

## Missouri BAC's Most Cited ASC Tags (& specific issues/examples) 10/01/15—08/31/16

Total of 260 federal deficiencies @ 25 surveys (avg ~10.4 defs/surv). Top 10 accounted for 118 (45%) of all tags cited.

(NOTE: Each "Tag Number" may describe multiple "Problems," as stated below.)

Tag Heading	Tag#	Example problems noted under the tag:	Times Cited FFY 2016
<b>#1 Sanitary Environment</b>	<b>Q241</b>	<b><i>Cited 24 times in FFY16 @ 25 surveys (96%)</i></b>	
		- Dirty/dusty surfaces/dead bugs	17
		- Worn, rusted, un-cleanable cloth, or deteriorating equipment and/or devices not replaced with functional easily cleanable surfaces (rust, paint chipped, tape, adhesive residue, non-intact surfaces)	14
		- Sterile, single-use items not maintained to prevent contamination (suction devices, endotracheal tubes, stylet, air/water valves) and items used off floor	14
		- Laryngoscope blades not packaged and stored to prevent contamination	12
		- Multi-dose vials not restricted to a centralized medication area separate from the patient treatment area	10
		- Glucometer not cleaned/disinfected in-between patient use	9
		- Dirty floor and OR floor not seamless	9
		- Expired supplies available for use	7
		- Manufacturer's instructions not followed for cleaning & maintaining sterilizers	7
		- Aseptic technique not used with medication administration	7
		- Hand hygiene	7
		- Manuf's instructions for use not followed for rigid containers & packaging	5
		- IUSS	5
		- Equipment not disinfected after patient use or used after on floor	5
		- Bottom storage shelf with no barrier	4
		- Scopes not stored in a manner to prevent contamination	4
		- Pass-through window open during instrument cleaning	4
		- Walls and doors gouged and marred, un-cleanable	3
		- Surgical instruments not clean, free of residue and staining	3
		- Corrugated boxes in sterile area	3
		- Laryngoscope blades not sterilized or high-level disinfected	3
		- Manufacturer's instructions for use not followed for cleaning/disinfecting	3
<b>#2 Infection Control</b>	<b>Q242</b>	<b><i>Cited 21 times in FFY16 @ 25 surveys (84%)</i></b>	
		- Hats and caps not covering hair/hair protruding	17
		- No cover jacket worn in the OR, top not tucked in, sleeves pushed up	12
		- No Hand Hygiene (HH) before patient contact	8
		- No HH after patient contact	8
		- Jewelry worn in the OR	8
		- No HH after glove removal	7
		- No HH before donning gloves	7
		- No HH after glove removal following an invasive procedure	6
		- Improper surgical mask use (dangling around neck, re-used, gaping)	5
		- Personal clothing showing under scrubs (t-shirt, turtleneck)	4
		- Proper PPE not worn other than in OR (cleaning instruments/scopes)	4
		- Not removing gloves and performing HH between tasks	3
<b>#3 Safety from Fire</b>	<b>Q104</b>	<b><i>Cited 18 times in FFY16 @ 25 surveys (72%)- Referenced Life Safety Code tags:</i></b>	
		-- K130-Sprinkler problems: Flow alarm of sprinkler system not tested quarterly; internal obstruction inspection of sprinkler system not done every 5 years; supplies stocked within 18 inches of sprinkler head; exit/corridor not free from obstruction; no manual stop on generator; no remote alarm panel installed	10
		-- K144-Generator not exercised monthly under load; no, or incomplete, documentation of weekly generator inspection and monthly test	8
		--K115-Fire/Smoke barrier one-hour resistance rating not maintained; at least two smoke compartments not maintained	5

		--K51-Fire alarm system not tested at least annually; fire alarm system not tested quarterly; no transmission of fire alarm signal and simulation of emergency fire conditions	3
		--K114-Fire barrier one-hour fire resistance rating not maintained	3
		--K46-Emergency light not tested regularly and no ongoing maintenance/no secondary light source for continuous lighting in the OR during transfer of power to generator	3
<b>#4 Administration of Drugs</b>	Q181	<b><i>Cited 17 times in FFY16 @ 25 surveys (68%)</i></b>	
		- Med range orders/order not complete with all elements/meds given & not documented	11
		- Manufacturer's label not followed for storing medications (Succinylcholine, Rocuronium)	3
<b>#5 Infection Control – Condition - Tied</b>	Q240	<b><i>Cited 8 times in FFY16 @ 25 surveys (32%)</i></b>	
		- Hand hygiene	7
		- Dirty/dusty surfaces/dead bugs	7
		- Multi-dose vials not restricted to a centralized medication area separate from the patient treatment area	6
		- Surgical attire (Improper mask use, hair not covered, cover jacket not worn appropriately, jewelry)	5
		- Worn, rusted, un-cleanable cloth, or deteriorating equipment and/or devices not replaced with functional easily cleanable surfaces (rust, paint chipped, tape, adhesive residue, non-intact surfaces)	5
		- Sterile, single-use items not maintained to prevent contamination (suction devices, endotracheal tubes, stylet, air/water valves) and items used from floor	4
		- Laryngoscope blades not packaged and stored to prevent contamination	4
		- Glucometer not cleaned/disinfected in-between patient use	4
		- IUSS	4
		- Aseptic technique not used with medication administration	3
		- Manufacturer's instructions for use not followed for rigid containers and/or packaging	3
		- Surgical instruments not clean, free of residue and staining	3
		- Expired supplies available for use	3
<b>#6 Discharge – Order Tied (NEW 2016)</b>	Q266	<b><i>Cited 8 times in FFY16 @ 25 surveys (32%)</i></b>	
		- No discharge order	5
		- Patient transferred to the hospital without a transfer order	4
<b>#7 Organization and Staffing (NEW 2016)</b>	Q141	<b><i>Cited 7 times in FFY16 @ 25 surveys (28%)</i></b>	
		- Performance evaluations not completed	4
<b>#8 Anesthetic Risk and Evaluation (NEW 2016)</b>	Q061	<b><i>Cited 6 times in FFY16 @ 25 surveys (24%)</i></b>	
		- No physician exam immediately prior to surgery to evaluate anesthesia and procedural risks	7
<b>#9 Contract Services (NEW 2016) - Tied</b>	Q041	<b><i>Cited 5 times in FFY16 @ 25 surveys (20%)</i></b>	
		- No evaluation of contracted services	5
<b>#10 Notice of Rights (NEW 2016) - Tied</b>	Q221	<b><i>Cited 5 times in FFY16 @ 25 surveys (20%)</i></b>	
		- No documentation that the patient or patient's representative received verbal and written notice of rights prior to the procedure and included how to file a grievance and contact for state agency and Medicare ombudsman	5