Use of the American Society of Anesthesiologists Physical Status Classification in non-trauma surgical versus trauma patients: a survey of inter-observer consistency

Shree Singaram* and Sailuja Naidu

Anaesthesia and Critical Care, University of KwaZulu-Natal, Durban, South Africa

*Corresponding author, email: ssingaram10@gmail.com

Background: The American Society of Anesthesiologists-Physical Status (ASA-PS) Classification is a grading system for classifying surgical patients based on their co-morbid background. Despite numerous benefits, its highly subjective nature has led to marked inconsistency when used. The purpose of this study was to assess consistency when public sector anaesthetists score trauma and non-trauma surgical patients using the Classification.

Methods: A three-part questionnaire, with 18 clinical scenarios, was administered to 98 anaesthetists requiring them to grade the scenarios using the Classification and give their opinion on its usage.

Results: A total of 97 completed questionnaires were received. Some 88% of respondents routinely use the Classification and 52% had read the Classification within the last 6 months. Many limitations of the use of the ASA system were identified. There was a lack of consistency in the scoring of the scenarios, with each scenario receiving at least three different gradings. Scenarios involving trauma, paediatrics, neurosurgery and the airway were associated with greater inconsistency. There was a statistically significant ($p < 0.01$) difference in inter-rater variability between the trauma and non-trauma scenarios.

Conclusion: The ASA PS Classification shows poor inter-rater consistency when trauma patients are scored compared with non-trauma patients. Anaesthetists found it overall an inadequate tool to be used perioperatively in its current state. There has been a suggestion for a possible multifactorial modification with an aim to improve preoperative physical status and risk assessment of patients.

Keywords: anaesthetist, ASA-PS scoring, classification, consistency, trauma patients

Introduction

The American Society of Anesthesiologists-Physical Status (ASA-PS) grading system is widely used for classifying surgical patients preoperatively based on their co-morbid background. It is ‘user friendly’ and does not rely on complicated variables, making it a valuable tool in an acute setting. It aids communication between different disciplines, highlighting the anaesthetists’ risk assessment of the patient.

The ASA grading system, despite its advantages, has definite flaws. Its subjective nature has led to inconsistencies in the assessment of patients in multiple settings including obstetrics and paediatrics with a suggestion that there should be a move towards modifying it.

The burden of disease in South Africa has a major contribution from trauma and these patients are dominant players in our everyday practice of anaesthesia. The trauma patient group possesses its own set of problems in the preoperative assessment. These include an altered level of consciousness, the inability to ascertain co-morbid conditions and functional limitation, and language barriers. Numerous trauma scoring systems exist, each with its own merits, attempting to risk-stratify based on the severity of injury. However, the ASA-PS classification is nevertheless still widely used by anaesthetists for this purpose. Overseas studies have proved it to be reliable when grading co-morbidity in trauma patients. Pre-injury ASA scores were independent predictors of mortality in trauma patients. Despite this, when trauma cases were allocated to be assigned ASA scores, marked inconsistency in rating was found.

There is a paucity of research into the use of the ASA-PS system in both non-trauma and trauma patients in the South African setting. It is therefore pertinent that usage of this simple but effective classification be analysed for consistency in our local setting before embarking on its deconstruction.

A quantitative study was conducted with the use of a questionnaire directed to anaesthetists in state sector hospitals in the eThekwini and Msunduzi municipalities. The questionnaire included 18 hypothetical scenarios that doctors were asked to score using the ASA-PS system.

Methods

Biomedical Research Ethics Committee (BREC) approval was obtained (BE068/16).

Over a four-month period from May 2016 to August 2016, questionnaires were delivered directly to 98 state sector anaesthetists.
The sample size was based on the ANOVA statistical test with a 95% CI, effect size $f = 0.4$ and alpha error probability of 0.05. Informed consent was completed by participants.

Inclusion criteria for the study were medical officers, registrars and consultants working within the department of anaesthesia, eThekwini and Msunduzi Municipalities. Respondents were required to have a Diploma in Anaesthesia (DA) degree. Exclusion criteria were medical students and interns rotating through the department of anaesthesia as well as intensivists.

Part one of the three-part questionnaire collected demographic data, current usage of the grading system and difficulties encountered in scoring certain patient groups. Part two of the questionnaire included 18 hypothetical scenarios. For validity, we used the same 10 hypothetical clinical scenarios as a former study in 1995 by northern England anaesthetists but with the addition of 8 trauma scenarios. These eight scenarios further covered topics of sepsis, neurosurgery, the airway, obstetrics, paediatrics and geriatrics. Part three focused on participants’ concerns with grading the scenarios as well as their opinions regarding the usefulness of the scoring system in its current form.

The data collected were captured and analysed using SPSS® Version 23 (IBM Corp, Armonk, NY, USA). The intra-class correlation (ICC) was the statistical test used for assessing inter-rater reliability (IRR). Cut-offs for ratings of agreements on ICC values: poor (< 0.4); fair (0.40–0.59); good (0.60–0.74); excellent (0.75–1.0). NVivo software (QSR International, Melbourne, Australia) was used to analyse qualitative data. The results were presented in tables and bar charts. Fisher’s exact test was used to assess whether level of expertise was an independent factor when assigning ASA grading (1 to 5) to the case scenarios because of small cell sizes. The Kruskal–Wallis rank test was used to compare the total score over all scenarios by level of expertise. Reliability of the study was determined using the Cronbach test.

Results

Demographic data
In our study, 37% of participants were specialists, 24% were registrars and 39% were medical officers. Some 88% of anaesthetists routinely use the ASA-PS grading system. The time period since our respondents last read the ASA-PS Classification is demonstrated in Figure 1. A majority (93%) of anaesthetic departments expect their doctors to document the ASA grade in every case. However, only 67% were documenting the grade; 86% of anaesthetists find it difficult applying the grading system in the trauma subgroup of patients. In total, 95% of participants documented that they had difficulty applying the ASA grading to obstetrics, paediatrics, trauma, vascular and geriatrics; 82% believe that there should be modifications made to the ASA-PS Classification.

Case scenarios
Table 1 outlines an abbreviated form of the 18 scenarios used in the study, and the ASA scoring per scenario. The highlighted blocks demonstrate the most popular ASA score per scenario.

There was no statistically significant association found between level of expertise and grading the case scenarios between the individual scenarios or the total score.

Among the 88% of anaesthetists who routinely use the ASA-PS classification, 25% do not document the ASA grade in every case for several reasons (see Table 2).

The ICC for trauma patients was 0.21 and that for non-trauma patients was 0.51. When the non-trauma ICC was tested against the trauma ICC, it was statistically significant ($p < 0.001$); 83% of the patients in the good/excellent category were non-trauma. However, the other two categories (fair and poor) showed no difference in terms of being trauma or non-trauma related. Scenarios that showed poor agreement were 3, 11, 12, 13 and 18.

Qualitative data
Table 2 outlines the major themes from the qualitative data analysis.

Discussion
The intention in the creation of the ASA-PS system was not to assess surgical risk, due to a lack of inclusion of the nature and severity of the surgical procedure in the scoring system. Older studies have shown that the ASA-PS system is nonetheless a useful tool for predicting short- and long-term outcome. A recent study, however, looking at the relationship between the ASA score and postoperative mortality, has concluded that it has poor discriminatory power and is less than acceptable for widespread use.

In light of this, in October 2014, the American Society of Anaesthesiologists House of Delegates approved an addition of class-specific examples to the classification system (Table 3). Following this, a recent study in 2016 found that with the use of the class-specific examples both anaesthesia and non-anaesthesia providers alike were able to increase their ability to determine the ‘correct’ ASA class. Both groups were asked to assign ASA scores to 10 hypothetical cases using only the definitions. The second part of the survey involved the same scenarios, but the participants were given a table with the published class-specific examples. There was a substantial improvement in the way scores were correctly assigned.

In our study, even though 83% had read the ASA-PS within the last two years, for every case scenario there were a percentage of people who interpreted and graded the cases differently. This is in keeping with various overseas studies. Scenarios that posed challenges included the young healthy...
trauma patient with severe injuries, especially if requiring neurosurgery.

In our study, six scenarios (62%) yielded conflicting results. Scenario 1 (poorly controlled hypertensive, varicose vein surgery) was presumed to be the most likely to achieve complete consensus but did not do so; 3% of anaesthetists classified the patient as ASA 3 and the remainder as ASA 2, which was in keeping with the Haynes and Lawler\(^9\) study.

Scenario 9 (insulin dependent diabetic with a raised creatinine for knee replacement) examined the boundary between ASA 2; 3.73% of anaesthetists graded the patient as ASA 2 and 24% as ASA 3. This is in keeping with the Haynes and Lawler\(^9\) study.

### Table 1: ASA scoring per case scenario

| Case scenarios                                                                 | No. of respondents (\(n = 97\)) per ASA grade |
|-------------------------------------------------------------------------------|-----------------------------------------------|
| 1. 36yo F, poorly controlled HPT for varicose vein surgery                    | ASA 1: 3.0, ASA 2: 89.0, ASA 3: 3.0, ASA 4: 2.0, ASA 5: 0.0 |
| 2. 66yo M, known with COPD for anterior resection of Ca rectum               | ASA 1: 0.0, ASA 2: 22.0, ASA 3: 65.0, ASA 4: 10.0, ASA 5: 0.0 |
| 3. 36yo F, acute subarachnoid haemorrhage for craniotomy                     | ASA 1: 31.0, ASA 2: 18.0, ASA 3: 29.0, ASA 4: 17.0, ASA 5: 2.0 |
| 4. 78yo F, septic shock secondary to a ruptured sigmoid diverticulum         | ASA 1: 2.0, ASA 2: 2.0, ASA 3: 14.0, ASA 4: 53.0, ASA 5: 26.0 |
| 5. 72yo M, stable angina and renal impairment for elective repair of AAA    | ASA 1: 0.0, ASA 2: 6.0, ASA 3: 67.0, ASA 4: 22.0, ASA 5: 2.0 |
| 6. 69yo M, for TURP. Acute exacerbation of COPD pre-operatively              | ASA 1: 0.0, ASA 2: 17.0, ASA 3: 69.0, ASA 4: 11.0, ASA 5: 0.0 |
| 7. 61yo F, Ca oesophagus for oesophagectomy                                 | ASA 1: 1.0, ASA 2: 18.0, ASA 3: 57.0, ASA 4: 19.0, ASA 5: 2.0 |
| 8. 25yo F with limited mouth opening post-trauma for a tonsillectomy        | ASA 1: 89.0, ASA 2: 6.0, ASA 3: 2.0, ASA 4: 0.0, ASA 5: 0.0 |
| 9. 57yo insulin-dependent diabetic, elevated creatinine for knee replacement| ASA 1: 2.0, ASA 2: 71.0, ASA 3: 23.0, ASA 4: 1.0, ASA 5: 0.0 |
| 10. 65yo M, HPT post-MVA: compound bilateral femur fractures for washout and fixation | ASA 1: 5.0, ASA 2: 79.0, ASA 3: 11.0, ASA 4: 1.0, ASA 5: 0.0 |
| 11. 19yo M, post MVA frontal contusion with low GCS for fixation of a compound fracture of the tibia | ASA 1: 45.0, ASA 2: 20.0, ASA 3: 18.0, ASA 4: 12.0, ASA 5: 2.0 |
| 12. 58yo F, peritonitic abdomen in septic shock for exploratory laparotomy   | ASA 1: 30.0, ASA 2: 5.0, ASA 3: 25.0, ASA 4: 32.0, ASA 5: 5.0 |
| 13. 8yo F, GCS 7/15 PVC closed head injury: insertion of external ventricular drain | ASA 1: 25.0, ASA 2: 17.0, ASA 3: 20.0, ASA 4: 23.0, ASA 5: 11.0 |
| 14. 40yo obese M, ORIF bilateral mandibular symphyseal fracture              | ASA 1: 7.0, ASA 2: 53.0, ASA 3: 30.0, ASA 4: 6.0, ASA 5: 1.0 |
| 15. 22yo pregnant pre-eclamptic at 38/40 in labour, fractured tibia for emergency Caesarean section | ASA 1: 13.0, ASA 2: 66.0, ASA 3: 18.0, ASA 4: 0.0, ASA 5: 0.0 |
| 16. 67 yo M, smoker with COPD, poorly controlled HPT: ASDH for craniotomy. GCS 13/15 | ASA 1: 0.0, ASA 2: 7.0, ASA 3: 54.0, ASA 4: 29.0, ASA 5: 7.0 |
| 17. 5yo M with Hurler’s syndrome and mild mitral regurgitation for fixation humeral fracture | ASA 1: 0.0, ASA 2: 34.0, ASA 3: 56.0, ASA 4: 7.0, ASA 5: 0.0 |
| 18. Unknown intoxicated M with large parietal contusion, renal impairment with oliguria for neurosurgery | ASA 1: 19.0, ASA 2: 12.0, ASA 3: 23.0, ASA 4: 31.0, ASA 5: 8.0 |

Notes: \(yo =\) year old; \(F =\) female; \(M =\) male; \(HPT =\) hypertension; \(COPD =\) chronic obstructive pulmonary disease; \(Ca =\) cancer; \(AAA =\) abdominal aortic aneurysm; \(TURP =\) transurethral resection of the prostate; \(MVA =\) motor vehicle accident; \(GCS =\) Glasgow Coma Scale; \(PVC =\) pedestrian vehicle collision; \(ORIF =\) open reduction internal fixation; \(ASDH =\) acute subdural haematoma.

### Table 2: Major themes from qualitative data analysis

| No. | Question | Theme |
|-----|----------|-------|
| 1   | What is the reason for not documenting the ASA grade in every case? | Forgetfulness, Not useful, Unable to obtain adequate history from certain patient groups, No impact on patient outcomes |
| 2   | Can you say why you have difficulty when using the ASA scoring system for: | Concurrent co-morbidities, Variable physiological and pathological state, Acute illness in children with no co-morbidities, No definition of grades of mild to severe disease in children, Acute injuries not accounted for, No co-morbidities but critical injuries, Multiple co-morbidities, Poor therapy history or control, Physiological ageing process not taken into account |
| 2.1 | Obstetric patients | D | Obstetric patients | Multi-system disease, Pre-existing conditions, Maternal complications |
| 2.2 | Paediatric patients | D | Paediatric patients | Developmental delay, Congenital anomalies, Infectious disease |
| 2.3 | Trauma patients | D | Trauma patients | Acute injuries not accounted for, No co-morbidities but critical injuries, Multiple co-morbidities, Poor therapy history or control, Physiological ageing process not taken into account |
| 2.4 | Geriatric patients | D | Geriatric patients | Multi-system disease, Pre-existing conditions, Long-term effects of disease |
| 2.5 | Vascular patients | D | Vascular patients | Multi-system disease, Pre-existing conditions, Long-term effects of disease |
| 3   | What were some of the limitations encountered when scoring the case scenarios | D | Trauma patients | Difficult to combine acute and chronic issues, Airway problems add anaesthetic risk but are not always part of a systemic disease, Difficult scoring trauma cases, cancer, multiple co-morbidities, paediatrics and COPD |
| 4   | What modifications, if any should be made to the classification? | D | Trauma patients | Type of trauma, haemodynamic stability, organ dysfunction and airway assessment should be added, Different classification for each population group, No place for ASA grading in trauma, Differentiation for acute and chronic condition with or without functional limitations |
as ASA 3. The distinction between these two grades has implications when it comes to considering the operative risk and allocation of anaesthetic staff or skills.

Scenarios 5 (stable angina, renal impairment for AAA repair) and 7 (carcinoma oesophagus for oesophagectomy) were designed to distinguish between grades 3 and 4. In both cases, Grade 3 was the majority grading. Perhaps long-standing coronary artery disease (> 3 months) with moderate functional impairment outweighed the threat to life from the aortic aneurysm when deciding on the grade.

In scenario 8 (limited mouth opening for a tonsillectomy) 92% of anaesthetists graded the patient as ASA 1 and the rest as Grade 2 and 3. This suggests that respondents are taking the potentially difficult airway into account.

Scenario 12 (peritonitic abdomen in septic shock for exploratory laparotomy), was one of the scenarios that posed challenges with grades ranging from Grade 1 (30.9%) to Grade 4 (33%). Participants may have felt the lack of co-morbid conditions to be important despite the apparent need for surgical intervention (grade 5).

With open-ended questions, anaesthetists were able to detail the difficulties experienced when presented with a complex case. Scenarios that posed challenges included the young patient with no co-morbid disease in the trauma setting with severe injuries (Scenarios 3 and 11), especially if requiring neurosurgery. Many felt it difficult to ignore the severity of the traumatic injury in a previously healthy patient. According to the updated classification, massive trauma and intracranial bleed with mass effect fall into ASA Grade 5 category (moribund patient not expected to survive without the operation). In scenario 11, 46% of anaesthetists graded the young man post MVA, with a frontal contusion and compound tibial fracture, as ASA Grade 1. A percentage of respondents that scored the patient in the rest of the ASA grades as well, thereby showing the confusion with usage of the classification. This suggests that scoring is being based primarily on the patient’s co-morbid status as opposed to his current state of illness.

In scenario 15 (pre-eclamptic woman in labour with fractured tibia now requiring Caesarean section), 68% of doctors graded the patient as an ASA 2 and the rest were divided between ASA 1 and ASA 3. The ASA classification lists ‘pregnancy’ as an example in the ASA 2 category, with no mention of effect on grading in the face of pregnancy-related conditions such as pre-eclampsia. Pregnancy presents its own subset of physiological disturbances that requires special anaesthetic management and can increase a patient’s risk profile. These issues are not included in the ASA system. ASA 2 is very broad in its definition for mild to moderate disease. It is therefore not surprising that doctors were met with confusion when scoring the pregnant patient, with or without trauma. Barbeito et al. proposed the usage of a modifier for pregnancy (G for gravid, similar to the modifier F for emergency) to improve predictability of the ASA classification. It was found that anaesthetists reduced their ratings when given the option of the G modifier. It allowed doctors to focus on the concomitant pregnancy complications or disease when communicating about pre-operative status and classification of physical status.

Paediatrics poses a very similar problem. In the two paediatric scenarios included in the study, there was considerable inter-rater discordance. It does not address children with congenital disorders (even though congenital disorders were found to contribute to over 300 000 deaths in 2015).

Aplin et al., in their study involving a large group of experienced paediatric anaesthetists who were familiar with the ASA-PS, displayed a significant amount of inter-rater variability in the application of the system to hypothetical patients. They concluded that the ASA-PS classification may be less reliable in paediatrics than in the adult population. Direct responses from their study population when asked about perceived problems with the classification revealed uncertainty as to where acute illness and congenital malformations or syndromes should be placed. Functional limitation in neonates and infants was also a confusing definition. Stand-out comments in our study when asked about difficulties grading paediatric patients were that acute and chronic disease in children is not included in the classification.

Limitations
Some of the limitations to the study included an assumption that the responders were au fait not only with usage of the ASA scoring system, but also with the latest changes to the
classification. In our setting, several doctors have completed their specialist exams but are not in consultant posts, which may have skewed the demographics of the study. Even though the patient scenarios were carefully planned, a brief description and no opportunity to examine the patient may have contributed to greater inter-rater variability in grading.

Conclusion

Our study, similar to previous overseas studies, has shown that the ASA-PS classification has poor inter-rater consistency when patients are scored. In addition, there was inter-rater variability with the trauma subset of patients, a group that has not been studied in this context before. This was not influenced by level of expertise or number of years of experience in the specialty of anaesthesia. It can be proposed that the subjectivity and lack of detail in the ASA-PS grading system, despite the recent inclusion of examples, is still leaving anaesthetists uncertain when scoring different patient categories. Anaesthetists are not finding the classification useful and believe that there should be modifications made to it. An alarming number of respondents (88%) revealed that it should not be used at all for special populations such as in trauma, pregnancy and paediatrics. It is the feeling of the authors that, while the classification has obvious problems, its current use as a tool for assessing and communicating risk, in the face of a lack of a more reliable scoring system, is still valuable. This is especially true of the developing world with many junior doctors working in peripheral hospitals and in need of a simple-to-use risk assessment tool. It is hoped that a more comprehensive revision of the classification will be made available in the future.

Disclosure statement – No potential conflict of interest was reported by the authors.

References

1. Barbeito A, Muir HA, Gan TJ, et al. Use of a modifier reduces inconsistency in the American society of anesthesiologists physical status classification in parturients. Anesthesia & Analgesia. 2006;102(4):1231–1233. doi: 10.1213/ane.0000198564.59290.ee
2. Burgoyne LL, Smeltzer MP, Pereiras LA, et al. How well do pediatric anesthesiologists agree when assigning ASA physical status classifications to their patients? 1. Pediatr Anesth. 2007;17(10):956–962. doi:10.1111/j.1460-9592.2007.02966.x
3. Aplin S, Baines D, De Lima J. Use of the ASA physical status grading system in pediatric practice. Pediatr Anesth 2007;17(3):216–22. doi: 10.1111/j.1460-9592.2007.02966.x
4. Bernard PA, Makin CE, Hongying D, et al. Variability of ASA physical status class assignment among pediatric sedation practitioners. International journal of adolescent medicine and health. 2009;21(2):213–220.
5. Cheddie S, Muckart D, Hardcastle T, et al. An audit of a new level I Trauma Unit in urban KwaZulu-Natal. S Afr Med J. 2011;101(3):176–178. doi: 10.7196/SAMJ.4170
6. Ringdal KG, Skaga NO, Steen PA, et al. Classification of comorbidity in trauma: the reliability of pre-injury ASA physical status classification. Injury. 2013;44(1):29–35. doi:10.1016/j.injury.2011.12.024
7. Skaga NO, Eken T, Savik S, et al. Pre-injury ASA physical status classification is an independent predictor of mortality after trauma. J Trauma: Injury, Infection, and Critical Care 2007;63(5):972–978. doi:10.1097/TA.0b013e31804a571c
8. Cuviillon P, Nouvellon E, Marret E, et al. American Society of Anesthesiologists’ physical status system: a multicentre Francophone study to analyse reasons for classification disagreement. Eur J Anaesthesiol. 2011;28(10):742–747. doi: 10.1097/EJA.0b013e328348fcd9
9. Haynes S, Lawler P. An assessment of the consistency of ASA physical status classification allocation. Anaesthesia. 1995;50(3):195–199. doi:10.1111/ana.1995.50.issue-3
10. Owens WD, Felts JA, Spitznagel E Jr. ASA Physical Status Classifications. Anesthesiology. 1978;49(4):239–243. doi:10.1097/00000542-197810000-00003
11. Ranta S, Hynynen M, Tammisto T. A survey of the ASA physical status classification: significant variation in allocation among Finnish anaesthesiologists. Acta Anaesthesiol Scand. 1997;41(5):629–632. doi:10.1111/ana.1997.41.issue-5
12. Aronson W, McAuliffe MS, et al. Variability in the American Society of Anesthesiologists physical status classification scale. AANA J. 2003;71(4):265–276.
13. Mak P, Campbell R, Irwin M. The ASA physical status classification: inter-observer consistency. Anaest Intensive Care. 2002;30(5):363.
14. Tiret L, Hatton F, Desmonts J, et al. Prediction of outcome of anaesthesia in patients over 40 years: a multifactorial risk index. Stat Med. 1988;79(9):947–954. doi:10.1002/ims.1870890904
15. Tang R, Chen HH, Wang YL, et al. Risk Factors For Surgical Site Infection After Elective Resection of the Colon and Rectum: A Single-Center Prospective Study of 2,809 Consecutive Patients. Annals of Surg. 2001;234(2):181–189. doi:10.1097/00000658-200108000-00007
16. Kennedy R, Lee A, Frizzle F. Influence of general health and degree of surgical insult on long-term survival. Br J Surg. 2010;97(5):782–788. doi:10.1002/bjs.6960
17. Froehner M, Koch R, Litz R, et al. Comparison of the American society of anesthesiologists physical status classification with the charlson score as predictors of survival after radical prostatectomy. Urology. 2003;62(4):698–701. doi:10.1016/S0090-4295(03)00570-3
18. Moreno RP, Pearse R, Rhodes A. American Society of Anesthesiologists Score: still useful after 60 years? Results of the EuSOS Study. Revista Brasileira de terapia intensiva. 2015;27(2):105–112.
19. Hurwitz E, Simon M, Vinta S, et al. Adding Examples to the ASA-Physical Status Classification Improves correct assignment to patients. Anesthesiology. 2017;126(4):614–622. doi:10.1097/ALN.0000000000002520
20. Bhandari S, Sayami JT, KC RR, Banjara MR. Prevalence of congenital defects including selected neural tube defects in Nepal: results from a health survey. BMC Pediatrics. 2015;15(1):455. doi:10.1186/s12887-015-0453-1

Received: 7-12-2017 Accepted: 26-04-2018