

# ESRD CORE SURVEY OBSERVATIONS OF HEMODIALYSIS CARE AND INFECTION CONTROL PRACTICES

Facility \_\_\_\_\_ CCN# \_\_\_\_\_ Surveyor \_\_\_\_\_

The contents of this worksheet are intended to guide the surveyor through the Observations of Hemodialysis Care and Infection Control Practices in the ESRD Core Survey Process. There are 3 parts to this survey task:

**1. Observe the direct care staff delivering care:** *Observe the following activities using the applicable observational checklists in this worksheet:*

**Hemodialysis patient care and dialysis station & equipment preparation:** *Attempt to capture at least 2 separate observations of each of the procedures listed below. Try to conduct observations on different days and of different staff. It may be possible to observe several of the procedures at one dialysis station during the changeover between patient shifts. Observe each procedure listed below one at a time, to assure focus on that activity.*

- Initiation of hemodialysis for a patient with a central venous catheter (CVC) (**Checklist 1**)
- CVC Exit site care (**Checklist 2**)
- Discontinuation of hemodialysis and post-dialysis access care with a CVC (**Checklist 3**)
- Initiation of hemodialysis for a patient with an arteriovenous fistula (AVF) or arteriovenous graft (AVG) (**Checklist 4**)
- Discontinuation of hemodialysis and post-dialysis access care with an AVF/AVG (**Checklist 5**)
- Cleaning and disinfection of the dialysis station between patients (**Checklist 6**)
- Preparation of the hemodialysis machine and extracorporeal circuit (**Checklist 7**)
- Dialysis supply management and contamination prevention: *This checklist is intended for completion after the surveyor has conducted the other activity observations, to document assessment of the facility practices in supply management and contamination prevention.* (**Checklist 9**)

**Medication preparation and administration:** *Use observational **Checklist 8** to attempt to capture 2 observations of different licensed nursing staff preparing and administering medications to 1-2 patients.*

**Note:** Observational Checklists 1-9 are intended to focus your observations on the elements/steps of the procedures that would be expected to prevent the transmission of infections and assure safe operation of dialysis equipment. **Individual steps omitted or conducted out of sequence should not be used as a sole basis for citation. Citation decision-making must be based on consideration of trends in observed practices, the potential an individual practice has for patient harm, and the *triggers* listed in the ESRD Core Survey Process, which have applicable V-tags listed.**

**2. Review Facility Isolation practices:** *If there is a hepatitis B positive (HBV+) patient on in-center hemodialysis at the facility on any day or time, complete this section. If there are no HBV+ patients being dialyzed in-center, check here ☐*

**3. Verify dialysis treatment prescription delivery:** *Complete this section to record your findings from comparing the dialysis treatments being delivered for 4-5 patients to their ordered dialysis prescriptions.*

## Initiation of Dialysis with Central Venous Catheter

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Patient should wear a mask whenever CVC is accessed. Staff PPE must be gown, mask, eye protection, and gloves (V115, 113). All antiseptics and disinfectants must be used per manufacturer's instructions.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>No common tray/cart brought to dialysis station</b> (supplies for only that patient brought to station) (V116)	Y/N	Y/N
<b>Hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Place clean field under CVC ports</b> (V147)	Y/N	Y/N
<b>Close the catheter clamps; Disinfect CVC hubs, using an appropriate antiseptic.</b> May perform either (or both): <ul style="list-style-type: none"> <li>• <b>External disinfection</b> by wiping exterior caps before removing; or</li> <li>• <b>Open hub disinfection</b> by wiping the threads and top of uncapped hub with antiseptic, removing any residue/blood</li> <li>• <b>Closed connector devices</b> which have penetrable caps not removed, wipe outside connecting surfaces of device (V147)</li> </ul>	Y/N	Y/N
<b>Connect sterile syringes aseptically to each port</b> to remove indwelling solutions and/or flush with sterile saline; initiate treatment	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (V113)	Y/N	Y/N

**Additional Notes:** \_\_\_\_\_

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## Central Venous Catheter Exit Site Care

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Patient should wear a mask whenever CVC is accessed (V147). Staff PPE must be gown, mask, and gloves (V115, 113). All antiseptics and disinfectants must be used per manufacturer's instructions.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>No common tray/cart brought to dialysis station</b> (supplies for only that patient brought to station) (V116)	Y/N	Y/N
<b>Hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Remove old dressing and discard</b>	Y/N	Y/N
<b>Remove gloves, hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Cleanse area around CVC exit site with antiseptic ; allow to dry before applying dressing</b> (V147)	Y/N	Y/N
<b>Sterile dressing applied to CVC exit site;</b> may apply antimicrobial ointment if not contraindicated or chlorhexidine-impregnated dressing if no sensitivity (V147)	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (V113)	Y/N	Y/N

**Additional Notes:** \_\_\_\_\_

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## Discontinuation of Dialysis with Central Venous Catheter

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Patient should wear mask whenever the CVC is accessed (V147). Staff PPE must be gown, mask, eye protection, and gloves (V115, 113). All antiseptics and disinfectants must be used per manufacturer's instructions.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>No common tray/cart brought to dialysis station;</b> supplies for only that patient brought to station (V116)	Y/N	Y/N
<b>Hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Place clean field under CVC ports</b> (V147)	Y/N	Y/N
<b>Reinfuse extracorporeal circuit</b>	Y/N	Y/N
<b>Remove gloves, hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Close CVC clamps; Disinfect CVC connections with appropriate antiseptic.</b> May perform one or both: <ul style="list-style-type: none"> <li><b>External disinfection</b> wiping exterior of connections b/4 disconnecting blood lines; or</li> <li><b>Open hub disinfection</b> wiping threads and top of open CVC hubs, removing any residue/blood after disconnecting blood lines</li> <li><b>Closed connector devices:</b> wiping exterior of connections before disconnecting blood lines (V147)</li> </ul>	Y/N	Y/N
<b>Disconnect blood lines aseptically</b> (V147)	Y/N	Y/N
<b>Apply sterile port caps aseptically after post treatment protocol</b> (applicable to closed connector devices when changed) (V147)	Y/N	Y/N
<b>Discard unused supplies</b> or dedicate to that patient; <b>no disposable supplies returned to common supplies</b> (V116)	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (V113)	Y/N	Y/N

**Additional Notes:** \_\_\_\_\_

## Access of AV Fistula or Graft for Initiation of Dialysis

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

### Notes:

Staff PPE must be gown, face shield or mask/eye protection, and gloves (V115, 113). All antiseptics and disinfectants must be used per manufacturer's instructions.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>No common tray/cart brought to dialysis station</b> (supplies for only that patient brought to station) (V116)	Y/N	Y/N
<b>Wash skin over access with soap and water or antibacterial scrub</b> (patient or staff may do this-patients should be instructed to wash their access upon entering facility & staff verbally confirm with patient that it was done; for dependent patients, staff must do this before proceeding with skin antisepsis) (V550)	Y/N	Y/N
<b>Evaluate access; Locate/palpate cannulation sites</b>	Y/N	Y/N
<b>Hand hygiene (remove gloves, if worn); don clean gloves</b> (V113)	Y/N	Y/N
<b>Apply antiseptic to skin over cannulation sites and allow to dry; sites not touched again after skin antisepsis, without repeating skin antisepsis</b> (V550)	Y/N	Y/N
<b>Insert cannulation needles; tape in place; initiate treatment</b>	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (V113)	Y/N	Y/N

**Note:** This checklist is not intended for use with buttonhole cannulation technique

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## Discontinuation of Dialysis and Post Dialysis Access Care for AV Fistula or Graft

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Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Staff PPE must be gown, face shield or mask/eye protection, and gloves (V115, 113). All antiseptics and disinfectants must be used per manufacturer's instructions.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>No common tray/cart brought to dialysis station</b> (supplies for only that patient brought to station) (V116)	Y/N	Y/N
<b>Hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Reinfuse extracorporeal circuit; disconnect bloodlines aseptically</b>	Y/N	Y/N
<b>Remove gloves, hand hygiene, don clean gloves</b> (V113)	Y/N	Y/N
<b>Remove needles aseptically; discard needles in Sharps container at point of use;</b> Needle sites held with clean gauze or bandage using clean gloved hands (patient, staff or visitor) or disinfected clamps (V550, 113)	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (V113)	Y/N	Y/N
When hemostasis is achieved: <b>Hand hygiene, don clean gloves; replace blood-soiled bandage/ gauze on needle sites;</b> Bandage/gauze on each needle site is clean & dry prior to discharge (V550, 113)	Y/N	Y/N
<b>Discard unused supplies or dedicate to that patient (no supplies returned to common supplies)</b> (V116)	Y/N	Y/N
<b>Remove gloves, hand hygiene</b> (patient or visitor who held sites, remove gloves, hand hygiene) (V113)	Y/N	Y/N

**Additional Notes:** \_\_\_\_\_

## Cleaning and Disinfection of the Dialysis Station

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** All items listed in this checklist must be disinfected using an EPA-registered hospital disinfectant prepared and used in accordance with manufacturer's instructions (V122)

Staff PPE must be gown, face shield or mask/eye protection, and gloves (V115, 113)

ACTION	OBSERVATION 1	OBSERVATION 2
Remove all bloodlines and disposable equipment; discard in biohazardous waste; dialyzer for reprocessing; all ports capped, dialyzer and bloodlines transported in a manner to prevent contamination of other surfaces (V122,)	Y/N	Y/N
Empty prime waste receptacle, if present on machine	Y/N	Y/N
Remove gloves, hand hygiene, don clean gloves (V113)	Y/N	Y/N
Use disinfectant-soaked cloth/wipe to visibly wet all machine top, front and side surfaces, dialysate hoses, Hansen connectors, and outside surfaces of dialysate concentrate containers ( V122)	Y/N	Y/N
Wipe wet all internal and external surfaces of prime waste container and allow to dry if present; prime waste container must be disinfected before used to prepare for another patient's treatment (V122)	Y/N	Y/N
When chair vacated: discard unused disposable supplies (or dedicate to that patient); chair fully reclined, fresh disinfectant cloth/wipe used to visibly wet all external front-facing and side chair surfaces, including down sides of seat cushion and tops of side tables (V116, 122)	Y/N	Y/N
Non-disposable items: BP cuff & tubing, TV controls, call button, data entry station and counters around dialysis station wiped wet with disinfectant (V122)	Y/N	Y/N
If clamps are used, cleaned of visible blood and disinfected (V116)	Y/N	Y/N
Discard cloths/wipes; remove gloves, hand hygiene (V113)	Y/N	Y/N

**Attention:** It is not a regulatory requirement that the dialysis station is vacated before surface cleaning and disinfection and set up of the dialysis machine is done. The patient should only be removed from the station once they have completed treatment and it is clinically safe to do so. If the previous patient remains in the chair while the machine is cleaned/disinfected and prepared for the next patient, pay close attention to staff adherence to separation (changing gloves, hand hygiene) when moving between the patient and the disinfected and/or prepared machine.

## Preparation of the Hemodialysis Machine/Extracorporeal Circuit

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Hemodialysis machines must be operated in accordance with the manufacturer's directions for use for internal function verification and dialysate testing. Artificial dialyzers must be rinsed and tested in accordance with the germicide (if reprocessed) and dialyzer manufacturer's directions for use. Dummy drip chambers must never be used to prepare a machine for patient treatment (V400, 403)!

Staff PPE must be gloves; if reprocessed dialyzer, gown, face shield or mask/eye protection (V115, 113, 320)

ACTION	OBSERVATION 1	OBSERVATION 2
<b>Reprocessed dialyzer germicide tests done</b> (i.e., presence test before rinsing/priming, absence of residual test prior to treatment initiation) (V350, 353)	Y/N	Y/N
<b>Dialyzer rinsed/primed with sufficient saline</b> (note that single use dialyzers not chemically sterilized may require less saline for rinsing than reprocessed dialyzers and chemically sterilized single use dialyzers) (V352, 403)	Y/N	Y/N
<b>Dialysate pH and conductivity tested with an independent method;</b> Staff aware of allowable pH range and variation from machine conductivity reading (V250)	Y/N	Y/N
<b>Machine alarms and internal functions</b> (e.g., pressure holding test) <b>tested</b> (V403)	Y/N	Y/N
<b>Reprocessed dialyzer: patient and dialyzer matched and identified by 2 people</b> while patient is at dialysis station (V348)	Y/N	Y/N

**Additional Notes:** \_\_\_\_\_

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## Parenteral Medication Preparation and Administration

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Obs. #1: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

Obs. #2: Patient ID: \_\_\_\_\_ Date/time \_\_\_\_\_ Station# \_\_\_\_\_ Staff \_\_\_\_\_

**Notes:** Medications must be prepared in a clean area on a clean surface away from dialysis stations (V117). The exception to this is drawing saline syringes from patient's saline bag in an emergency situation at the station, following aseptic technique after wiping port with disinfectant prior to aspirating.

ACTION	OBSERVATION 1	OBSERVATION 2
Hand hygiene (V113)	Y/N	Y/N
Single dose vials used for one patient only and discarded (V118)	Y/N	Y/N
Multiple dose vials are only entered with a new, sterile syringe and needle, labeling with date opened and discarded within 28 days or by manufacturer's instructions (V143)	Y/N	Y/N
Wipe stopper with alcohol or other antiseptic (V143)	Y/N	Y/N
Withdraw medication into sterile syringe; Label syringe if medication not immediately administered; Medications may be prepared for multiple patients at one time, but administration must be to one patient at a time, leaving remainder of medications in the clean preparation area (V117)	Y/N	Y/N
Only individual patient's medications taken to their dialysis station (V117)	Y/N	Y/N
Hand hygiene, don clean gloves and other PPE as indicated by potential exposure (e.g., gown and mouth/nose/eye protection if injecting into blood lines) (V113, 115)	Y/N	Y/N
Wipe injection port with antiseptic; inject medication (V143)	Y/N	Y/N
Discard syringe into Sharps container Exception: If using a needleless system with no attached needle, disposal in Sharps container not necessary (V121)	Y/N	Y/N
Remove gloves, hand hygiene (V113)	Y/N	Y/N

Additional Notes: \_\_\_\_\_

## Dialysis Supply Management and Contamination Prevention

Facility \_\_\_\_\_ Surveyor \_\_\_\_\_

Observation period #1: Date \_\_\_\_\_ Times of observation period \_\_\_\_\_

Observation period #2: Date \_\_\_\_\_ Times of observation period \_\_\_\_\_

**NOTE:** This checklist is intended to be completed after observations of care using checklists 1-8 have been completed, to record your observations related to the facility supply management in general throughout that observation periods. Record details of specific stations, staff, and patients involved in the applicable fields below.

ACTION	OBSERVATION 1	OBSERVATION 2
<b>Supplies are stored and kept in designated clean areas, sufficient distance from dialysis stations</b> to prevent contamination from potentially infectious materials/substances (V119)	Y/N	Y/N
<b>Supplies for next patient are not brought to the station before the prior patient's treatment is terminated and applicable piece of equipment (machine, chair) is cleaned/disinfected</b> (i.e., supplies are not placed on or near the machine until it has been “stripped” and surface disinfected) (V119)	Y/N	Y/N
<b>Carts or trays containing supplies are not taken to or moved between dialysis stations</b> (V119)	Y/N	Y/N
<b>Staff do not keep patient care supplies in pockets or on their person</b> (V119)	Y/N	Y/N
<b>Non-disposable equipment</b> (e.g., thermometer, pH/conductivity meter, access flow device, O <sub>2</sub> saturation meter, blood glucose meter, stethoscope diaphragm/bell end) <b>brought to the dialysis station is disinfected before being returned to a common area or taken to another dialysis station</b> Disinfection=all surfaces wiped visibly wet with EPA-registered hospital disinfectant and allowed to dry (V116)	Y/N	Y/N
<b>Medication vials are not taken to the dialysis station</b> (V117)	Y/N	Y/N
<b>Disposable supplies taken to the dialysis station not used on the patient are discarded or dedicated to that patient and not returned to common supplies</b> (V116)	Y/N	Y/N

Additional Notes: \_\_\_\_\_

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**2. Review facility isolation practices:** Complete this section if there are HBV+ patient(s) receiving in-center hemodialysis at the facility.

**Determine** if there are any HBV+ patients who will be receiving hemodialysis at the facility during the survey.

**Observe** the isolation room or area, and the equipment and supplies contained within it.

- Is the isolation room or area (area separated from the other dialysis stations by the width of one station), equipped with dedicated equipment and supplies for use by only HBV+ patients?  
☐ Yes ☐ No-explain (V110, 128, 130) \_\_\_\_\_  
\_\_\_\_\_  
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**Observe** (if possible) the care delivery for an HBV+ patient in the isolation room/area, using the observational checklists in this worksheet.

- Did you observe the care of an HBV+ patient ☐ Yes ☐ No
  - **If Yes:** were the staff members caring for the HBV+ patient **NOT** concurrently assigned to and caring for HBV susceptible patients? (**Note:** Exceptions to this should be rare. If this is occurring, the facility's efforts to avoid this situation should be explained and clarified for the surveyor. Examples of such efforts are to schedule patients in a manner to avoid overlap between HBV+ and HBV-susceptible patients or scheduling HBV+ patients on shifts when there are 2 Registered Nurses (RN) on duty so that one RN may access the HBV+ patient's CVC and administer their medications, while the other RN does so for the other patients. Emergency medical situations may be a justifiable exception.) ☐ Yes ☐ No-explain (V110, 131) \_\_\_\_\_  
\_\_\_\_\_  
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  - Did you observe appropriate isolation practices, such as staff and others removing all PPE and performing hand hygiene when leaving the isolation room/area? ☐ Yes ☐ No-explain (V113, 130) \_\_\_\_\_  
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**Review** the staff assignments for the current week, looking for which patients are concurrently assigned to the staff member assigned to the HBV+ patient(s).

**Ask:** Staff on duty how the patient care assignments are routinely made when an HBV+ patient is being treated.

- Are staff assigned to care for HBV+ patients **NOT** concurrently assigned to care for HBV susceptible patients?  
☐ Yes ☐ No-explain (V110, 131) \_\_\_\_\_  
\_\_\_\_\_  
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**Additional notes:** \_\_\_\_\_  
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**3. Verify dialysis treatment prescription delivery:** You may wish to ask a supervising nurse to assist you with this review, for accessing the electronic health record and determining the dialysis machine settings.

**Select** 4-5 patients who are receiving their hemodialysis treatments (on dialysis while you conduct this review):

- Are the patients' treatments being delivered as per their dialysis orders/prescriptions?

☐ Yes ☐ No-explain (V543, 544).

**Additional notes from Observations of Hemodialysis Care and Infection Control Practices:**

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.