



Center for Clinical Standards and Quality/Quality, Safety & Oversight Group

Admin Info: 18-17-ESRD

DATE: August 27, 2018

TO: State Survey Agency Directors

FROM: Director
Quality, Safety & Oversight Group (*formerly Survey & Certification Group*)

SUBJECT: End-Stage Renal Disease (ESRD) Revision to Survey Protocol: Patient Sample Selection

Memorandum Summary

- **Patient Sample Selection:** The ESRD Core Survey Protocol includes instructions to surveyors on the selection of the patient sample for review during the on-site ESRD survey process.
- **Revision to Sample Selection:** The Centers for Medicare & Medicaid Services (CMS) is revising the protocol methodology for selection of the ESRD survey patient sample and expands the sample to include patients receiving dialysis services in Long-Term Care (LTC) facilities. The revisions have been included in the ESRD Basic Core Survey Training on the Integrated Surveyor Training Website (ISTW).

Background

The ESRD Core Survey Protocol contains guidance on patient sample selection during the on-site survey process. CMS has revised the methodology for clarity and consistency with other program types. Surveyors should select a patient sample size that adequately represents the facility's patient volume as well as the clinical services provided. Additionally, surveyors will now be expected to include a minimum of one resident (per modality) who is receiving home dialysis services in a LTC facility in their patient sample.

Discussion

The survey team should determine the sample size for the ESRD survey based on the total number of dialysis patients on the facility's census at the time of the survey (which will include any patients receiving their ESRD services at a LTC facility).

The table below reflects the revised method for determining the ESRD patient sample size:

Total Number of Patients on Facility Census	Sample Size (number of patients)	Dialysis in LTC Consideration
1-50	5	Additionally, if the dialysis facility provides services to residents in a LTC facility, plan to include a minimum of two (2) LTC facilities in the sample. Select one patient representing each modality for review at each LTC facility.
51-100	7	
101-150	10	
>150	15	

If there are fewer than five patients on the ESRD facility census, which may occur for facilities that are requesting initial approval, include all patients on the facility's census for review.

These protocol revisions will also be reflected in the ESRD Core Survey Basic Training on the Integrated Surveyor Training Website (ISTW).

Contact: Questions pertaining to this memorandum may be addressed to ESRDQuestions@cms.hhs.gov.

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

/s/
David R. Wright

cc: Survey and Certification Regional Office Management