



Center for Clinical Standards and Quality/Survey & Certification Group

Admin Info: 13-01-ASC

DATE: October 19, 2012

TO: State Survey Agency Directors

FROM: Director
Survey and Certification Group

SUBJECT: Confidential Lists of Non-Deemed Ambulatory Surgical Centers (ASCs)
Randomly Selected for Survey and Submission to Acumen

Memorandum Summary

- ***Non-deemed ASC Survey Samples:*** For fiscal year (FY) 2013, all State Survey Agencies (SAs) are required to survey:
 - Twenty five percent (25%) of non-deemed ASCs, and
 - A seven percent (7%) randomly selected ASC sample, selected by the Centers for Medicare & Medicaid Services (CMS), as part of the overall requirement to survey 25% of all non-deemed ASCs.These ASCs must be surveyed no later than September 30, 2013.
- ***Deemed ASC Validation Surveys:*** SAs must also conduct representative sample validation surveys of deemed ASCs selected by CMS. These surveys must be conducted no later than 60 calendar days after the completion of the accrediting organization's (AO's) survey.
- ***FY 13 Infection Control Surveyor Worksheet submission:*** For FY 2013, SAs are required to submit completed Infection Control Surveyor Worksheets only for the seven percent randomly selected sample of non-deemed ASCs and all representative sample validation surveys of deemed ASCs. The worksheets should be sent directly to CMS' contractor, Acumen.
- ***Distribution of Survey Lists:*** Regional Offices (ROs) will distribute confidential lists of the sample of ASCs which must be surveyed to each SA shortly, to facilitate efficient scheduling.

In an effort to help strengthen the Department of Health and Human Services (DHHS) efforts aimed at protecting patients from healthcare-associated infections in ambulatory care settings, CMS in FY 2013 is resuming collection of data on ASC infection control practices identified on the ASC Infection Control Surveyor Worksheet. We previously suspended collection of the worksheets in FY2012 in order to reduce burdens on SAs. However, consistent in response to a recommendation from the Government Accountability Office¹, we are resuming a periodic, limited data collection of Worksheets for a randomly selected sample of non-deemed ASCs.

¹ *Patient Safety: HHS Has Taken Steps to Address Unsafe Injection Practices but More Action is Needed*, Government Accountability Office, GAO-12-712, July, 2012.

For FY 2013, CMS has selected a random 7% sample of non-deemed ASCs in each State which must be included in the SA's required 25% targeted sample. CMS Central Office (CO) has provided each RO confidential lists of the randomly selected sample of non-deemed ASCs for each State in the region. ROs in turn will distribute promptly to each SA the applicable non-deemed ASC random sample list for that SA. This will facilitate SAs' efforts to schedule these surveys in an efficient manner. SAs are to limit the distribution of these lists, in order to preserve the unannounced nature of the surveys of the listed ASCs.

SAs will also perform representative sample validation surveys on deemed ASCs. The ASCs surveyed will be selected by CMS based on the accreditation survey schedule of deemed ASCs that are surveyed by AOs in FY2013. SAs must also submit completed Infection Control Surveyor Worksheets for all validation surveys of deemed ASCs.

SAs will send to CMS' contractor, Acumen, the completed Infection Control Surveyor Worksheet **only** for those ASC surveys of facilities included in the CMS-specified random sample as well as the completed Worksheets for all representative sample validation surveys of deemed ASCs. SAs must **not** send Acumen any ASC Worksheets that were not included in the assigned samples of deemed and non-deemed ASCs.

SAs will continue to submit Worksheets to Acumen via email or fax until a fillable PDF version of the ASC Worksheet becomes available.

For email submission: Use a scanner to convert each Worksheet to PDF or TIFF format and send as an email attachment to ASC@acumenllc.com. Do not include more than one Worksheet in a PDF or TIFF file. Scanned documents must have a resolution of 300 dpi. This is necessary for the contractor to electronically process the submitted worksheets.

For fax submissions: Fax to (650) 645-6179.

Refer to Admin Memo 10-15-ASC dated March 5, 2010 for additional information regarding worksheet requirements and transmittal options.

If the SA believes there are errors on the distributed random sample lists, e.g., a listed ASC cannot be identified, or there are questions about its non-deemed status, or the ASC no longer participates in the Medicare program, the SA may contact the RO. The RO will work with CO to resolve the questions. CO will only substitute new ASC selections for those in the sample if an ASC is no longer participating in Medicare, is currently on a termination track, or has been awarded deemed status. CMS recognizes that the sample may include recently surveyed ASCs, but will continue to include them to preserve the representative nature of the sample.

We appreciate the diligence of States in the ASC surveys, as these surveys and the associated worksheets have contributed enormously to improvement in safety and quality for patients.

/s/

Thomas E. Hamilton

cc: Survey and Certification Regional Office Management

