

ESRD

Continued Efforts over the Past Years

End Stage Renal Disease (ESRD) Facilities

Notable aspects of the ESRD survey responsibilities include:

Information Responsibilities: States are responsible for being informed about the ESRD programs by using the following:

- CMS QSOG data Web site for ESRD data reports: the State is responsible for assigning a Master Account Holder, and reviewing, at least annually, the State-specific data which is available on the CMS ESRD data Web site at www.dialysisdata.org. The ESRD data reports on this site provide a guide for ESRD surveys for each State. States are responsible for using these data reports to better understand and monitor the performance of individual dialysis facilities and the performance of the State as a whole relative to ESRD practice patterns and outcome performance.
- State Survey Agencies and the CMS Regional Offices are expected to use data reports to inform the ESRD survey process. Surveyors must use the data as a key consideration in scheduling recertification surveys (e.g. to ensure expected frequency of surveys), in preparing for onsite surveys (e.g., to identify areas of risk or needed focus), and in selecting which dialysis facilities to survey for priority (i.e. targeted) surveys. Each State is expected to use the State rank-ordered Outcomes List with frequency rates; the facility-specific Dialysis Facility Reports (DFR); and the facility-specific pre-populated Pre-Survey DFR Extract for these purposes.

Overall Responsibilities: States are responsible for conducting initial, recertification, complaint and associated revisit surveys of ESRD facilities (whether independent or hospital-based). We continue to maintain a goal of surveying ESRD facilities once every three years on average, but distribute ESRD surveys over multiple Tiers:

Survey Priorities

- **Tier 2:**
Targeted Surveys: Survey all facilities within your state which have been identified to be in the top five percent of poor performing Medicare -certified dialysis facilities in the nation based on four clinical measures including mortality, hospitalizations, hospitalizations related to septicemia and catheter use greater than 90 days. The Outcomes list remains a confidential list for use within the designated State survey agency for determining annual survey priorities. The Outcomes list may be accessed through a secure Web site at: <https://www.dialysisdata.org>
- **Tier 3:**
Additional surveys are done to ensure that no more than 3.5 years elapses between surveys for any one particular ESRD facility

- **Tier 4:**
3.0 Year Average: Conduct additional surveys (beyond Tiers 2-3) sufficient to ensure that ESRD facilities are surveyed with an average frequency of 3.0 years or less.

Requirements for ESRD Surveyors:

- ***State Specialization of ESRD surveyors:*** States are expected to maintain a sufficient number of qualified ESRD surveyors. States must be prepared to survey ESRD facilities for such technically and clinically complex areas as water treatment safety, dialyzer reuse safety, specialized infection control and prevention precautions, equipment operation and maintenance, and assessing clinical outcomes. The emphasis of the ESRD Core Survey process focuses on those practice patterns that are known to affect mortality and to provide potential safety risks to patients.
- ***Minimum Requirements for Qualified ESRD Surveyor(s):*** The specialized and complex nature of the equipment and processes required for dialysis and for the safe, effective care and clinical management of an ESRD patient's course of treatment demands an equally complex survey process. The ESRD Core survey process is not intuitive and, to be implemented effectively, requires the surveyor to possess significant knowledge in the technical aspects of water treatment, dialysate preparation, infection control, dialysis equipment usage and maintenance, as well as in the safe care and clinical management of the many complex medical, psychosocial, and economic effects that ESRD has on each patient.

Prior to inclusion on an ESRD survey team (except as an observer or trainee/orientee), the surveyor must complete the following requirements:

- Visit an ESRD facility to observe the environment and processes involved in dialysis care;
- Attend and successfully complete a CMS Central Office-sponsored ESRD Basic Core Technical Survey Training Course.