

Department of Veterans Affairs Office of Inspector General

Office of Healthcare Inspections

Report No. 13-03421-49

Community Based Outpatient Clinic and Primary Care Clinic Reviews at White River Junction VA Medical Center White River Junction, Vermont

January 22, 2014

Washington, DC 20420

To Report Suspected Wrongdoing in VA Programs and Operations Telephone: 1-800-488-8244 E-Mail: <u>vaoighotline@va.gov</u> (Hotline Information: <u>www.va.gov/oig/hotline</u>)

Glossary AUD alcohol use disorder CBOC community based outpatient clinic DWHP designated women's health provider EHR electronic health record EOC environment of care FY Fiscal year MI Motivational Interviewing MM Medication management NA not applicable NM not met OIG Office of Inspector General PACT Patient Aligned Care Teams PCC primary care clinic ΡII personally identifiable information RN registered nurse VHA Veterans Health Administration Veterans Integrated Service Network VISN WH women's health

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Executive Summary

Review Purpose: The purpose of the review was to evaluate selected patient care activities to determine whether the community based outpatient clinics (CBOCs) and primary care clinics (PCCs) provide safe, consistent, and high-quality health care for our veterans. We conducted a site visit during the week of December 2, 2013, at the Brattleboro CBOC, Brattleboro, VT, which is under the oversight of the White River Junction VA Medical Center and Veterans Integrated Service Network 1.

Review Results: The review covered four activities. We made no recommendations in the Designated Women's Health Providers' Proficiency review. However, we made recommendations in the following review areas.

Environment of Care. Ensure that:

• Personally identifiable information is protected by appropriately securing laboratory specimens during transport from the Brattleboro CBOC to the White River Junction VA Medical Center.

Alcohol Use Disorder. Ensure that CBOC/PCC:

• Registered Nurse Care Managers receive motivational interviewing and health coaching training within 12 months of appointment to PACT.

Medication Management. Ensure that CBOC/PCC:

 Staff document that medication reconciliation was completed at each episode of care where the newly prescribed fluoroquinolone was administered, prescribed, or modified.

Comments

The VISN and Facility Directors agreed with the CBOC review findings and recommendations and provided acceptable improvement plans. (See Appendixes C and D, pages 14–17, for the full text of the Directors' comments.) We will follow up on the planned actions until they are completed.

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JOHN D. DAIGH, JR., M.D. Assistant Inspector General for Healthcare Inspections

Objectives, Scope, and Methodology

Objectives

The CBOC and PCC reviews are an element of the OIG's efforts to ensure that our Nation's veterans receive high-quality VA health care services. As such, the CBOC and PCC reviews are recurring evaluations of selected primary care operations that focus on patient care quality and the EOC. In general, our objectives are to:

- Determine whether the CBOCs are compliant with EOC requirements.
- Determine whether CBOCs/PCCs are compliant with VHA requirements in the care of patients with AUD.
- Determine compliance with requirements for the clinical oversight and patient education of fluoroquinolones for outpatients.
- Evaluate if processes are in place for DWHPs to maintain proficiency in WH.

Scope

To evaluate for compliance with requirements related to patient care quality and the EOC, we conducted an onsite inspection, reviewed clinical and administrative records, and discussed processes and validated findings with managers and employees. The review covered the following four activities:

- EOC
- AUD
- MM
- DWHP Proficiency

The scope of this review is limited to the established objectives. Issues and concerns that come to our attention that are outside the scope of this standardized inspection will be reviewed and referred accordingly.

Methodology

The onsite EOC inspection was only conducted at a randomly selected CBOC that had not been previously inspected.^a Details of the targeted study populations for the AUD, MM, and DWHP Proficiency focused reviews are noted in Table 1.

^a Includes 93 CBOCs in operation before March 31, 2013.

Review Topic	Study Population
AUD	All CBOC and PCC patients screened within the study period of July 1, 2012, through June 30, 2013, and who had a positive AUDIT-C score ^b and all providers and RN Care managers assigned to PACT prior to October 1, 2012.
MM	All outpatients with an original prescription ordered for one of the three selected fluoroquinolones from July 1, 2012, through June 30, 2013.
DWHP Proficiencies	All WH Primary Care Providers designated as DWHPs as of October 1, 2012, and who remained as DWHPs until September 30, 2013.

Table 1. CBOC/PCC Focused Reviews and Study Populations

In this report, we make recommendations for improvement. Recommendations pertain to issues that are significant enough to be monitored by the OIG until corrective actions are implemented.

The review was done in accordance with OIG standard operating procedures for CBOC and PCC reviews.

^b The AUDIT-C is a brief alcohol screen that reliably identifies patients who are hazardous drinkers or have active alcohol use disorders. Scores range from 0-12.

Results and Recommendations

EOC

The purpose of this review was to evaluate whether CBOC managers have established and maintained a safe and clean EOC as required.¹

We reviewed relevant documents and conducted a physical inspection of the Brattleboro CBOC. The table below shows the areas reviewed for this topic. The area marked as NM did not meet applicable requirements and needed improvement.

Table 2. EOC

NM	Areas Reviewed	Findings
	The CBOC's location is clearly identifiable	
	from the street as a VA CBOC.	
	The CBOC has interior signage available that	
	clearly identifies the route to and location of	
	the clinic entrance.	
	The CBOC is Americans with Disabilities Act	
	accessible.	
	The furnishings are clean and in good repair.	
	The CBOC is clean.	
	The CBOC maintains a written, current	
	inventory of hazardous materials and waste	
	that it uses, stores, or generates.	
	An alarm system and/or panic buttons are	
	installed in high-risk areas (e.g., Mental Health	
	clinic).	
	Alcohol hand wash or soap dispenser and	
	sink are available in the examination rooms.	
	Sharps containers are secured.	
	Safety needle devices are available.	
	The CBOC has a separate storage room for	
	storing medical (infectious) waste.	
	The CBOC conducts fire drills at least every	
	12 months.)	
	Means of egress from the building are	
	unobstructed.	
	Access to fire alarm pull stations is	
	unobstructed.	
	Access to fire extinguishers is unobstructed.	
	The CBOC has signs identifying the locations	
	of fire extinguishers.	
	Exit signs are visible from any direction.	
	No expired medications were noted during the	
	onsite visit.	
	All medications are secured from	
	unauthorized access.	

X	PII is protected on laboratory specimens during transport so that patient privacy is maintained.	PII was not protected on laboratory specimens during transport.
	Adequate privacy is provided to patients in examination rooms.	
	Documents containing patient identifiable information are not visible or unsecured.	
	Window coverings provide privacy.	
	The CBOC has a designated examination room for women veterans.	
	Adequate privacy is provided to women veterans in the examination room.	
	The information technology network room/server closet is locked.	
	All computer screens are locked when not in use.	
	Staff use privacy screens on monitors to prevent unauthorized viewing in high-traffic areas.	
	EOC rounds are conducted semi-annually (at least twice in a 12-month period).	
	The CBOC has an automated external defibrillator.	
	Safety inspections are performed on the CBOC medical equipment in accordance with Joint Commission standards.	
	The parent facility includes the CBOC in required education, training, planning, and participation leading up to the annual disaster exercise.	
	The parent facility's Emergency Management Committee evaluates CBOC emergency preparedness activities, participation in annual disaster exercise, and staff training/education relating to emergency preparedness requirements.	

Recommendation

1. We recommended that managers ensure that PII is protected by securing laboratory specimens during transport from the Brattleboro CBOC to the White River Junction VA Medical Center.

AUD

The purpose of this review was to determine whether the facility's CBOCs and PCCs complied with selected alcohol use screening and treatment requirements.²

We reviewed relevant documents. We also reviewed 40 EHRs and validated findings with key managers and staff. The table below shows the areas reviewed for this topic. The areas marked as NM did not meet applicable requirements and needed improvement.

Table 3. AUD

NM	Areas Reviewed	Findings
	Alcohol use screenings are completed during	
	new patient encounters, and at least annually.	
	Diagnostic assessments are completed for	
	patients with a positive alcohol screen.	
	Education and counseling about drinking	
	levels and adverse consequences of heavy	
	drinking are provided for patients with positive	
	alcohol screens and drinking levels above	
	National Institute on Alcohol Abuse and	
	Alcoholism guidelines.	
	Documentation reflects the offer of further	
	treatment for patients diagnosed with alcohol	
	dependence.	
	For patients with AUD who decline referral to	
	specialty care, CBOC/PCC staff monitored them and their alcohol use.	
	Counseling, education, and brief treatments	
	for AUD are provided within 2 weeks of	
	positive screening.	
Х	CBOC/PCC RN Care Managers have	We found that 12 of 12 RN Care Managers did
~	received MI training within 12 months of	not receive MI training within 12 months of
	appointment to PACT.	appointment to PACT.
Х	CBOC/PCC RN Care Managers have	We found that 7 of 12 RN Care Managers did
	received National Center for Health Promotion	not receive health coaching training within 12
	and Disease Prevention approved health	months of appointment to PACT.
	coaching training within 12 months of	
	appointment to PACT.	
	The facility complied with any additional	
	elements required by VHA or local policy.	

Recommendation

2. We recommended that CBOC/PCC RN Care Managers receive MI and health coaching training within 12 months of appointment to PACT.

MM

The purpose of this review was to determine whether appropriate clinical oversight and education were provided to outpatients prescribed oral fluoroquinolone antibiotics.³

We reviewed relevant documents. We also reviewed 39 EHRs and validated findings with key managers and staff. The table below shows the areas reviewed for this topic. The area marked as NM did not meet applicable requirements and needed improvement.

Table 4. Fluoroquinolones

NM	Areas Reviewed	Findings
Х	Clinicians documented the medication reconciliation process that included the fluoroquinolone.	We did not find documentation that medication reconciliation included the newly prescribed fluoroquinolone in 29 (74 percent) of 39 patient EHRs.
	Written information on the patient's prescribed medications was provided at the end of the outpatient encounter.	
	Medication counseling/education for the fluoroquinolone was documented in the patients' EHRs.	
	Clinicians documented the evaluation of each patient's level of understanding for the education provided.	
	The facility complied with local policy.	

Recommendation

3. We recommended that staff document that medication reconciliation was completed at each episode of care where the newly prescribed fluoroquinolone was administered, prescribed, or modified.

DWHP Proficiency

The purpose of this review was to determine whether the facility's CBOCs and PCCs complied with selected DWHP proficiency requirements.⁴

We reviewed the facility self-assessment, VHA and local policies, Primary Care Management Module data, and supporting documentation for DWHPs' proficiencies. The table below shows the areas reviewed for this topic. The facility generally met requirements. We made no recommendations.

Table 5. DWHP Proficiency

NM	Areas Reviewed	Findings
	CBOC and PCC DWHPs maintained	
	proficiency requirements.	
	CBOC and PCC DWHPs were designated	
	with the WH indicator in the Primary Care	
	Management Model.	

Appendix A

CBOC Profiles

This review evaluates the quality of care provided to veterans at all of the CBOCs under the parent facility's oversight.^c The table below provides information relative to each of the CBOCs.

						Uniques ^d			Encounters ^d			
Location	State	Station #	Locality ^e	CBOC Size ^f	MH ^g	PC ^h	Other ⁱ	All	MH ^g	PC ^h	Other ⁱ	All
Colchester	VT	405HA	Urban	Mid-Size	957	4,301	3,193	4,860	8,356	9,954	10,064	28,374
VICC - St. Johnsbury - Littleton	NH	405HC	Rural	Mid-Size	401	2,440	663	2,656	2,760	6,387	928	10,075
Bennington	VT	405GA	Rural	Mid-Size	382	1,583	1,274	1,775	3,627	5,324	5,317	14,268
Rutland	VT	405HF	Rural	Small	146	1,407	520	1,494	777	3,452	918	5,147
Brattleboro	VT	405GC	Rural	Small	264	598	335	747	2,253	2,270	1,119	5,642

^c Includes all CBOCs in operation before March 31, 2013.

^d Unique patients and Total Encounters – Source: MedSAS outpatient files; completed outpatient appointments indicated by a valid stop code during the July 1, 2012, through June 30, 2013, timeframe at the specified CBOC.

^e http://vaww.pssg.med.va.gov/PSSG/DVDC/FY2013_Q1_VAST.xlsx

^f Based on the number of unique patients seen as defined by VHA Handbook 1160.01, *Uniform Mental Health Services in VA Medical Centers and Clinics*, September 11, 2008, the size of the CBOC facility is categorized as very large (> 10,000), large (5,000-10,000), mid-size (1,500-5,000), or small (< 1,500).

^g Mental Health includes stop codes in the 500 series, excluding 531 and 563, in the primary position.

^h Primary Care includes the stop code list in the primary position: 323 – Primary Care; 322 – Women's Clinic; 348 – Primary Care Group; 350 – Geriatric Primary Care; 531 – MH Primary Care Team-Individual; 563 – MH Primary care Team-Group; 170 – Home Based Primary Care (HBPC) Physician.

ⁱ All other non-Primary Care and non-MH stop codes in the primary position.

CBOC Services Provided

In addition to primary care integrated with WH and Mental Health care, the CBOCs provide various specialty care, ancillary, and tele-health services. The following table lists the services provided at each CBOC.^j

СВОС	Specialty Care Services ^k Ancillary Service		Tele-Health Services ^m
Colchester	Optometry	Audiology	Tele Primary Care
	Podiatry	MOVE! Program ⁿ	
	Cardiology	Electrocardiography	
VICC - St. Johnsbury -		Electrocardiography	Tele Primary Care
Littleton		Rehabilitation	
Bennington		MOVE! Program	Tele Primary Care
		Hypertension	
		Electrocardiography	
		Rehabilitation	
Rutland		Rehabilitation	Tele Primary Care
Brattleboro	Podiatry	Rehabilitation	Tele Primary Care
		MOVE! Program	

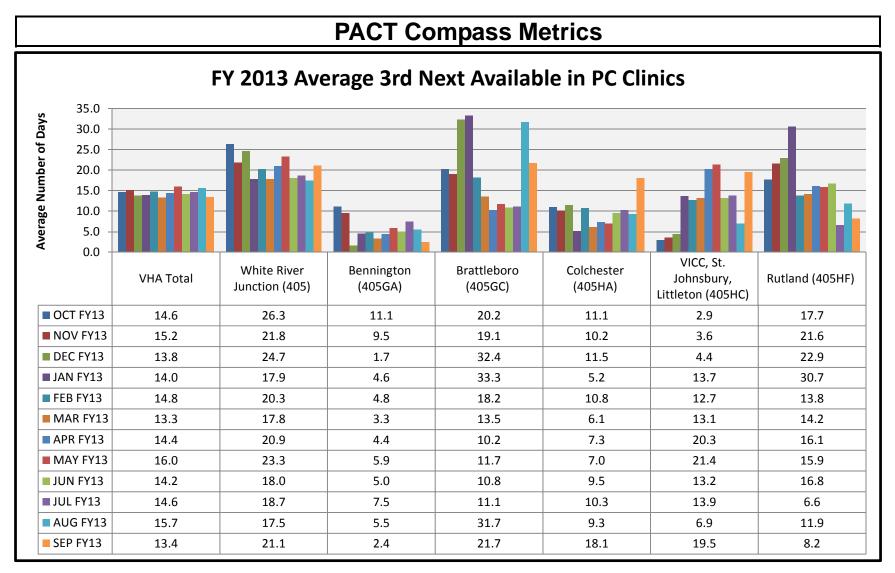
^j Source: MedSAS outpatient files; the denoted Specialty Care and Ancillary Services are limited to Primary Clinic Stops with a count \geq 100 encounters during the July 1, 2012, through June 30, 2013, timeframe at the specified CBOC.

^k Specialty Care Services refer to non-Primary Care and non-Mental Health services provided by a physician.

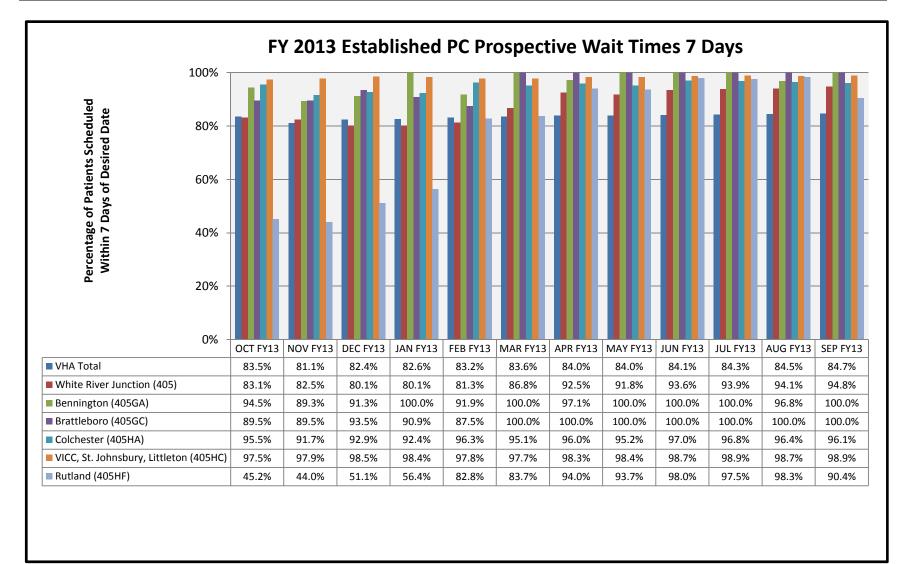
¹Ancillary Services refer to non-Primary Care and non-Mental Health services that are not provided by a physician. ^m Tele-Health Services refer to services provided under the VA Telehealth program (http://www.telehealth.va.gov/)

ⁿ VHA Handbook 1120.01, MOVE! Weight Management Program for Veterans, March 31, 2011.

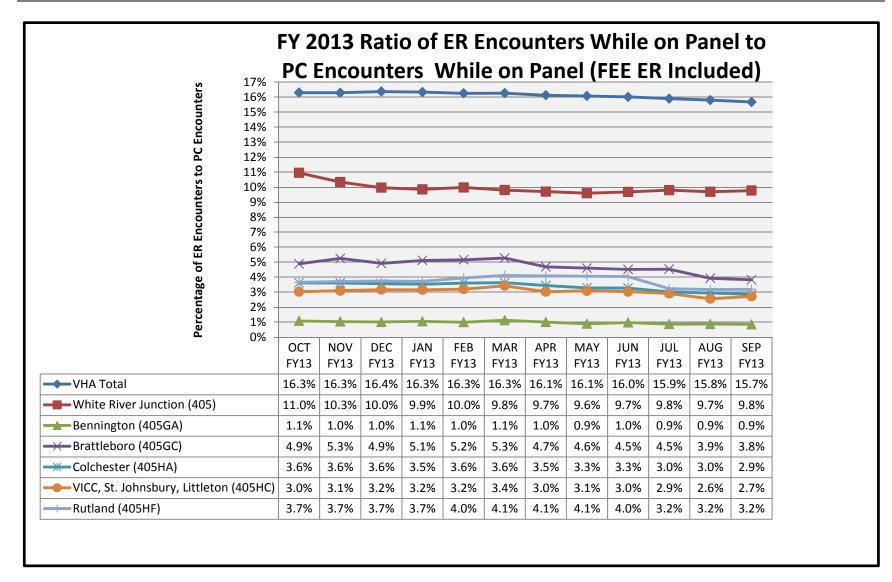
Appendix B



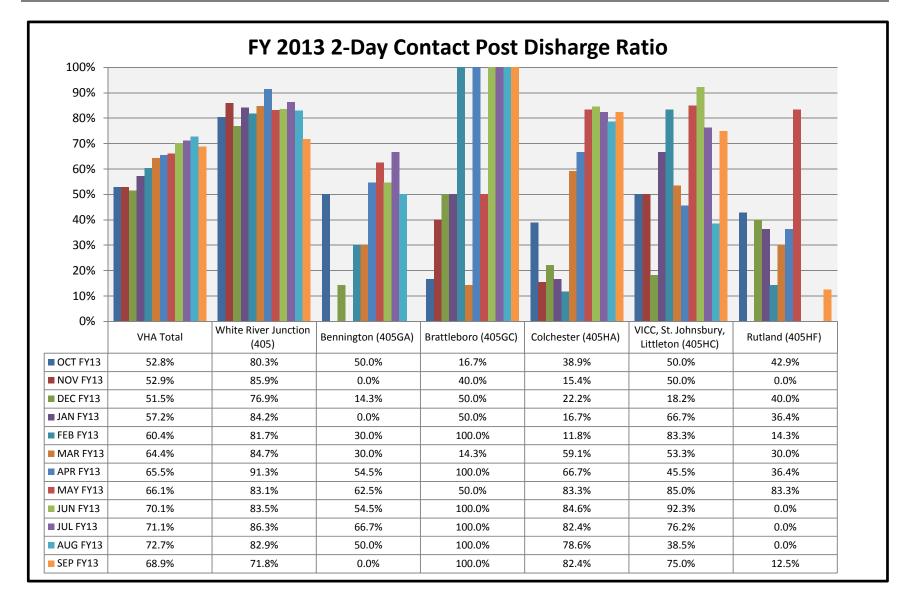
Data Definition.⁵ The average waiting time in days until the next third open appointment slot for completed primary care appointments in stop code 350. Completed appointments in stop code 350 for this metric include completed appointments where a 350 stop code is in the primary position on the appointment or one of the telephone stop codes is in the primary position, and 350 stop code is in the secondary position. The data is averaged from the national to the division level.



Data Definition.⁵ The percent of patients scheduled within 7 days of the desired date. Data source is the Wait Times Prospective Wait Times measures. The total number of scheduled appointments for primary care-assigned patients in primary care clinics 322, 323 and 350. Data is collected twice a month on the 1^{st} and the 15th. Data reported is for the data pulled on the 15th of the month. There is no FY to date score for this measure.



Data Definition.⁵ This is a measure of where the patient receives his or her primary care and by whom. A low percentage is better. The formula is the total VHA ER/Urgent Care/FEE ER Encounters WOP (including FEE ER visits) *divided by* the number of primary care encounters WOP with the patient's assigned primary care (or associate) provider plus the total VHA ER/Urgent Care/FEE ER Encounters (including FEE ER visits) WOP plus the number of primary care encounters WOP with a provider other than the patient's PCP/AP.



Data Definition.⁵ Total Discharges Included in 2-day Contact Post Discharge Ratio: The total VHA and FEE Inpatient Discharges for assigned primary care patients for the reporting timeframe. Discharges resulting in death and discharges where a patient is readmitted within 2 days of discharge are excluded from this metric.

VISN Director Comments

•	artment of erans Affairs	Memorandum
Date:	December 31, 2013	
From:	Director, VA New Eng VISN 1 (10N1)	land Healthcare System,
Subject:		iews of the White River Junction VA e River Junction, VT
To:	Director, Bedford Offic	ce of Healthcare Inspections (54BN)
	Director, Managemer OIG CAP CBOC)	nt Review Service (VHA 10AR MRS
Community	Based Outpatient Clini	vith the action plans regarding the c and Primary Care Clinic Reviews at enter, White River Junction, VT.
Sincerely,		
(original sign	ed by:)	
Michael Ma Network Di	yo-Smith, MD, MPH rector	

Appendix D

Facility Director Comments

	artment of rans Affairs		Memoran	dum
Vele			Memorali	uum
Date:	December 31, 201	3		
From:	Director, White Riv River Junction, VT		VA Medical Center	, White
Subject:	CBOC and PCC F Medical Center, V			unction VA
То:	Director, VA Nev (10N1)	/ England	Healthcare Syste	m VISN 1
Community	viewed and concur Based Outpatient C Junction VA Medica	linic and P	rimary Care Clinic	Reviews at
Sincerely,				
(original signe	ed by:)			
Deborah Ar Medical Ce	ndur nter Director			

Comments to OIG's Report

The following Director's comments are submitted in response to the recommendations in the OIG report:

OIG Recommendations

Recommendation 1. We recommended that managers ensure that PII is protected by appropriately securing laboratory specimens during transport from the Brattleboro CBOC to the White River Junction VA Medical Center.

Concur

Target date for completion: January 6, 2014

Facility response: The facility concurs with this recommendation. Effective Monday January 6, 2014, WRJ CBOCs (7) will implement use of secure tamper-evident opaque specimen transport units. This system scheduled for implementation meets necessary security requirements as recommended by OIG and the VISN 1 Lab QA Manager.

Recommendation 2. We recommended that CBOC/PCC RN Care Managers receive MI and health coaching training within 12 months of appointment to PACT.

Concur

Target date for completion: See below

Facility response: The facility concurs with this recommendation. The following action plan is in place:

TEACH Training:

- 1. RN Care Managers identified as deficient in TEACH training as of December 30, 2013 will complete TEACH training as part of annual All Employee Education Days scheduled to take place on February 11, 2014.
- 2. Effective January 1, 2014, assignment of TEACH training will be initiated at job hire and tracked through the TMS system. TEACH training will be completed within 12 months of appointment to PACT.

MI Training:

RN Care Managers identified as deficient in MI training as of December 30, 2013, will complete MI training on or before the facility 2014 August All Employee Education Days.

Effective January 1, 2014, assignment of MI training will be initiated at job hire and tracked through the TMS system. MI training will be completed within 12 months of appointment to PACT.

Recommendation 3. We recommended that staff document that medication reconciliation was completed at each episode of care where the newly prescribed fluoroquinolone was administered, prescribed, or modified.

Concur

Target date for completion: March 1, 2014

Facility response: The facility concurs with this recommendation. Local facility policy addressing requirements for medication reconciliation is under development and will be published by February 15, 2014. In addition, compliance with requirements for medication reconciliation will be monitored through the facility Medical Records Committee with quarterly oversight reporting to the Chief of Staff, through the Clinical Executive Board (CEB). Medical Records monitoring is scheduled to begin March 1, 2014.

Contact	For more information about this report, please contact the OIG at (202) 461-4720.
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OIG Contact and Staff Acknowledgments

Report Distribution

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Senate Committee on Homeland Security and Governmental Affairs
National Veterans Service Organizations
Government Accountability Office
Office of Management and Budget
U.S. Senate: Patrick Leahy, Bernard Sanders
U.S. House of Representatives: Peter Welch

This report is available at www.va.gov/oig.

Endnotes

¹ References used for the EOC review included:

- US Access Board, Americans with Disabilities Act Accessibility Guidelines (ADAAG), September 2, 2002.
- US Department of Health and Human Services, Health Insurance Portability and Accountability Act, *The Privacy Rule*, August 14, 2002.
- US Department of Labor, Occupational Safety and Health Administration, Laws and Regulations.
- US Department of Labor, Occupational Safety and Health Administration, *Guidelines for Preventing Workplace Violence*, 2004.
- Joint Commission, Joint Commission Comprehensive Accreditation and Certification Manual, July 1, 2013.
- VA Directive 0324, Test, Training, Exercise, and Evaluation Program, April 5, 2012.
- VA Directive 0059, VA Chemicals Management and Pollution Prevention, May 25, 2012.
- VA Handbook 6500, Risk Management Framework for VA Information System, September 20, 2012.
- VHA Center for Engineering, Occupational Safety, and Health, *Emergency Management Program Guidebook*, March 2011.
- VHA Center for Engineering, Occupational Safety, and Health, *Online National Fire Protection Association Codes, Standards, Handbooks, and Annotated Editions of Select Codes and Standards*, July 9, 2013.
- VHA Deputy Under Secretary for Health for Operations and Management, Memorandum: *Environmental Rounds*, March 5, 2007.
- VHA Directive 2011-007, Required Hand Hygiene Practices, February 16, 2011.
- VHA Directive 2012-026, Sexual Assaults & Other Defined Public Safety Incidents in VHA Facilities, September 27, 2012.
- VHA Handbook 1006.1, Planning and Activating Community-Based Outpatient Clinics, May 19, 2004.
- VHA Handbook 1330.01, Health Care Services for Women Veterans, May 21, 2010.
- VHA Handbook 1850.05, Interior Design Operations and Signage, July 1, 2011.
- ² References used for the AUD review included:
- VHA Handbook 1120.02, Health Promotion Disease Prevention (HPDP) Program, July 5, 2012.
- VHA Handbook 1160.01, Uniform Mental Health Services in VA Medical Centers and Clinics, September 11, 2008.

³ References used for the Medication Management review included:

- VHA Directive 2011-012, Medication Reconciliation, March 9, 2011.
- VHA Directive 2012-011, Primary Care Standards, April 11, 2012.
- VHA Handbook 1108.05, Outpatient Pharmacy Services, May 30, 2006.
- VHA Handbook 1108.07, Pharmacy General Requirements, April 17, 2008.

• Joint Commission, *Joint Commission Comprehensive Accreditation and Certification Manual*, July 1, 2013. ⁴ References used for the DWHP review included:

- VHA Deputy Under Secretary for Health for Operations and Management, Memorandum: *Health Care Services for Women Veterans*, Veterans Health Administration (VHA) Handbook 1330.01; Women's Health (WH) Primary Care Provider (PCP) Proficiency, July 8, 2013.
- VHA Handbook 1330.01 Health Care Services for Women Veterans, May 21, 2010.
- VHA Handbook 1100.19, Credentialing and Privileging, November 14, 2008.
- ⁵ Reference used for PACT Compass data graphs:
- Department of Veterans' Affairs, Patient Aligned Care Teams Compass Data Definitions, August 29, 2013.