



**Transitioning to  
New Conditions for Coverage**

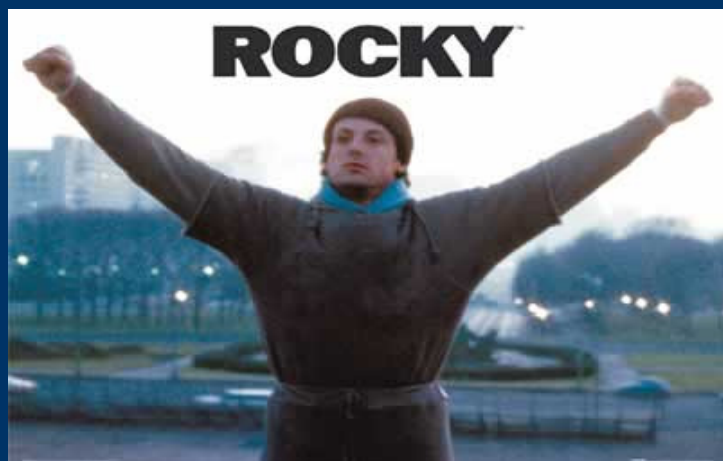
**Judith Kari**

# Objectives

- Background & rationale for changes to the current ESRD Conditions
- Structure of the new Conditions
- Structure of the new survey process
- Structure of this training



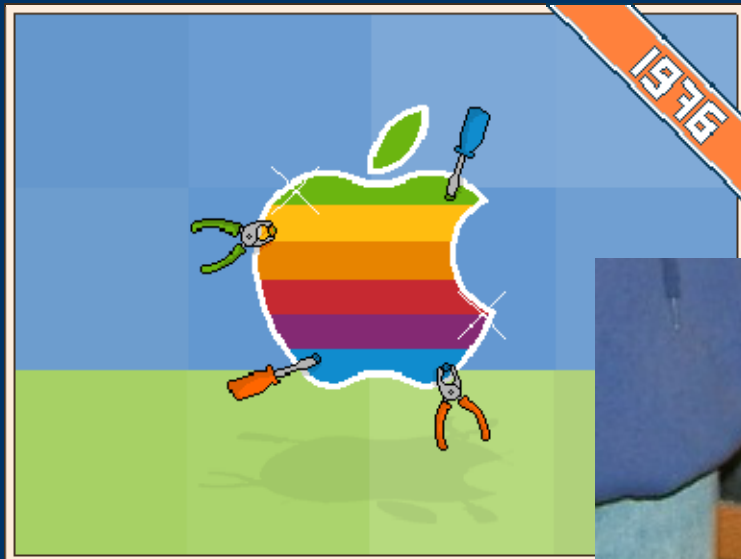
# 1976 Memories



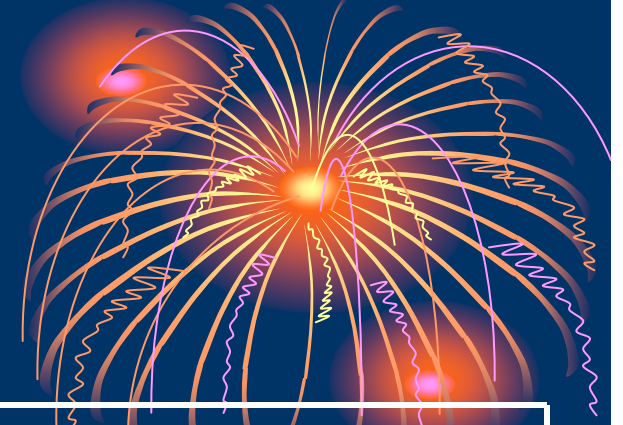
# 1976 Memories



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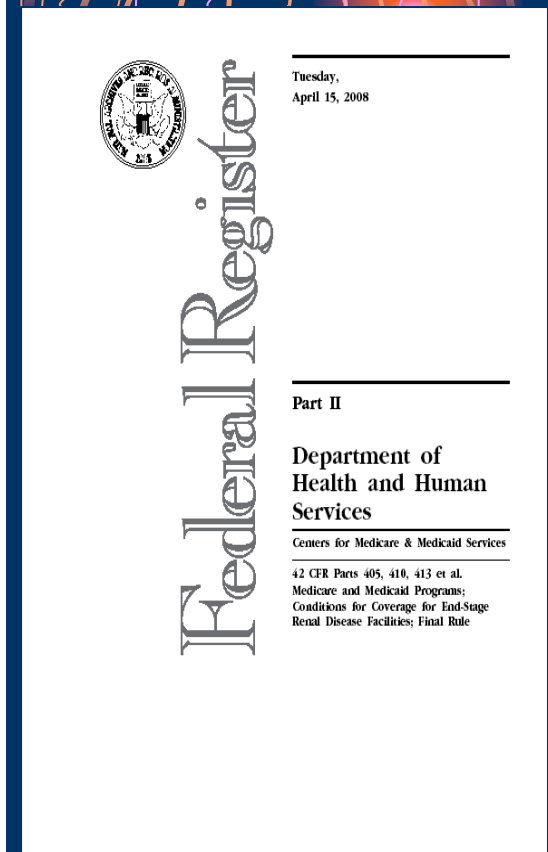
# History



<b>1972</b>	PL 92-603 extended Medicare to workers & their spouses & children needing dialysis or transplant
<b>1973-1976</b>	Interim regulations
<b>1976</b>	Publication of <i>Conditions for Coverage for ESRD Services</i>
<b>1970s-1990s</b>	Technical updates
<b>1994</b>	Community Forum began rewrites
<b>2005</b>	Publication of proposed Conditions for Coverage for dialysis (transplant separate)

# History (cont.)

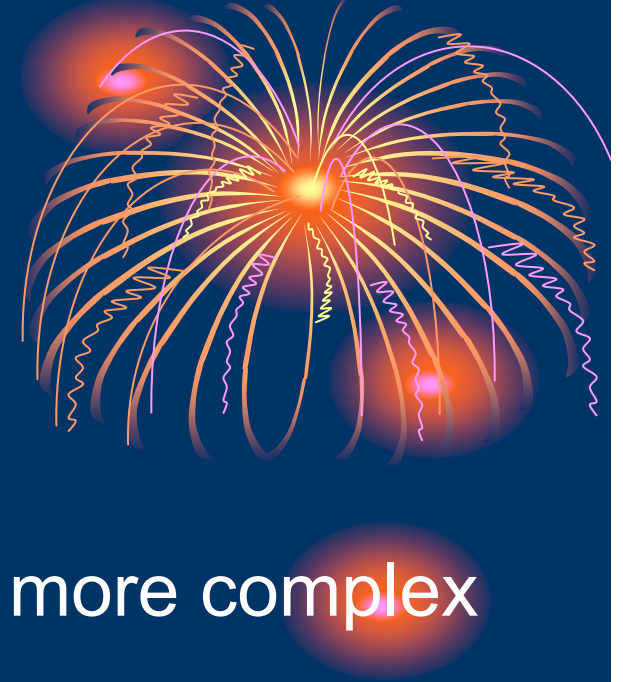
10-2007	Draft Interpretive Guidelines emailed to 10,000 on CMS listservs seeking comment
12-2007	CMS invited >120 patients, professionals & others to Community Forum to solicit IG comments
4-15-2008	Publication of <i>Conditions for Coverage for End-Stage Renal Disease Facilities; Final Rule (CfC)</i>



# Rationale for ESRD Regulation Changes

- Increasing realization of the need for regulatory support for an outcomes focus across provider types
  - Needed to drive improvements in care
  - Important component for bundled reimbursement (Medicare Improvements for Patients and Providers Act 2008)

# More Reasons



- Changes in technology
  - Water & dialysate services are more complex today
  - Changes in dialysis equipment
- Differences in care delivery
  - 1970's: few technicians; regulations are silent
  - 2008: technicians provide most direct care & public is demanding regulation

# Even More Reasons

- Evidence based practice: ESRD community coming to consensus on minimum standards of care
  - RPA's Adequacy of Dialysis Report
  - NKF KDOQI Guidelines
  - Fistula First Breakthrough Initiative
- QAPI: accepted process of self-assessment across provider types
- Electronic data submission required to keep pace with growing ESRD population & need for current data

# Key Effective Dates



Posting Draft Interpretive Guidance	8-08
Surveyor Training on New Survey	9-08
Open Door Forum on New Survey	9-18-08
Conditions for Coverage effective	10-14-08
ASPEN Survey IT Infrastructure complete	1-8-09

# Key Effective Dates



CROWNWeb to begin collecting data	2-1-09
Life Safety Code provisions effective	2-9-09
Separate isolation room (new facilities)	2-9-09
State or national certification of current patient care technicians required	4-15-10
Technicians hired after 10-14-08 must have state or national certification	18 months from hire date

# New Rules Require New Data Infrastructures



- The Survey & Certification data system (ASPEN) must be updated
- The automated ESRD data software (STAR) must be updated

# New Conditions Require New Interpretive Guidance



- Interpretive Guidance (IG) is CMS' interpretation of the Conditions
- Provides clarification to surveyors & providers

# New Rules Require New & Updated Products



- New Survey Protocol
- New training courses for surveyors
- New training materials for courses
- Updated Frequently Asked Questions
- Updated communications websites

# Structure of New Conditions



## Part A: General

- Compliance: state/local “adjudicated”
- 

## Part B: Patient Safety

- Infection control
- Water/dialysate
- Reuse
- Physical environment

# Structure (cont.)

## Part C: Patient Care

- Patients' rights
- Patient assessment
- Patient plan of care
- Care at home
- QAPI
- Special purpose dialysis facilities
- Laboratory services



# More structure

## Part D: Administration

- Personnel
- Medical director responsibilities
- Medical records
- Governance



# Survey Structure



- The new ESRD survey process covers the new Conditions
- The Life Safety Code survey is separate from the ESRD survey

# This Training

- Unique ESRD course: transition
  - Review new Conditions
  - Describe new survey tasks
  - Describe major changes
  - Introduce new survey documents, tools, and resources



# Course Materials

- Laminates
  - Outline of the Survey Process
  - Measures Assessment Tool (MAT)
  - Tag Identifier List
  - Dialysis Labs At-a-Glance
  - Personnel Qualifications Grid
  - Water System Monitoring & Decision Tree
  - Principles of Documentation



# Training Materials

- Conditions for Coverage (Regulations and Preamble)
- Interpretive Guidance (IG)
- Tools: Worksheets, Guides
- Crosswalk from old to new tags
- Information: CPMs, KCER, DFRs, CROWNWeb, etc.





Getting to Know One Another

# ESRD Updates

- Stand up if you have ever attended an ESRD Update



# Clicker Questions!!!



- Will use the Audience Response System during this training
- Sample question:

This session is being presented today in:

- A. Dallas, TX
- B. Cherry Hill, NJ
- C. Paris France

# Clicker Question!!!

## What Region (1-10) are you from?



### CENTERS FOR MEDICARE & MEDICAID SERVICES



# Clicker Question!!!

My professional discipline is...

- A. Registered Nurse
- B. Social Worker
- C. Dietitian
- D. Medical Technologist
- E. LSC Specialist/Engineer
- F. Physician
- G. Pharmacist
- H. Generalist/Sanitarian
- I. Other



# Clicker Question!!!



What is your role in the survey process?

- I am a state surveyor
- I am a state manager
- I work for CMS
- I work for a Network
- I work for a Provider
- None of the above

# Clicker Question!!!

How many dialysis surveys have you done in the last 12 months?

- A. None
- B. 1-5
- C. 6-10
- D. 11-15
- E. 16-20
- F. >20
- F. I am not a surveyor



# Clicker Question!!!

When doing an ESRD survey..

- A. I am usually working alone
- B. I am usually part of a team
- C. Not applicable to me



# Transition Team

- Kelly Frank, IA
- Rosemarie Miller, NY
- Teri Spencer, CA
- Bonnie Greenspan, Consultant
- Beth Witten, Consultant
- Glenda Payne, CMS
- Judith Kari, CMS



# Question Box

- Will have time for questions in each session
- If questions are not answered, put them in the question box!
- We may also ask you to put some questions in so we can capture them for the future!





Transitioning  
to  
Using the ESRD Survey Process