



## Professionals Advocate Self-Assessment Form

### **PURPOSE:**

The purpose of the self-assessment form is to highlight those areas within the non-clinical aspect of office practice including documentation of medical records, which have been identified as variables that can create problem practice patterns. By facing one's awareness of potential problem practice patterns, the opportunity is yours to intervene and change those systems in order to reduce the likelihood of adverse effects on patient care. Medical record charting, patient scheduling, prescriptions and communication with patients are a few of the more common activities, which may affect the likelihood, or course of litigation.

### **DISCLAIMER:**

The elements of the Risk Management Self Assessment Form should be viewed as a tool to aid in establishing systems and practices that will enhance patient care and safety. It is not a substitute for sound professional judgment. The form is intended to be educational and is meant to be adapted to the individual nature of your practice.

This self-assessment form is not intended to be nor should it be viewed as legal, or other professional advice. If specific legal or other expert assistance is required, the services of a competent professional should be sought.

## Part I. External Office Systems

1. Privacy and confidentiality of patient information is maintained. Describe: _____ _____	Always	Sometimes	Never
2. The staff answers the phone in a professional manner, with an introduction and identifying themselves.	Always	Sometimes	Never
3. The staff asks for the patients' permission prior to placing them on hold.	Always	Sometimes	Never
4. There is a written procedure for telephone triage.	Yes	No	
5. There is a written procedure for the scheduling of appointments.	Yes	No	
6. Messages are written on telephone message slips. If never – describe: _____ _____	Always	Sometimes	Never
7. Messages are permanently affixed to the office chart.	Always	Sometimes	Never
8. Medical information is only given out by the physician or designated medical personnel under written guidelines.	Always	Sometimes	Never
9. The answering service/machine is checked for messages every day at designated times.	Always	Sometimes	Never
10. The answering service/machine messages are documented.	Always	Sometimes	Never
11. All calls are returned by the end of the day. If sometimes/never describe: _____ _____	Always	Sometimes	Never
12. The physician accepts calls when requested to do so by the staff.	Always	Sometimes	Never
13. The appointment schedule allows for emergency or other same-day appointments. Describe your process: _____ _____	Always	Sometimes	Never
14. Missed and cancelled appointments are documented in the chart.	Always	Sometimes	Never
15. Patients who need to return are given a follow-up appointment prior to leaving the office.	Always	Sometimes	Never
16. The staff follows up and tracks missed and cancelled appointments, and this is documented in the medical record. Describe: _____ _____	Always	Sometimes	Never
17. Patients are notified of lab results in a timely manner. Describe your process: _____ _____	Always	Sometimes	Never

18. Prescription pads are kept out of sight of patients.	Always	Sometimes	Never
19. Controlled or restricted drugs are properly secured.	Always	Sometimes	Never
20. The staff renews prescriptions without a physician's approval. Describe: _____ _____	Always	Sometimes	Never
21. Chart entries are dated and signed.	Always	Sometimes	Never
22. Corrections made to the chart are made in chronological order, dated and signed.	Always	Sometimes	Never
23. Office chart contents are affixed to the chart jacket.	Always	Sometimes	Never
24. The office uses medication logs for the tracking of medications.	Always	Sometimes	Never
25. All lab work, diagnostic tests and consults are attached to the chart for review by the physician.	Always	Sometimes	Never
26. There is a follow-up and tracking system for lab work for certainty of completion. Describe: _____ _____	Always	Sometimes	Never
27. Staff follow-up actions regarding referrals and consults are documented.	Always	Sometimes	Never
28. The office has a patient reminder system for repeat examinations, (i.e., paps, etc.)	Always	Sometimes	Never
29. The office has a follow-up tracking system for repeat exams. Describe: _____ _____	Always	Sometimes	Never
30. After-hours calls are documented by the physician.	Always	Sometimes	Never
31. Appropriate, aggressive collection action can be pursued without the treating physician's approval.	Always	Sometimes	Never
32. Handwashing techniques are used between patients and as necessary.	Always	Sometimes	Never
33. At least one staff member that is CPR certified is on duty during office hours.	Always	Sometimes	Never
34. Mid-level practitioners have written practice specific protocols, (i.e., co-signatures; prescription protocol, new patient). Describe: _____ _____	Always	Sometimes	Never
35. The practice has a procedure for terminating physician-patient relationship. Describe: _____ _____	Yes	No	

## Part II. Internal Charting System

1. A complete and adequate record is obtained on each visit, to include the following: Describe how frequently each is updated?			
A. Name	Always	Sometimes	Never
B. Date of Birth	Always	Sometimes	Never
C. Address	Always	Sometimes	Never
D. Phone Number	Always	Sometimes	Never
E. Next of Kin (or Significant Other)	Always	Sometimes	Never
F. Current Insurance Information	Always	Sometimes	Never
G. History & Physical	Always	Sometimes	Never
H. Allergies & Adverse Reactions	Always	Sometimes	Never
I. Chief Complaint	Always	Sometimes	Never
J. Medication Sheet	Always	Sometimes	Never
K. Problem List	Always	Sometimes	Never
2. Informed consent process done by the physician and documented for all procedures and medications, including risks, complications and alternatives.	Always	Sometimes	Never
3. All telephone calls regarding patient care are documented.	Always	Sometimes	Never
4. The chart is organized in a consistent manner.	Always	Sometimes	Never
5. There is an organized format for notes (i.e., SOAP).	Always	Sometimes	Never
6. All lab work, diagnostic studies, referrals, etc. are reviewed, initialed and dated by the <u>physician</u> prior to being filed. Describe your process: _____ _____	Always	Sometimes	Never
7. Chart notes are legible.	Always	Sometimes	Never
8. Dates for return visits documented. Describe your process: _____ _____	Always	Sometimes	Never
9. Prescriptions and refills are noted and initialed.	Always	Sometimes	Never
10. Decision-making process is documented.	Always	Sometimes	Never
11. Working diagnosis is documented and consistent with findings.	Always	Sometimes	Never
12. Treatment plan documented and consistent with diagnosis.	Always	Sometimes	Never
13. Office charts are routinely taken outside the office practice facility. Describe: _____ _____	Always	Sometimes	Never

14. Dictated notes are reviewed and signed by the physician.	Always	Sometimes	Never
15. Allergies are <u>prominently</u> noted.	Always	Sometimes	Never
16. Follow-up instructions are documented.	Always	Sometimes	Never
17. Post-op instructions are documented.	Always	Sometimes	Never
18. Communication with consultants and/or primary care physician documented.	Always	Sometimes	Never



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