

Allison Stock, JD, RN

Chief Operations Officer



astock@sm PSD.com

www.sm PSD.com

19 Years in the ASC Industry

Clinical and Operations Focused
CNOR, CASC, and CAIP Credentials

Surgical Management Professionals

Surgery Center Development
Accounting/Finance
Managed Care Contracting
Revenue Cycle
Clinical Operations
Business Operations
Human Resource Management
Materials Management
Information Technology

EXPERIENCE THE DIFFERENCE

MAXIMIZE YOUR SURGICAL CENTER'S POTENTIAL





Ray Grundman

MSN, MPA, FNP-BC, CASC

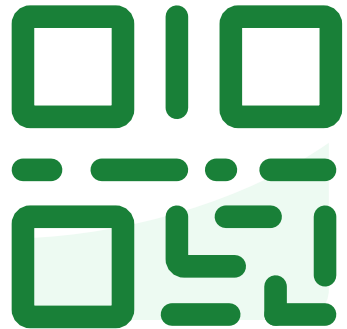
- Board-Certified Family Nurse Practitioner
- 40+ years experience in Ambulatory Health Care
- AAAHC Surveyor for 28+ years
- Past Chair of the AAAHC Board of Directors
- Active member MGMA and past President

Jim Grana, MBA, CHSP

- 10 years in Healthcare in Midwest
 - Roles: Facilities Technician, Safety Manager, Facilities Manager
 - Chair for Environment of Care Committee
 - Survey readiness/corrective actions for Physical Environment
 - Quality Oversight Committee
 - Mock Surveys
 - Joined TJC Standards Interpretation Group (SIG) in 2021
 - Interpretation guidance, survey guidance for both organizations and surveyors.
 - Survey report review
 - Time limited waivers and equivalencies
 - Training and education for Environment of Care and Life Safety requirements, NFPA 101 and 99

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Have you been a part of an accreditation survey process?

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How many surveys have you participated in?

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Surveyor Process and Interaction

What are key things that ASCs can do to make the survey process go smoothly?

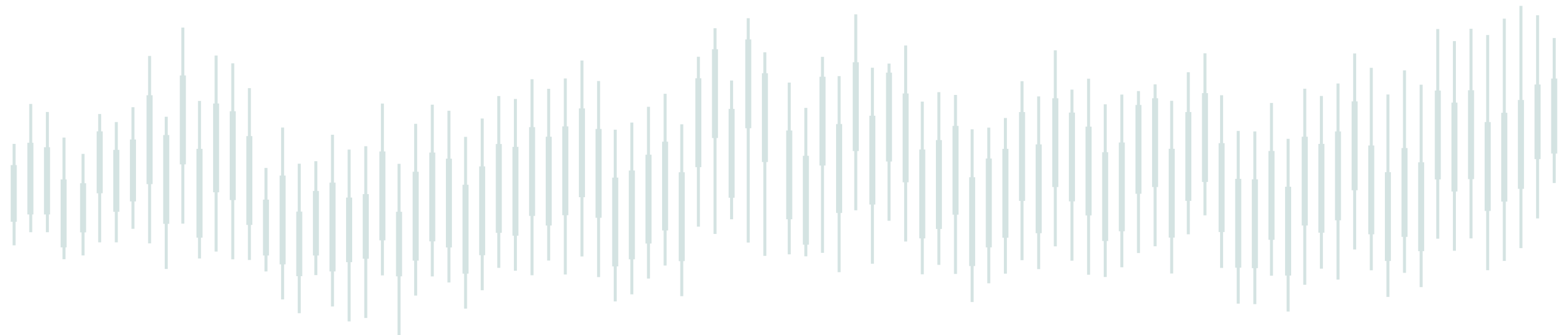
Trends to Watch Out For

1. What are emerging areas of focus for surveyors, and how can ASCs prepare for these?
2. How can ASCs best stay informed about changes in CMS/accrediting agency standards?

Common Deficiencies/Citations

What are the most common deficiencies you encounter during a survey, and how can centers proactively address these issues?

2024 AAAHC Survey Deficiencies - ASCs



***Quality Roadmap* is a useful tool to compare your performance and take corrective action**

- ▲ **Thorough analysis of data from 1,615 surveys conducted between Jan 1, 2023 – Mar 31, 2024**
- ▲ **Ambulatory Surgery Centers represent:**
 - 925 surveys in the Ambulatory Accreditation Program (AMB)
 - 382 surveys in the Medicare Deemed Status Program (MDS)
- ▲ **Standards from AAAHC AMB and MDS v42 Handbooks**
- ▲ **Several focus areas for improvement that warrant attention; opportunity to learn from peers**
- ▲ **www.aaahc.org/quality-institute/quality-roadmap/**

AAAHC Survey deficiencies - ASCs



- 1. The governing body was not responsible for approving and ensuring compliance of all major contracts or arrangements affecting the medical and/or dental care provided under its auspices**
 - Contracts or arrangements with the Centers for Medicare & Medicaid Services (CMS)



AAAHC Survey deficiencies - ASCs



2. Scenario-based drills of the internal and external emergency and disaster preparedness plans were not:

- Scenario based
- Completed quarterly
- Evaluated consistently
- Completed at all locations
- And suggestions for modifications were not addressed or implemented



AAAHC Survey deficiencies - ASCs



3. Medication reconciliation not performed

- Ever or consistently
- Not noted upon discharge if medications should be continued
- Medication lists inaccurate or incomplete
- Medication dosages or frequencies not listed

4. Allergy, sensitivity, and other reaction documentation did not include:

- That patients are asked at each encounter
- A description of the reaction(s) to the allergen or irritant
- Recording the information in a prominent and consistently defined location in all clinical records

AAAHC Survey deficiencies - ASCs



5. Clinical record entries inconsistent across records

- Clinical records did not include the signature of, or authentication by, the health care professional for each visit entry



The Joint Commission EC/LS Common Findings for Ambulatory

The Joint Commission

Common EC/LS Observations

- The organization labels utility system controls to facilitate partial or complete emergency shutdowns. (EC.02.05.01 EP9)
- Interior spaces meet the needs of the patient population and are safe and suitable to the care, treatment, or services provided. (EC.02.06.01 EP1)
- The ventilation system provides appropriate pressure relationships, air-exchange rates, filtration efficiencies, relative humidity, and temperature (EC.02.05.01 EP7)
- The space around pipes, conduits, bus ducts, cables, wires, air ducts, or pneumatic tubes penetrating the walls or floors are protected with an approved fire-rated material. (LS.03.01.10.Ep10)
- Documentation of maintenance, testing, and inspection activities for EC.02.03.05, EPs 1–20, 25. (including fire alarm and fire protection features) (EC.02.03.05.Ep28)

The Joint Commission

Common EC/LS Observations

- The organization inspects, tests, and maintains the following: Utility systems. The completion dates and test results are documented. (EC.02.05.05.Ep3)
- Automatic sprinkler system piping is not permitted to be used to support any other items (LS.03.01.35.Ep4)
- Every week, the organization inspects the emergency power supply system (EPSS), including all associated components and batteries. The results and completion dates of the inspections are documented. (EC.02.05.07.Ep4)
- The organization minimizes risks associated with selecting, handling, storing, transporting, using, and disposing of hazardous chemicals. (EC.02.02.01 EP5)
- The organization meets requirements for fire alarm systems. (LS.03.01.34.Ep10)

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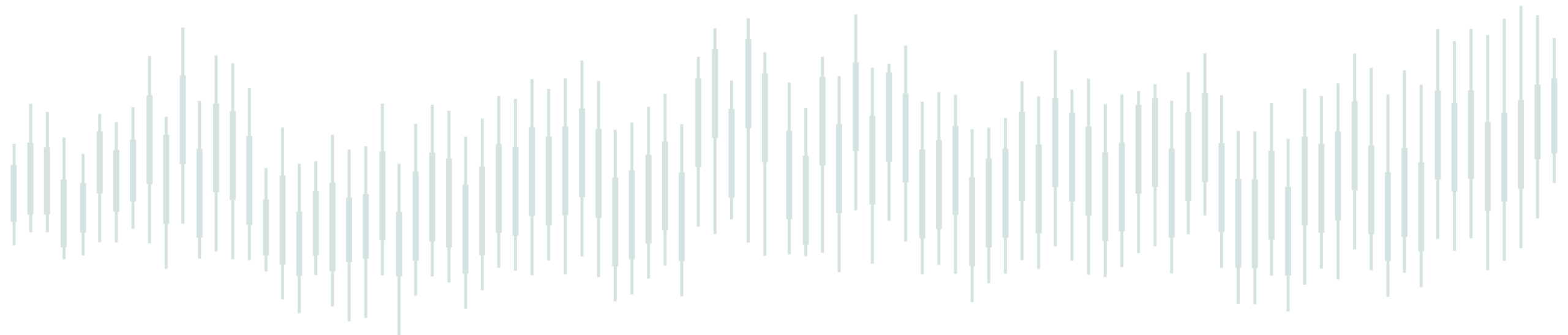
If you could ask a CMS/AAAH/C/TJC surveyor one question, what would that question be?

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Resources to Improve Compliance

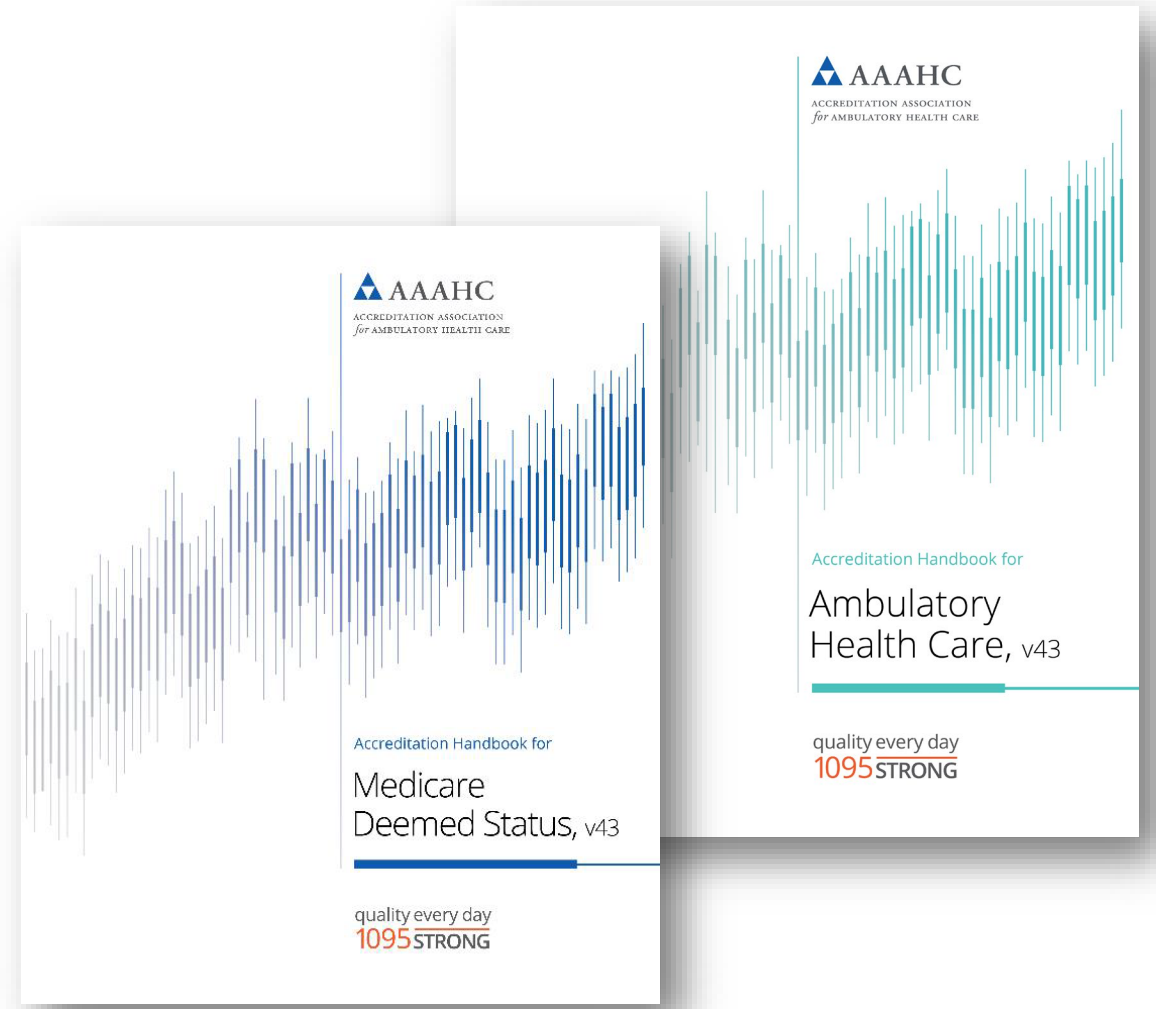
What resources are available and recommended to help ASCs improve compliance and be prepared for surveys?

AAAHC Resources



Accreditation Handbook is valuable in ensuring ongoing compliance

- ▲ Ensure you have the correct, most updated version
- ▲ Review the Standards and elements of compliance
- ▲ Use the Standards to conduct a self-assessment
- ▲ Identify areas requiring improvement



AAAHC resources facilitate your patient safety and quality efforts

- ▲ *Achieving Accreditation* conferences
- ▲ *1095 Engage* system training
- ▲ Customized education offerings
- ▲ *Triangle Times Today*
- ▲ *Annual Quality Roadmap*

Learn more at [aaahc.org](https://www.aaahc.org)

- ▲ Patient safety toolkits and templates
- ▲ AAAHC Institute IQI benchmarking studies



Organizational Changes

Provide updated contact information

1095 Engage

AAAHC Standards

For Standards interpretation

standards@aaahc.org

AAAHC

3 Parkway North Suite 201

Deerfield, IL 60015

847.853.6060 / info@aaahc.org

Submit a Concern

Complete this form to submit a concern about an accredited org

complaints@aaahc.org

AAAHC Education

For questions about Achieving Accreditation and other offerings

education@aaahc.org

1095 Engage

For questions about

1095 Engage

ASOperations@aaahc.org

Quality Institute

Ask about our quality resources

quality@aaahc.org

International

For information, inquiries, change notifications or feedback

info@accreditasglobal.org

aaahc.org/contact-us/

Additional Resources

- For document review, the Survey Activity Guide includes a “*Life Safety and Environment of Care—Document List and Review Tool*”
 - This resource is located on The Joint Commission website at https://www.jointcommission.org/-/media/tjc/documents/resources/patient-safety-topics/physical-environment/hosp_critaccesshosp_life_safety_ec_documentlist_reviewtool.pdf
 - Building tour guide: https://www.jointcommission.org/-/media/tjc/documents/resources/patient-safety-topics/physical-environment/life-safety-code/building_tour_guidance1.pdf
 - Additional Ambulatory Health Care Survey Guidance: <https://www.jointcommission.org/what-we-offer/accreditation/health-care-settings/ambulatory-health-care/prepare/snapshot-of-survey-day/>

Additional Resources

- FAQs
- Sales Force
- Perspectives
- EC News





Final Thoughts and Advice

Ray's Key Takeaway

- ▲ **Have an administrator's manual for the ASC Administrator or delegate**
- ▲ **Practice, practice, practice**
 - Mock surveys
 - Ensure team members feel comfortable when a Surveyor arrives unannounced



Final Thoughts on Surveys

Conduct Mock Surveys!

- Environment of Care rounds
- Document review
- Building tours
- Designate someone to follow up

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Share your feedback on this session - Surveying Success: Charting the Course for ASC Excellence

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