



Center for Clinical Standards and Quality/Survey & Certification Group

Admin Info: 14- 06-ESRD

DATE: November 15, 2013

TO: State Survey Agency Directors

FROM: Director
Survey and Certification Group

SUBJECT: End Stage Renal Disease (ESRD) Dialysis Facility Reports for FY 2014

Memorandum Summary

This memorandum is intended to provide guidance related to the following:

- Release of the Dialysis Facility Reports (DFR), State and Region Profiles, and Outcomes Lists for surveyor use during FY 2014.
- Release and instructions for access to the new ESRD Core Pre-survey Data Tool, a partially pre-populated surveyor tool for each ESRD facility to be used in preparation for an ESRD Core Survey during FY 2014.
- Release of and instructions for access to the new FY 2014 ESRD Core Survey Data Tools Worksheet to be used for all ESRD Core Surveys during FY 2014.

Purpose: To announce the release of and instructions for access to the Fiscal Year 2014 ESRD survey data reports and data-related surveyor tools.

Background: Since the inception of the Dialysis Facility Reports (DFR) and ESRD State and Region Profiles and Outcomes Lists, surveyors have been expected to utilize the information to prioritize and guide the surveys of ESRD facilities.

The use of facility-specific outcomes data is a central theme of the new ESRD Core Survey process, which is being rolled-out nationally in 2013 and 2014. The new ESRD Core Survey Data Tools Worksheet is the cornerstone for guiding surveyors in a standardized method of utilizing facility-specific data to focus survey activities in potentially problematic areas at an individual ESRD facility. Part I of the ESRD Core Survey Data Tools Worksheet consists of a pre-survey data report tool.

Because of the dynamic nature of ESRD data, the Dialysis Facility Reports, State and Region Profiles and Outcome Lists, and the data-related surveyor tools must be updated every fiscal year, to assure accuracy and relevance of the information to the survey process.

Dialysis Facility Reports: We are pleased to announce that the new State and Regional Profiles, Dialysis Facility Reports (DFRs), and Outcomes Lists for FY 2014 are available on the website www.dialysisreports.org. A notice was sent to each of the Master Account Holders (MAH) on September 27, 2013, with instructions on creating individual accounts for the MAH and other authorized users in their State/Region. The MAH was sent a Username and password via separate emails to begin the process. The MAH is the only person in each State/Region who can manage access to the Profiles for their State/Region. If your State MAH did not receive this information, you may contact UM-KECC at www.sph.umich.edu/kecc.

ESRD CORE Pre-Survey Data Report Tool: Available for the first time on the www.dialysisreports.org site, this pre-survey data report tool summarizes key data elements from the DFR reviewed in the Pre-survey Task (Task 1) of the new Core Survey. Reports for the pre-survey preparation task are listed for each dialysis facility in a State on the DFR website. Major facility outcomes and narrative text to assist in interpretation are included on the form. The reports for each State/Region file are organized by CCN. Bookmark links are available to allow the user to jump directly to a desired facility's report.

Accessing Profiles and Outcomes Lists on the Dialysis Reports Web Site: The DFR website has one section that does not require a password and a second section that does require a password. The password-protected section contains the DFRs, Profiles, Outcomes Lists and ESRD Core pre-survey data report tool. To access the DFRs, State and Regional Profiles, Outcomes Lists, and ESRD Core pre-survey data report tool, contact your State/Regional Master Account Holder (a listing is available on the [Dialysis Reports Website](http://www.dialysisreports.org)) and request that they create an individual account for you.

When you log onto the site using your **individual** account, you will begin on the *Home* tab. From there, you can move to the *DFR* tab. This page has a list of all the facilities in your State or Region. Links allow you to view each DFR. The rest of your Region or State Profile, including the Outcomes List and ESRD CORE pre-survey data report tool, will be available on the *Profiles* tab at the top of the page. Additional background information about the reports and profiles can be found on the Dialysis Reports website at www.dialysisreports.org under the Methodology heading.

Additional information on the State Profiles including the *Guide to the 2013 State Profiles*, *Sample State Profile*, *Technical Notes on the Standardized Mortality (SMR) Ratio*, *SMR Model*, *Technical Notes on the Standardized Hospitalization Ratio (SHR) and SHR Model* are located on the website www.dialysisreports.org under the *Methodology* heading.

ESRD Core Survey Data Tools Worksheet for FY 2014: This worksheet guides surveyors conducting an ESRD Core Survey through a standardized method for the Presurvey Preparation and Entrance Conference survey tasks. Surveyors are trained in the use of the worksheet during ESRD Core Survey courses, and are expected to download and use this survey tool for all ESRD

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Core Surveys. The worksheet has been updated for FY 2014, with revisions and new data elements included, and can be accessed on the CMS ESRD Survey and Certification website at <http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/GuidanceforLawsAndRegulations/Dialysis.html>

The ESRD Core Survey Data Tools Worksheet for FY 2014 is included in the zip file of the ESRD Core Survey Field Manual on the website.

Questions about this memorandum may be addressed to Judith Kari at Judith.Kari@cms.hhs.gov.

Effective Date: This policy should be communicated to all survey and certification staff, their managers and the State/Regional Office training coordinators within 30 days of this memorandum.

/s/

Thomas E. Hamilton

Attachment: ESRD Core Survey Data Tools Worksheet

cc: Survey and Certification Regional Office Management