

# Quarterly Update of the Fiscal Year 2023 Dialysis Facility Report for State Surveyors, June 2023

## 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) 2023 DFR along with quarterly updates.

Summaries include chronic dialysis patients who were treated in this facility between January 2020 and September 2022. Regional and national averages for the most recent year reported in the FY 2023 DFR are included to allow for comparisons. **Quarterly updates of the non-italicized outcomes for 2022 are provided to State Surveyors in December 2022 (Q1), March 2023 (Q2), and June 2023 (Q3).** 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. A blank value indicates the measure was not calculated and therefore not reported for any facility.

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 EQRS, 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 2023 DFR*. The *Guide* may be downloaded from the methodology section of the Dialysis Data website at [www.DialysisData.org](http://www.DialysisData.org).

## What's New This Year

The following changes have been incorporated into the June 2023 Quarterly Update of the FY 2023 DFR:

- All Summaries for 2020 were updated to include EQRS data for the fourth quarter 2020 (October-December).
- Influenza vaccination summaries are now based on information submitted in EQRS and include all patients, and the most recent flu season, August 2021-March 2022 is reported.
- The number of nursing home patients treated at the end of each year/quarter, modality, and standardized mortality and hospitalization ratios among nursing home patients were added to the nursing home section.

## Data Limitations

The COVID Extraordinary Circumstances Exception (ECE) data policy from CMS restricts the use of claims data from March-June 2020 and EQRS clinical data from January-June 2020. The table footnotes provide additional details regarding how data exceptions impact the measures in 2020.

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

## How to Submit Comments

**Between May 1, 2023 and May 15, 2023**, facilities may submit comments to their state surveyor or UM-KECC by visiting [www.DialysisData.org](http://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, 2023. 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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SAMPLE Dialysis Facility State: XX Network: 99 CCN: SAMPLE

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) for 2022. Facility summaries for 2020 and 2021 from the FY 2023 DFR and State, Network, and National averages for July-September 2022 Q3 are reported for comparison.

**TABLE C1. COVID among Medicare Dialysis Patients**<sup>\*1</sup>

Item	Measure Name	This Facility					Regional Averages		
		2020 Jan-Dec	2021 Jan-Dec	2022 Q1:Jan-Mar	2022 Q2:Apr-Jun	2022 Q3:Jul-Sep	State	2022 Q3:Jul-Sep Network	U.S.
1	Medicare dialysis patients (n)	78	75	57	56	56	n/a	n/a	n/a
2	Patients ever infected with COVID (n)	9	15	13	13	15	n/a	n/a	n/a
	Patients ever infected with COVID (% of 1)	11.1	19.4	23.2	23.3	26.0	26.0	25.9	25.9
3	Patients initially infected with COVID (n)	8	7	4	1	2	n/a	n/a	n/a
	Patients initially infected with COVID (% of 1)	10.3	9.5	6.5	2.7	4.2	4.3	4.3	4.3
Deaths among Medicare patients									
4	Deaths (n)	12	11	3	2	2	n/a	n/a	n/a
5	Deaths among patients ever infected with COVID	2	3	1	1	1	n/a	n/a	n/a
	Deaths among patients ever infected with COVID (% of 4)	17.4	28.4	39.8	29.8	34.7	34.9	34.9	34.9
Hospitalizations <sup>*2</sup> among Medicare patients									
6	Hospitalizations (n)	44	41	17	16	16	n/a	n/a	n/a
7	Hospitalizations among patients ever infected with COVID (n)	7	11	6	5	5	n/a	n/a	n/a
	Hospitalizations among patients ever infected with COVID (% of 6)	16.7	26.0	35.4	30.1	34.5	34.4	34.3	34.4

**TABLE C2. COVID among Medicare Dialysis Patients Treated in Nursing Home (NH) Facilities**<sup>\*1</sup>

Item	Measure Name	This Facility					Regional Averages		
		2020 Jan-Dec	2021 Jan-Dec	2022 Q1:Jan-Mar	2022 Q2:Apr-Jun	2022 Q3:Jul-Sep	State	2022 Q3:Jul-Sep Network	U.S.
1	Medicare NH dialysis patients (n)	15	16	6	6	6	n/a	n/a	n/a
2	Patients ever infected with COVID (n)	4	5	3	2	3	n/a	n/a	n/a
	Patients ever infected with COVID (% of 1)	24.0	31.3	43.9	39.5	42.5	42.5	42.7	42.9
3	Patients initially infected with COVID (n)	3	2	1	0	0	n/a	n/a	n/a
	Patients initially infected with COVID (% of 1)	21.6	12.7	13.7	4.6	7.4	7.7	7.8	7.8
Deaths among Medicare NH patients									
4	Deaths (n)	4	4	1	1	1	n/a	n/a	n/a
5	Deaths among patients ever infected with COVID	1	1	0	0	0	n/a	n/a	n/a
	Deaths among patients ever infected with COVID (% of 4)	22.8	34.2	48.8	38.6	43.7	43.7	43.6	43.8
Hospitalizations <sup>*2</sup> among Medicare NH patients									
6	Hospitalizations (n)	12	12	4	4	4	n/a	n/a	n/a
7	Hospitalizations among patients ever infected with COVID (n)	3	4	2	1	2	n/a	n/a	n/a
	Hospitalizations among patients ever infected with COVID (% of 6)	25.5	33.5	43.6	36.9	41.4	41.0	41.3	41.5

[\*1] See *Guide to the Quarterly Updates of the FY 2023 DFR, Section XIV*. Includes patients with Medicare as primary insurer or with a Medicare Advantage plan. Table C2 includes patients who were treated in a nursing home at least one day during the quarter.

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

# Quarterly Update of the Fiscal Year 2023 Dialysis Facility Report for State Surveyors, June 2023

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The table below provides quarterly updates of key data elements from the facility's FY 2023 DFR. Note, these key data elements appear in bold font in the FY 2023 DFR. The first column includes the category and description of the facility outcome(s), along with the corresponding row numbers from the FY 2023 DFR. Facility summaries for 2020 and 2021 from the FY 2023 DFR are reported for comparison, along with State, Network, and National averages for 2021. 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. A blank value indicates the measure was not calculated and therefore not reported for any facility.

Measure Name	This Facility					Regional Averages <sup>*1</sup>		
	2020 <sup>^</sup> Jan-Dec	2021 Jan-Dec	2022 Q1: Jan-Mar	2022 Q2: Apr-Jun	2022 Q3: Jul-Aug	State	2021 Network	U.S.
<b>Eligible Patients <sup>*2</sup></b>								
Eligible adult patients (n)	69	80	61	61	61	79.3	79.2	79.0
Eligible adult hemodialysis (HD) patients (n)	61	70	53	53	53	71.4	71.3	71.1
Eligible adult peritoneal dialysis (PD) patients (n)	9	11	8	8	8	23.8	23.5	23.3
<b>Mortality <sup>*3</sup></b>								
4-year Standardized Mortality Ratio (2018-2021) - DFR row 3h		0.99				0.98	0.98	1.00
1-year Standardized Mortality Ratio - DFR row 3h	1.03	0.97				0.96	n/a	0.97
<b>Hospitalization <sup>*3</sup></b>								
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	1.03	1.04
<b>Infection/Dialysis Access <sup>*3</sup></b>								
Deaths due to infection (%) - DFR row 3f	10.2	10.0				10.0	n/a	9.9
Hospitalizations with septicemia (%) - DFR row 4o	13.0	12.4				12.8	n/a	12.0
Long-Term Catheter Rate (HD)(LTCCR) - DFR row 11g <sup>*4</sup>	14.7	15.9	17.3	17.5	17.8	15.5	15.6	15.5
Arteriovenous fistula in use (HD) (%) - DFR row 11c <sup>*4</sup>	60.9	59.2	58.5	58.2	58.3	60.0	60.0	60.4
<b>Fluid Management <sup>*3</sup></b>								
Hospitalizations with congestive heart failure (%) - DFR row 4o	28.4	28.2				29.0	29.1	27.5
Ultrafiltration rate (UFR) Categories (%) - DFR row 9g								
UFR > 13 ml/kg/hr	7.5	7.4	7.6	7.4	7.1	7.6	7.6	7.7
Missing or Out of Range	6.8	6.9	7.1	6.7	7.1	5.3	5.2	5.2
<b>Anemia <sup>*3</sup></b>								
Hemoglobin (HD) < 10 g/dL (%) - DFR row 8d	22.3	23.3	23.9	22.4	24.2	23.1	23.1	23.0
Hemoglobin (PD) < 10 g/dL (%) - DFR row 8f	22.3	21.7	21.8	21.8	24.3	22.0	22.0	22.0
<b>Dialysis Adequacy <sup>*5</sup></b>								
Kt/V (HD) categories (%) - DFR row 9k								
Kt/V < 1.2	2.0	2.9	2.5	2.2	2.2	1.5	1.6	1.5
Missing or Out of Range	1.5	2.0	2.5	2.4	2.3	1.3	1.3	1.3
Kt/V weekly (PD) categories (%) - DFR row 9o								
Kt/V < 1.7	5.3	6.0	6.2	5.7	6.3	4.9	4.9	4.9
Missing or Out of Range	3.7	4.5	4.2	4.0	4.0	2.9	2.8	2.9
<b>Nutrition <sup>*3</sup></b>								
Serum Albumin (HD) < 4.0 g/dL (%) - DFR row 9e	53.3	48.2	48.0	48.8	48.0	51.6	51.6	51.3
Serum Albumin (PD) < 4.0 g/dL (%) - DFR row 9r	74.2	69.0	69.1	70.9	70.4	51.6	51.6	51.3
<b>Influenza Vaccination <sup>*6</sup></b>								
Vaccinations between Aug. 1-Mar. 31 of following year (%) - DFR row 7c	82.3	78.2				78.8	78.8	78.9
<b>Mineral Metabolism <sup>*7</sup></b>								
Phosphorus categories (%) - DFR row 10d								
>7.0 mg/dL	15.3	16.0	15.7	15.9	15.4	16.1	16.1	16.0
Missing or Out of Range	3.2	4.1	4.3	3.9	3.7	3.1	3.0	3.0
Calcium uncorrected categories (%) - DFR row 10f								
> 10.2 mg/dL	1.2	1.3	1.2	1.2	1.2	1.2	1.1	1.2
Missing or Out of Range	2.9	3.8	3.9	3.5	3.4	2.7	2.7	2.7
Average uncorrected calcium > 10.2 mg/dL (%) - DFR row 10g	2.3	2.8	2.8	2.5	2.4	1.9	1.9	1.9

Kt/V: K = dialyzer clearance of urea; t = dialysis time; V = patient's total body water.  
n/a = not applicable

# Quarterly Update of the Fiscal Year 2023 Dialysis Facility Report for State Surveyors, June 2023

SAMPLE Dialysis Facility State: XX Network: 99 CCN: SAMPLE

Measure Name	This Facility					Regional Averages <sup>*1</sup>		
	2020 <sup>^</sup>	2021	2022	2022	2022	2021		
	Jan-Dec	Jan-Dec	Q1: Jan-Mar	Q2: Apr-Jun	Q3: Jul-Aug	State	Network	U.S.
<b>Transplantation<sup>*8</sup></b>								
<i>Standardized 1st Transplantation Ratio (4-year STR) - DFR row 5h</i>		1.03				1.04	1.03	1.00
Patient-months on the transplant waitlist (%) - DFR row 6c	17.5	17.2	16.7	16.6	16.4	17.5	17.3	17.7
<i>Age-Adjusted percentage of patients waitlisted - DFR row 6e</i>	17.6	17.3				17.3	17.3	17.2
<b>Nursing Home (NH) Patients<sup>*9</sup></b>								
All Dialysis Patients (n)	96	96	71	71	70	n/a	n/a	n/a
NH patients (% of All Dialysis Patients)	15.4	15.3	9.6	9.7	9.5	16.1	16.0	15.7
NH dialysis patients treated on last day of year/quarter (n)								
- DFR row 15.1a	7	7	5	5	5	n/a	n/a	n/a
Modality (% of NH patients) - DFR row 15.1k <sup>*10</sup>								
In-center hemodialysis	93.0	92.9	96.2	96.1	96.3	93.3	93.2	93.2
Home hemodialysis	1.9	2.1	1.5	1.7	1.6	3.2	3.3	3.4
Continuous ambulatory peritoneal dialysis	0.5	0.4	0.3	0.3	0.2	0.2	0.2	0.3
Continuous cycling peritoneal dialysis	3.7	3.7	2.0	1.8	1.9	2.4	2.4	2.4
Other modality	0.9	0.9	0.0	0.0	0.0	0.8	0.8	0.8
<i>SMR (deaths/expected deaths) - DFR row 15.3h</i>	1.17	1.08				1.07	1.07	1.05
<i>SHR (admissions/expected admissions) - DFR row 15.4k</i>	1.50	1.56				1.39	1.39	1.39

Kt/V: K = dialyzer clearance of urea; t = dialysis time; V = patient's total body water.  
n/a = not applicable

[^] See Data Limitations on page 1 for important details regarding data availability for 2020.

[\*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 2023 DFR, Section IV*. HD and PD patients may not sum to total. Summaries for 2020 are limited to data reported in July through December 2020.

[\*3] See *Guide to the FY 2023 DFR for Mortality, (Section VI), Hospitalization (Section VII), Anemia (Section XI), and UFR/Albumin (Section XII) summaries*. Please note the regional averages for the Nutrition measures are a weighted average of the HD and PD values and therefore both HD and PD have same values. Mortality and Hospitalization summaries for 2020 exclude data from March through June 2020. Readmission Statistics are further limited to index discharges between January 1-30, 2020 and July-December 2020. UFR, Anemia, and Albumin summaries for 2020 are limited to July through December.

[\*4] See *Guide to the Quarterly Updates of the FY 2023 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. Arteriovenous fistula values in 2020 are limited to July through December 2020 and long-term catheter rate values in 2020 were calculated for quarter 4 only due to data limitations.

[\*5] See *Guide to the Quarterly Updates of the FY 2023 DFR, Section XII*. Summaries are supplemented with Medicare claims if missing in EQRS. HD Kt/V summaries are restricted to patients from (1b) who dialyze thrice weekly. See section of Guide titled "Determination of Thrice Weekly Dialysis" for more information. The PD summaries use the most recent value over a 4-month look-back period. HD Kt/V values in 2020 are limited to July through December 2020 and PD Kt/V values for 2020 are calculated for quarter 4 only due to data exceptions.

[\*6] See *Guide to the Quarterly Updates of the FY 2023 DFR, Section X*. Includes all dialysis patients greater than six months of age as of the beginning of the flu season and treated on December 31st of each year in the facility. Patients that did not receive a vaccination and ever reported "Medical Reason: Allergic or Adverse Reaction" or "Other Medical Reason" during the flu season were excluded.

[\*7] See *Guide to the Quarterly Updates of the FY 2023 DFR, Section XI*. Patients from (1a) may be counted up to 12 times. Hypercalcemia is averaged from uncorrected serum or plasma calcium values over a rolling 3-month period; includes missing values in the numerator and patients 18 years or older as of the first day of the 3-month period. Summaries for 2020 are limited to data reported in July through December 2020.

[\*8] See *Guide to the FY 2023 DFR: Transplantation (Section VIII) and Waitlist (Section IX)*. 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. Values for 2020 exclude transplants and wait listings between March-June 2020.

[\*9] See *Guide to the Quarterly Updates of the FY 2023 DFR, Section XIII*. Nursing home patients are defined as the patients in CMS Long Term Care Minimum Data Set (MDS) at any time during the reporting period. The percentage of nursing home patients includes all patients receiving dialysis (any modality) at any time during the reporting period. See *Guide to the FY 2023 DFR for SMR (Section VI) and SHR (Section VII) for methodology*.

[\*10] NH patients refers to those treated on the last day of the year/quarter. Sums to 100%. Other modality includes other dialysis, uncertain modality, and patients not on dialysis but still temporarily assigned to the facility (discontinued dialysis, recovered renal function, and lost to follow-up).