

# Mock Survey Preparation Checklist

A survey-readiness and corrective-action tool for ASCs and office-based surgical suites

## Purpose

Use this checklist to prepare for internal reviews, accreditation surveys, compliance inspections, or third-party mock surveys. It helps surgical facility leaders evaluate documentation, policies, logs, credentialing files, infection control, emergency preparedness, staff training, physical environment readiness, and corrective action tracking before a formal review.

## How to Use This Resource

Complete the checklist before internal reviews, mock surveys, accreditation surveys, licensure reviews, payer reviews, ownership changes, or significant operational changes.

Assign an internal owner for each section and gather supporting evidence before the mock survey.

Document findings, severity, responsible parties, deadlines, corrective actions, and closure evidence.

Retain the completed checklist with related documentation, decisions, corrective actions, and leadership approvals.

## 1. Survey Scope and Readiness Planning

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Define the type of mock survey being performed, including accreditation, state licensure, Medicare certification, internal compliance review, or operational readiness review.	
<input type="checkbox"/>	Identify the standards, state requirements, accrediting body expectations, and internal policies that will be used for the review.	
<input type="checkbox"/>	Confirm survey dates, facility areas to be reviewed, interview participants, document-review expectations, and leadership availability.	
<input type="checkbox"/>	Assign an internal survey coordinator responsible for collecting records, communicating with staff, and tracking corrective actions.	
<input type="checkbox"/>	Prepare a survey binder or electronic folder with policies, logs, licenses, contracts, training records, credentialing files, and quality documents.	
<input type="checkbox"/>	Notify department leads, clinical leaders, anesthesia personnel, infection control leads, and administrative staff of survey expectations.	
<input type="checkbox"/>	Define how findings will be documented, ranked, assigned, corrected, and closed after the mock survey.	

## 2. Governance, Leadership, and Administration

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Confirm governing body minutes, ownership documents, organizational chart, leadership roles, and lines of accountability are current.	
<input type="checkbox"/>	Review medical director, administrator, nursing leadership, compliance, infection control, and quality oversight responsibilities.	
<input type="checkbox"/>	Confirm policies identify responsible parties for safety, quality, infection control, emergency preparedness, privacy, credentialing, and operations.	
<input type="checkbox"/>	Review committee minutes, QAPI documentation, infection control reviews, safety meetings, and leadership follow-up records.	
<input type="checkbox"/>	Confirm required postings, licenses, permits, registrations, certificates, and notices are current and visible where required.	
<input type="checkbox"/>	Check that corrective actions from prior surveys, inspections, incidents, complaints, or audits have documented closure evidence.	

## 3. Credentialing, Privileging, and Personnel Files

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Review provider credentialing files for licenses, board status, malpractice coverage, DEA registration when applicable, education, training, references, sanctions/exclusions, and current privileges.	
<input type="checkbox"/>	Confirm privileges match the procedures, anesthesia levels, equipment, and patient population supported by the facility.	
<input type="checkbox"/>	Review reappointment cadence, peer review information, competency documentation, and procedure-specific privilege approvals.	
<input type="checkbox"/>	Review staff files for job descriptions, licenses/certifications, orientation, competency checks, health requirements, annual training, and performance documentation.	
<input type="checkbox"/>	Confirm contractor, anesthesia, radiology, laboratory, sterile processing, biomedical, and other service personnel files are complete where applicable.	
<input type="checkbox"/>	Check OIG exclusion screening and other required background or eligibility reviews for employees, providers, and contractors as applicable.	

## 4. Patient Care, Clinical Documentation, and Medical Records

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Select a sample of medical records across procedures, providers, and anesthesia levels for review.	
<input type="checkbox"/>	Confirm records include history and physical, informed consent, anesthesia assessment, procedure note, medication documentation, implants when applicable, nursing notes, recovery documentation, discharge criteria, and follow-up instructions.	
<input type="checkbox"/>	Check patient selection, preoperative assessment, allergies, medication reconciliation, timeout, site marking, and discharge documentation.	
<input type="checkbox"/>	Confirm abnormal findings, complications, transfers, adverse events, complaints, and follow-up communication are documented and escalated appropriately.	
<input type="checkbox"/>	Review medical record access, retention, amendments, release of information, privacy protections, and confidentiality controls.	

## 5. Infection Control and Sterile Processing

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Review the infection control plan, risk assessment, surveillance activities, infection logs, exposure control plan, and related meeting minutes.	
<input type="checkbox"/>	Observe hand hygiene, PPE use, environmental cleaning, room turnover, medication handling, sharps safety, and waste management practices.	
<input type="checkbox"/>	Review sterilization logs, biological indicators, chemical indicators, equipment maintenance, instrument tracking, packaging, storage, and recall procedures.	
<input type="checkbox"/>	Confirm staff training and competency documentation for infection control, cleaning, sterilization, bloodborne pathogens, and exposure response.	
<input type="checkbox"/>	Check cleaning contracts, product instructions for use, SDS access, disinfectant contact times, and documentation of corrective actions.	

## 6. Environment of Care, Life Safety, and Emergency Preparedness

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Walk through procedure rooms, recovery areas, clean/dirty utility rooms, medication areas, storage rooms, exits, fire extinguishers, eyewash stations, oxygen, and emergency equipment.	
<input type="checkbox"/>	Review emergency plans, transfer agreements or transfer protocols, drill records, disaster plans, fire safety, evacuation routes, and staff role assignments.	
<input type="checkbox"/>	Check equipment inspection records, biomedical maintenance, crash cart checks, oxygen logs, refrigerator logs, generator/emergency power documentation, and maintenance records.	
<input type="checkbox"/>	Confirm medications, supplies, sterile items, implants, and emergency items are not expired and are stored according to policy.	
<input type="checkbox"/>	Review incident reporting, adverse event response, emergency transfer documentation, and post-event review records.	

## 7. Anesthesia, Sedation, and Recovery Readiness

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Confirm the facility is operating within authorized anesthesia levels and any state, accreditation, or facility-specific limitations.	
<input type="checkbox"/>	Review anesthesia provider credentials, privileges, pre-anesthesia evaluations, informed consent, intraoperative documentation, monitoring, recovery assessment, and discharge criteria.	
<input type="checkbox"/>	Check equipment and supplies required for the level of sedation or anesthesia provided, including airway equipment, reversal agents, monitoring devices, oxygen, suction, and emergency medications.	
<input type="checkbox"/>	Review policies for patient selection, NPO status, monitoring, rescue capability, transfer, discharge, and post-anesthesia complications.	
<input type="checkbox"/>	Confirm staff training and competency documentation for sedation, recovery, emergency response, and patient monitoring.	

## 8. Quality, Risk, Privacy, and Corrective Action

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Review QAPI plan, quality indicators, case review, peer review, infection surveillance, incident trends, complaints, patient satisfaction, transfers, cancellations, and outcomes tracking.	
<input type="checkbox"/>	Confirm HIPAA/privacy safeguards, access controls, workstation practices, secure communications, incident reporting, breach response, and minimum necessary practices.	
<input type="checkbox"/>	Review billing, coding, payer documentation, charge capture, refunds, and financial controls if included in the survey scope.	
<input type="checkbox"/>	Identify each finding, assign severity or priority, document the responsible party, set target dates, and require closure evidence.	
<input type="checkbox"/>	Prepare a written mock survey report with findings, observations, strengths, risk areas, recommended corrective actions, and follow-up cadence.	

### Action Plan

Use this section to prioritize findings, documentation gaps, corrective actions, and follow-up items.

Priority	Gap / risk identified	Responsible party	Target date

### Resource Page Intro Copy

Use this checklist to prepare for internal reviews, accreditation surveys, compliance inspections, or third-party mock surveys. It helps ASCs and office-based surgical suites organize documentation, evaluate readiness, identify operational and compliance gaps, and create corrective action priorities before a formal review.

### Website CTA Copy

Need help preparing for a mock survey, accreditation review, or compliance inspection? Solstice Group can help evaluate readiness, organize documentation, identify gaps, and build practical corrective action systems.

### Disclaimer

This resource is provided for general business and compliance education only. It is not legal, medical, accounting, tax, financial, regulatory, or clinical advice. Organizations should consult qualified legal, compliance, privacy, financial, and professional advisors regarding their specific obligations and risk profile.