

ESRD

Continued Efforts over the Past Years

End Stage Renal Disease (ESRD) Facilities

States are responsible for conducting initial, recertification, complaint and associated revisit surveys of ESRD facilities (whether independent or hospital-based). ESRD suppliers may participate through deemed status for initial and recertification surveys by a CMS-approved accrediting organization.

Notable aspects of the ESRD survey responsibilities include:

- 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 information on patient characteristics, treatment patterns, hospitalizations, mortality, and transplantation patterns for each Medicare-certified facility. 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 when scheduling recertification surveys (e.g. to ensure expected frequency of surveys), preparing for onsite surveys (e.g., to identify areas of risk or needed focus), and 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.

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:

- Online basic training, available on-demand on the Integrated Surveyor Training Website <https://surveyortraining.cms.hhs.gov/>:
 - End Stage Renal Disease Basic Core Survey Training
 - Immediate Jeopardy (Update) Training
 - Emergency Preparedness Basic Training
- Surveyor Field Experience
 - On-the-job participation in at least two ESRD surveys with preceptor including return demonstration of tasks
 - After successful completion of one ESRD survey with a preceptor, the new surveyor must complete one additional supervised ESRD survey as lead surveyor
- **Surveyor Technical Assistant for Renal Disease (STAR)** is a software application which has been used by some State Agencies (SAs) in the performance of initial and recertification surveys of End Stage Renal Disease (ESRD) facilities. SAs will continue performing ESRD facility surveys using the existing ESRD Core Survey process once STAR is retired.