

New Aspects of the Core Survey

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The NEW CMS ESRD Core Survey

**Focusing on Patient Safety and
Quality Clinical Care**

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The ESRD Core Survey



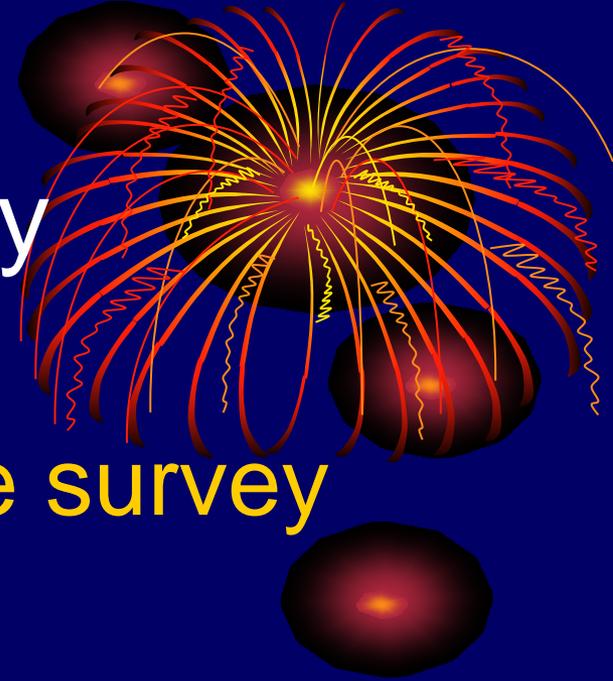
- The first in CMS Quality Assurance Efficiency and Effectiveness Initiative (QAEE)
- Developed, piloted, and “polished” in 2012
- National roll-out in 2013 and 2014
- Changes the approach to surveys

Changes of Approach to Surveys



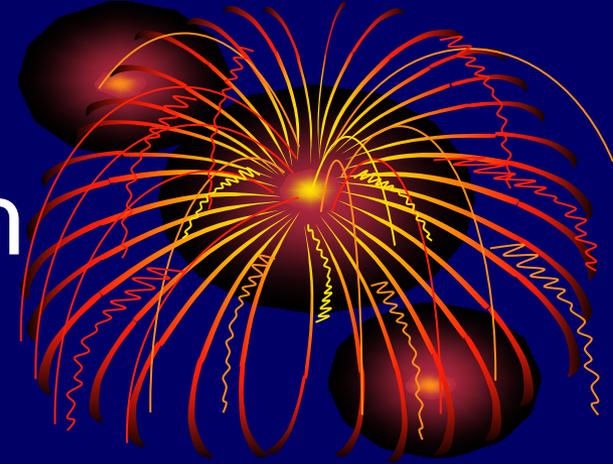
- Shifts to a collaborative approach
 - Providers report feeling more “engaged” in the survey
- Partners with and “listens” to patient and staff voices about the facility and its culture
- Promotes performance improvement where it is needed at that facility

Goals of the Core Survey



- **EFFICIENT** use of scarce survey resources
- **EFFECTIVE** survey activities that:
 - Assure patient safety
 - Promote quality clinical care

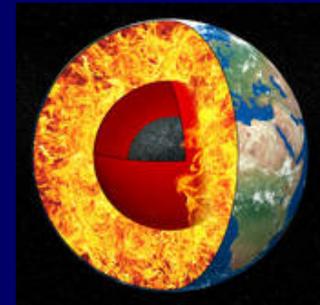
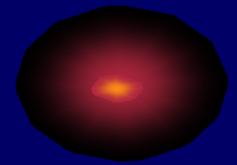
Goals Achieved Through



- Focus on elements of ESRD environment and processes of care that MOST impact patient safety and quality clinical care
- Clear direction to surveyors for a STANDARDIZED method of conducting survey activities

The “T’s” of the Core Survey

- Themes
- Threads
- Tasks
- Triggers
- Tools



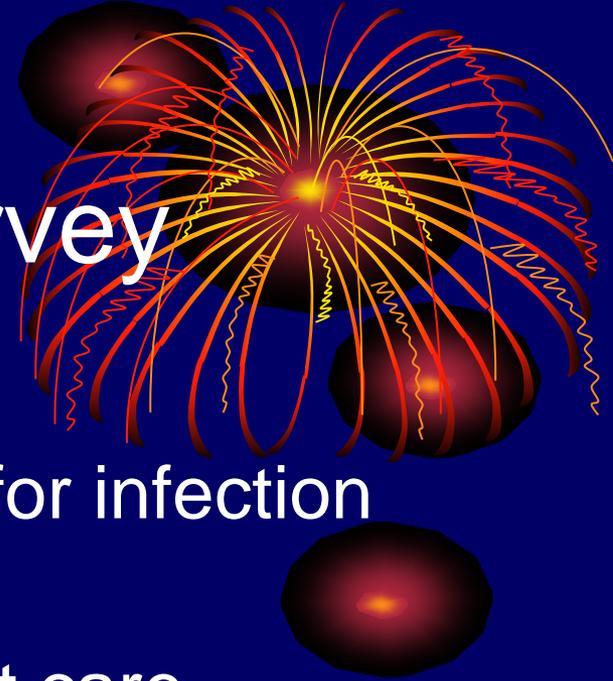
Themes of the Core Survey



Data use

- Prior to survey, looking at facility-specific data and history
- Gathering current data from facility **at onset of survey**
- Focusing clinical care reviews in areas where improvements are indicated
 - **Basis for patient sample selection**
 - **Guides QAPI Review**

Themes of the Core Survey



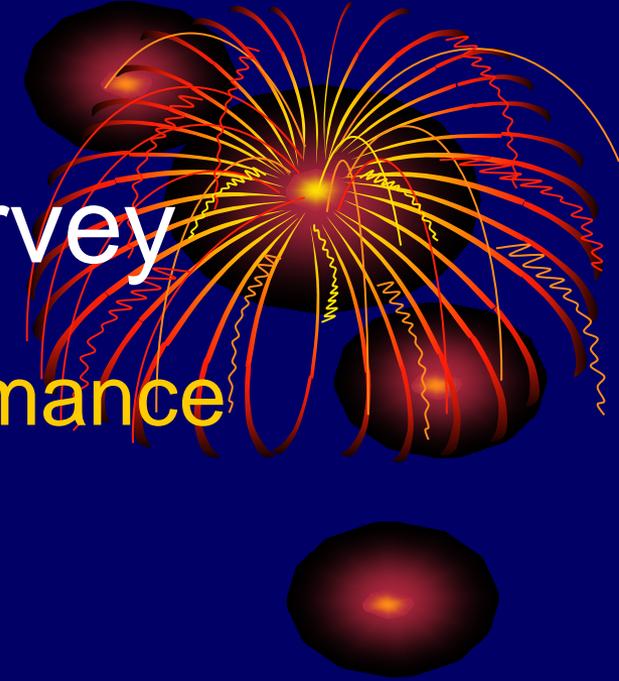
Infection control

- Looking for **multi-faceted** program for infection prevention and control
- **Standardized** observations of direct care practices using innovative **checklists**
- **QAPI** review of:
 - Infection surveillance
 - Vaccination programs
 - Staff education and visual audits
 - Patient education in infection prevention

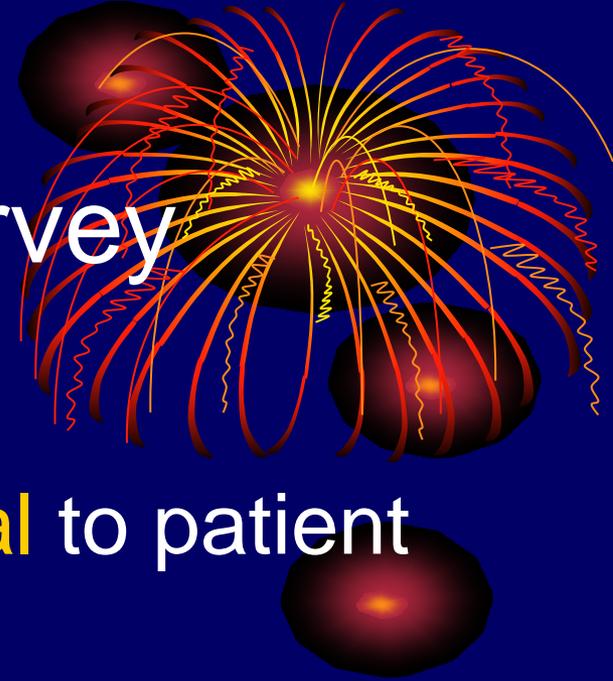
Themes of the Core Survey

Quality Assessment and Performance Improvement (QAPI)

- The BIG Kahuna!
- QAPI Review is **enhanced**
 - **Standardized** with QAPI Review Worksheet
- Looking to see:
 - **Monitoring** all expected areas
 - **Recognizing** when problems exist
 - **Addressing** with effective performance improvement actions for sustained improvements



Threads of the Core Survey



Technical safety

- Focusing on elements **critical** to patient safety
 - Example: redundant carbon system and accurate total chlorine testing
 - Example: safe manual pre-cleaning procedures in reuse
- Places emphasis on **facility oversight** of technical areas

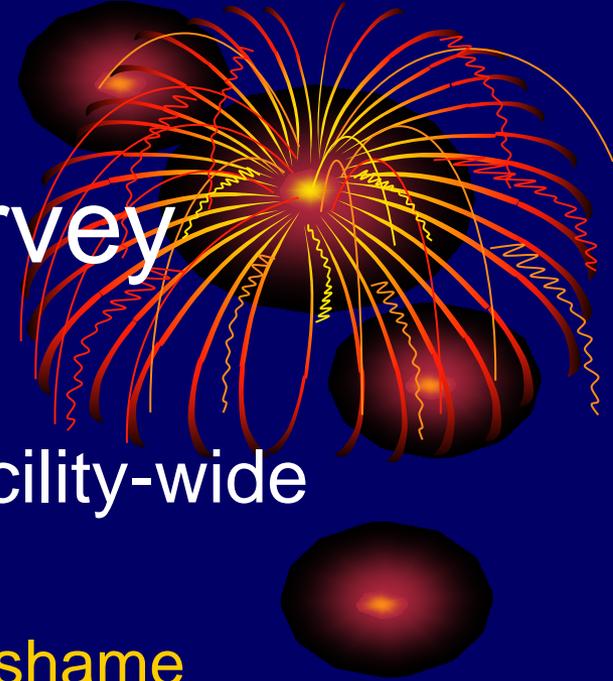
Threads of the Core Survey

“Culture of Safety”

- Looking for and supporting a facility-wide culture of
 - Open communication, not blame/shame
 - Clear expectations for staff and patients
 - Robust and effective adverse occurrence identification, reporting and investigation system

Patients’ voices

- Ensuring facility is “listening” to patients’ experience and point of view
- Enhanced patient interviews



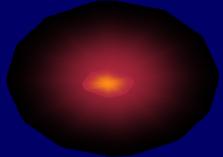
Tasks of the ESRD Core Survey



- **Pre-survey prep**
- **Introductions**
- **Environmental “flash” tour**
- **Entrance conference**
- **Observations of HD care & infection control practices**
- **Patient sample selection**
- **Water treatment & dialysate review**
- **Dialyzer reuse & reprocessing review**
- **Dialysis equipment maintenance**
- **Home dialysis training & support review**
- **Patient interviews**
- **Medical record reviews**
- **Personnel interviews**
- **Personnel record review**
- **QAPI review**
- **Decision making**
- **Exit conference**

Tools of the Core Survey



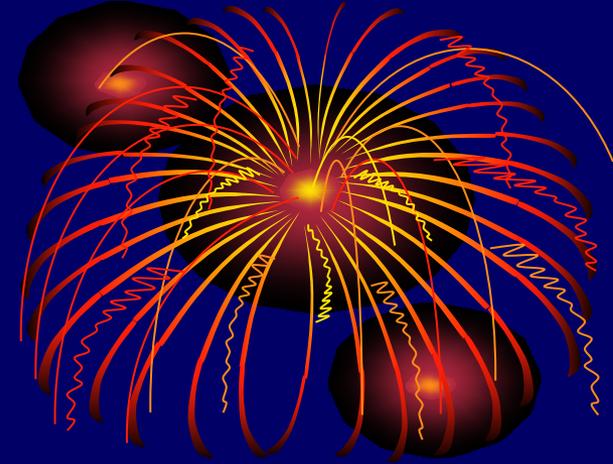
- **Narrative ESRD Core Survey Process**
 - Also in Outline/condensed format
 - **17 manual surveyor tools/workaids** guide the survey process
 - STAR automated survey tool now reflects the Core Survey
 - **All manual Core Survey tools are available at:**
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<http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/GuidanceforLawsAndRegulations/Dialysis.html>

Structure of the Core Survey:

Triggers

- Triggers are listed after each survey task
 - Prioritized Vtags
- Surveyors start by reviewing the “basics” of each facility system/process of care
 - Following the directions in the Core Survey
- If a Trigger is identified:
 - May be a citation upon identification (example: Don't have 2 carbon tanks) or
 - May need to investigate into **that** issue more deeply



Some early “returns” about the ESRD Core Survey

From Providers

- Peter DeOreo, M.D. Cleveland Clinic, OH. February, 2013

We are in the 3rd day of our Core Based Survey... I must say this has been very useful. I think the surveyors focusing on outliers that allows the surveyors to see the interface between QAPI and Care Planning is very instructive and useful. The conversation with the surveyors has been illuminating and I can see how post survey we will focus on ways to make the tie between care planning and QAPI even closer.

- Katrina Russell, R.N., NRAA President April, 2013

The focus [of the meeting] was the new **Core Survey Process** and how it changes the approach to ensuring safe care for Medicare beneficiaries....One of the most important take-away messages for me was the need for all dialysis providers to develop and maintain a “culture of safety” that allows for open and honest communication between patients and facility staff as well as among the facility staff. Creating and maintaining an organizational culture based on truly listening to the patient voice and encouraging each patient’s active participation in their care allows for more effective and efficient care.

More from Providers

- Jackie Wenzler R.N. Director of Regulatory Affairs, Fresenius Medical Care
April, 2013

Learning more about the core survey process and it's efficiency for both the CMS Surveyors and providers was extremely beneficial. The changes in the survey process and the openness of CMS to provide tools to the providers and the inclusion in ESRD Core Survey Training facilitates the focus on the day to day care of patients, patient safety, and helps to further define common goals in achieving patient outcomes.

- Sue Rottura RN, NRAA President, April, 2012

They [surveyors] believe that they are advocating for the beneficiaries – our “mutual” patients – and trying to ensure that they are safe in our facilities. We know that we, too, are trying to protect our patients –that we have everything in common with the mission of the surveyors when they come to our facilities. I challenge us all to consider a culture change of our own – in the way we think about the survey process – to consider these surveys an opportunity to focus on our common goal to deliver the safest care to our patients.

From Surveyors

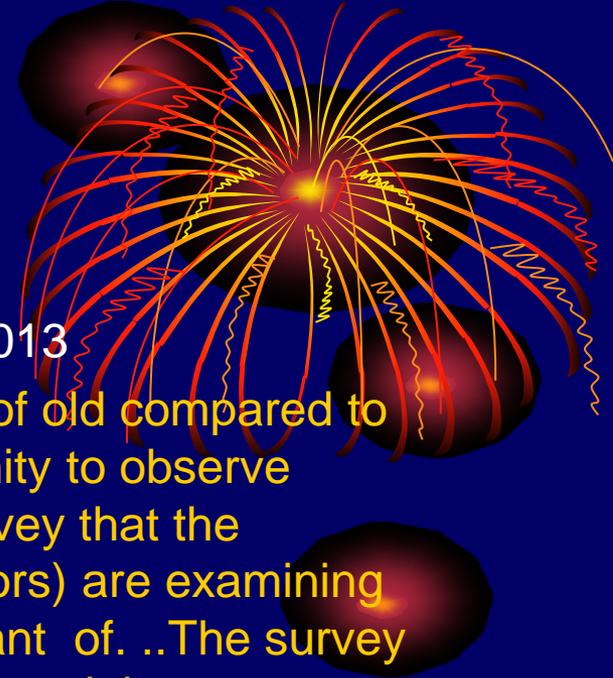
- Ralph Mills, R.N. Surveyor, North Carolina, July, 2013

I have seen a transformation from the ESRD surveys of old compared to the ESRD CORE survey. ..I have had the opportunity to observe through the new pre-preparation for the CORE survey that the providers are generally impressed that we (surveyors) are examining patient data that they had no idea we were cognizant of. ..The survey relationship has developed a new sense of respect and there are improved feelings that we are both working to improve patient care as well as keep patients safe and in a “Culture of Safety”.

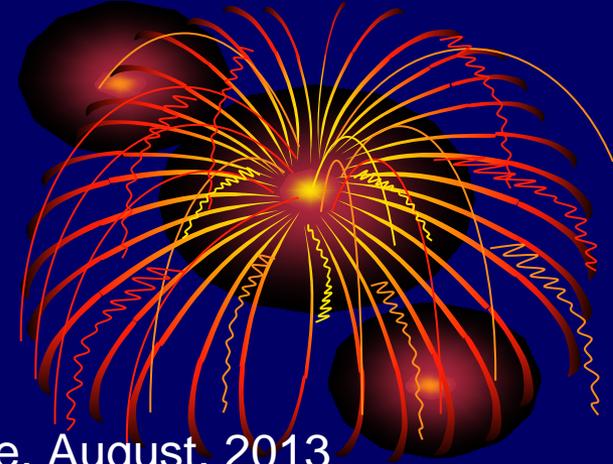
- Janelle Pilmer, R.N. and John Pilmer, R.N., Surveyors, Oregon, August, 2013

The quality and content of the survey as a whole is much more consistent and we're on much more solid ground with our citations because of the CORE process. Some of the providers have shared with us that though the process has been difficult for them to get used to, they feel that they've had a very thorough survey, regardless of the findings.

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From Patients



- Kathe LeBeau, ESRD Patient and Patient Advocate, August, 2013

The new core ESRD survey stresses the importance of hearing the patient voice, and making sure the patient's perspective is evident when assessing the operations of each dialysis facility. No one knows like those sitting in the chairs what the experience of care is - what patients need, what we worry about, what makes our lives better relative to our dialysis treatments - and this gives us an important opportunity to share that. The way this is being administered not only focuses on the most critical factors for improvement, but creates a "Culture of Safety" where patients are encouraged and comfortable speaking up and partnering with our care providers to identify and address concerns, so we can be vigilant together and continually improve the quality of care for everyone.

Possible Citation Patterns Since Core Survey Roll-out Began

V tag: Prioritized in Core Survey	# rank in CY 2011 Full year: 1,368 surveys	# rank in CY 2013 As of 8/1/13: 685 surveys
V113: IC Wear gloves, hand hygiene	#1: 31.5% of surveys	#1: ↑ 36.6% (appears in IC checklists 20 times)
V543: POC Manage Volume Status	#8: 13.6% of surveys	↑ to #4: ↑ 16.2%
V628: QAPI Measure, analyze, track quality indicators	#52: 5.3% of surveys	↑ to #13: ↑ 11.1% (appears in QAPI Worksheet 17 times)
V260: Water Personnel Training/Periodic Audits	#36: 7.0% of surveys	↑ to #18: ↑ 9.5%

Data from CMS Providing Data Quickly

Approximately ½ of surveys conducted in 2013 were Core Surveys

Moving Forward with the Core Survey



- National roll-out completed by 2014
- YOU can keep informed
 - Open access to the manual Core Survey materials at CMS web site
- YOU can keep engaged
 - The survey process is another performance improvement opportunity
- We want to keep “lines” of communication open!



**Thank you for your
collaboration and dedication to
providing optimum patient
care!**

Celebrate yourselves!!!