ASC Quality Collaboration

Endoscope Reprocessing: What CMS Surveyors Are Looking For

CMS surveyors use a worksheet to assess infection control practices during ASC surveys. The section of the worksheet used to assess practices surrounding the reprocessing of endoscopes is reproduced below. **Because this the SAME TOOL a CMS surveyor will use to assess practices associated with the reprocessing of endscopes and accessories, it is also a useful SELF-ASSESSMENT tool for an ASC.**

Unless otherwise indicated, a "No" response to any question below will be cited as a deficient practice.

HIGH-LEVEL DISINFECTION

Practices to be Assessed	Was Practice Performed?	Manner of Confirmation
A. Semi-critical equipment is high-level disinfected or sterilized	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
B. Is high-level disinfection performed on site? **(If NO, Skip to "F")**	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

(A "No" answer does not result in a citation, since ASCs are permitted to provide for high-level disinfection off-site, under a contractual arrangement.)

(Surveyor to confirm there is a contract or other documentation of an arrangement for off-site sterilization by viewing it)

a. **If answer to B was YES**, please indicate method of high-level disinfection:	○ Manual ○ Automated ○ Other (please print):	
C. Items are pre-cleaned according to manufacturer's instructions or evidence-based guidelines prior to high-level disinfection	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
D. a. Medical devices and instruments are visually inspected for residual soil and re-cleaned as needed before high-level disinfection	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
b. High-level disinfection equipment is maintained according to manufacturer instructions	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
c. Chemicals used for high-level disinfection are:		
I. Prepared according to manufacturer instructions	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

II. Tested for appropriate concentration according to manufacturer's instructions	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
III. Replaced according to manufacturer's instructions	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
IV. Documented to have been prepared and replaced according to manufacturer's instructions	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
d. Instruments requiring high-level disinfection are:		
I. Disinfected for the appropriate length of time as specified by manufacturer's instructions or evidence-based guidelines	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
II. Disinfected at the appropriate temperature as specified by manufacturer's instructions on evidence-based guidelines	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
E. Items that undergo high-level disinfection are allowed to dry before use	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
F. Following high-level disinfection, items are stored in a designated clean area in a manner to prevent contamination	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
G. Additional breaches in high-level disinfection practices, not captured by the questions above were identified (If YES, please specify further in comments)	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

Comments: **(please print and limit comments to the space provided)**	

STERILIZATION

A. Critical equipment is sterilized	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

B. Are sterilization procedures performed on-site? **(If NO, skip to "F")** (A "No" answer does not result in a citation, since ASCs are permitted to provide for sterilization off-site, under a contractual arrangement.) (Surveyor to confirm there is a contract or other documentation of an arrangement for off-site sterilization by viewing it)	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

a. **If YES to B**, please indicate method of sterilization:	○ Steam autoclave ○ Peracetic acid ○ Other (please print):	

C. Items are pre-cleaned according to manufacturer's instructions or evidence-based guidelines prior to sterilization	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

Practices to be Assessed	**Was Practice Performed?**	**Manner of Confirmation**
D. a. Medical devices and instruments are visually inspected for residual soil and re-cleaned as needed before packaging and sterilization	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
b. A chemical indicator is placed in each load	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
c. A biologic indicator is performed at least weekly and with all implantable loads	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
d. Each load is monitored with mechanical indicators (e.g. time, temperature, pressure)	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
e. Documentation for each piece of sterilization equipment is maintained and up to date and includes results from each load	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
E. Items are appropriately contained and handled during the sterilization process to assure that sterility is not compromised prior to use	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
F. After sterilization, medical devices and instruments are stored in a designated clean area so that sterility is not compromised	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

G. Sterile packages are inspected for integrity and compromised packages are reprocessed	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both
H. Additional breaches in sterilization practices not captured by the questions above were identified (If YES, please specify further in comments)	○ Yes ○ No ○ N/A	○ Observation ○ Interview ○ Both

Comments: **(please print and limit comments to the space provided)**	