

Patient Event Definitions and Business Rules

| Event | Effect on Dialysis Facility Population | Brief Definition | Can Only be Preceded By | Can Only be Followed By | Business Rules |
|--|--|---|---|--|---|
| New ESRD Patient | Addition | Patient has been diagnosed with ESRD and receives his/her first ever kidney transplant or his/her first ever outpatient chronic dialysis treatment. | No events can precede New ESRD Patient | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow Up • Modality Change • Recover Function • Transfer Out • Transfer Out for a Transplant • Transplant Failure • Interruption in Service | <ol style="list-style-type: none"> 1. For Patients new to chronic outpatient dialysis or receiving a transplant as his/her first ESRD event. 2. Patient may have only one new event. 3. If a facility reports a patient as a Transfer In, but patient does not appear in SIMS, follow up with the facility and create a "New ESRD Patient" Event. |
| Transfer In | Addition | Patient transfers into dialysis facility, having received outpatient care elsewhere. User must record a subcategory to indicate type of transfer | See individual Transfer In Categories | | <ol style="list-style-type: none"> 1. In SIMS, if the previous event is from another Network window opens asking if you want SIMS to automatically create a new Pat Master Record for the receiving Network Clicking Yes creates a new Patient master record with a blank address but with a state listed that corresponds to the provider state. 2. If patient is receiving short-term transient dialysis (< 30 days) do not record the transfer. 3. This event will be recorded in Field 06A or 06B on the CMS-2744 Facility Survey. 4. If the patient is returning to dialysis after a transplant failure, do not use this event. |
| Transfer In-Category A: Patient previously served in ESRD Medicare system | Addition | Patient transfers into dialysis facility having previously dialyzed at an ESRD-Medicare Certified Provider | <ul style="list-style-type: none"> • Transfer Out, Category A, B, or C <p>*Note: Transfer In may be the first event for a patient in VISION, since user only enters activity at their facility. Category 1 Transfer In may NOT be the first event in SIMS.</p> | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow Up • Modality Change • Recover Function • Transfer out • Transfer out for a transplant • Interruption in Service | <ol style="list-style-type: none"> 1. Use this event when a patient is transferring from one ESRD Medicare Certified Dialysis provider into another or if a patient is transferring from a non-Medicare facility, but has previously received treatment in an ESRD Medicare certified provider. |

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| Transfer In – Category B: Patient new to ESRD Patient Registry. | Addition | Patient transfers into dialysis facility to receive first outpatient chronic dialysis at an ESRD-Medicare Certified Provider | No events should precede this event. | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow Up • Modality Change • Recover Function • Transfer out • Transfer out for a transplant • Interruption in Service | <ol style="list-style-type: none"> 1. Use this event when a patient receives first outpatient dialysis or transplant at a non-Medicare facility, including a prison or a facility in another country. |
| Restart | Addition | Patient had previously stopped dialysis treatment and is now resuming dialysis | <ul style="list-style-type: none"> • Discontinue • Lost to Follow Up • Recover Function | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow up • Modality Change • Recover Function • Transfer Out • Transfer Out for a Transplant • Interruption in Service | <ol style="list-style-type: none"> 1. If patient Restarts dialysis after 12 months of stopping treatment, submit a new 2728 form to reinstate ESRD Medicare benefits. |
| Dialysis After Transplant Failed (at Dialysis Facility) - Category A: In US | Addition | Patient has rejected a transplant and is receiving his/her first post-transplant outpatient dialysis at an outpatient facility within the US. | <ul style="list-style-type: none"> • Transplant Failure | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow up • Modality Change • Recover Function • Transfer Out • Transfer out for a Transplant • Interruption in Service | <ol style="list-style-type: none"> 1. A CMS-2728 form should be submitted if the return to dialysis is > 3 years post-transplant to resume ESRD Medicare eligibility 2. Transplanted patients may experience episodes of rejection and will need dialysis support to assist in the function of the kidney. This may take up to 2 to 3 months. Do not report this patient as a transplant failure unless the physician has written a prescription that this patient will need dialysis three times a week and the transplanted kidney have failed. Use only after transplant surgeon or physician has stated that the transplant has failed. 3. Note: this event was previously "Dialysis after Transplant". It has been changed to "Dialysis after Transplant Fail". The event code remains the same. |

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| Dialysis After Transplant Failed (at Dialysis Facility) - Category B: Outside the US | Addition | Patient has rejected a transplant and is receiving his/her first post-transplant outpatient dialysis at an outpatient facility outside of the US. | <ul style="list-style-type: none"> • Transplant Failure | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow up • Modality Change • Recover Function • Transfer Out • Transfer out for a Transplant • Interruption in Service | <ol style="list-style-type: none"> 4. A CMS-2728 form should be submitted if the return to dialysis is > 3 years post-transplant to resume ESRD Medicare eligibility 5. Transplanted patients may experience episodes of rejection and will need dialysis support to assist in the function of the kidney. This may take up to 2 to 3 months. Do not report this patient as a transplant failure unless the physician has written a prescription that this patient will need dialysis three times a week and the transplanted kidney have failed. Use only after transplant surgeon or physician has stated that the transplant has failed. 6. Note: this event was previously "Dialysis after Transplant". It has been changed to "Dialysis after Transplant Fail". The event code remains the same. |
| Transfer Out for a Transplant - Category A: In US | Loss | Patient leaves a dialysis facility to receive a kidney transplant within the US. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer in • Interruption in Service • Resume Service | <ul style="list-style-type: none"> • Transplant • Death (at-CMSDTH Provider) | <ol style="list-style-type: none"> 1. This event is recorded at a dialysis facility only. |
| Transfer Out for a Transplant - Category B: Outside the US | Loss | Patient leaves a dialysis facility to receive a kidney transplant outside the US. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer in • Interruption in Service • Resume Service | <ul style="list-style-type: none"> • Transplant • Death (at-CMSDTH Provider) | <ol style="list-style-type: none"> 1. This event is recorded at a dialysis facility only. |

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| Transfer Out | Loss | Patient is receiving dialysis treatment elsewhere. Record a subcategory to indicate type of Transfer. | See individual Transfer Out Categories | | |
| Transfer Out – Category A: To ESRD Medicare Dialysis Facility | Loss | Patient is transferring long term/permanently to an ESRD Medicare Certified Dialysis Provider. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Interruption in Service • Resume Service | <ul style="list-style-type: none"> • Transfer In • Death | <ol style="list-style-type: none"> 1. For record keeping purposes, if patient is receiving short-term transient dialysis do not record transfer. 2. This event will be recorded in Field 11A or 11B on the CMS-2744 Facility Survey Form. |
| Transfer Out– Category B: To Non-ESRD Medicare Dialysis facility | Loss | Patient is leaving facility and will receive care for >30 days at a non-ESRD-Medicare Certified Provider | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Resume Service | <ul style="list-style-type: none"> • Transfer In • Dialysis after Transplant failed • Death (at CMSDTH provider) | <ol style="list-style-type: none"> 1. Use this event when patient begins long-term incarceration or leaves the country for an extended period. 2. If patient is away for less than 30 days, do not record the transfer. 3. This event will be recorded in Field 11A or 11B on the CMS-2744 Facility Survey. |
| Transfer Out- Category C: Involuntary Discharge from treatment | Loss | Patient has been discharged from the facility against his/her will | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Resume Service | <ul style="list-style-type: none"> • Transfer In • Death • Restart | <ol style="list-style-type: none"> 1. Use this event for ALL involuntary discharges, regardless of where patient received services after discharge. 2. This event will be recorded in Field 11A or 11B on the CMS-2744 Facility Survey. 3. This information should not be viewable by REMIS or other Networks |

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| Discontinue | Loss | Patient discontinues dialysis after the decision to permanently stop dialysis has been specifically articulated. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Transplant Failure • Resume Service • Transplant (Rare) | <ul style="list-style-type: none"> • Death • Restart | <ol style="list-style-type: none"> 1. Create this event only when a patient, family, or legal designee communicates the decision to discontinue dialysis with the expectation that death will soon follow. 2. Facility is expected to follow patient for 30 days following a discontinue, and must submit form CMS-2746 form for patient if death occurs within 30 days. |
| Death | Loss | Patient has died. | <ul style="list-style-type: none"> • Continuing • Discontinue • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Transplant • Transplant Failure • Interruption in Service • Resume Service | No Events can follow Death | <ol style="list-style-type: none"> 1. Facilities are responsible for completing the CMS-2746 form for the patient if the death occurs within 30 days after the patient has been out of their care and no other facility has reported treating the patient. 2. For reporting and analysis purposes, the death is reported under this facility if the death occurs within 30 days of the last treatment. After 30 days the death is reported under provider "CMSDTH", created for this purpose. – Not available at VISION facilities. 3. Networks and facilities should enter a death date regardless of how they learn of the death. |

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| Recover Function | Loss | Patient regains renal function of his/her native kidney and is able to survive without ESRD therapy | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Resume Service • Transplant (RARE) | <ul style="list-style-type: none"> • Restart • Death • Transplant | <ol style="list-style-type: none"> 1. Refers only to a patient's native kidney(s), not to a transplanted kidney. |
| Lost to Follow Up | Loss | Patient no longer attends dialysis, facility is unable to locate the patient and Network is unable to locate the patient through the central repository. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transplant Failure • Transplant • Resume Service | <ul style="list-style-type: none"> • Restart • Death | <p>Note: This event was previously "Loss to Follow up" and has been changed to "Lost to Follow up".</p> <ol style="list-style-type: none"> 1. This event should rarely be used. The facility should make every effort to locate the patient. 2. Enter this event when the facility has made every effort to locate a patient but does not know where the patient is. 3. Do not use this event when a patient has communicated a decision to discontinue dialysis or has transferred out to another facility. 4. If another facility reports a transfer in and that Transfer in is within 30 days of the LTFU, change the LTFU event to a Transfer Out event on the same day as the Transfer In. 5. If another facility reports a Transfer In more than 30 days later, leave the event as a LTFU and add a restart to the new facility rather than a Transfer In. If the restart is more than one year after the LTFU, a 2728 form should be completed and submitted. |

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| | | | | | 6. If the patient expires within 30 days delete the LTFU and add a death. If the death is after 30 days leave the LTFU and add a CMSDTH. |
| Modality Change | Neutral | Patient remains at the treatment facility and changes to a different type of dialysis modality as determined by the patient and care team to be the patient's anticipated modality for the foreseeable future. | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Resume Service | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow up • Modality Change • Recover Function • Transfer Out • Transfer out for a Transplant • Interruption in Service | <ol style="list-style-type: none"> 1. For any change in dialysis modality occurring at the same provider 2. If patient is transferring to a different provider and starting a new dialysis modality, use Transfer In or Transfer Out. 3. If modality change is from Staff-assisted dialysis to Self-Care Dialysis and takes place within 90 days of the New Patient Event, a supplemental CMS-2728 form is required to waive the waiting period for Medicare benefits. 4. Only report long-term anticipated modality 5. Only use for dialysis modality changes. If patient receives a transplant, use the Transfer out for Transplant event. |
| Interruption in Service in a Chronic Outpatient Setting | Neutral | Patient is experiencing a interruption of services for greater than 30 days while in an acute care setting or rehabilitation facility and is expected to return to the outpatient dialysis facility | <ul style="list-style-type: none"> • Continuing • Dialysis after Transplant Failed • Modality Change • New ESRD Patient • Restart • Transfer In • Resume Service | <ul style="list-style-type: none"> • Transfer Out • Transfer out for a Transplant • Resume Service • Death | <ol style="list-style-type: none"> 1. Use this event Patient is experiencing a long-term (greater than 30 days) interruption of services while in an acute care setting or rehabilitation facility and is expected to return to the outpatient dialysis facility. 2. If the patient has been away from the dialysis clinic for over 30 days and the Interruption in Service event is reported then that patient should not be considered when completing the facility death form and SMR's. 3. If a CMS death is received, SIMS will create a Transfer Out 30 days prior to the CMS death so the patient will be removed from the prevalent patient population. 4. This event will be not be recorded as a loss and the patient will be counted in field 26 on the ending census of the CMS-2744 Facility Survey since it represents a temporary interruption of service. <p>**This implies that the facility is still responsible for the care of this patient</p> |
| Resume Service | Neutral | Patient is returning to the dialysis facility from an acute care setting or | <ul style="list-style-type: none"> • Interruption in Service | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow | <ol style="list-style-type: none"> 1. Use this event when a patient has been in the status of Interruption in Service and is now returning to the dialysis facility. |

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| | | rehabilitation facility | | Up <ul style="list-style-type: none"> • Modality Change • Recover Function • Transfer out • Transfer out for a transplant • Interruption in Service | 2. This event will not be recorded as an addition on the CMS-2744 Facility Survey since it represents a patient returning from a temporary interruption of service |
| Continuing | Neutral | Patient was receiving ESRD treatment at time of 1988 Network consolidation, but prior event data was not available | No Events can precede Continuing event | <ul style="list-style-type: none"> • Death • Discontinue • Lost to Follow up • Modality Change • Recover Function • Transfer Out • Transfer Out for a Transplant • Interruption in Service | 1. This event comes from legacy data and may appear in SIMS and VISION for patients for whom pre-1988 data was not available. 2. You cannot enter this event for a patient, but existing instances of the Continuing event will remain. |
| Transplant | Neutral - Transplant center event only | Patient receives a kidney transplant at a transplant facility | <ul style="list-style-type: none"> • Transfer out for a Transplant • Transplant Failure | <ul style="list-style-type: none"> • Transplant Failure • Death | 1. This event is only recorded at a transplant facility. |
| Transplant failure (at Transplant Facility) | Neutral - Transplant center event only | Patient's kidney transplant has permanently failed and patient will need to resume or start dialysis; or receive another transplant | <ul style="list-style-type: none"> • Transplant | <ul style="list-style-type: none"> • Dialysis after Transplant Failed • Transplant • Death • Interruption in Service | 1. Do not use this event if patient requires backup or "kick-start" dialysis after a transplant. It should be considered transplant support dialysis and a CMS-2728 form should not be submitted and the event should not be entered. 2. If the patient receives a transplant within 90 days of a New ESRD Patient event or more than 3 years after a previous transplant, a new CMS-2728 form may be necessary. |

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| Acute | N/A | N/A-To be removed from SIMS | N/A | N/A | <ol style="list-style-type: none"> 1. This event was previously recorded on patients for whom a 2728 was submitted, but were later determined to be acute, not ESRD patients. 2. This event will be removed from SIMS. 3. The SIMS team will work with REMIS to eliminate patients from repeatedly showing up as an accretion/notification. |