

Title: Requirements for Outpatient Orders
Area Manual: Administration
Reference Number: I-85
Contact Person: Vice President, Chief Information and Compliance Officer
Replaces Policy: N/A
Scope: Organization wide

Policy:
Outpatient test orders must be written and include all the elements as outlined in this procedure. Orders are processed according to established protocols to ensure accurate test orders and test reporting. The purpose is to ensure that outpatient test orders are properly written and processed in accordance with regulations from New York State (NYS), Medicare, Medicaid and other payer guidelines.

Definitions:
N/A

Procedure:
Authorization for Testing: Saratoga Hospital provides services only at the request of licensed physicians or other person authorized by law. Refer to department specific policies for additional information on provider authorizations.

NOTE:

- Laboratory Services: see attachment for the NYS DOH document "*Persons Authorized to Order Tests*" for additional information on who is authorized to order laboratory tests.
- Nutrition Services: Medical nutrition therapy orders must be signed by the treating physician, either an MD or DO. See "Food and Nutrition Services (I-39)" policy for additional information.

Written Authorization: Saratoga Hospital requires the following information prior to the testing or treatment:

- Name, address and phone number of the provider.
 - Signature of provider or the provider's designee.
 - Electronic signatures are acceptable. Valid electronic signatures usually contain date and timestamps and include printed statements, e.g., "electronically signed by," or verified/reviewed by," followed by the provider's name.
 - Stamps are not considered a valid signature and are never acceptable. This also applies to electronically generated pictures of signatures.
 - Date of order: order is valid for one year from the date of issue. Standing orders are valid for six months.
 - Patient's full name and date of birth.
 - Diagnosis for each test requested.
 - Name of tests/procedures, legibly written.
1. Orders must be on a valid Saratoga Hospital requisition or valid physician script. Requisitions from other facilities are also accepted provided all the required information is documented.
 2. Appropriate personnel must review all orders to ensure all essential data elements are present. If the required information is missing or not legible, staff members receiving the outpatient order must obtain the required information. It is contrary to hospital policy to try to decipher an illegible order.
 3. Verbal clarification for missing diagnosis is acceptable, but must be documented on the requisition. Document on the requisition:
 - Information obtained
 - Name of the authorized person providing the information.
 - Date and time information was provided.

Initials of the person requesting the information.

4. Every effort should be made to obtain the information prior to services being rendered. See attachment "*Processing Incomplete Requisitions*" for detailed instructions on handling incomplete requisitions.

Insurance information: Insurance information must be obtained for all requested services. Written documentation on the requisition is preferred but not required. If insurance information is not available, the patient will be billed.

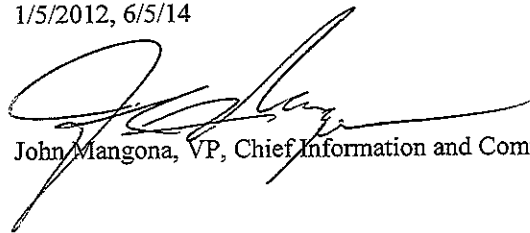
Verbal Orders: The use of verbal orders is strongly discouraged. Every attempt should be made to have the physician provide a written order (fax is acceptable) however, in certain circumstances (i.e. physician's office is closed); a verbal order will be accepted from the provider. If a verbal order is accepted:

1. The recipient of the verbal order must be authorized to accept verbal orders for their scope of practice. Refer to the "*Physician's Orders for Patient Care Guidelines*" located in the Nurse Practice Manual for additional information.
2. The verbal request is documented using the "*Verbal Order for Diagnostic Tests or Procedures*" form. The staff member taking the call will obtain all the required information from the provider and that the order is read back and verified (RB&V). The provider is asked to fax the order within 24 hours or on the next business day.
3. Order verification: Once the written order has been received from the provider, the order will be compared to the verbal order to verify accuracy. This verification is documented on the verbal order form. The written and verbal orders are attached and maintained according to each department's record retention procedures.

Attachments:

1. Processing Incomplete Requisitions
2. Persons Authorized to Order Tests and Receive Directly the Results of Certain Laboratory Tests, for Specimens Accepted from New York State.

Prepared by: Compliance Committee Subgroup
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Signature:



Type Name: John Mangona, VP, Chief Information and Compliance Officer

References:

1. New York State Regulations: 10NYCRR; Clinical Laboratories: Subpart 57.17, "Acceptance of Specimens".
2. New York State Regulations: 18NYCRR 505.7 (b) (1) (1).
3. 42 CFR 493.124(a), (b), (d), 493.2
4. Correspondence Carol A Hyde; July 7th, 2008; "*Requests for Laboratory Services-Documentation of a Practitioner's Order*". L:Lab/Lab/Compliance Documents/Physician Signature/Physician Signature Lab Requisition.pdf.
5. Correspondence Carol A Hyde; August 18th, 2008; "*Laboratory Tests-Documentation of a Practitioner's Order*". L:Lab/Lab/Compliance Documents/Physician Signature/Follow-up Correspondence on Practitioner's Order.doc.

Processing Incomplete Requisitions

- Missing information must be obtained prior to providing services. Exceptions are noted in the table below.
- Provider signature: Actual signature of the provider (or the provider's designee) or valid electronic signatures are acceptable. Stamps are not considered a valid signature and are never acceptable.
- Special circumstances requiring acceptance of incomplete requisitions are handled and documented at the discretion of the department supervisor.
- **Document all attempts to obtain the missing information from the provider. If the provider fails to submit the required information, report the non-compliance to the corporate compliance coordinator.**

Source	Problem	Action	
		Business Hours	Off-hours
Outpatient (Walk-in)	<ul style="list-style-type: none"> • Provider signature missing • Expired script (12 months; standing order 6 months) • No script and patient claims to know what test/procedure is required • Script is not legible. 	Contact office and request a new order by fax.	Patient is refused and referred back to the provider.
	<ul style="list-style-type: none"> • Missing diagnosis 	Option 1: Contact office and request a new order by fax. Option 2: Contact office and verbally obtain information. Document information on requisition as per protocol.	Contact the provider on the next business day to obtain the information.
	<ul style="list-style-type: none"> • Missing Date of Birth 	The information may be obtained directly from the patient and documented on the requisition.	
Laboratory Outreach & Specimen Drop-offs (SDO)	<ul style="list-style-type: none"> • Provider Signature • Expired Script • Missing Date of Birth 	Accessioning staff will contact office and request a new order by fax.	Test not performed until a new script is obtained. For outreach specimens that are perishable, (i.e. timed draws, stats, and fluids other than blood/urine) tests are run and given to a supervisor. The results are held until information is obtained*. *Critical values are handled as stated in our critical value protocol.
	<ul style="list-style-type: none"> • Tests not legible 	Accessioning staff will contact office and request a new order by fax.	Accessioning staff will contact office. If specimens are perishable, the physician on call will be contacted.
	<ul style="list-style-type: none"> • Diagnosis 	Accessioning staff will: Option 1: Contact office and request a new order by fax. Option 2: Contact office and verbally obtain information. Document information on requisition as per protocol.	Contact the provider on the next business day to obtain the information.

Attachment 2

Persons Authorized To Order Tests and Receive Directly the Results of Certain Laboratory Tests, for Specimens Accepted From New York State

Attorney	Tests must be for (i) use in the routine discovery process in a civil proceeding (e.g., tort case, Family Court case); and/or (ii) pursuant to an established client-attorney relationship (e.g., determination of biological relationships for child support, estate settlement or immigration; toxicological analysis to substantiate or refute alcohol or drug impairment)
Chiropractor	Tests must be within the scope of practice of chiropractic as defined by the NYS Education Department (NYSED-see www.op.nysed.gov/prof/chiro/chinolab)
Coroner	Tests must be related to the medical-legal investigation of a death
Court Judge	Tests must be for use in a legal proceeding under his/her jurisdiction, including paternity tests ordered pursuant to the Family Court Act and tests for alcohol and drugs of abuse ordered pursuant to NYS Vehicle and Traffic Law
Dentist	Tests must be within the scope of practice of dentistry as defined by NYSED
Government-operated public health agency or local health unit, e.g., State Commissioner of Health or an official designee, or county or local health official	Testing must be a necessary adjunct to a Public Health Law mandated or officially sanctioned public health activity
Government, foreign	Limited to testing by a consulate or embassy or US Citizenship and Immigration Services (USCIS) to substantiate or refute claims of familial relationship for purposes of establishing eligibility for immigration
Layperson (test subject) who has capacity to consent to health care	Tests must be for same purpose as a test or collection device that has been approved or cleared by the FDA for sale or distribution on a direct or over-the-counter basis without a prescription from a qualified health care practitioner (Note: the ordering medical practitioner must authorize release of any other testing to laypersons, with the exception of blood typing and Rh determinations)
Licensed Midwife	Tests must be within the scope of practice of midwifery as defined by NYSED
Licensed Mental Health Counselors, Licensed Marriage and Family Therapists, Licensed Psychoanalysts, and Licensed Creative Arts Therapists	Tests must be within the scope of practice of these professions as defined by the NYS Education Department, including tests for alcohol and drugs of abuse ordered pursuant to NYS Vehicle and Traffic Law
Licensed Clinical Social Workers and Licensed Master Social Workers	Tests must be within the scope of practice of these professions as defined by the NYS Education Department, including tests for alcohol and drugs of abuse ordered pursuant to NYS Vehicle and Traffic Law
Nurse Practitioner	Provided tests are within the scope of professional services recognized under the NP's specialty area(s) of certification and within the protocols specified in his or her practice agreement with collaborating physician
Parole Officer	Limited to tests to determine the presence or absence of a substance whose use is prohibited by the conditions of release established by the board of parole
Physician (includes osteopath)	Tests must be within the scope of practice of medicine as defined by NYSED
Physician Assistant or Specialist Assistant	Tests must be within the scope of practice of medicine as defined by NYSED as practiced by the supervising physician
Psychologist	Tests must be within the scope of practice of psychology as defined by NYSED
Podiatrist	Tests must be within the scope of practice of podiatry as defined by NYSED
Police Officer	Limited to tests for alcohol or drug impairment to support arrest charges or an official investigation conducted under the NYS Vehicle and Traffic Law
Probation Officer	Limited to tests to determine the presence or absence of a substance whose use is prohibited by the conditions of release established by the NYS Division of Probation & Correctional Alternatives
Registered Professional Nurse	Tests must be performed under the authority set forth in section 1198-a of NYS Vehicle and Traffic Law