

ADDENDUM TO THE 2016 QUALIFIED HEALTH PLAN ENROLLEE EXPERIENCE SURVEY (QHP ENROLLEE SURVEY) QUALITY ASSURANCE GUIDELINES AND TECHNICAL SPECIFICATIONS

Please note that all information presented in this addendum clarifies and supersedes the related specifications in the *2016 QHP Enrollee Survey Quality Assurance Guidelines and Technical Specifications (QAG)*.

QAG Section	Clarified Specification
General Clarification	<p>Summary of Changes:</p> <p>The Centers for Medicare & Medicaid Services (CMS) has released an issue brief providing a high-level summary of changes made to the QHP Enrollee Survey specifications between 2015 and 2016. The issue brief is available on the Project Website and can be downloaded by clicking here. It is still the responsibility of each survey vendor to review the 2016 QAG in its entirety.</p>
Sampling, Section IV	<p>Discontinued Reporting Units</p> <p>A reporting unit is only considered to be discontinued if the product type is not offered through a Marketplace (Individual or SHOP) within a given state as of June 15, 2016. If the product type continues to be offered through a Marketplace and had more than 500 enrollees by July 1, 2015 then the reporting unit is required to field the 2016 QHP Enrollee Survey and submit clinical data for the Quality Rating System (QRS), even if the number of enrollees enrolled in the product type as of January 1, 2016 is less than 500.</p> <p>For example, for the 2015 Plan Year Issuer ABC (HIOS ID: 12345) offered PPO plans through the Individual Marketplace and SHOP Marketplace in Florida. The reporting unit, which combines enrollees from the Individual and SHOP Marketplace, had more than 500 enrollees as of July 1, 2015. For the 2016 Plan Year, Issuer ABC opted to discontinue offering a PPO plan through the Individual Marketplace, but will continue offering a PPO plan on the SHOP Marketplace. The reporting unit is not considered to be discontinued because Issuer ABC will continue offering a PPO product on the Marketplace in 2016. In addition, the enrollment threshold is still met, even if enrollment in the PPO on the SHOP Marketplace does not exceed 500, because the reporting unit had more than 500 enrollees as of July 1, 2015.</p> <p>In developing their sample frames, QHP issuers should include only those enrollees who continue to be enrolled in the product type as of January 1, 2016. Survey vendors will follow pre-established guidelines outlined in the QAG regardless of the number of enrollees included on the sampling frame.</p>
Sampling, Section IV	<p>Second Count Variable Determination (Field Name = k):</p> <p>If a sample frame does not contain SFIDs, then the survey vendor deduplicates the sample by mailing address. In this case, the second count variable is calculated by summing the number of EUIDs per mailing address <i>before</i> the deduplication step.</p>

QAG Section	Clarified Specification
Sampling, Section IV	<p>Membership Changes and Continuous Enrollment: Members who switch among different product lines (commercial, Medicaid, Medicare, Marketplace) or products (HMO, POS, PPO and EPO) during the time specified for continuous enrollment (i.e., July 1, 2015 – December 31, 2015), are continuously enrolled and are included in the product line/product in which they were enrolled as of the end of the continuous enrollment period (i.e., December 31, 2015).</p> <p>For example, a member enrolled in an HMO product who switches to a PPO product during the continuous enrollment period is included in the PPO product for the QHP Enrollee Survey.</p>
Data Collection – Mail, Section V	<p>Mail Survey Retention: After scanning hardcopy mail surveys and confirming that the resulting images are stored within the survey management system, survey vendors are permitted to securely discard the hardcopy mail surveys.</p>
Data Collection – Mail, Section V	<p>Mail Survey Packet Postage: Survey vendors are not required to affix live stamps to mail survey packets or business reply envelopes; a postage business permit is allowed as long as the permit is for first class mail delivery.</p>
Data Collection – Mail, Section V	<p>Spanish and Chinese Cover Letters: Pages 46 and 47 of the 2016 QAG indicate that Spanish and Chinese cover letters must include English text providing instructions to sampled enrollees on how to request a survey in English. The Project Team would like to clarify that Spanish and Chinese cover letters are not required to include English text providing instructions to the sampled enrollee on how to request an English language survey. However, the Project Team recommends including this English text on Spanish and Chinese cover letters in the event that the language flag is incorrect.</p>
Data Collection – Telephone, Section V	<p>“Do Not Survey” List: Prior to survey administration, the Project Team recommends that survey vendors check whether any sampled enrollees appear on their organization’s internal “Do Not Survey” list from the previous year’s survey administration. Sampled enrollees included on a survey vendor’s “Do Not Survey” list may be excluded from the survey and should be assigned a final disposition code of “X40—Ineligible: Not Eligible or on a Do Not Survey List”. Survey vendors may not exclude sampled enrollees from the survey based on a QHP issuer’s “Do Not Call” list. If a sampled enrollee requests to be placed on a “Do Not Survey” list after data collection has started, the sampled enrollee record should be assigned a final disposition code of “X32—Refusal” and added to the survey vendor’s “Do Not Survey” list.</p>

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Data Collection – Telephone, Section V	<p>Telephone Interview Monitoring: QHP Enrollee Survey protocols currently require that HHS-approved survey vendors that subcontract the telephone interviewing task monitor at least 10 percent of all telephone interviews, including both completed interviews and call attempts, regardless of the percent of interviews that the subcontractor monitors independently. While it is preferred that each organization monitor 10 percent of QHP Enrollee Survey interviews (for an overall total of 20 percent), it is permissible for the survey vendor and its subcontractor to conduct a combined total of at least 10 percent of all interviews, as long as each organization conducts a portion of the monitoring. Therefore, the survey vendor and its subcontractor can determine the ratio of monitoring that each organization conducts, as long as the combined total meets or exceeds 10 percent. Interviews monitored concurrently by the survey vendor and the subcontractor do not contribute separately to each organization’s monitoring time.</p>
Data Collection – Internet, Section V	<p>Internet Survey Question Pages: Each Internet survey question must be displayed separately as one question per webpage regardless of whether or not it is a gate or a non-gate item.</p>
Data Coding, Section VII	<p>Completed Survey: If a sampled enrollee completes the Internet survey before the first mail survey, then the survey vendor must make every attempt to cease all mail and telephone contact attempts to that sampled enrollee.</p>
Data Coding, Section VII	<p>Completed Survey: If a particular survey meets the definition of a “Completed Survey” (i.e., at least 50% of the key survey items answered) but the survey is not entirely complete (i.e., 60% complete), then the survey vendor is not required to conduct any additional outreach activities to the sampled enrollee. If a survey only meets the definition of a “Partially Completed Survey” (i.e., less than 50% of the key survey items answered), then the survey vendor must follow-up with the sampled enrollee according to the guidelines specified on pages 49-50 of the 2016 QAG.</p>
Data Coding, Section VII	<p>Telephone Consumer Protection Act: The 2016 QAG does not provide guidance on the June 18, 2015, declaratory ruling by the Federal Communications Commission (FCC) on the Telephone Consumer Protection Act (TCPA). It is the responsibility of survey vendors to ensure that they are in full compliance with all federal and state laws, regulations, and guidelines. Survey vendors are required to provide sampled enrollees with a revocation option through the use and maintenance of a “Do Not Survey” list.</p>
Data Analysis and Public Reporting, Section IX	<p>Deidentified Datasets: Survey vendors are not permitted to provide deidentified enrollee-level datasets to QHP issuer clients for the 2016 National Implementation of the QHP Enrollee Survey. Additional information on deidentified datasets is provided on page 86 of the 2016 QAG.</p>

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Data Analysis and Public Reporting, Section IX	<p>2015 Beta Test Results: Comparative response rates and results from the 2015 Beta Test of the QHP Enrollee Survey will not be disseminated to survey vendors.</p>
Quality Oversight, Section X	<p>Revisions to Survey Material Submission Due Dates: The following English survey materials must be submitted to the Project Mailbox (ghpcahps@air.org) for review by November 17, 2015:</p> <ul style="list-style-type: none"> • English mail and Internet survey materials <p>The following English and Spanish survey materials must be submitted for review by November 30, 2015:</p> <ul style="list-style-type: none"> • English telephone materials (screen shots of programmed CATI and proxy scripts) • Spanish telephone materials (screen shots of programmed CATI and proxy scripts) <p>Survey vendors have until January 11, 2016, to submit the following Spanish and Chinese survey materials to the Project Team for review:</p> <ul style="list-style-type: none"> • Spanish mail and Internet survey materials, if applicable • Chinese mail and telephone (screen shots of programmed CATI and proxy scripts) survey materials, if applicable <p>The specified review turnaround time is 10 business days.</p> <p>Survey vendors without contracted QHP issuer clients are not required to submit survey materials to the Project Team for review.</p>
Quality Oversight, Section X	<p>Seeded Mailings: Survey vendors are only required to seed the Project Team in Spanish survey mailings if the mailings include a letter and/or a survey in Spanish. Survey vendors are only required to seed the Project Team in Chinese survey mailings if the mailings include a letter and/or a survey in Chinese. Survey vendors are not required to seed the Project Team in mailings that only contain a sentence in Spanish or Chinese instructing sampled enrollees on how they may obtain the survey in either Spanish or Chinese.</p>
Appendix E – Telephone Scripts	<p>Revised CATI Scripts: Revisions to the English, Spanish and Chinese CATI and proxy scripts were posted to the Project Website on 11/13/15. The Project Team has sent a Survey Vendor Update E-mail with a table detailing changes made to the scripts to assist survey vendors in implementing these changes.</p>
Miscellaneous, Survey Vendor Authorization	<p>Dissemination of QHP List: CMS plans to publish a QHP List that includes all Qualified Health Plans (QHP) offered through a Health Insurance Marketplace during the 2015 Plan Year. QHP issuers will be able to download the list via CMS' Health Insurance Oversight System (HIOS). This list will also be disseminated to HHS-approved survey vendors via e-mail.</p>