7. SURGICAL AND ANESTHESIA CARE

CODE	STANDARDS	CRITERIA	HOSPITAL	PHIC
7.1.a	Patients who are for surgery and anesthesia are adequately <u>assessed and prepared</u>.	a. The attending surgeon conducts a <u>physical assessment</u> of the patient <u>within 24 hours</u> prior to surgery. <mark>CORE</mark>	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **0**
• If 1 out of 3, the evidence score will be **0**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

CODE	STANDARDS	CRITERIA	HOSPITAL	PHIC
7.1.b	Patients who are for surgery and anesthesia are adequately <u>assessed and prepared</u>.	b. The anesthesiologist conducts a <u>preanesthetic</u> assessment of the patient <u>within 24 hours</u> prior to surgery. <mark>CORE</mark>	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **0**
• If 1 out of 3, the evidence score will be **0**
• If 0 out of 3, the evidence score will be **0**

The evidence score will serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

CODE	STANDARDS	CRITERIA	HOSPITAL	PHIC
7.1.c	Patients who are for surgery and anesthesia are adequately <u>assessed and prepared</u>.	c. The anesthesiologist conducts a <u>pre-induction assessment</u> of the patient immediately before administration of sedation or anesthesia.	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.1.d	Patients who are for surgery and anesthesia are adequately <u>assessed and prepared</u>.	d. A surgical and anesthesia <u>plan of care</u> results from these assessments and is documented in the patient's chart.	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ CHART REVIEW PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

7.2.a	Surgical and anesthesia procedures are performed in a timely, <u>safe</u>, <u>appropriate</u> and <u>controlled</u> manner.	a. Surgery and anesthesia are <u>performed within conditions that comply with infection control</u> and other clinical requirements.	_ STAFF INTERVIEW _ DIRECT OBSERVATION PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ STAFF INTERVIEW _ DIRECT OBSERVATION PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For staff interview, select at least THREE relevant hospital staff. Put a <u>v</u> mark for the staff whose view is consistent with policy (that supports achievement of the criterion) and <u>X</u> mark if otherwise. Repeat the process for the 2nd and 3rd staff. Count the number of staff with check marks over the total number of patients interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

For direct observation, check physical resources and conditions supporting achievement of this criterion. Put a <u>v</u> mark if compliant and <u>X</u> mark if otherwise. Determine evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

Combine the scores for the 2 evidences to get the proof of performance score.

The track record is <u>n/a</u>.

The proof of performance score will serve as the criterion score.

7.2.b	Surgical and anesthesia procedures are performed in a timely, <u>safe</u>, <u>appropriate</u> and <u>controlled</u> manner.	b. Surgery and anesthesia are performed in conditions that <u>comply with engineering controls</u> and other facility requirements.	_ DIRECT OBSERVATION PROOF OF PERFORMANCE: _____ TRACK RECORD: _____	_ DIRECT OBSERVATION PROOF OF PERFORMANCE: _____ TRACK RECORD: _____

For direct observation, check physical resources and conditions supporting achievement of this criterion. Put a <u>v</u> mark if ALL conditions are compliant with engineering controls and other facility requirements and <u>X</u> mark if at least one condition found not compliant. Evidence score is either **0** or **3**.

The evidence score shall serve as the proof of performance score.

The track record is n/a.

The proof of performance score will serve as the criterion score.

7.2.c	Surgical and anesthesia procedures are performed in a timely, safe, appropriate and controlled manner.	c. Surgery and anesthesia are performed within time frames indicated by the urgency of the patient's need.	_ STAFF INTERVIEW _ DIRECT OBSERVATION	_ STAFF INTERVIEW _ DIRECT OBSERVATION
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For staff interview, select at least THREE relevant hospital staff. Put a v mark for the staff whose view is consistent with policy (that supports achievement of the criterion) and X mark if otherwise. Repeat the process for the 2nd and 3rd staff. Count the number of staff with check marks over the total number of patients interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

For direct observation, check physical resources and conditions supporting achievement of this criterion. Put a v mark if compliant and X mark if otherwise. Evidence score is either **0** or **3**.

Combine the scores for the 2 evidences to get the proof of performance score.

The track record is **n/a**.

The proof of performance score will serve as the criterion score.

7.2.d	Surgical and anesthesia procedures are performed in a timely, safe, appropriate and controlled manner.	d. Patients are continuously monitored during sedation and anesthesia.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a v mark for each chart that documents achievement of the criterion and X mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

7.2.e	Surgical and anesthesia procedures are performed in a timely, safe, appropriate and controlled manner.	e. Qualified personnel are allowed to perform surgery.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a v mark for each chart if compliant and X mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**

- If 1 out of 3, the evidence score will be **1**
- If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

7.2.f	Surgical and anesthesia procedures are performed in a timely, <u>safe</u>, <u>appropriate</u> and <u>controlled</u> manner.	f. Only qualified personnel are allowed to provide sedation and anesthesia.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
- If 3 out of 3, the evidence score will be **3**
- If 2 out of 3, the evidence score will be **2**
- If 1 out of 3, the evidence score will be **1**
- If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.
The proof of performance score will serve as the criterion score.

7.3.a	Postoperative care ensures safe and effective recovery of patients after surgery.	a. Patients are continuously monitored while recovering from sedation and anesthesia.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
- If 3 out of 3, the evidence score will be **3**
- If 2 out of 3, the evidence score will be **2**
- If 1 out of 3, the evidence score will be **1**
- If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.3.b	Postoperative care ensures safe and effective recovery of patients after surgery.	b. A post-operative plan of care is written by the attending surgeon before the patient is transferred out of the surgical area.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
- If 3 out of 3, the evidence score will be **3**
- If 2 out of 3, the evidence score will be **2**
- If 1 out of 3, the evidence score will be **1**
- If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.3.c	Postoperative care ensures safe and effective recovery of patients after surgery.	c. A post anesthesia plan of care is written by the attending anesthesiologist.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.3.d	Postoperative care ensures safe and effective recovery of patients after surgery.	d. The healthcare team communicates and coordinates the plans of care with each other.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.3.e	Postoperative care ensures safe and effective recovery of patients after surgery.	e. The post-operative plans of care are implemented.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.3.f	Postoperative care ensures safe and effective recovery of patients after surgery.	f. Patients are <u>transferred out of the recovery area</u> only after assessment and clearance by the accountable healthcare professional.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.4.a	The organization prevents wrong-site, wrong – patient procedures.	a. Policies and procedures preventing wrong-site, wrong-patient procedures are in place.	_ DOCUMENT REVIEW _ CHART REVIEW	_ DOCUMENT REVIEW _ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For document review, check presence of written policy and procedures showing achievement of the criterion. Put a <u>v</u> mark if compliant and <u>X</u> mark if otherwise. Evidence score is either **0** or **3**.

For chart review, select THREE patient charts. Put a <u>v</u> mark for each chart that documents achievement of the criterion and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

Combine the scores of the 2 evidences to get the proof of performance score.

Determine track record score (based either from document or chart, whichever is oldest).

Combine proof of performance + track record to get criterion score.

7.4.b	The organization prevents wrong-site, wrong – patient procedures.	b. Surgical procedures are performed after verifying the correct site and procedure against patient's identity.	_ STAFF INTERVIEW	_ STAFF INTERVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For staff interview, select at least THREE relevant hospital staff. Put a <u>v</u> mark for the staff whose view is consistent with policy (that supports achievement of the criterion) and <u>X</u> mark if otherwise. Repeat the process for the 2nd and 3rd staff. Count the number of staff with check marks over the total number of patients interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Track record is **n/a**.

Combine proof of performance + track record to get criterion score.

7.4.c	The organization prevents wrong-site, wrong – patient procedures.	c. Whenever indicated, the correct site is marked in a standard way by the surgeon with full consent of the patient.	_ STAFF INTERVIEW _ PATIENT INTERVIEW _ DIRECT OBSERVATION	_ STAFF INTERVIEW _ PATIENT INTERVIEW _ DIRECT OBSERVATION
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For staff interview, select at least THREE relevant hospital staff. Put a **v** mark for the staff whose view is consistent with policy (that supports achievement of the criterion) and **X** mark if otherwise. Repeat the process for the 2nd and 3rd staff. Count the number of staff with check marks over the total number of patients interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

For patient interview, select at least THREE patients. Each patient should be able to satisfy the surveyor in ALL the questions during the interview.
Put a **v** mark for the patient that tells marking was done prior to surgery by his surgeon (based on policy) and **X** mark if otherwise. Repeat the process for the 2nd and 3rd patient. Count the number of patient with check marks over the total number of patient interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

For direct observation, check physical resources and conditions supporting achievement of this criterion. Put a **v** mark if compliant and **X** mark if otherwise. Evidence score is either **0** or **3**.

Combine the scores for the 3 evidences to get the proof of performance score.

The track record is **n/a**.

The proof of performance score will serve as the criterion score.

7.5.a	Surgical procedures are legibly and accurately documented in the patient chart by qualified staff.	a. An operative note is written by the surgeon or designate before the patient is transferred out of the operating area.	_ CHART REVIEW	_ CHART REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select THREE patient charts. Put a **v** mark for each chart that documents achievement of the criterion and **X** mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.5.b	Surgical procedures are legibly and accurately documented in the patient chart by qualified staff.	b. The surgeon documents the findings during surgery.	_ CHART REVIEW	_ CHART REVIEW

			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For chart review, select at least THREE patient charts. Each patient chart should be checked for achievement of this criterion. Put a <u>v</u> mark for each chart if compliant and <u>X</u> mark if otherwise. Repeat the evaluation process for the 2nd and 3rd charts. Count the number of charts with compliance over the total number of charts reviewed, then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

Determine track record score (based on patient chart).

Combine proof of performance + track record to get criterion score.

7.5.c	Surgical procedures are <u>legibly and accurately documented</u> in the patient chart by qualified staff.	c. Policies guide which surgical tissues are to be sent for histo-pathological examination.	_ DOCUMENT REVIEW	_ DOCUMENT REVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____

For document review, check presence of written policy supporting achievement of criterion. Put a <u>v</u> mark if compliant and <u>X</u> mark if otherwise. Evidence score is either **0** or **3**.

The evidence score shall serve as the proof of performance score.

Determine track record score.

Combine proof of performance + track record to get criterion score.

7.5.d	Surgical procedures are <u>legibly and accurately documented</u> in the patient chart by qualified staff.	d. The policies are implemented.	_ STAFF INTERVIEW	_ STAFF INTERVIEW
			PROOF OF PERFORMANCE: _____	PROOF OF PERFORMANCE: _____
			TRACK RECORD: _____	TRACK RECORD: _____

For staff interview, select at least THREE relevant hospital staff. Put a <u>v</u> mark for the staff whose view is consistent with policy (that supports achievement of the criterion) and <u>X</u> mark if otherwise. Repeat the process for the 2nd and 3rd staff. Count the number of staff with check marks over the total number of patients interviewed, and then get evidence score:
• If 3 out of 3, the evidence score will be **3**
• If 2 out of 3, the evidence score will be **2**
• If 1 out of 3, the evidence score will be **1**
• If 0 out of 3, the evidence score will be **0**

The evidence score shall serve as the proof of performance score.

The track record is **n/a**.

The proof of performance score will serve as the criterion score.