostic mammograms, INR tests
- b. For high priority results, patient is contacted by phone (repeated attempts at different times of day, on different days if necessary; if necessary and acceptable to patient, email or patient portal may be used to request the patient call office; as a last resort, results may be sent by registered mail)
 - i. For low priority results, such as minor lab abnormalities, contact may be by letter
- c. Systematic approach is in place to ensure that practice is aware of and communicates to patients about all abnormal test results for all patients, in a timely manner, and that patient communication process is clear and patients understand implications of test results

6.6

Systematic approach is used to ensure that patients with abnormal results receive the recommended follow-up care within defined timeframes.

PCP and Specialist Guidelines:

- a. Patients requiring follow-up are flagged and follow-up timeframes are specified
- b. Cancellations and no-show appointments are tracked and assessed to determine whether any patients require follow-up
- c. Outcomes of follow-up action are filed in patient's medical record

6.7

Systematic approach is used to document all test tracking steps in the patient's medical record

PCP and Specialist Guidelines:

- a. All phone calls, letters, and other communications with patient regarding testing and test results are documented in the patient's medical record

6.8

All clinicians and appropriate office staff are trained to ensure adherence to the test-tracking procedure; all training is documented either in personnel file or in training logs or records

PCP and Specialist Guidelines:

- a. Practice unit or PO maintains record of training and can provide training content for review

6.9

Practice has Computerized Order Entry integrated with automated test tracking system

PCP and Specialist Guidelines:

- a. Test-tracking system has Computerized Order Entry system structured to log all test orders and is linked to automated tracking system that supports caregiver follow-up
- b. Test tracking system has the ability to electronically receive and track results

9.0 Preventive Services

Applicable to PCPs and specialists.

When patient is co-managed by PCP and specialist, roles must be clearly defined regarding who is responsible for ensuring patients receives needed preventive services.

9.1

Primary prevention program is in place that focuses on identifying and educating patients about personal health behaviors to reduce their risk of disease and injury.

PCP and Specialist Guidelines:

- a. Primary prevention is defined as inhibiting the development of disease before it occurs. Secondary prevention, also called "screening," refers to measures that detect disease before it is symptomatic. Tertiary prevention efforts focus on people already affected by disease and attempt to reduce resultant disability and restore functionality.
- b. Patient questionnaire or other mechanism is used to elicit information about personal health behaviors that may be contributing to disease risk
 - i. During well-visit exam and initial intake for new patients

- ii. During other visits when behavior may be relevant to acute concern (e.g., tobacco use when patient presents with cough)
- c. Patient assessment addresses personal health behaviors and disease risk factors, based on age, gender, health issues
 - i. Behaviors and risks assessed should include a majority of the following, as appropriate to the patient population: Alcohol and Drug Use, Breast Self-Examination, Awareness of Lead Exposure, Low Fat Diet and Exercise, Use of Sunscreen, Safe Sex, Testicular Self-Examination, and Tobacco Avoidance

9.2

A systematic approach is in place to providing preventive services

PCP and Specialist Guidelines:

- a. Preventive care guidelines are integrated into clinical practice (e.g., Michigan Quality Improvement Consortium - www.mqic.org). Examples of appropriate Guidelines include:
 - i. Adult Preventive Services Guideline 18-49 Yrs
 - ii. Adult Preventive Services Guideline 50-65 Yrs
 - iii. Childhood Overweight Prevention Guideline
 - iv. Prevention of Unintended Pregnancy in Adults
 - v. Preventive Service for Children & Adolescents Ages Birth – 24 Months
 - vi. Preventive Service for Children and Adolescents Ages 2-18 Yrs
 - vii. Tobacco Control Guideline
- b. Systematic appointment tracking system (implemented as part of Individual Care Management Initiative) is in place

9.3

Strategies are in place to promote and conduct outreach regarding ongoing well care visits and screenings for all populations, consistent with guidelines for such age and gender-appropriate services promulgated by credible national organizations

PCP and Specialist Guidelines:

- a. Systematic reminder system is in place and incorporates the following elements:
 - i. Age appropriate health reminders (e.g., annual physicals).
 - ii. Age appropriate immunization information consistent with most current evidence-based guidelines
 - iii. If reminders are generated by PO, offices should have knowledge of the process
- b. For children and adolescents from birth to 18 years of age examples of outreach strategies may include birthday reminders for well-visits, kindergarten round-up, flu vaccine reminders, health fairs, brochures, school physical fairs

- c. For adults, examples of outreach strategies may include annual health maintenance examination reminders, and age and gender-appropriate reminders about recommended screenings (e.g., mammograms)
- d. Outreach should be systematic and consistent with evidence-based guidelines

9.4

Practice has process in place to inquire about a patient's outside health encounters and has capability to incorporate information in patient tracking system or medical record

PCP and Specialist Guidelines:

- a. "Outside health encounter information" includes services such as immunizations provided at health fairs
- b. Practice unit should include actual/estimated date of service in the medical record whenever possible
- c. Information may be included in historical section of record

9.5

Practice has a systematic approach in place to ensure the provision/documentation of tobacco use assessment tools and advice regarding smoking cessation

PCP and Specialist Guidelines:

- a. Examples may include yearly assessment sheet, tobacco use intervention programs

9.6

Written standing order protocols are in place allowing Practice Unit care team members to authorize and deliver preventive services according to physician-approved protocol without examination by a clinician

PCP and Specialist Guidelines:

- a. Standing orders are orders for office personnel that are signed in advance by the physician authorizing the provision of specified services under certain clinical circumstances, and are reviewed/updated on a regular basis
- b. Examples include vaccinations, fecal occult blood tests and mammogram orders, medication intensification algorithm for patients with lipid disorder or high blood pressure

9.7

Secondary prevention program is in place to identify and treat asymptomatic persons who have already developed risk factors or pre-clinical disease, but in whom the disease itself has not become clinically apparent.

PCP and Specialist Guidelines:

- a. System with guideline-based reminders for age-appropriate risk assessment and screening tests is in place.
 - i. Practice Unit may choose to implement tools such as checklists attached to the patient chart, tagged notes, computer generated encounter forms and prompting stickers.
- b. Mechanisms are established to identify asymptomatic at-risk patients and provide appropriate treatment
- c. Examples include metabolic syndrome, osteoporosis, coronary artery disease, depression, alcoholism, STDs, accelerated regimen for colon and breast cancer screening in high risk patients

9.8

Staff receives regular training and/or communications in health promotion and disease prevention and incorporates preventive-focused practices into ongoing administrative operations

PCP and Specialist Guidelines:

- a. Practice unit staff has received training or educational material has been posted or circulated regarding a full range of preventive services and health promotion issues
 - i. New hires receive appropriate training
 - ii. Educational material is circulated or posted when guidelines change
 - For example, PO or practice unit staff person may be assigned to update clinical personnel on standards and guidelines such as AHRQ newsletter updates, the immunization schedule & standards issued by the Advisory Committee on Immunization Practices, Alliance of Immunization in Michigan, or Centers for Disease Control and Prevention.
 - For example, information may be provided to practice units educating them on appropriate billing and ICD-9 codes in order to ensure accurate reporting for preventive medicine services (including use of the correct ICD-9 code for a physical)
- b. Staff is trained (as appropriate to patient population) regarding consistently using and entering information into the Michigan Care Improvement Registry (MCIR)

9.9

Planned visits are offered as a means of providing preventive services in the context of structured health maintenance exams for which the practice team and patient are prepared in advance of the date of service

PCP and Specialist Guidelines:

- a. Reference 4.8 for requirements of planned visit

10.0 Linkage to Community Services

Applicable to PCPs and specialists.

When patient is co-managed by PCP and specialist, roles must be clearly defined regarding who is responsible for ensuring patients receives needed community services.

10.1

PO has conducted a comprehensive review of community resources for the geographic population that they serve, in conjunction with Practice Units

PCP and Specialist Guidelines:

- a. The review may take place within the context of a multi-PO effort
- b. Review should include health care, social, pharmaceutical, mental health, and rare disease support associations
 - i. If comprehensive community resource database has already been developed (e.g., by hospital, United Way) then further review by PO is not necessary
 - ii. Review may include survey of practice units to assist in identifying local community resources

10.2

PO maintains a community resource database based on input from Practice Units that serves as a central repository of information for all Practice Units.

PCP and Specialist Guidelines:

- a. The database may include resources such as the United Way's 2-1-1 hotline, and links to online resources.
- b. At least one staff person in the PO is responsible for conducting a semiannual update of the database and verifying local resource listings (PO may coordinate with Practice Unit staff to ensure resource reliability)
 - i. During the update process, consideration may be given to including new, innovative community resources such as Southeast Michigan Beacon Community's Text4Health program
 - ii. It is acceptable for staff to not verify aggregate listings (such as 2-1-1) if they are able to document how often the listings are updated by the resource administrator
- c. Resource databases are shared with other POs, particularly in overlapping geographic regions
- d. Portion of database includes self-management training programs available in the community

10.3

PO in conjunction with Practice Units has established collaborative relationships with appropriate community-based agencies and organizations

PCP and Specialist Guidelines:

- a. PO is able to provide a list of organizations in which collaborative relationships are directly established

- b. Collaborative relationships must be established with selected agencies with relevance to patients' needs
- c. Collaborative relationships need to be established directly with the individual agencies (not via 2-1-1) and involve ongoing substantive dialogue

10.4

All members of practice unit care team involved in establishing care treatment plans have received training on community resources so that they can identify and refer patients appropriately

PCP and Specialist Guidelines:

- a. Training may occur in collaboration with community agencies that serve as subject-matter experts on local resources
- b. PO or Practice Unit administrator assesses the competency of Practice Unit staff involved in the resource referral process at least annually. This may occur in conjunction with community agencies.
 - i. For example, practice unit staff are able to explain process for identifying and referring patients to relevant community resources
 - ii. Practice Unit is able to demonstrate that training occurs as part of new staff orientation

10.5

Systematic approach is in place for educating all patients about community resources and assessing/discussing need for referral

PCP and Specialist Guidelines:

- a. Systematic process is in place for educating new patients and all patients during annual exam (or other visits, as appropriate) about community resources and assessing/discussing need for referral
 - i. For example, Practice Units may develop an algorithm (or series of algorithms) to guide the referral process
 - ii. Information about available community resources may be disseminated via language added to patient-provider partnership documents, PO or Practice Unit website, brochures or county booklets at check-out desk

10.6

Systematic approach is in place for referring patients to community resources

PCP and Specialist Guidelines:

- a. Practice Unit must be able to verbally describe or provide written evidence of systematic process for referring patients to community resources.
 - i. For example, systematic process may consist of standardized patient referral materials such as a "prescription form", computer-generated printout that details appropriate sources of community-based care, or other documented process or tools.
 - ii. Patients should have access to resources that are appropriate for their ethnicity, gender orientation, ability status, age, and religious

preference, including resources that are available in other languages such as Spanish, Arabic, and American Sign Language, and resources available both locally and nationally.

- iii. For example, if Practice Units within a PO have a great deal of diversity within their patient population, the PO may amass specific information about services for those diverse patient groups. Practice Units may also share information about resources for diverse groups.

10.7

Systematic approach is in place for tracking referrals of high-risk patients to community resources made by the care team, and making every effort to ensure that patients complete the referral activity

PCP and Specialist Guidelines:

- a. Practice units have the responsibility to identify those patients who are at high risk of complications/decompensation for whom referral to a particular agency is critical to reaching established health and treatment goals.
- b. Referrals to community resources should be tracked for high-risk patients. Practice Units are encouraged to create a hierarchy to ensure that vital services (such as referrals to mental health providers) are being tracked appropriately. Specialists must ensure that PCPs are notified about referrals to community resources for high-risk patients.
- c. The purpose of tracking the referrals is to ensure that these high-risk patients receive the services they need.

10.8

Systematic approach is in place for conducting follow-up with high-risk patients regarding any indicated next steps as an outcome of their referral to a community-based program or agency.

PCP and Specialist Guidelines:

- a. Patients may be held partially responsible for the tracking process. For example, Practice Units may use technology such as Interactive Voice Response (IVR) for patients to report initial contact and completion, develop a “passport” that patients can have stamped when they complete trainings or attend a support group, or use existing disease registries such as WellCentive to track community-based referral activities.
- b. Process includes mechanism to track patients who decline care and obtain information about reasons care was not sought.

11.0 Self-Management Support

Applicable to PCPs and specialists. When patient is co-managed by PCP and specialist, roles must be clearly defined regarding which provider is responsible for leading self-management support activities and which provider is responsible for reinforcing self-management support activities.

Self-management support is a systematic approach to empowering the patient with chronic illness to understand their central role in effectively managing their illness, making informed decisions about care, and engaging in healthy behaviors. To receive credit for a self-management support capability, basic self-management support delivered in the context of office visits must be available to all patients. Advanced self-management support, delivered by trained care managers in the context of provider-delivered care management services, is expected to be available only to those members who have the provider-delivered care management benefit.

11.1

Clinician who is member of care team or PO staffperson is educated about and familiar with self-management support concepts and techniques and works with appropriate staff members at the practice unit at regular intervals to ensure they are educated in and able to actively use self-management support concepts and techniques. The intent of this capability is to actively empower the staff within the practice unit to incorporate self-management support efforts into routine clinic process.

PCP and Specialist Guidelines:

- a. Self-management support uses a team-based, systematic, model-driven (including behavioral and clinical dimensions) approach to actively motivating and engaging the patient in effective self-care for identified chronic conditions; must extend beyond usual care such as encouragement to follow instructions
- b. Level, type, and intensity of training, education, and expertise may vary, depending upon team members' roles and responsibilities in the Practice Unit
 - i. Education must be substantive and in-depth and focus on a particular model of self-management support and not consist of only a brief introduction to the concept. Recommended sites for more information include:
 - IHI Partnering in Self-Management Support: A Toolkit for Clinicians
 - <http://www.ihl.org/knowledge/Pages/Tools/SelfManagementToolkitforClinicians.aspx>
 - Self-Management Support Information for Patients and Families
 - <http://www.ihl.org/knowledge/Pages/Tools/SelfManagementToolkitforPatientsFamilies.aspx>
 - [California Health Care Foundation Self-Management Support training materials](#)
 - <http://www.chcf.org/publications/2009/09/selfmanagement-support-training-materials>
 - Flinders Self-Management Model
 - <http://www.flinders.edu.au/medicine/sites/fhbhru/self-management.cfm#EduTraining>
 - Motivational Interviewing

- <http://www.motivationalinterviewing.org/>
- c.
 - d. Education of practice unit staff members may be provided by PO staff person if the PO staff person has adequate time to provide comprehensive, meaningful education; otherwise, practice unit is responsible for identifying a member of the practice's clinical care team to receive education in self-management support concepts and techniques
 - e. Appropriate team members should have awareness of self-management concepts and techniques, including:
 - i. Motivational interviewing
 - ii. Health literacy/identification of health literacy barriers
 - iii. Use of teach-back techniques
 - iv. Identification of medical obstacles to self-management
 - v. Establishment of problem-solving strategies to overcome barriers of immediate concern to patients
 - vi. Systematic follow-up with patients

11.2

Self-management support is offered to all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus (based on need, suitability, and patient interest)

PCP and Specialist Guidelines:

- a. Self-management support is assisting patients in implementing their action plan through face-to-face interactions and/or phone outreach in between visits.
- b. Self-management support services may be provided in the context of a planned visit
- c. An action plan is a patient-specific goal statement that incorporates treatment goals including aspects of treatment that involve self-management. It is not an action step; it is a goal statement.
- d. Physicians may provide self-management support (but would not be eligible to bill T-codes for such services)

11.3

Systematic follow-up occurs for all patients with the chronic condition (or, for some specialists, sub-acute condition) selected for initial focus who are engaged in self-management support to discuss action plans and goals, and provide supportive reminders

PCP and Specialist Guidelines:

- a. Follow-up may occur via phone, email, patient portal, or in person, and must occur on a timely basis appropriate to the patient's needs, either at the time of visits if they are frequent, or in between office visits if they are infrequent.

11.4

Regular patient experience/satisfaction surveys are conducted for patients engaged in self-management support, to identify areas for improvement in the self-management support efforts

PCP and Specialist Guidelines:

- a. Surveys may be administered electronically, via phone, mail, or in person
- b. Results must be quantified, aggregated, and tracked over time
- c. Self-management support survey questions may be added to regular patient satisfaction surveys providing sampling is structured to ensure adequate responses from those who actually received self-management support services
- d. If survey results identify areas for improvement, timely follow-up occurs (e.g., self-management support efforts are systematized to assure they are available on a timely basis to all patients for whom they are appropriate)

11.5

Self-management support is offered to patients with all chronic conditions (or, for some specialists, sub-acute conditions) prevalent in the practice's patient population (based on need, suitability and patient interest)

11.6

Systematic follow-up occurs for patients with all chronic conditions (or, for some specialists, sub-acute conditions) prevalent in the practice's patient population who are engaged in self-management support to discuss action plans and goals, and provide supportive reminders

PCP and Specialist Guidelines:

- a. Follow-up may occur via phone, email, patient portal, or in person, and must occur on a timely basis appropriate to the patient's needs, either at the time of visits if they are frequent, or in between office visits if they are infrequent.

11.7

Support and guidance in establishing and working towards a self-management goal is offered to every patient, including well patients

11.8

At least one member of PO or practice unit is formally trained through completion of a nationally or internationally-accredited program in self-management support concepts and techniques, and regularly works with appropriate staff members at the practice unit to educate them so they are able to actively use self-management support concepts and techniques.

PCP and Specialist Guidelines:

- a. Training for self-management techniques should include:
 - i. Motivational interviewing
 - ii. Health literacy/identification of health literacy barriers
 - iii. Use of teach-back techniques

- iv. Identification of medical obstacles to self-management
- v. Establishment of problem-solving strategies to overcome barriers of immediate concern to patients
- vi. Systematic follow-up with patients
- b. Practices should seek structured information/approaches/processes, which can be from any legitimate source
- c. Examples of training programs that meet the criteria are available from the PGIP Care Management Resource Center
 - i. Such programs must be sufficiently robust that they provide ample opportunities for learners to practice new self management support skills with individualized feedback as part of the practice experience.

12.0 Patient Web Portal

Applicable to PCPs and specialists.

Patient web portal is a system that supports two-way, secure, compliant communication between the practice and the patient. For capabilities pertaining to patient's use of portal, practice unit staff must be trained in and have implemented this capability, and patients must be able to use it currently.

12.1

Available vendor options for purchasing and implementing a patient web portal system have been evaluated

PCP and Specialist Guidelines:

- a. Assessment of vendor options may be conducted by PO or Practice Unit.

12.2

PO or Practice Unit has assessed liability and safety issues involved in maintaining a patient web portal at any level and developed policies that allow for a safe and efficient exchange of information

PCP and Specialist Guidelines:

- a. Safety issues may include prohibiting electronic communication for emergency situations, etc.
- b. All messages exchanged must be secure and HIPAA compliant.

12.3

Ability for patients to request appointments electronically is activated and available to all patients

12.4

Ability for patients to log and/or graph results of self-administered tests (e.g., daily blood glucose levels) is activated and available to all patients

PCP and Specialist Guidelines:

- a. Option should be available to patients, recognizing that not all patients will choose to use these tools.

12.5

Providers are automatically alerted by system regarding self-reported patient data that indicates a potential health issue

PCP and Specialist Guidelines:

- a. “Flags” may be set using customized parameters for individuals based on their care needs.

12.6

Ability for patients to participate in E-visits is activated and available to all patients

PCP and Specialist Guidelines:

- a. POs and/or Practice Units have developed and implemented protocol for responding to patient messages/requests for e-visits in a consistent and timely manner (e.g., a triage system), using structured online tools.
- b. Please refer to the AAFP guidelines for e-visits for more information. The guidelines are available here:
<http://www.aafp.org/online/en/home/policy/policies/e/evsits.html>

12.7

Providers are using patient portal to send automated care reminders, health education materials, links to community resources, educational websites and self-management materials to patients electronically

PCP and Specialist Guidelines:

- a. Information must be actively transmitted to patients (not merely available on website)

12.8

Patient portal system includes capability for patient to create personal health record, and is activated and available to all patients

PCP and Specialist Guidelines:

- a. Content of personal health record may be defined by PO/Practice Unit, within context of patient portal system.

12.9

Ability for patients to review test results electronically is activated and available to all patients

12.10

Ability for patients to request prescription renewals electronically is activated and available to all patients

12.11

Ability for patients to graph and analyze results of self-administered tests for self-management support purposes is activated and available to all patients

PCP and Specialist Guidelines:

- a. Option should be available to patients, recognizing that not all patients will choose to use these tools

12.12

Ability for patients to have access to view registries and/or electronic medical records online that contain patient personal health information that has been reviewed and released by the provider and/or practice is activated and available to all patients

12.13

Ability for patients to schedule appointments electronically through an interactive calendar is activated and available to all patients

PCP and Specialist Guidelines:

- a. Patients should have the ability to see current available appointments and insert themselves in to the schedule of the practice.

13.0 Coordination of Care

Applicable to PCPs and specialists. When patient is co-managed by PCP and specialist, roles must be clearly defined regarding which provider is responsible for leading care coordination activities.

13.1

For every patient with chronic condition selected for initial focus (or specialty condition), mechanism is established for being notified of each patient admit and discharge or other type of encounter, at facilities with which the physician has admitting privileges or other ongoing relationships

PCP and Specialist Guidelines:

- a. Standards for information exchange have been established among participating organizations to enable timely follow-up with patients.
- b. Facilities must include hospitals, and may include long-term care facilities, home health care, and other ancillary providers.
- c. For specialists, may be limited to patients for whom specialist has lead care management responsibility

13.2

Process is in place for exchanging necessary medical records and discussing continued care arrangements with other providers, including facilities, for all patients with chronic condition selected for initial focus

PCP and Specialist Guidelines:

- a. Patients are encouraged to request that their practice unit be notified of any encounter they may have with other health care facilities and providers (for example, SNFs, rehab facilities, non-primary hospitals)
- b. Practice units are responsible for ensuring that other providers have relevant medical information in a timely manner necessary to make care decisions

13.3

Approach is in place to systematically track care coordination activities for each patient with chronic condition selected for initial focus.

PCP and Specialist Guidelines:

- a. Processes are structured to allow care coordination across other settings of care, and may include:
 - i. Facility name
 - ii. Admit date
 - iii. Origin of admit (ED, referring physician, etc.)
 - iv. Attending physician (if someone other than PCP)
 - v. Discharge date
 - vi. Diagnostic findings
 - vii. Pending tests
 - viii. Treatment plans
 - ix. Complications at discharge

13.4

Process is in place to systematically flag for immediate attention any patient issue that indicates a potentially time-sensitive health issue for all patients with chronic condition selected for initial focus

PCP and Specialist Guidelines:

- a. For example, home monitoring of CHF patient indicates weight gain, or diabetes patient is treated for cellulitis in ER, or a CHF patient has a change in mental health status

13.5

Process is in place to ensure that written transition plans are developed, in collaboration with patient and caregivers, where appropriate, for patients with chronic condition selected for initial focus who are leaving the practice (i.e., because they are moving, going into a long-term care facility, or choosing to leave the practice).

PCP and Specialist Guidelines:

- a. Caregivers may include nurse, social workers, or other individuals involved in the patient's care

- b. Practice units are responsible for ensuring that written transition plan is provided in a timely manner so that patient can receive needed care
- c. Transition plan must consist of either a written summary or clear, concise excerpts from the medical record containing diagnoses, procedures, current medications, and other information relevant during the transition period (e.g., upcoming needed services, prescription refills)
- d. A copy of the transition plan must be provided to the patient
- e. Inability to develop collaborative plan due to voluntary, precipitous departure of patient from the practice, or unwillingness of the patient to participate, would not constitute failure to meet the requirements of 13.5

13.6

Process is in place to coordinate care with payer case manager for patients with complex or catastrophic conditions

PCP and Specialist Guidelines:

- a. Process may be directed by PO or practice unit
- b. Process should include ability to respond to and coordinate with payor case managers when the patient is enrolled in formal case management program
- c. Process should include ability to contact health plan case managers when, in the clinician's judgment, unusual circumstances may warrant the coverage of non-covered services, particularly to avoid inpatient admissions or use of other higher-cost services

13.7

Practice has written procedures and/or guidelines on care coordination processes, and appropriate members of care team are trained on care coordination processes and have clearly defined roles within that process

PCP and Specialist Guidelines:

- a. Written procedures and/or guidelines are developed for each phase of the care coordination process
- b. The procedures or guidelines are developed by either the PO or practice unit
- c. Training/education of members of care team are conducted by either the PO or practice

13.8

Care coordination capabilities as defined in 13.1-13.7 are extended to all patients with chronic conditions that need care coordination assistance

PCP and Specialist Guidelines:

- a. Written procedures and/or guidelines on care coordination processes may be developed by the PO or practice

13.9

Coordination capabilities as defined in 13.1-13.7 are extended to all patients that need care coordination assistance

13.10

Following hospital discharge, a tracking method is in place to apply the practice's defined hospital discharge follow-up criteria, and those patients eligible receive individualized transition of care phone call or face-to-face visit within 24-48 hours

PCP and Specialist Guidelines:

- a. Hospital discharge follow-up criteria is defined by the practice

14.0 Specialist Pre-Consultation and Referral Process

14.1

Documented procedures are in place to guide each phase of the specialist referral process – including desired timeframes for appointment and information exchange - for preferred or high volume providers

PCP Guidelines:

- a. Practice unit has defined parameters for specialist referral process, including timeframes, scheduling process, transfer of patient information to specialist, and reporting of results from specialist(s), for preferred and high-volume providers
 - i. Parameters include procedures to ensure that specialists are being given the information they need prior to appointments

Specialist Guidelines:

- a. Practice unit has defined parameters for specialist referral process, including when patient is being referred from PCP to specialist, and when specialist is referring to another sub-specialty, for preferred and high-volume providers
 - i. Parameters must define timeframes, scheduling process, transfer of patient information from referring physician to specialist, and reporting of results
 - ii. Parameters include procedures to ensure that PCPs are providing the information needed by specialist prior to appointments

14.2

Documented procedures are in place to guide each phase of the specialist referral process – including desired timeframes for appointment and information exchange – for other key providers

PCP Guidelines:

- a. Other key providers are defined as those to whom patient is referred to manage an uncommon chronic condition of special importance to the patient's well-being

Specialist Guidelines:

- a. Other key providers are defined as PCPs who refer patients for management of an uncommon chronic condition of special importance to the patient's well-being

14.3

Directory is maintained listing specialists to whom patients are routinely referred

PCP Guidelines:

- a. Practice Units have defined and validated the criteria which are most important to them when referring patients to a specialist, and revise or update database of preferred physicians regularly

Specialist Guidelines:

- a. For PCPs with whom the specialist shares a meaningful number of patients, specialists will provide PCPs or POs with information needed to maintain the PCP's directory
 - i. Information should include current contact information (phone, address, fax, list of key contacts: office manager, appt scheduler), provider updates (new providers or if providers left practice), new procedures/techniques available, any insurance changes, and a summary of any other key changes in the practice (EMR, patient portal)
 - ii. Specialist must contact PCP or PO to validate information at least annually and update when necessary

14.4

PO or Practice Unit has developed specialist referral materials supportive of process and individual patient needs

PCP Guidelines:

- a. Referral materials for processing the referral in the PCP office and for receipt by the specialist include the following information:
 - i. Basic information about the specialist, including name, office location and hours
 - ii. Expectations about the specialist visit: e.g., consultation, test/procedure, transfer of responsibility for patient management
 - iii. Expected duration of specialist involvement, if PCP is able to determine in advance
 - iv. How quickly patient should see the specialist
 - v. Referral materials may be provided to specialist and patient (where appropriate for patient) in writing or via email
 - If referral materials are not appropriate for patient, verbal or other communication mechanism may be used to ensure patient understands timeframe and purpose of referral

Specialist Guidelines:

- a. Processes are in place to ensure PCP referral materials are used appropriately by the specialist and other team members in the specialist office
- b. Specialist practice must provide patient with a summary of the specialist appointment, including:
 - i. Diagnosis, medication changes, plan of care

- i. Expected duration of specialist involvement
- ii. When the patient should return to the specialist and when should the patient return to the PCP
- c. Visit information must be provided to patient in writing at time of visit

14.5

Practice Unit or designee routinely makes specialist appointments on behalf of patients

PCP Guidelines:

- a. Practice Units may coordinate with central scheduling office or specialist office to have appointments made on behalf of patients in timely manner
- b. Exceptions may be made if patient prefers to make own appointment, but follow-up should then occur to ensure that patient was able to secure appointment in a timely manner

Specialist Guidelines:

- a. Specialist coordinates with PCPs to make appointments for patients when requested to do so by PCP
- b. Responsibility for notifying patient of appointment date and time is clearly established
- c. Specialists schedule any out of office or sub-specialist referrals and notifies PCP of these appointments

14.6

Each facet of the interaction between preferred/high volume specialists and the PCPs at the Practice Unit level is automated by using electronically-based tools and processes to avoid duplication of testing and prescribing across multiple care settings

PCP Guidelines:

- a. Practice Units have built processes into existing patient registry, portal system, or EMR, or utilize other tools (e.g. Fusion by CareFX)
- b. Policies have been developed to ensure safe, HIPAA compliant information exchange for all information related to the specialist referral process

Specialist Guidelines:

- a. Specialist has capability to accept electronically-generated referrals via patient registry, portal system, or EMR, or other tools (e.g. Fusion by CareFX)
- b. Policies have been developed to ensure safe, HIPAA compliant information exchange for all information related to the specialist referral process

14.7

For all specialist and sub-specialist visits deemed important to the patient's well-being, process is in place to determine whether or not patients completed the specialist referral in a timely manner, reasons they did not seek care if applicable, additional sub-specialist visits that

occurred, specialist recommendations, and whether patients received recommended services

PCP Guidelines:

- a. System must be in place to determine whether the patient was seen, to identify what was done or recommended and whether the recommendations, including testing, procedures or follow up visits, occurred.
- b. The patient's care plan should be updated to reflect the specialist results and recommendations

Specialist Guidelines:

- a. System is in place to inform PCPs when patients are seen, identify what was done or recommended and whether the recommendations, including testing, procedures or follow up visits, occurred.
 - i. If patient is not seen, specialist conducts outreach to patient and PCP is notified

14.8

Appropriate Practice Unit staff are trained on all aspects of the specialist referral process

14.9

Practice Unit regularly evaluates patient satisfaction with most commonly used specialists, to ensure physicians are referring patients to specialists that meet their standards for patient-centered care

PCP Guidelines:

- a. Evaluation of patient satisfaction may consist of conversations between clinician and patient following specialist visit, patient satisfaction survey results from specialist office, or formal survey conducted by the primary care practice
- b. Results must be quantified, aggregated, and tracked over time
- c. Evaluation should be conducted at least annually
- d. If specialists are not meeting standards for patient-centered care, timely follow-up occurs (e.g., PCP may contact specialist's office to discuss concerns; referral patterns may be modified)

Specialist Guidelines:

- a. Specialist conducts patient satisfaction survey and provides results to referring PCPs

14.10

Physician-to-physician pre-consultation exchanges are used to clarify need for referral and enable PCP to obtain guidance from specialists and subspecialists, ensuring optimal and efficient patient care

PCP Guidelines:

- a. Documented procedures are in place outlining processes to be followed for pre-consultation exchanges and related documentation

Specialist Guidelines:

- a. Specialist practice has mechanism in place to ensure PCP access to timely pre-consultation exchanges