

Dialysis Staff Education: The State Survey Process

What happens before, during, and
after a state survey?

Heartland Kidney Network
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This slideshow reviews...

- Why does the State survey us?
- How often does the State come to visit?
- What can dialysis units do to get ready for a visit?
- Are there common problems that dialysis units need to watch out for?
- What is the survey process like?
- What if the surveyor finds something wrong?
- What is a plan for correction?

Why does the State survey us?

- The Centers for Medicare & Medicaid Services (CMS) requires it
- Surveys help ensure the quality of dialysis care
- In response to patient complaints
- When a unit first opens
- When a dialysis facility increases their patient stations
- When the facility adds services – like home training

How often does the State come to re-visit?

- The state may come to visit several times in a year if there are patient complaints or other patient care or environmental issues
- Facilities are usually visited every few years
- The state can come at any time – be ready!

What can dialysis units do to get ready for a visit?

- The CQI team, management team, and staff can all get involved in assessing the unit

Ask these key questions:

- Is the unit following its policies & procedures?
- Is the unit clean, in good repair, and organized?
- Are the patient records up to date and complete?
- Are the desired clinical outcomes achieved?

Continued...

- Does the unit have a patient grievance process?
- Are patient rights & responsibilities adhered to?
- Are the Conditions for Coverage being followed?
- Are the water records, machine PMs, cultures, etc. being completed and documented?

Are there common problems that dialysis units need to watch out for?

- V114 Sufficient # of sinks for hand washing
- V122 Cleaning and disinfection of contaminated surfaces
- V124 Routine testing for Hepatitis B
- V184 Secure & restricted access- water and storage areas
- V401 Safe environment
- V403 Equipment maintenance
- V412 Emergency preparedness patient training
- V627 Reduction of medical errors
- V682 Medical director qualifications
- V726 Medical Records
- V729 Completion of patient records

What is the survey process like?

- The state surveyor arrives at the unit unannounced.
- Introductions and the reason for the visit will be given.
- The surveyor will talk with the Unit Administrator and Medical Director if available

Survey Tasks

1. Pre-survey prep by the surveyor
2. Introductions
3. Tour/Observations
4. Entrance conference
5. Patient sample selection
6. Water treatment/
Dialysate preparation
7. Reprocessing/Reuse
8. Machine operation/
Maintenance
9. Home training dept
review
10. Patient interviews
11. Medical record review
12. Personnel interviews
13. QAPI
14. Personnel record
reviews
15. Decision making
16. Exit conference

What if the surveyor finds something wrong?

- The surveyor uses the **Conditions for Coverage** to assess the various components and how the dialysis facility is adhering to them.
- Conditions, standards, and V tags are used to determine compliance.

Conditions

- Condition level deficiencies are more serious than standard level deficiencies.
- When a “condition is out” of compliance, it indicates that the facility failed to meet a basic requirement of the ESRD Conditions for Coverage.

Standards

- Standard level deficiencies are less serious than condition level deficiencies.
- When a standard is out of compliance, it indicates that the facility failed to meet the requirements of one of the standards under a particular condition.

V tags

- V tags help the survey to identify ESRD deficiencies .
- The V tags break down the components of the Conditions and Standards into short, identifiable statements.

What is a Plan for Correction?

- When a survey results in deficiencies, the facility must correct the problem(s) described in each deficiency, complete a plan of correction (POC) and send the POC to the state agency for approval within the specified time identified in the cover letter received with the statement of deficiencies.

Questions?

Do you have any questions?

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