
Identifying and reporting risk factors for adverse events in endoscopy. Part II: noncardiopulmonary events

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The risks of endoscopy procedures are likely affected by the competence of the endoscopist and the team (nursing, anesthesia, and technicians), the details of the specific procedure being performed, and the patient's anatomy, demographics, and health status. In 2008, the American Society for Gastrointestinal Endoscopy (ASGE) convened a workshop to recommend a lexicon to define and describe the adverse events (AEs) (previously commonly referred to as complications) that can result from endoscopy procedures.¹ One additional goal of this workshop was to standardize the reporting of factors that may predict AEs, in clinical practice and in research. This list of such factors might enable the creation of risk strata (allowing comparison of AE rates by risk groups). In addition, AE rates among different groups of endoscopists and different groups of patients might be more appropriately compared by strata. Last, prospective risk assessment might enhance the quality of informed consent and facilitate decisions regarding procedural appropriateness.

Abbreviations: AE, adverse event; ASA, American Society of Anesthesiologists; ASGE, American Society for Gastrointestinal Endoscopy; CHF, congestive heart failure; MI, myocardial infarction; OR, odds ratio.

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As stated in part I, the aim of this 2-part article is to summarize the body of work that has been published on this topic and to suggest the types of risk factors that need to be considered for inclusion in endoscopy reporting/database systems. Possible, but unproven, risk factors were also considered to guide further research into candidate factors and their relationship with AEs. Establishing and recording the competency of the team are beyond the scope of this article.

AEs are often organized by type of event (eg, cardiopulmonary, bleeding, perforation). However, their frequency and type clearly vary by procedure (the risks of colonoscopy are different than those of ERCP), and some events (pancreatitis, infection) rarely or never apply to some procedures. Equally, the factors that predict those AEs also vary among procedures (eg, demographics may predict post-ERCP pancreatitis, but may have little influence on EGD complications).

Because many noncardiopulmonary AEs are closely linked to the type of intervention (eg, bleeding or perforation, related to polypectomy), each procedure (eg, colonoscopy, upper endoscopy) would have to be discussed separately under each AE heading. For a more efficient presentation of the data, we elected to discuss them organized by procedure type rather than by AE type. In contrast, most predictors of cardiopulmonary AEs are patient-centered factors and do not vary significantly from procedure to procedure (although admittedly procedural complexity and duration may influence event rates). In addition, comorbidities do not generally predict the noncardiopulmonary events. Therefore, the cardiopulmonary AEs and their predictors, which are relatively constant across procedure types and which require a discussion of the various comorbidity indices, are discussed separately from the other AEs and their potential predictors in part I of this 2-part article. Part II discusses predictors of noncardiopulmonary events and contains a summary and final recommendations for documentation of predictors or risk factors for both types of events.

METHODS

As described in part I, a comprehensive PubMed search to June 1, 2010, yielded more than 2000 articles by using

the following criteria: EGD/endoscopy, complications (n = 256); colonoscopy, complications (n = 692); EUS, complications (n = 175); ERCP, complications (n = 573); esophageal dilation, complications (n = 293); comorbidity index, endoscopy (n = 276); sedation risks, endoscopy (n = 246). A search of the Cochrane library uncovered one additional systematic review.² Abstracts from these articles were read to select articles pertaining to predictors or risk factors of AEs in endoscopy. The majority of the articles listed in the PubMed search were unfortunately not relevant to the prediction of AEs in endoscopy; 106 articles were selected as potentially relevant and critically reviewed. In addition, we reviewed references to several comorbidity indices, and citations from reviews on risk assessment in endoscopy and noncardiac surgery. The data and conclusions were presented at the ASGE Adverse Events Workshop (September 5-6, 2008, Chicago, Ill). Further in-person and online discussion occurred, and the article draft was then reviewed by members of the Workshop and approved by the ASGE Quality Committee.

RISK FACTORS FOR NONCARDIOPULMONARY EVENTS

Most predictors for noncardiopulmonary events are procedure-specific rather than generic (Tables 1-3). The AEs that we want to predict are different for each procedure (eg, perforation vs pancreatitis); even procedures that overlap in terms of types of certain AEs (eg, bleeding) have different instruments and techniques that lead to the AEs. For most, it is unlikely that a common list of predictors will be possible or would prove to be very helpful.

Colonoscopy

Independent predictors of bleeding after colonoscopy include advanced age (odds ratio [OR] 1.4-1.6),³⁻⁶ male sex (somewhat unexplained, perhaps caused by unreported/unaccounted medications, but found to be an independent predictor in 4 studies) (OR 1.2-9.2),^{4,6-8} nonscreening/nonsurveillance indication (OR 1.3),⁶ cardiovascular or renal disease (OR 2.1-3.3),³ polypectomy (OR 10.3 vs no polypectomy)^{4,6,7,9,10} (especially large-polyp [>10 mm] polypectomy [OR 2.4-5.6 vs small polypectomy]),^{3,6,7,9,11-13} and coagulopathy (OR 3.7-13.4)^{3,8,12,14} or resumption of anticoagulation within 1 week (OR 5.2).¹⁴ A risk increase has not been seen with aspirin (although some studies stopped aspirin 3 days or more before colonoscopy).^{9,12,14,15} Until recently, studies had not shown an increase in bleeding risk with clopidogrel or ticlopidine, but the power was limited because of the small numbers of patients with events on these medications. A study has now shown that there does not seem to be an increased risk with clopidogrel, but that the combination of clopidogrel with either aspirin or a nonsteroidal anti-inflammatory drug does increase risk (OR 3.7).⁵ A recent study of overall AEs within 30 days found clopidogrel and

warfarin use to increase risk, but most of the clopidogrel users were likely also taking aspirin.¹⁶ The risk of bleeding AEs in general may also have been decreasing over the past decades.^{7,10} Technique may also play a role, as pure cutting current may increase risk,³ and pure coagulation current may trade off a decrease in immediate bleeding for an equal increase in delayed bleeding.¹⁷ Detachable snares and clips may be helpful for larger polyps.¹⁸ Other studies show no difference in risk with respect to technique.¹¹ Perforation is rare, and polypectomy, age, and comorbidities seem to be significant risk factors.^{4,19} In 3 studies, when perforation and bleeding were considered together, endoscopist volume was found to be a predictor when considering all endoscopists.^{4,20} However, this relationship between volume/experience and AEs did not seem to exist among gastroenterologists⁴ and was not seen in other studies.³ The perforation rate may be higher among nongastroenterologists.²⁰ Infection and splenic injury^{21,22} are extremely rare. Right-sided polypectomy may increase overall complications.¹³

Upper endoscopy

For diagnostic EGD, the predominant risk is that which is related to the sedation, but therapeutic procedures add other risks (Table 2). Bleeding risks are increased by polypectomy (especially EMR),²³ variceal therapy (sclerotherapy more than banding),²⁴ and hemostatic procedures. For perforation, polypectomy (especially EMR),²⁵⁻²⁹ dilation (achalasia³⁰⁻³² more than nonachalasia³³⁻³⁸ dilations), sclerotherapy of varices,²⁴ foreign body removals,^{39,40} nonvariceal hemostasis procedures,⁴¹⁻⁴³ and stenting⁴⁴ procedures are associated with increased risk. Risk of stricture formation is increased by ablation procedures,⁴⁴ variceal therapy,^{24,25} and EMR.^{25,46} Infection is very rare after upper endoscopy. Metal expandable stents, natural orifice transluminal endoscopic surgery, and percutaneous procedures (such as PEG and percutaneous endoscopic jejunostomy) are not discussed. However, peristomal infection does seem to be increased (OR 3.2) after PEG if antibiotics are not given.⁴⁷

ERCP

Table 3 summarizes predictors of AEs after ERCP. Infection is more common after ERCP than after upper or lower endoscopy, but it remains very rare. However, it is higher in liver transplant patients (OR 5.2),⁴⁸ hilar/intrahepatic strictures,^{49,50} jaundiced patients (OR 1.4)⁵¹ (although this probably applies only if obstruction is not relieved by the procedure), and in small centers (OR 1.4).⁵¹ It is also likely higher in those with leaks/fistulae (biliary and pancreatic) and ductoscopy. Bleeding can occur after therapeutic procedures; sphincterotomy (OR 4.7)⁵² and performance of procedures in small centers (OR 1.1)⁵¹ are predictors. In the sphincterotomy cases,⁵³ coagulopathy (OR 3.3), resumption of anticoagulants within 3 days (OR 5.1), cholangitis (OR 2.6), low case volume (OR

TABLE 1. Colonoscopy and predictors of noncardiopulmonary adverse events

Adverse event	Modifying factor	Risk magnitude (OR)	References	Comments
Infection	—			Very rare
Bleeding*	Polypectomy (vs no polypectomy)	10.3	4, 6, 7, 9, 10	Very rare (1.6/1000) without polypectomy; uncommon with polypectomy (<1%); 1 study found higher risk with biopsy alone but may have included self-limited bleeding ⁶
	Age	1.4 (>65 y); 1.6 (>60 y); 1.03/y	3-6	
	Year/era	1.7/5 y period in past	7, 10	Bleeding seems to be decreasing with time
	Male sex	1.2-9.2	4, 6-8	Unexplained, and possibly due to uncorrected confounders
	Nonscreening/nonsurveillance indication	1.3	6	May have included minor self-limited bleeding
	Polyp size	2.4-28 for >10 mm; 1.1/1 mm increase; 1.2 for 5-10 mm vs 5 mm	3, 6, 7, 9, 11-13	
	Polyp number	1.1-1.3	5, 6, 8	
	Anticoagulation after polypectomy	3.7-13.4 (current), 5.2 (resumed within 1 week)	3, 8, 12, 15	One study showed greater relative risk increase with small polyps ¹²
	Antiplatelets	3.7 for clopidogrel plus aspirin or NSAID	5, 9, 12, 14, 15	No increase risk with aspirin ^{5,9,12,14,15} or clopidogrel alone, ^{5,14} but the combination increases bleeding ⁵
	Cardiovascular disease†	2.1	3	Hypertension, ischemic or valvular heart disease for >6 mo, an arrhythmia requiring medication, or cerebrovascular disease
	Renal disease†	3.3	3	Serum creatinine level of >3 mg/dL for >6 mo
	Polyp morphology†	1.4 for sessile in one study; 1.5 for peduncular in another	3, 6	Sessile, semipedunculated, or lateral spreading vs others; other studies did not see a difference ^{11,12}
	Pure cutting current†	7.0	3, 17	Also inadvertent cold polypectomy had higher risk (OR 7.2); pure coagulation current may trade off a decrease in immediate for an increase in delayed bleeding ¹⁷
	Poor bowel prep†	1.5	3	Adequate or poor higher risk than good or excellent
Perforation	Polypectomy	2.3-3.0	4, 6, 10, 16, 19, 97	Rare (~0.1%) without polypectomy, uncommon (0.5%) after polypectomy; reference 19 summarizes multiple studies compiling >50,000 polypectomy cases
	Age	2.1 (>60 y)	4, 6	
	Comorbidities	3.0	4	Deyo score of ≥3 based on Charlson index
	Renal failure, on dialysis	19.2	98	
Splenic injury	Female sex	—	21	Very, very rare (0.001%) ²² ; predictors reported based on literature review
	Difficult procedure	—	21	

NSAID, nonsteroidal anti-inflammatory drug; OR, odds ratio.

*Apart from polypectomy, other risk factors for bleeding are only within the postpolypectomy group and do not necessarily apply to cases without polypectomy; the odds ratios for these other factors are with respect to the lower risk category of polyps, not versus no polypectomy at all.

†Many of these factors were not found by other studies, and this study was mainly of immediate bleeding (4% bleeding rate, most stopping within 60 seconds) rather than clinically important delayed bleeding.

TABLE 2. EGD and predictors of noncardiopulmonary adverse events

Adverse event	Modifying factor	Risk magnitude (OR)	References	Comments	
Infection	—	—	—	Very rare	
Bleeding (delayed)	Polypectomy	—	23	Very rare without polypectomy; 5%-15% with polypectomy; OR 8.1 if immediate bleeding at gastric EMR	
	Variceal therapy	—	24	Sclerotherapy (25%) greater than banding (6%)	
	Hemostasis (nonvariceal)	—	—	—	
Perforation	Polypectomy	—	25-29	Rare (~0.5% of EMR; higher [about 5%-10%] with ESD)	
	Dilation (of achalasia)	—	30-32	2%-3% in meta-analyses of pneumatic dilation	
	Dilation (nonachalasia)	—	33-37	Higher with Maloney, 10% perforation in anastomotic strictures in children, 5% anastomotic strictures in adults, 15%-20% post-caustic ingestion, 2% radiation stricture	
	EGD in eosinophilic esophagitis (with or without dilation)	—	38, 99	Can occur even with passage of an endoscope, but mucosal tears are much more common than true perforations, which seem rare	
	Variceal therapy	—	24	Sclerotherapy, 2%	
	Foreign body	—	39, 40	No perforation in 2 series of food impactions	
	Stent	—	44	Review, 7%-15%	
	Hemostasis (nonvariceal)	—	41-43	Low risk (<1%) unless sclerosants used; very rare with nonsclerosant monotherapy	
	Stricture	Ablation	—	44	20% after photodynamic therapy (n = 102)
		Variceal therapy	—	24, 45	Sclerotherapy, 26%; much greater than banding 2%
EMR		—	25, 46	5%-25% of esophageal EMR (especially if circumferential resection, ≤70%); 3% for peripyloric	

ESD, endoscopic submucosal dissection; OR, odds ratio.

2.2), and bleeding during the procedure (OR 1.7) predict a significant bleeding AE. Antiplatelet agents do not seem to substantially increase the risk of postsphincterotomy bleeding,^{53,54} but data on clopidogrel are limited. Perforation is associated with surgically altered anatomy (OR 2.5),^{51,52} sphincterotomy (precut [OR 2.0] more than conventional),⁵¹ and intramural contrast injection (OR 1.9, although this may just be a marker of a difficult cannulation).⁵¹ There are many studies looking at predictors of post-ERCP pancreatitis, and not all agree (eg, normal-caliber bile duct, bilirubin level, and trainee involvement are predictors in some but not others). Established and independent predictors include female sex (OR 1.8-3.5),⁵⁵⁻⁵⁷ suspected sphincter of Oddi dysfunction (OR 1.9-9.7),^{52,55,58,59} pancreatic injection (OR 1.04-1.5),^{51,55,58,60-62} (especially filling to the tail),⁶² pancreatic sphincterotomy (OR 1.5-3.8),^{52,55,58,60} difficult cannulation (OR 1.8-9.4),^{55-57,59} and lack of pancreatic stenting in high-risk cases (OR 1.4-3.2).^{52,63-65} Biliary sphincterotomy does

not seem to increase the risk of pancreatitis, and it is not clear whether precut/needle-knife sphincterotomy adds risk beyond that of the difficulty of cannulation itself; early precut sphincterotomy may even reduce risk versus persistence according to meta-analyses of randomized trials.^{66,67} Although comorbidities, including obesity, do not seem to significantly increase the risk, they may influence the severity, morbidity, and mortality of pancreatitis when it occurs; the same may be true for other events such as perforation. Other related specialized procedures such as pseudocyst drainage, percutaneous cholangioscopy, and laser or electrohydraulic lithotripsy each have unique risks, but data are limited and they are not discussed here.

EUS

EUS, although typically a longer procedure than an EGD, has a risk profile similar to that of EGD, unless therapy (EMR, dilation) or FNA is performed (Table 4). Even after FNA procedures, infection seems to be very

TABLE 3. ERCP and predictors of noncardiopulmonary adverse events

Adverse event	Modifying factor	Risk magnitude (OR)	References	Comment(s)	
Infection	Liver transplant	5.2	48	Very rare (0.25%-0.5%) (risk decreasing with time: OR 0.9/y)	
	Fistulae, nondrainable ducts (eg, hilar, intrahepatic strictures)		49, 50		
	Ductoscopy				
Bleeding (delayed)	Jaundice	1.4	51	Very rare; can also occur with large balloon sphincteroplasty; no increased risk with antiplatelet agents ⁵⁴	
	Small center	1.4	51		
	Sphincterotomy	4.7	52		
	Small center	1.1	51		
	Intraprocedure bleeding*	1.7	53		
	Coagulopathy*	3.3	53		Defined as >2-s prothrombin time, hemodialysis or platelet count <80,000/mm ³
	Anticoagulation within 3 days*	5.1	53		
	Cholangitis*	2.6	53		
	Small-volume endoscopist*	2.2 (≤1/wk)	53		
	Perforation	Postsurgical anatomy	2.5		51, 52
Pancreatitis†	Precut sphincterotomy	2.0	51		
	Intramural contrast	1.9	51		
	Sphincterotomy			Rare	
	Suspected SOD	1.9-9.7	52, 55, 58, 59	Biliary sphincterotomy is not a risk factor ^{51,56,58}	
Pancreatitis†	Female	1.8-3.5	55-57, 59		
	Post-ERCP pancreatitis (prior)	5.4	55		
	Younger age	1.1/5-y decrease ⁶⁰ ; 1.1 (age <70 y) ⁵⁵ ; 1.6 (age <60 y) ⁶²	51, 56, 58		
	Normal bile duct	1.05	51		
	Normal bilirubin	1.9	55		
	No chronic pancreatitis	1.9	55		
	Nonuniversity center	2.4	51		
	Difficult cannulation	1.8-9.4	55-57, 59	Early precut sphincterotomy may reduce risk vs persistence ^{66,67}	
	Pancreatic sphincterotomy	1.5-3.8	Standard, ^{52,55,60} minor papilla ^{52,58}		
	Pancreatic injection	1.04-1.5	51, 55, 58, 60-62	Most studies define as any injection; in Cheng et al, ⁵⁸ defined as ≥2; extent of filling important ⁶²	
	No pancreatic stenting	1.4-3.2	52, 63-65	Significant in high-risk ERCP, especially SOD	
	Trainee involvement	1.5	58		
	Balloon sphincteroplasty	2.0	100	For stone disease, heterogeneous studies	

OR, Odds ratio; SOD, Sphincter of Oddi dysfunction.

*These risk factors were determined only in sphincterotomy subgroup and do not necessarily predict bleeding in all ERCPs.

†As is evident in this section, some factors have more consensus than others on their role as a risk factor for post-ERCP pancreatitis; factors only found significant in 1 of many studies may or may not be true risk factors.

TABLE 4. EUS and predictors of noncardiopulmonary adverse events

Adverse event	Modifying factor*	References	Comments
Infection	FNA	68-74	Very rare with FNA, rare with FNA
	Pancreatic cysts	74	Rare (0.2%), especially with antibiotic prophylaxis; risk factors thought to include incomplete drainage, multiple punctures
	Mediastinal cysts	75-78	Common and can be severe; FNA best avoided
	Transrectal/ colonic FNA	79, 80	Uncommon (4%); good prep critical
	Celiac block	81-84	Rare
Bleeding (delayed)	FNA	74, 85, 86	Very rare (1%-4%), mostly intraluminal
Perforation	Age, difficult intubation, inexperience	90	0.03% cervical esophageal perforation (older patient, history of difficult esophageal intubation, inexperienced operator)
Pancreatitis	FNA	87-89	Very rare
	FNA of pancreas mass	88, 91, 92	Very rare without FNA, rare with FNA (1%-2%); placement of fiducials can be associated with pancreatitis ¹⁰¹
	FNA for nonfocal chronic pancreatitis	93	Seems much higher than for masses, especially if Trucut is used (13%); intracystic brushing may increase risk ⁹⁴
Bile leak	Gallbladder FNA	95	High risk (>50%), not recommended
Pneumothorax	Lung mass FNA	77, 96	Very rare

*Adjusted odds ratios not clear for any of these risk factors as they have not been subject to multivariate analysis.

rare.⁶⁸⁻⁷⁴ Risk of infection is heightened by FNA of pancreatic cysts,⁷⁴ FNA of mediastinal cysts,⁷⁵⁻⁷⁸ FNA via a transcolonic route,^{79,80} and performance of celiac plexus block or neurolysis.⁸¹⁻⁸⁴ Bleeding is very rare, even with FNA.^{74,85,86} However, there are limited data on the influence of anticoagulants or antiplatelet agents on the risk of bleeding after FNA. Perforation is rare,⁸⁷⁻⁸⁹ but cervical esophageal perforation from endoscope insertion has been reported with older patients with histories of difficult esophageal intubation, especially for inexperienced operators.⁹⁰ It may also potentially occur with altered surgical anatomy or traversing strictures, but data are limited on these settings. Pancreatitis is rare,^{88,91,92} unless pancreatic FNA is done for reasons other than a suspected tumor⁹³ and is uncommon in cysts unless Trucut or intracystic brushing is performed.⁹⁴ Bile leak is very rare but has been associated with gallbladder FNA⁹⁵ (for collection of bile) and reported for complex procedures such as EUS-guided transluminal cholangiography with or without stenting. Pneumothorax can potentially occur with FNA of lung masses, but is very rare.^{77,96} EUS-guided natural orifice transluminal endoscopic surgery, EUS-guided ductography, and EUS-guided intracystic or intratumoral therapeutic injections are not discussed.

SUMMARY

Our goal was to identify or develop a relatively small data set that would be useful in predicting the risk of

endoscopic procedures. This review shows that this is not an easy task because there are a wide range of factors and a variety of risks. Risk assessment may also be complex when more than 1 risk factor is present because the way in which different factors interact is variable.

To summarize what was concluded in part I, for the cardiopulmonary events, it seems that documentation should include age, inpatient versus outpatient status (perhaps also clarify for inpatients where the procedure was performed [endoscopy suite vs other] and when [routine hours vs off-hours, elective vs urgent/emergent]), trainee involvement and type of sedation or anesthesia, supplemental oxygen use, and major comorbidities (especially cardiopulmonary compromise and recent myocardial infarction [MI]). The American Society of Anesthesiologists (ASA) class is most frequently used as a broad measure of fitness and inherently combines severity of comorbidities with functional status, but there are problems with inter-observer agreement and lack of detail. Unfortunately, some widely recorded factors, such as the Mallampati score (because it reflects potential difficulty in intubation), are not discussed in this review because their predictive value for AEs after endoscopy have not been validated.

The literature on cardiac risk status could be condensed for endoscopy. Relevant items include age, previous or recent MI, previous congestive heart failure (CHF), current/recent CHF, rhythm other than sinus, diabetes, renal failure, uncontrolled hypertension, previous stroke

or other neurologic impairment, inability to walk up a flight of stairs (or equivalent activity), dependency (on someone to help with activities of daily living), sleep apnea, or severe chronic obstructive pulmonary disease. Although comorbidities do not seem to increase the risk of most noncardiopulmonary events, eg, pancreatitis and perforation, they likely do influence the morbidity and mortality of those events if they occur.

In terms of noncardiopulmonary events, Tables 1 through 4 show that the main predictors are the demographics and indications (eg, suspected sphincter of Oddi dysfunction) and the actual procedure performed (eg, EMR). These are already well documented in most endoscopy reporting systems. Items such as liver transplant status and surgically altered anatomy should be noted even if not technically part of the indication for the procedure. So-called intraprocedural incidents (eg, bleeding that stops spontaneously or with endoscopic treatment) that do not meet the threshold for an AE are worth documenting because it is possible that some may predict real AEs. There are limited data proving that monotherapy with antiplatelet agents is related to AEs; however, combination antiplatelet therapy should be noted because it seems to predict bleeding, and drugs such as clopidogrel are often held for 3 to 7 days before and/or after large-polyp polypectomy, sphincterotomy, or FNA. It would be useful to note the amount of time that these drugs are held before and after endoscopy. The rate of balancing events (such as cardiovascular and cerebrovascular events) that may occur as a result of antiplatelet agents being held, especially in patients with coronary stents, needs further study. Active anticoagulation is a risk factor for bleeding after therapeutic or FNA procedures, but anticoagulation is generally held (for >4-5 days) when those procedures are done, essentially eliminating that immediate bleeding risk. Therefore, it likely is not worth noting anticoagulant medications for the purpose of predicting bleeding risk, unless the medication use is current (ie, uncorrected coagulopathy). What may be more worthwhile to note, however, because bleeding can be delayed by as long as 10 to 14 days, is whether anticoagulation is expected to be resumed within the next 14 days (and if so, when). Noting this in the recommendations of the procedure report is suggested.

RECOMMENDATIONS FOR CARDIOPULMONARY (PART I) AND NONCARDIOPULMONARY (PART II) EVENTS

Table 5 summarizes a list of factors that either are known (basic use, recommended for routine practice) or are suspected (intermediate/advanced use, for more advanced reporting and research) to predict AEs. Table 6 represents a proposal of the menu items that might be used in an endoscopic database to record the factors that are listed in Table 5.

TABLE 5. Summary of the recommended adverse event predictive factors to be reported for basic, intermediate, and advanced/investigational use

Basic
Demographics
ASA class
Outpatient/Inpatient/intensive-care unit/other setting
Diagnosis/indication/context (jaundice, pancreatic cyst aspiration, surgically altered anatomy, gastric retention)*
Procedure therapeutic details†
Type of anesthesia, and who administered it
Procedure duration
Current anticoagulant/antiplatelet therapy
Antibiotic prophylaxis
Intermediate
Basic, plus:
Recent anticoagulation/antiplatelet therapy (or holding thereof)‡
Immunosuppression
Major comorbidity (e.g., coma, cardiomyopathy, dialysis, cirrhosis with or without ascites, oxygen-requiring chronic pulmonary disease)
Trainee involvement
Advanced
Intermediate, plus:
Cardiac status (previous/recent angina, myocardial infarction, heart failure, or arrhythmia)
Coronary interventions (previous/recent angioplasty/stent, bypass surgery)
Pulmonary status (resting hypoxia, severe chronic pulmonary disease, sleep apnea)
Neurologic status (stroke with residual deficit, decreased level of consciousness, or coma)
Functional status (inability to walk up a flight of stairs [or equivalent activity], dependency on someone to help with activities of daily living)
Nutritional status (including malnutrition and obesity)
Other comorbidities (including immunosuppression)

ASA, American Society of Anesthesiologists.

Including type, duration held before procedure, duration to hold after procedure.

*With special attention to the factors in Tables 1 through 4.

†Such as size/type of polypectomy, type of sphincterotomy, type of hemostasis/variceal treatment.

‡Including type, duration held before procedure, duration to hold after procedure.

TABLE 6. Proposed menu items for endoscopy reporting software for the factors listed in Table 2*

Demographics

Age

Sex

Clinical status

BMI

<20

20-30

30-40

40-45

>45

ASA grade

Independence (KPS scale)

Able to carry on normal activity and to work; no special care needed (KPS score 80-100)

Unable to work; able to live at home and care for most personal needs; varying amount of assistance needed (KPS score 50-70)

Unable to care for self; requires equivalent of institutional or hospital care; disease may be progressing rapidly (KPS score 0-40)

Coagulation issues

Current anticoagulation (therapeutic INR or PTT)

Current antiplatelet effect (last dose within 48 hours)

Current prophylactic (low dose) low-molecular weight heparin (last dose within 24 hours)

Recently stopped

Aspirin: specify number of days since last dose

Coumadin and related nonheparin anticoagulant agents: specify number of days since last dose

Unfractionated heparin: specify number of hours since last dose

Low-molecular weight heparin: specify number of half-days since last dose

Nonaspirin antiplatelet agents: specify number of days since last dose

NSAIDs: specify number of days since last dose

Plan to restart anticoagulant or antiplatelet agents <10 days: specify anticipated delay to restart

Cardiac

Previous coronary intervention: bypass surgery, angioplasty without stent, drug-eluting stent, bare metal stent

TABLE 6. (continued)

Timing of coronary intervention (for each intervention)

<6 weeks

6 weeks to 12 months

>12 months

Previous MI

Recent MI

<1 week

1 week to 1 month

within 6 months

6-12 months

Previous heart failure

Recent heart failure (within 1 month)

Severe cardiomyopathy (ejection fraction <25%)

Atrial flutter/fibrillation

Ventricular arrhythmia

Pulmonary

Resting hypoxia (Sao₂ <90% on room air)

Severe chronic pulmonary disease

Previous admission

Oxygen at home

Sleep apnea

Cardiopulmonary functional status

No limitations

Limited but able to climb 1 flight of stairs (or equivalent)

Unable to climb a flight of stairs (or equivalent)

Neurologic status

Previous stroke, no/minimal residual deficit

Previous stroke with residual deficit

Recent stroke (within 1 month)

Decreased level of consciousness

Coma

Renal/liver

Significant renal insufficiency (creatinine >2 mg/dL) but not on dialysis

Dialysis or awaiting dialysis

Portal hypertension or ascites

(continued on next page)

TABLE 6. (continued)

Other comorbidity (eg, diabetes)
Poor nutritional status
Albumin <2.5 g/dL
Weight loss >10%
Limited oral intake for >7 days
Other
Procedure
Status/setting
Outpatient
Inpatient
Endoscopy unit
Intensive care unit
Operating room
Emergency department
Urgent, during working hours
Urgent, outside of working hours
Trainee involvement
Hands on: 0%, 1%-25%, 25%-50%, 50%-75%, 75%-100%
Administrator/type of sedation/anesthesia
Endoscopist, moderate/conscious sedation
Endoscopist, involving propofol (deep sedation or general anesthesia without intubation)
Anesthesia team, moderate/conscious sedation
Anesthesia team, involving propofol (deep sedation or general anesthesia without intubation)
General anesthesia with intubation
Nonendoscopist/nonanesthesia sedation
Procedure duration (time from endoscope in to endoscope out)

ASA, American Society of Anesthesiologists; BMI, body mass index; INR, international normalized ratio; KPS, Karnofsky Performance Status; MI, myocardial infarction; NSAID, nonsteroidal anti-inflammatory drug; PTT, partial prothrombin time.

On current evidence, to fulfill the basic use criteria, we recommend that endoscopy reporting systems allow documentation of, in addition to demographics (age, sex), details of the procedure sufficient to describe the elements highlighted in Tables 1 through 4 (eg, size of polyp removed at colonoscopy, type of sphincterotomy, extent of pancreatic injection at ERCP, context of dilation at EGD [achalasia vs nonachalasia]), inpatient/outpatient status, and the ASA class.

The ASA classification covers a broad range of reasons for unfitness, although it has known limitations. Uncorrected coagulopathy (intrinsic or medicated) and current antiplatelet use should also be recorded.

Some endoscopists, especially those in research facilities, will want to record more details of cardiac risk (especially previous/recent MI, CHF, and arrhythmia), pulmonary status (especially resting hypoxia or severe chronic obstructive pulmonary disease), details of other severe comorbidities (eg, renal failure requiring dialysis, severe liver disease), serious neurologic disease (eg, stroke with residual deficit, current coma), functional status, and severe immunosuppression (Table 5). In addition, any expected resumption (including in how many days resumption has been suggested) of halted antiplatelet agents or anticoagulants within 14 days of the procedure should be recorded because it may contribute to delayed complications, including both bleeding and vascular thrombosis, in high-risk patients or procedures. The influence of malnutrition, obesity, body mass index, and associated sleep apnea on procedural and cardiopulmonary event rates is unclear, but they are suspected to be increasingly important issues. More research is needed to establish which of these additional factors, or others, are worth documenting on a routine basis. Procedure difficulty scales for each of the major procedures (EGD, colonoscopy, EUS, ERCP) may also be useful to record to help with risk stratification, and such scales are in the process of being developed by the group.

Routine documentation of a basic or an advanced set of modifying factors will help identify or clarify the role of various patient-, operator-, and procedure-related variables in predicting AEs. Although the role of several factors is already known, many others require further research.

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