



Center for Clinical Standards and Quality/Survey & Certification Group

Ref: S&C: 17-02-ESRD

DATE: October 21, 2016

TO: State Survey Agency Directors

FROM: Director
Survey and Certification Group

SUBJECT: Release of the Fiscal Year (FY) 2017 Dialysis Facility Reports (DFR) and End Stage Renal Disease (ESRD) Core Survey Materials

Memorandum Summary

- **The Centers for Medicare & Medicaid Services (CMS) announces the release of the materials used for ESRD surveys that have been updated for FY 2017.**
- The FY 2017 DFR, Pre-survey DFR Extract files, and State profiles are available to authorized State Survey Agency (SA) personnel on the dialysisdata.org web site.
- The ESRD Core Survey Data Worksheet and other ESRD Core Survey materials have been revised for FY 2017 to align with the FY 2017 DFR.
- The FY 2017 survey materials for the ESRD Core Survey are available on the CMS ESRD Survey and Certification page of the CMS.gov web site at <http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/GuidanceforLawsAndRegulations/Dialysis.html>

Background

The ESRD Core Survey process utilizes facility-specific data from the current FY DFR to individualize recertification surveys of ESRD facilities, and focus clinical care reviews in areas where improvements are indicated at an individual ESRD facility. The DFR for each ESRD facility is updated every FY to include the most recent facility-specific and comparative clinical data available to CMS. Accordingly, the ESRD Core Survey materials are updated each FY to align with the current FY DFR for key data indicators used in the Core Survey Process and associated national thresholds.

To ensure accuracy and standardization of the ESRD surveys, surveyors are expected to access and utilize the DFRs and ESRD Core Survey materials for the current FY for planning and conducting ESRD surveys.

Dialysis Facility Reports (DFR) for FY 2017

The updated State and Region profiles, DFRs, Pre-survey DFR Extracts, and Outcomes Lists for FY 2017 are available in the secure section of the DFR Web site www.dialysisdata.org . The Master Account Holder (MAH) for each State is the person who can manage access to the DFR data and Profiles for their State. If your State MAH is not able to access this information, you may contact UM-KECC at www.sph.umich.edu/kecc .

In a continuing effort to improve the quality and relevance of the DFR, the FY 2017 DFR has provided on page one of the FY 2017 DFR, in the section “What’s New This Year?”

ESRD Core Survey Materials

To align with the updated data in the FY 2017 DFR, the following ESRD Core Survey materials have been revised:

- **FY 2017 ESRD Core Survey Data Worksheet:** The hemodialysis vascular access infection and peritoneal dialysis peritonitis rates have been removed from the “Clinical Outcomes Tables”, due to changes in the FY 2017 DFR data. All of the national thresholds for the Core Survey data indicators have been updated in the “Clinical Outcome Thresholds Table”, to align with the FY 2017 DFR.
- **ESRD Core Survey Process:** A section regarding how the ESRD facility calculates, trends, and acts upon elevations in dialysis-related infection rates (i.e. vascular access infections, peritoneal dialysis catheter infections, peritonitis) has been added to the Infection Prevention and Control Segment of the Quality Assessment and Performance Improvement (QAPI) Review. Added language regarding following equipment manufacturers’ directions for use (DFU) in the triggers section for Observations of Hemodialysis Patient Care.
- **ESRD Core Survey QAPI Review Worksheet:** Revised to align with the changes to the ESRD Core Survey Process.
- **ESRD Core Survey Medical Record Review Worksheets:** Added V-tags to decision-making probes.
- **Outline of ESRD Core Survey Process and Triggers Laminates:** Revised to align with the changes in the ESD Core Survey Process.
- **Measures Assessment Tool (MAT):** In accordance with the DFR and the National Quality Forum endorsed measure #2701, a fluid management standard of “Avoid ultrafiltration rate ≥ 13 ml/kg/hr” has been added to the Patient Plan of Care section of the MAT. Deleted reference to National Quality Forum under Psychosocial Status in the Patient Plan of Care section.

Surveyors conducting Medicare ESRD surveys during FY 2017 must ensure they are utilizing the FY 2017 ESRD Core Survey materials.

The attachments to this memo include the nine ESRD Core Survey documents that were revised for FY 2017.

All FY 2017 ESRD Core Survey materials, including the updated ESRD Core Survey Field Manual 1.9 may be accessed on the ESRD Survey and Certification page of the CMS.gov web site at:

<http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/GuidanceforLawsAndRegulations/Dialysis.html>

Contact: For questions or concerns regarding this memorandum, please contact esrdcoresurvey@cms.hhs.gov.

Effective Date: Immediately. This memorandum should be communicated with all survey and certification staff, their managers and the State/Regional Office training coordinators immediately.

/s/

David R. Wright

Attachment (s):

Attachment 1- ESRD Core Survey Process

Attachment 2- Outline ESRD Core Survey Process

Attachment 3- ESRD Core Survey Triggers

Attachment 4- ESRD Core Survey Data Worksheet for FY 2017

Attachment 5- Measures Assessment Tool (MAT)

Attachment 6- ESRD Core Survey Medical Record Review ICHD

Attachment 7- ESRD Core Survey Medical Record Review PD

Attachment 8- ESRD Core Survey Medical Record Review HHD

Attachment 9- ESRD Core Survey QAPI Review Worksheet

cc: Survey and Certification Regional Office Management

The contents of this memorandum support activities or actions to improve patient or resident safety and increase quality and reliability of care for better outcomes.