

ASC Readiness Checklist

A planning, survey readiness, and operational control tool for ambulatory surgery centers

Purpose

Use this checklist before developing, opening, acquiring, expanding, or preparing an ambulatory surgery center for licensure, certification, accreditation, payer participation, or operational improvement.

How to Use This Checklist

Use this tool to organize readiness by workstream. Confirm current requirements with state agencies, CMS guidance, accrediting organizations, payers, and qualified advisors. Assign owners, deadlines, and evidence for each gap.

1. Feasibility, Ownership, and Strategic Planning

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Define proposed ASC ownership structure, physician participation, governance model, service lines, and business objectives.	
<input type="checkbox"/>	Complete feasibility analysis covering case volume, payer mix, procedure mix, reimbursement, staffing, equipment, buildout, and projected margins.	
<input type="checkbox"/>	Review certificate of need, state licensure, Medicare certification, accreditation, payer enrollment, and local facility requirements.	
<input type="checkbox"/>	Assess competitive landscape, referral patterns, surgeon utilization, block time needs, and projected growth.	
<input type="checkbox"/>	Identify capital requirements, buildout costs, equipment costs, supply costs, staffing costs, and working capital needs.	
<input type="checkbox"/>	Document assumptions, risks, constraints, approvals, and decision points before development or expansion.	
<input type="checkbox"/>	Confirm legal, financial, tax, ownership, and fraud-and-abuse review with qualified advisors before finalizing structure.	

2. Facility, Licensure, Accreditation, and Life Safety

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Identify applicable state ASC licensure requirements, Medicare Conditions for Coverage, accreditation standards, and local building/fire requirements.	
<input type="checkbox"/>	Review facility layout, ORs, procedure rooms, pre-op, PACU, sterile processing, clean/dirty flow, medication areas, supply storage, and emergency access.	
<input type="checkbox"/>	Confirm life safety, fire safety, emergency power, medical gas, HVAC, infection control, waste management, and equipment requirements.	
<input type="checkbox"/>	Create a readiness file with permits, inspections, maintenance documentation, emergency plans, contracts, and required logs.	
<input type="checkbox"/>	Develop a timeline for licensure, accreditation, Medicare certification, payer contracting, and opening readiness.	
<input type="checkbox"/>	Schedule mock survey reviews before formal survey, accreditation review, or certification activity.	
<input type="checkbox"/>	Document deficiencies, corrective actions, responsible owners, deadlines, and closure evidence.	

3. Governance, Policies, and Required Programs

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Establish governing body structure, meeting cadence, minutes, approval processes, and oversight of quality, safety, finance, and compliance.	
<input type="checkbox"/>	Create or update policies for admissions, surgical services, anesthesia, nursing, infection control, emergency preparedness, QAPI, patient rights, privacy, and safety.	
<input type="checkbox"/>	Implement credentialing and privileging processes for medical staff, anesthesia, allied health, and clinical personnel.	
<input type="checkbox"/>	Create a QAPI program with measurable indicators, data review, adverse event tracking, corrective actions, and leadership reporting.	
<input type="checkbox"/>	Create infection prevention policies, surveillance, sterilization controls, hand hygiene audits, environmental cleaning, and exposure response processes.	
<input type="checkbox"/>	Document emergency preparedness plan, drills, communications, transfer procedures, and staff role assignments.	
<input type="checkbox"/>	Establish document control, policy approval, version control, annual review, and staff attestation processes.	

4. Staffing, Training, and Competency

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Define staffing model for administration, pre-op, OR, PACU, sterile processing, anesthesia, billing, scheduling, materials, and leadership roles.	
<input type="checkbox"/>	Verify licenses, certifications, background checks, immunization requirements, BLS/ACLS/PALS as applicable, and role-specific qualifications.	
<input type="checkbox"/>	Document orientation, annual training, competencies, emergency drills, infection control training, HIPAA, OSHA, safety, and procedure-specific training.	
<input type="checkbox"/>	Assign accountability for schedules, room turnover, supplies, implants, documentation, QA data, incident reporting, and billing handoff.	
<input type="checkbox"/>	Review staffing ratios, overtime, productivity, skill mix, cross-training, and coverage for peak utilization.	
<input type="checkbox"/>	Create a training calendar and competency tracker with due dates, responsible parties, and completion evidence.	
<input type="checkbox"/>	Ensure staff understand reporting pathways for concerns, incidents, patient safety events, privacy issues, and compliance concerns.	

5. Revenue Cycle, Materials, and Financial Controls

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Review payer contracts, credentialing, enrollment, fee schedules, coding, charge capture, claims workflow, denials, refunds, collections, and payment posting.	
<input type="checkbox"/>	Create procedure-level profitability reporting for case mix, implants, supply cost, anesthesia arrangements, payer reimbursement, room time, and staffing cost.	
<input type="checkbox"/>	Monitor block utilization, case volume, cancellation rate, turnover time, first-case starts, recovery time, and surgeon utilization.	
<input type="checkbox"/>	Implement purchasing controls, par levels, implant tracking, inventory management, vendor oversight, and supply cost review.	
<input type="checkbox"/>	Review financial controls for authorizations, patient estimates, deposits, refunds, write-offs, adjustments, and cash handling.	
<input type="checkbox"/>	Create monthly dashboards for case volume, net revenue, AR, denials, supply cost, labor cost, margin, and quality indicators.	
<input type="checkbox"/>	Document revenue cycle issues, corrective actions, responsible owners, and timeline for follow-up.	

6. Survey, Compliance, and Ongoing Readiness

<input type="checkbox"/>	Checklist item	Notes / owner
<input type="checkbox"/>	Maintain ongoing readiness for licensure, accreditation, Medicare certification, payer audits, OSHA, HIPAA, infection control, and quality review.	
<input type="checkbox"/>	Complete periodic mock surveys and internal audits based on facility risk, prior findings, service line changes, and upcoming reviews.	
<input type="checkbox"/>	Track incidents, complaints, adverse events, infections, transfers, documentation errors, and corrective action trends.	
<input type="checkbox"/>	Review third-party vendors, BAAs, IT/security controls, biomedical vendors, waste vendors, billing vendors, and staffing vendors.	
<input type="checkbox"/>	Maintain readiness files for policies, logs, trainings, credentials, QAPI, infection control, emergency drills, and contracts.	
<input type="checkbox"/>	Review high-risk processes after changes in leadership, ownership, services, volume, payer participation, or regulations.	
<input type="checkbox"/>	Prepare a quarterly leadership report summarizing compliance status, operational performance, open risks, and corrective action progress.	

Final Review and Action Plan

Priority	Gap / risk identified	Responsible party	Target date

Resource Use Note

This resource is provided for general business and compliance education only. It is not legal, medical, accounting, tax, financial, regulatory, accreditation, or clinical advice. Requirements vary by state, payer, specialty, facility type, accreditation body, and scope of services. Organizations should consult qualified legal, compliance, privacy, financial, clinical, accreditation, and professional advisors regarding their specific obligations and risk profile.