

Quarterly Update of the Fiscal Year 2021 Dialysis Facility Report for State Surveyors, June 2021

Purpose of the Report

Quarterly updates of the Dialysis Facility Report (DFRs) are utilized by each state's surveying agency as a resource during the survey and certification process. This report provides results of select measures for the two most recent calendar years from the Fiscal Year (FY) 2021 DFR along with quarterly updates.

Summaries include chronic dialysis patients who were treated in this facility between January 2018 and August 2020. Regional and national averages for the most recent year reported in the FY 2021 DFR are included to allow for comparisons. **Quarterly updates of the non-italicized outcomes for 2020 will be provided to State Surveyors in June 2021 (Q3). Italicized outcomes are updated annually in September.** Unless otherwise specified, data refer to combined results for hemodialysis (HD) and peritoneal dialysis (PD) patients and summaries are for the calendar years reported in the table header. Missing values indicate there were too few patients to yield reliable results.

This report has been prepared by the University of Michigan Kidney Epidemiology and Cost Center (UM-KECC) with funding from the Centers for Medicare & Medicaid Services (CMS) and is based primarily on data reported in CROWNWeb, Medicare claims and data collected for CMS. For a complete description of the methods used to calculate the statistics in this report, please see the *Guide to the Quarterly Updates of the FY 2021 DFR*. The *Guide* may be downloaded from the methodology section of the Dialysis Data website at www.DialysisData.org.

What's New This Quarter:

New COVID-19 Tables:

- Quarterly updates of COVID-19 patient counts, deaths, and hospitalizations among Medicare dialysis patients are reported in new Table C1, and among Medicare nursing home (NH) dialysis patients in new Table C2 for quarter 1 (January – March 2020), quarter 2 (April – June 2020), and quarter 3 (July – September 2020).

The following changes have been incorporated into the June 2021 Quarterly Update of the FY2021 DFR table:

- Summaries for quarter 1 (January – March 2020) and quarter 2 (April – June 2020) are not reported due to CMS data exceptions.
- Summaries for quarter 3 are for July – August 2020 only. September 2020 data is excluded due to the suspended collection of EQRS Clinical Data.

This Report includes data specific to CCN(s): 999999

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How to Submit Comments

Between May 1, 2021 and May 15, 2021, facilities may submit comments to their state surveyor or UM-KECC by visiting www.DialysisData.org, logging on to view their report, and clicking on the **Comments & Inquiries** tab.

- (1) **State Surveyor:** Select “**DFR: Comments on DFR for State Surveyor**” from the drop down list to submit comments regarding this report for the state's surveyor(s). Any comments submitted will be appended and sent to the state's surveyor(s) on June 1, 2021. Please do not include questions for UM-KECC using this option.
- (2) **UM-KECC:** Select “**DFR: Comments on DFR for UM-KECC**” to submit questions or suggestions to improve the report to UM-KECC. These comments will not be shared with CMS or your state surveyor.

Questions or comments after the comment period is over may be submitted as a general comment.

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The tables below provide quarterly updates of COVID-19 patient counts, deaths, and hospitalizations among Medicare dialysis patients (Table C1) and Medicare nursing home (NH) dialysis patients (Table C2) in 2020 Q1-Q3.

TABLE C1. COVID in Medicare Dialysis Patients, 2020^{*1}

| Item | Measure Name | This Facility | | | Regional Averages Q3: Jul-Sep | | |
|--|--|---------------|-------------|-------------|----------------------------------|---------|------|
| | | Q1: Jan-Mar | Q2: Apr-Jun | Q3: Jul-Sep | State | Network | U.S. |
| 1 | Medicare dialysis patients treated during the quarter (n) | 59 | 61 | 58 | n/a | n/a | n/a |
| 2 | Patients ever identified with COVID [prior to or during current quarter] (n) | 0 | 3 | 5 | n/a | n/a | n/a |
| | Patients ever identified with COVID (% of 1) | 0.0 | 4.9 | 8.6 | 7.4 | 7.4 | 7.6 |
| 3 | Patients first identified with COVID in current quarter (n) | 0 | 3 | 2 | n/a | n/a | n/a |
| | Patients first identified with COVID in current quarter (% of 1) | 0.0 | 4.9 | 3.4 | 3.6 | 3.6 | 3.7 |
| Deaths among Medicare patients | | | | | | | |
| 4 | Deaths (n) | 3 | 8 | 3 | n/a | n/a | n/a |
| 5 | Deaths among patients ever identified with COVID (n) | 0 | 4 | 2 | n/a | n/a | n/a |
| | Deaths among patients ever identified with COVID (% of 4) | 0.0 | 50.0 | 66.7 | 18.9 | 18.9 | 19.9 |
| Hospitalizations^{*2} among Medicare patients | | | | | | | |
| 6 | Hospitalizations (n) | 18 | 21 | 12 | n/a | n/a | n/a |
| 7 | Hospitalizations among patients ever identified with COVID (n) | 0 | 2 | 1 | n/a | n/a | n/a |
| | Hospitalizations among patients ever identified with COVID (% of 6) | 0.0 | 9.5 | 8.3 | 13.4 | 13.4 | 13.8 |

[*1] See *Guide to the Quarterly Updates of the FY 2021 DFR, Section XII*. Medicare dialysis patients are defined as dialysis patients who are Medicare eligible at any time during the reporting period.

[*2] Hospitalization is defined as having at least one day in a hospital from Medicare inpatient claims during the reporting period.

TABLE C2. COVID in Medicare Nursing Home (NH) Dialysis Patients, 2020^{*1}

| Item | Measure Name | This Facility | | | Regional Averages Q3: Jul-Sep | | |
|---|--|---------------|-------------|-------------|----------------------------------|---------|------|
| | | Q1: Jan-Mar | Q2: Apr-Jun | Q3: Jul-Sep | State | Network | U.S. |
| 1 | Medicare NH dialysis patients treated during the quarter (n) | 3 | 6 | 9 | n/a | n/a | n/a |
| 2 | Patients ever identified with COVID [prior to or during current quarter] (n) | 0 | 2 | 4 | n/a | n/a | n/a |
| | Patients ever identified with COVID (% of 1) | 0.0 | 33.3 | 44.4 | 24.7 | 24.8 | 25.3 |
| 3 | Patients first identified with COVID in current quarter (n) | 0 | 1 | 1 | n/a | n/a | n/a |
| | Patients first identified with COVID in current quarter (% of 1) | 0.0 | 16.7 | 11.1 | 11.5 | 11.5 | 10.8 |
| Deaths among Medicare NH patients | | | | | | | |
| 4 | Deaths (n) | 0 | 2 | 0 | n/a | n/a | n/a |
| 5 | Deaths among patients ever identified with COVID (n) | 0 | 2 | 0 | n/a | n/a | n/a |
| | Deaths among patients ever identified with COVID (% of 4) | . | 100.0 | . | 27.9 | 28.1 | 28.4 |
| Hospitalizations^{*2} among Medicare NH patients | | | | | | | |
| 6 | Hospitalizations (n) | 5 | 7 | 3 | n/a | n/a | n/a |
| 7 | Hospitalizations among patients ever identified with COVID (n) | 0 | 1 | 1 | n/a | n/a | n/a |
| | Hospitalizations among patients ever identified with COVID (% of 6) | 0.0 | 14.3 | 33.3 | 24.4 | 24.5 | 24.7 |

[*1] See *Guide to the Quarterly Updates of the FY 2021 DFR, Section XII*. Medicare NH dialysis patients are defined as dialysis patients who are in an NH and Medicare eligible at any time during the reporting period.

[*2] Hospitalization is defined as having at least one day in a hospital from Medicare inpatient claims during the reporting period.

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The table below provides quarterly updates of key data elements from the facility's FY 2021 DFR. Note, these key data elements appear in bold font in the FY 2021 DFR. The first column includes the category and description of the facility outcome(s), along with the corresponding row numbers from the FY 2021 DFR. Facility summaries for 2018 and 2019 from the FY 2021 DFR are reported for comparison, along with State, Network, and National averages for 2019. Unless otherwise indicated within the outcome description, summaries are for the calendar years (or months) reported in the table header. Missing values indicate there were too few patients to yield reliable results.

| Measure Name | This Facility | | | | | Regional Averages ^{*1} | | |
|---|-----------------|-----------------|------------------------|------------------------|------------------------|---------------------------------|-----------------|--------------|
| | 2018 Jan-Dec | 2019 Jan-Dec | 2020 Q1: Jan-Mar | 2020 Q2: Apr-Jun | 2020 Q3: Jul-Aug | 2019 State | 2019 Network | 2019 U.S. |
| Eligible Patients^{*2} | | | | | | | | |
| Eligible adult patients (n) | 81 | 83 | 66 | 66 | 63 | 82.6 | 82.6 | 82.5 |
| Eligible adult hemodialysis (HD) patients (n) | 73 | 74 | 58 | 58 | 56 | 75.5 | 75.5 | 75.3 |
| Eligible adult peritoneal dialysis (PD) patients (n) | 9 | 10 | 7 | 8 | 7 | 22.6 | 22.4 | 22.1 |
| Mortality^{*3} | | | | | | | | |
| 4-year Standardized Mortality Ratio (2016-2019) - DFR row 3h | | 1.00 | | | | 1.00 | 1.00 | 1.00 |
| 1-year Standardized Mortality Ratio - DFR row 3h | 1.01 | 1.00 | | | | 0.99 | n/a | 1.00 |
| Hospitalization^{*3} | | | | | | | | |
| Standardized Hospitalization Ratio (SHR) - DFR row 4k | 0.99 | 0.99 | | | | 0.99 | n/a | 1.00 |
| Standardized Readmission Ratio (SRR) - DFR row 4ad | 1.00 | 1.00 | | | | 1.03 | 1.04 | 1.04 |
| Infection/Dialysis Access^{*3 *4} | | | | | | | | |
| Deaths due to infection (%) - DFR row 3f | 10.5 | 9.9 | | | | 10.1 | n/a | 10.1 |
| Hospitalizations with septicemia (%) - DFR row 4o | 11.5 | 11.3 | | | | 11.8 | n/a | 11.1 |
| Long-Term Catheter Rate (HD)(LTCR) - DFR row 11g | 13.0 | 13.3 | | | | 12.8 | 12.9 | 12.9 |
| Arteriovenous fistula in use (HD) (%) - DFR row 11c | 61.6 | 61.8 | | | 61.1 | 62.7 | 62.6 | 62.9 |
| Fluid Management^{*3} | | | | | | | | |
| Hospitalizations with congestive heart failure (%) - DFR row 4o | 26.2 | 26.2 | | | | 26.7 | 26.7 | 25.1 |
| Ultrafiltration rate (UFR) Categories (%) - DFR row 9g | | | | | | | | |
| UFR > 13 ml/kg/hr | 8.0 | 7.4 | | | 7.2 | 7.7 | 7.7 | 7.8 |
| Missing or Out of Range | 9.2 | 8.5 | | | 7.9 | 7.2 | 7.1 | 7.1 |
| Anemia^{*3} | | | | | | | | |
| Hemoglobin (HD) < 10 g/dL (%) - DFR row 8d | 21.8 | 22.7 | | | 20.6 | 22.4 | 22.4 | 22.3 |
| Hemoglobin (PD) < 10 g/dL (%) - DFR row 8i | 23.0 | 23.4 | | | 22.7 | 23.4 | 23.4 | 23.4 |
| Dialysis Adequacy^{*5} | | | | | | | | |
| Kt/V (HD) categories (%) - DFR row 9k | | | | | | | | |
| Kt/V < 1.2 | 3.0 | 2.6 | | | 1.8 | 1.6 | 1.6 | 1.6 |
| Missing or Out of Range | 2.6 | 1.9 | | | 1.3 | 1.3 | 1.3 | 1.3 |
| Kt/V weekly (PD) categories (%) - DFR row 9o | | | | | | | | |
| Kt/V < 1.7 | 5.5 | 5.8 | | | | 5.0 | 5.0 | 5.0 |
| Missing or Out of Range | 6.3 | 5.8 | | | | 3.6 | 3.6 | 3.7 |
| Nutrition^{*3} | | | | | | | | |
| Serum Albumin (HD) < 4.0 g/dL (%) - DFR row 9e | 61.0 | 54.8 | | | 54.3 | 57.9 | 57.9 | 57.7 |
| Serum Albumin (PD) < 4.0 g/dL (%) - DFR row 9r | 79.4 | 74.1 | | | 75.0 | 57.9 | 57.9 | 57.7 |
| Influenza Vaccination^{*6} | | | | | | | | |
| Vaccinations between 8/1 and 3/31 of following year(%) - DFR row 7d | 78.1 | | | | | 79.0 | 79.1 | 79.0 |
| Mineral Metabolism^{*7} | | | | | | | | |
| Phosphorus categories (%) - DFR row 10d | | | | | | | | |
| >7.0 mg/dL | 13.2 | 14.3 | | | 15.6 | 14.4 | 14.4 | 14.3 |
| Missing or Out of Range | 4.6 | 3.6 | | | 3.0 | 2.6 | 2.6 | 2.6 |
| Calcium uncorrected categories (%) - DFR row 10f | | | | | | | | |
| > 10.2 mg/dL | 1.4 | 1.3 | | | 1.1 | 1.2 | 1.2 | 1.2 |
| Missing or Out of Range | 4.4 | 3.3 | | | 2.8 | 2.3 | 2.3 | 2.3 |
| Average uncorrected calcium > 10.2 mg/dL (%) - DFR row 10g | 3.1 | 2.4 | | | 3.2 | 1.7 | 1.7 | 1.7 |
| Transplantation^{*8} | | | | | | | | |
| Standardized 1st Transplantation Ratio (4-year STR) - DFR row 5h | | 1.06 | | | | 1.06 | 1.04 | 1.00 |
| Patient-months on the transplant waitlist (%) - DFR row 6c | 18.7 | 18.1 | | | 17.1 | 18.3 | 18.0 | 18.6 |
| Age-Adjusted percentage of patients waitlisted - DFR row 6e | 18.7 | 18.1 | | | | 18.1 | 18.1 | 18.1 |

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- [*1] Values for the 4-year SMR, percent of hospitalizations with congestive heart failure, and the STR are summarized over the aggregate period, annualized.
- [*2] See *Guide to the Quarterly Updates of the FY 2021 DFR*, Section IV, Patient Assignment Methods for CROWNWeb Measures. HD and PD patients may not sum to total.
- [*3] See *Guide to the FY 2021 DFR* for Mortality (Section VI) and Hospitalization (Section VII) summaries. See *Guide to the FY 2021 QDFRs* for Fluid Management (Section XI), Anemia (Section XII), and Nutrition (Section IX) summaries.
- [*4] See *Guide to the Quarterly Updates of the FY 2021 DFR*, Section V. Patients for whom other vascular access types may be either more difficult or not appropriate were excluded. LTCR includes patients using a catheter continuously for three months or longer. Other or missing access types are counted as catheter in use in the numerator. LTCR is not shown for Q3 due to CMS data exceptions.
- [*5] See *Guide to the Quarterly Updates of the FY 2021 DFR*, Section VIII. Summaries are supplemented with Medicare claims if missing in CROWNWeb. HD Kt/V summaries are restricted to patients who dialyze thrice weekly. See section of Guide titled "Determination of Thrice Weekly Dialysis" for more information. The PD Kt/V summaries use the most recent value over a 4-month look-back period. PD Kt/V summaries are not shown for Q3 due to CMS data exceptions.
- [*6] See *Guide to the FY 2021 DFR*, Section X. Percentage includes influenza vaccinations identified on Medicare claims for Medicare dialysis patients treated on December 31st of each year in the facility. Regional averages are reported for 8/1/18 and 3/31/19 flu season.
- [*7] See *Guide to the Quarterly Updates of the FY 2021 DFR*, Section X. Patients may be counted up to 12 times. Hypercalcemia is averaged from uncorrected serum or plasma calcium values over a rolling 3-month period; includes patients ≥ 18 as of the first day of the 3-month period. Hypercalcemia summaries for Q3 do not use any data from January - June 2020 due to CMS data exceptions.
- [*8] See *Guide to the FY 2021 DFR: Transplantation (Section VIII) and Waitlist (Section IX)*. See *Guide to the Quarterly Updates of the FY 2021 DFR* for quarterly waitlist summaries. The STR is calculated as a ratio of actual to expected transplants and not reported if there are fewer than 3 expected transplants. The waitlist percentages include months that patients are assigned to the facility on the last day of the month; patients may be counted up to 12 times per year. The age-adjusted waitlist percentage is not shown if there are fewer than 11 eligible patients.

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