



Health Insurance Marketplace

2016 Qualified Health Plan
Enrollee Experience Survey
Vendor Training

October 20, 2015

Agenda

Agenda Item	Time
Training Logistics	11:00 a.m. – 11:10 a.m.
CMS Welcome	11:10 a.m. – 11:15 a.m.
Program Overview	11:15 a.m. – 11:45 a.m.
Survey Management	11:45 a.m. – 12:05 p.m.
Sampling	12:05 p.m. – 12:40 p.m.
Break	12:40 p.m. – 12:55 p.m.
Data Collection Protocol	12:55 p.m. – 2:25 p.m.
Data Coding, Specifications and Submission	2:25 p.m. – 3:00 p.m.
Break	3:00 p.m. – 3:15 p.m.
Survey Vendor Quality Oversight	3:15 p.m. – 3:30 p.m.
Survey Vendor Authorization	3:30 p.m. – 3:45 p.m.
Wrap-up and Next Steps	3:45 p.m. – 4:00 p.m.





Welcome



Program Overview

Overview

- Roles and Responsibilities
 - CMS and the Project Team
 - QHP Issuers
 - Survey Vendors
- Survey Overview
 - About the Survey
 - Survey Measures
 - 2016 National Implementation Timeline
- Technical Assistance



The Project Team

Centers for Medicare & Medicaid Services (CMS)

- Sponsorship
- Guidance
- Oversight
- Public Reporting

American Institutes for Research (AIR) National Committee for Quality Assurance (NCQA)

- Project Management
- Survey Design and Methodology
- Data Submission
- Analysis
- Technical Support
- Survey Operations and Oversight



Roles & Responsibilities: CMS and the Project Team

- Develop and distribute Quality Assurance Guidelines (QAG)
- Provide training to approved survey vendors annually
- Provide survey administration oversight
- Provide technical assistance
- Process and analyze data
- Provide survey results



Roles & Responsibilities: QHP Issuers

- Contract with and authorize an HHS-approved survey vendor to administer the QHP Enrollee Survey
- Contract with NCQA-Certified HEDIS[®] Compliance Auditor to validate the sample frame
- Compile sample frame using specifications provided by the Project Team
- Complete sample frame validation process
- Provide validated sample frame to survey vendor

(HEDIS[®]), Healthcare Effectiveness Data and Information Set, is a registered trademark of the National Committee for Quality Assurance



Roles & Responsibilities: Survey Vendors

- Follow all rules of participation and program requirements
- Draw sample from the validated sample frame
- Administer QHP Enrollee Survey
- Oversee work quality of staff and subcontractors
- Submit data files to the Data Submission System successfully
- Meet all due dates and project reporting requirements



About the Survey

- Qualified Health Plan Enrollee Experience Survey (QHP Enrollee Survey)
- Survey includes all questions in the core CAHPS Health Plan 5.0 Survey (Adult Medicaid)
 - Questions added to collect data specific to this population
- Supplies data to the Quality Rating System (QRS) regarding patient experiences with their health plan
 - [Quality Rating System and Qualified Health Plan Enrollee Experience Survey: Technical Guidance for 2016](#)



Survey Measures

- Global Rating Questions
 1. Rating of All Health Care
 2. Rating of Health Plan
 3. Rating of Personal Doctor
 4. Rating of Specialist
- Composite Measures
 1. Access to Care
 2. Access to Information
 3. Care Coordination
 4. Cultural Competence
 5. Plan Administration



Survey Measures

- HEDIS Survey Measures
 1. Flu Vaccinations for Adults Ages 18–64
 2. Aspirin Use and Discussion
 3. Medical Assistance With Smoking and Tobacco Use Cessation



2016 National Implementation Timeline

Task	Date
Conditionally approved survey vendors contract with QHP issuers	August – December 2015
2016 QHP Enrollee Survey Vendor Training	October 20, 2015
<p>Survey Materials: Survey vendors submit the following materials</p> <ul style="list-style-type: none"> • Mail: Print materials (English and Spanish; Chinese, if applicable) • Telephone: Screen shots of CATI programming (English and Spanish; Chinese, if applicable) • Internet: 5 sample user names and passwords for testing Internet system (English; Spanish, if applicable) 	November 2 – 17, 2015
Report #1: Survey vendors submit Quality Assurance Plan (QAP)	December 7, 2015



2016 National Implementation Timeline (cont'd.)

Task	Date
<ul style="list-style-type: none"> • QHP issuers generate sample frame for each sampling unit • QHP issuers arrange for NCQA-Certified HEDIS Compliance Auditor to perform sample frame validation • Survey vendors verify QHP issuers complete NCQA Healthcare Organization Questionnaire (HOQ) 	January 2016
Report #2: Survey vendors submit preliminary QHP client list and oversampling requests	January 5, 2016
QHP issuers complete survey vendor authorization	January 5, 2016
<ul style="list-style-type: none"> • Survey vendors receive validated sample frames and obtain confirmation that a NCQA-Certified HEDIS Compliance Auditor validated the sample frame • Survey vendors draw survey sample 	January – February 2016
Report #3: Survey vendors submit final QHP client list	January 27, 2016



2016 National Implementation Timeline (cont'd. 2)

Task	Date
Survey vendors administer QHP Enrollee Survey	January – April 2016
Survey vendors submit interim data file for testing purposes	April 6 – 8, 2016
Report #4: Survey vendors submit interim progress report	April 11, 2016
Data submission <ul style="list-style-type: none">Files due by 11:59 p.m. ET on May 25, 2016	May 11 – 25, 2016
<ul style="list-style-type: none">Data resubmission (if requested)Must submit within 5 business days of date requested	May 26 – June 24, 2016
Report #5: Survey vendors submit final report	June 7, 2016



Technical Assistance for Survey Vendors

- QHP Project Website
 - General information
 - Important news and updates
 - All materials that support survey implementation
 - <https://qhpcahps.cms.gov>
- Technical Assistance
 - E-mail: qhpcahps@air.org
 - Telephone: 844-849-5243



Technical Assistance for QHP Issuers

- Exchange Operations Support Center (XOSC) Help Desk
 - Submit questions about the QRS and QHP Enrollee Survey technical guidance and specifications
 - E-mail: CMS_FEPS@cms.hhs.gov
 - Telephone: 855-CMS-1515





Program Overview Questions?



Survey Management

Survey Management Overview

- Personnel Training
- Subcontractors
- Survey Management System
- Data Security and Confidentiality
- Data Retention
- Customer Support



Personnel Training – General

- Designated Personnel
 - Project Manager
 - Oversees all survey operations
 - Mail, Telephone, and Internet Survey Supervisor
 - Sampling Manager
 - Information System Staff
- Complete QHP Enrollee Survey Vendor Training and all subsequent trainings
- QAG available to staff and subcontractors



Personnel Training – Mail Protocol

- Thorough training of outgoing and incoming mail procedures
- Training topics:
 - Use of relevant equipment and software
 - Role-specific QHP Enrollee Survey protocols
 - Decision rules and coding guidelines
 - Proper handling of hardcopy and electronic data



Personnel Training – Telephone Protocol

- Established interviewer training and monitoring process
- Instruct interviewers on:
 - Content and purpose of the survey
 - Telephone protocols and question specifications
 - Frequently Asked Questions (FAQ)
 - Must be able to provide answers in all survey languages offered
 - Refusal avoidance and conversion techniques
 - Standardized, nondirective interviews



Personnel Training – Customer Support

- Trained on QHP Enrollee Survey specifications, methodology and FAQ
 - Responding when answers to questions are not known
 - Rights of survey respondents
- Trained on procedures for transferring calls to telephone interviewers or scheduling callbacks
- Trained on threats to self and others



Use of Subcontractors

- Permitted for mail and telephone protocols, customer support, and data receipt and processing
- Not permitted for sampling, data file preparation and submission, or Internet administration
- Must obtain signed confidentiality agreements
- Must provide and document oversight processes in QAP
- Subcontractors participate in all required oversight activities
- Note: *Survey vendors must attend subcontractor training sessions*



Survey Management System

- Used to track:
 - Sampled enrollee data elements by unique ID
 - Data collection activities (e.g., updated address, undeliverable return, first survey mailing, and telephone attempts)
- Data collection activities must be logged into the Survey Management System within **24 hours**
- Test system prior to implementation



Data Security and Confidentiality

- Keep confidential data physically and electronically secure
 - Store data in password-protected locations
 - Separate personal identifying information from sampled enrollee response data
 - Keep confidential hard copy information in a locked room or file cabinet
 - Never remove confidential data from survey vendor's place of business
 - Never store confidential data on computers without data encryption software



Data Security and Confidentiality (cont'd.)

- Limit access to confidential data to authorized staff members only
- Maintain signed confidentiality agreements
- Maintain physical and electronic data security
 - Electronic security measures may include firewalls, restricted-access levels, or password-protected access
 - Data stored electronically must be backed up nightly (or more frequently) to minimize data loss
- Develop procedures for identifying and handling breaches



Data Retention

- Data must be retained in a secure and environmentally controlled location for a minimum of 3 years
 - Returned paper questionnaires or scanned images of paper surveys
 - Data collected by mail, telephone and Internet
 - Mail survey materials can be destroyed after 3 years



Customer Support

- Establish toll-free telephone number and e-mail address
 - Staffed live during business hours
 - 24-hour turnaround time
 - Voicemail available during nights, weekends, and federal holidays
- Operational by start of mail phase
 - Test system prior to survey implementation
- Respond to questions in all languages offered
- Document and track questions and responses
- FAQ available in Appendix C of QAG
 - FAQs available in Spanish and Chinese on Project Website



Survey Management Summary

- Personnel attend annual training and receive role-specific instruction
- Subcontractors
 - Permitted for mail, telephone, customer support, data processing
 - Not permitted for sample file generation, data submission, or Internet
 - Must be available for oversight activities
- Survey management system tracks key events during fielding
- Ensure data security per QAG
 - Signed confidentiality agreements for all staff and subcontractors
- Retain data for at least 3 years
- Establish toll-free telephone number and e-mail address





Survey Management Questions?



Sampling

Sampling Overview

- Definition of Sampling/Reporting Unit
- Eligibility Guidelines (QHP and Enrollee)
- Sample Frame Generation
- Sample Frame Validation
- Sampling Protocol
 - Definitions
 - Protocol
 - Count Variables
 - Oversampling



Definition of a Sampling/Reporting Unit

- QHP issuers create a sample frame for *each product type* they offer through the Marketplace within a particular state
- The sampling/reporting unit is also referred to as the **Ste-Issuer-Product Type (SIP unit)**
- May include a single QHP or many QHPs, spanning QHPs with a variety of metal levels
- QHP issuers may not combine product types

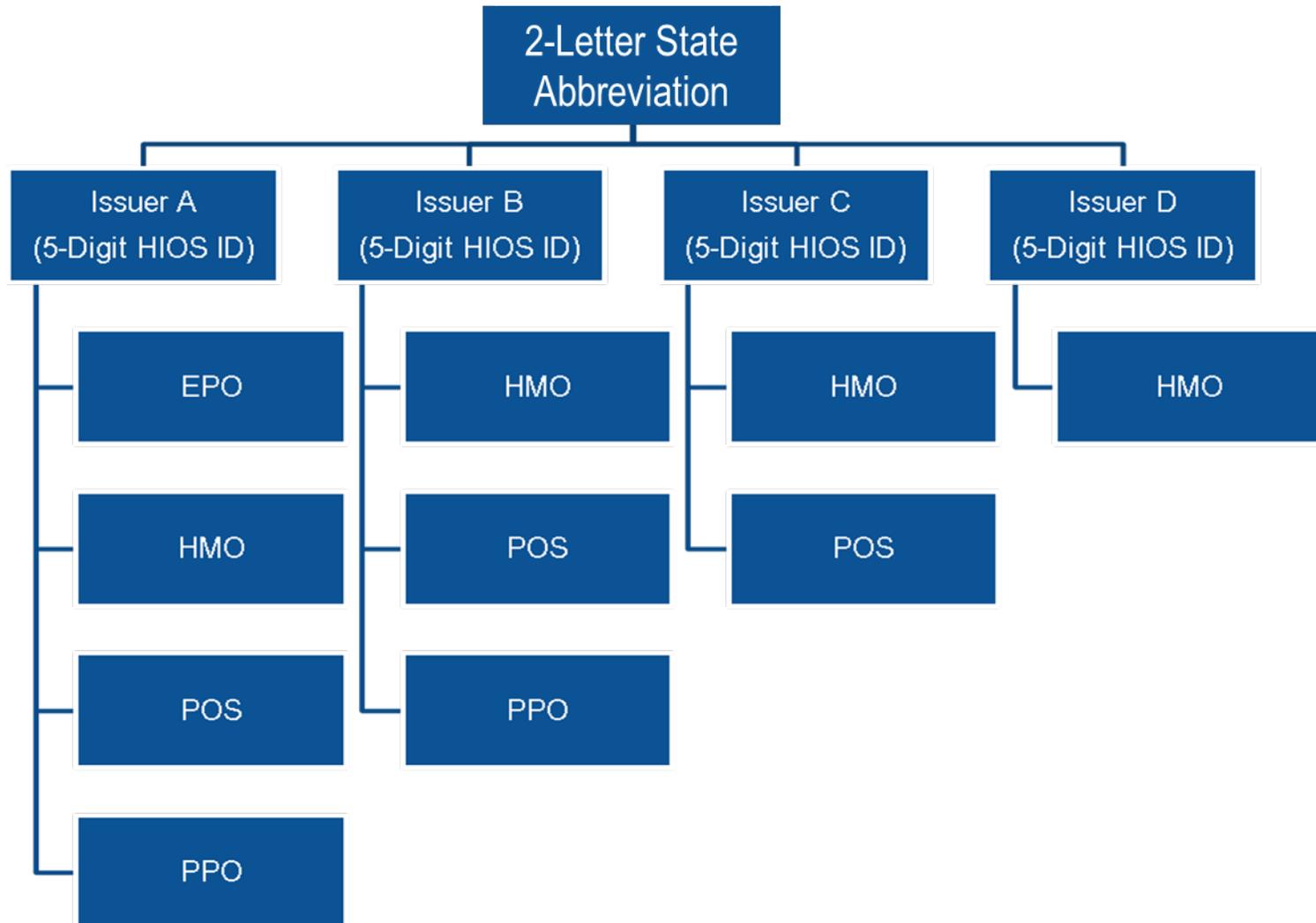


Definition of a Sampling/Reporting Unit

- If a QHP issuer has multiple products in a single state (e.g., two HMOs), then all HMOs offered by that issuer in that state are considered a single sampling/reporting unit
- A QHP issuer offering a QHP and a Multi-State Plan (MSP) option of the same product type in the same state must combine enrollees from both QHP and MSP products
- A QHP issuer offering the same product type on the individual Marketplace and the Small Business Health Options Program (SHOP) within a state must combine enrollees from both the individual Marketplace and SHOP



State-Issuer-Product Type (SIP unit)



QHP and Enrollee Eligibility

- QHP issuers submit QHP Enrollee Survey response data for each product type offered through a Marketplace in 2016 that had more than 500 enrollees as of July 1, 2015
 - Reporting units decertified or discontinued before June 15, 2016, are exempt
- All enrollees of QHPs within the product type are included in the count of enrollees for this requirement



Which Enrollees to Include?

- All enrollees in QHPs offered through the Marketplace
 - Enrollees in QHPs offered outside the Marketplace or in non-QHPs should not be included
- All enrollees in QHPs that provide family and/or adult-only medical coverage
- Individuals 18 years or older (as of December 31, 2015) who have been enrolled for at least the past 6 months with no more than one 31-day break
- Individuals with primary health coverage through the eligible QHP in which they are enrolled
- Note: *QHP Enrollee Survey requirements do not apply to child-only health plans or stand-alone dental plans*



Sample Frame Generation

- QHP issuers may not generate sample frames prior to January 2016
 - Disenrolled and deceased enrollees removed from sample frame by QHP issuer (as of January 1, 2016)
- Sample frame will include multiple adults (18 and older) from the same policy
 - Survey vendors select one adult per policy at random when drawing the sample
- Contact information provided by QHP issuer



Sample Frame Validation

Step	Description
Step 1	In the NCQA HOQ, the QHP issuer enters information on the number of QHP Enrollee Survey reporting units it intends to report (i.e., SIP sampling units). This is the number of sample frames the QHP issuer must produce. Note: This is also the same number of reporting units for which the QHP issuer must authorize a survey vendor in the Survey Vendor Authorization System.
Step 2	The QHP issuer generates the sample frame data files according to specifications.
Step 3	The QHP issuer delivers the sample frame data files to the NCQA HEDIS Compliance Auditor by January 31, 2016.
Step 4	The auditor validates the sample frame data files and notifies the QHP issuer of the results. If necessary, the QHP issuer makes corrections to the sample frame until it achieves the desired audit result.
Step 5	The auditor enters the result of the sample frame validation into the HOQ.
Step 6	The QHP issuer forwards the sample frame data files and documentation of sample frame validation results to the QHP Enrollee Survey vendor.
Step 7	The survey vendor draws the survey sample and administers the QHP Enrollee Survey according to specifications.



Sampling Protocol

- Definitions
- Protocol
- Count Variables
- Oversampling



Sampling Definitions

- Subscriber or Family ID (SFID)
 - Covered family unit
 - Primary insured person + covered dependents
- Enrollee Unique Identifier (EUID)
 - Specific person
 - Each person in the SFID has an EUID



Sampling Protocol (cont'd.)

- Step 1: Sort sample frame by SFID
- Step 2: Deduplicate sample frame
 - If only one EUID, retain that person
 - If multiple EUID, randomly sample one EUID for retention
 - Goal: Limit one EUID per SFID
 - Deduplicate by address:
 - If no SFID
 - If unique SFIDs for each enrollee in the covered family unit
 - If duplicate entries for same enrollee, remove before sampling
- Step 3: Draw random sample of 1,300 enrollees from deduplicated sample frame
 - Target: 300 completes per sampling/reporting unit
 - If sample frame smaller than 1,300 enrollees, include all enrollees



Count Variables

- Calculate 3 variables for inclusion in the data file to determine selection probabilities and create survey weights
 1. Count total number of enrollees in sample frame for each sampling unit **before** deduplication
 2. Count number of enrollees covered by the SFID associated with each retained EUID
 - Calculated by summing number of EUIDs per SFID **before** deduplication
 3. Count total number of records in sample frame for sampling unit **after** deduplication



Oversampling

- Permitted at the reporting unit level if eligible enrollee volume is sufficient to support the increased sample size
- Must occur in 5% increments and may not exceed 30%
- QHP issuers wishing to oversample should notify their survey vendor as early as possible
- Survey vendors must submit formal requests by January 5, 2016 (in conjunction with Report #2)



“Do Not Survey” List

- Exclude sampled enrollees on prior year’s list from survey
 - Assign “X40—Ineligible: Not Eligible or on a ‘Do Not Survey’ List”
- Add sampled enrollees who ask to be placed on the list after data collection begins
 - Assign “X32—Refusal”
- Do not remove enrollees who have requested to not be contacted from the sample frame
- List applies to all survey modes
- Survey vendors may maintain list for 3 years





Sampling Questions?



Break 1



Data Collection Protocol

Data Collection Protocol Overview

- Survey Administration
- Mail Protocol
- Telephone Protocol
- Internet Protocol





Survey Administration

Survey Language and Mode of Administration

English	Spanish	Chinese
Required	Required	Optional
Web Survey (Required)	Web Survey (Optional)	-
2 Survey Mailings	2 Survey Mailings	2 Survey Mailings
Phone Follow-Up (6 Attempts)	Phone Follow-Up (6 Attempts)	Phone Follow-Up (6 Attempts)



Survey Administration Schedule

Task	Date
Mail prenotification letter	Day 0
Open telephone customer support	Day 1
Mail first questionnaire with survey cover letter to nonrespondents (1 week after prenotification letter is mailed)	Day 7
Mail reminder letter to nonrespondents (10 calendar days after first questionnaire is mailed)	Day 17
Mail second questionnaire with survey cover letter to nonrespondents (3 weeks after first questionnaire is mailed)	Day 28



Survey Administration Schedule (cont'd.)

Task	Date
<p>Initiate telephone follow-up contact for nonrespondents (3 weeks after second questionnaire)</p> <ul style="list-style-type: none">• No more than 6 attempts• Call attempts must occur over minimum of 2 calendar weeks• Call attempts must be scheduled at different times, on different days, in different weeks	Day 49–70
<ul style="list-style-type: none">• End data collection activities• End all telephone interviews• Inactivate Internet survey• Close customer support line• Mail surveys received after the scheduled fielding end date for a sample may not be included in data submission files	Day 71



Supplemental Questions

- Survey vendors may not include supplemental questions for 2016 National Implementation



Communication about Survey to QHP Enrollees

- QHP issuers may notify enrollees that they may be asked to participate in 2016 National Implementation
- Survey vendors, QHP issuers, or their agents may not:
 - Ask any QHP Enrollee Survey questions of enrollees 4 weeks prior to and during survey administration
 - Attempt to influence or encourage enrollees to answer survey questions in a particular way
 - Imply that the plan, its personnel, or agents will be rewarded or gain benefits for positive feedback
 - Offer incentives of any kind





Mail Protocol

Mail Protocol Overview

- Production of Mail Materials
- Outgoing Mail Requirements
- Incoming Mail Requirements



Production of Mail Materials

- Must produce sufficient volume of survey materials in English and Spanish; Chinese (*if applicable*)
- May not make changes to text or translations
- Materials provided on the Project Website
- Mail Materials
 - Prenotification Letter
 - Survey Cover Letters
 - Reminder Letter
 - Questionnaires
 - Envelopes



Options for Spanish-Speaking Enrollees

Option 1	Option 2	Option 3
Provide enrollee file* containing name, address, phone, and language indicator	Majority of Spanish-speaking enrollees, but cannot provide language indicator	Minority of Spanish-speaking enrollees, but cannot provide language indicator
Mail Spanish questionnaires to those identified in the language indicator	Mail both English and Spanish questionnaires in same package with 2-sided cover letter	Mail English materials with text in Spanish about how to request materials in Spanish

*Includes all eligible enrollees in the QHP issuer reporting unit



Options for Chinese-Speaking Enrollees

Option 1	Option 2	Option 3
Provide enrollee file* containing name, address, phone, and language indicator	Majority of Chinese-speaking enrollees, but cannot provide language indicator	Minority of Chinese-speaking enrollees, but cannot provide language indicator
Mail Chinese questionnaires to those identified in the language indicator	Mail both English and Chinese questionnaires in same package with 2-sided cover letter	Mail English materials with text in Chinese about how to request materials in Chinese

*Includes all eligible enrollees in the QHP issuer reporting unit



Prenotification Letter

Must include:

- Personal salutation (i.e., “Dear [Sampled Enrollee Name]”)
- Survey vendor logo OR QHP issuer logo OR both
- Survey vendor senior executive OR QHP issuer senior executive signature
- QHP name inserted in specified fill locations
- Survey vendor customer support phone and e-mail
- Survey vendor return address only



Prenotification Letter (cont'd.)

- Fits on one page
- Uses font size equal to or larger than 11-point Times New Roman or Arial
- **English:** Must include information about Internet survey
 - Customized user name/password
 - Instructions for completing Internet survey
 - Secure website URL
 - Internet survey information optional for Spanish prenotification letters



Cover Letters

Must include:

- Personal salutation (i.e., “Dear [Sampled Enrollee Name]”)
- Survey vendor logo OR QHP issuer logo OR both
- Survey vendor senior executive signature OR QHP issuer senior executive signature
- QHP name inserted in specified fill locations
- Survey vendor customer support phone and e-mail
- Survey vendor return address only



Cover Letters (cont'd.)

- Printed on separate sheet of paper
 - May not be attached to the questionnaire
- Use font size equal to or larger than 11-point Times New Roman or Arial
- Do not include Internet link on survey cover letters
 - Prenotification and reminder letters only



Reminder Letter

- Provides information about the purpose of the survey
- Includes Internet survey URL link and login credentials
- Reminds sampled enrollees that they should have already received the survey in the mail and encourages them to complete it
- Adheres to the same specifications as the survey cover letters



Envelopes

- **Outgoing Envelopes**
 - Survey vendor return address
 - Survey vendor logo OR QHP issuer logo OR both
 - No banners or taglines
 - *Optional:* Use of window envelopes
- **Business Reply Envelopes**
 - Include with each questionnaire
 - Include survey vendor name
 - Pre-addressed to survey vendor or subcontractor



Questionnaire

- Place full title including the year at top of first page
- Include enrollee unique identifier
 - May not include enrollee name or address
- Include QHP issuer name
 - Work with QHP issuer to identify most readily identifiable name
 - May include list of alternate names “You may also know your plan by one of the following names”
- Include all survey instructions at the top of first page
- Add survey vendor return address
- Include OMB statement, approval number, expiration date on inside cover



Questionnaire (cont'd.)

May not change:

- Two-column format
- Question and response category wording
- Question and response category format
- Order of QHP Enrollee Survey questions
- Order of About You questions
- Order of response categories



Questionnaire (cont'd.)

Must follow text style specified in the template questionnaire provided by CMS:

- Cannot bold text that is not bold
 - Question stems
 - Response categories
- Must bold text that is bold
- Cannot underline text that is bold



Questionnaire (cont'd. 2)

- Keep question and response categories together in same column on same page
- Print questionnaire in black and white
 - May use highlight color
- Use font size equal to or larger than 11-point Times New Roman or Arial
- No supplemental questions allowed



Optional Questionnaire Formatting

- Add a code to assist in identifying the survey round
- Increase margin width
- Use ovals instead of boxes for response categories
- Include response category coding numbers:
 - May be included to the left or to the right and/or as subscripts
 - Alphabetical coding permitted for questions allowing multiple responses
- Amend skip pattern language
 - “If no, go to #X” to “If no, go to Question X”



Outgoing Mail Requirements

- Make every reasonable attempt to contact eligible sampled enrollees
- Enclose a self-addressed, stamped business reply envelope in the survey mail packet, along with the survey cover letter and questionnaire
- Use enrollee address provided in sample frame data file (unless survey vendor receives an updated mailing address)
- *Strongly encourage* use of first class postage or indicia



Address Standardization

- Verify address information is current and formatted to enhance deliverability
- Use commercial tools
 - National Change of Address (NCOA)
- Must update addresses prior to mailing and for all mail materials returned as undeliverable



Quality Control for Outgoing Mail

- Perform interval checking of at least 10% of printed mailing pieces
 - Fading, smearing, misalignment
 - Bleed-throughs
 - Survey content
 - Matching unique identifier
 - All pages included
- Initiate “seeded mailings”
- Validate and update addresses
- Confirm production totals match sample



Incoming Mail Requirements

- May use key-entry or optical scanning technology
- Track date of receipt and date processed
- Log completed surveys into SMS within 24 hours of receipt
- Process and enter/scan data in a timely manner
- Must assign a disposition code to every sampled enrollee



Incoming Mail Requirements (cont'd.)

Processing Undeliverable Mail

- Flag for updating
- Reissue item if alternate address is obtained
 - May not contact sampled enrollees by phone for updated addresses
- Triage to phone if invalid address but valid phone number
 - After making every reasonable attempt to obtain a valid address
 - May begin phone phase early upon confirmation of bad address
- May shred and discard surveys after removing PII



Incoming Mail Requirements (cont'd. 2)

Processing Surveys Returned Blank

- Assign interim disposition code
 - M34: Blank Survey Returned or Incomplete Survey
- Triage case to phone protocol
- Do not assign final disposition code of “M32: Refusal” unless sampled enrollee includes a refusal note with the blank survey



Incoming Mail Requirements (cont'd. 3)

Processing Duplicate Surveys

- If both mail surveys returned, use most complete survey
 - Most key items completed
- If surveys are equally complete, use first survey received



Incoming Mail Requirements (cont'd. 4)

Processing Surveys Returned as Ineligible

- Assign disposition code based on type of ineligibility
 - Examples:
 - Deceased
 - Physically or Mentally Incapacitated
 - Institutionalized
- Scan or store survey hardcopies for 3 years



Optical Scanning Requirements

- Must not permit duplicate questionnaires
- Must not permit out-of-range or invalid responses
- Quality control procedures (minimum of 10%)
 - Re-scan questionnaires and compare with original scan
 - Compare marked survey responses to entries scanned



Data Entry Requirements

- Must not permit duplicate questionnaires
- Must not permit out-of-range or invalid responses
- 100% re-key required
 - Different key entry staff re-keys questionnaire
 - Supervisor resolves discrepancies and verifies correct value



Mail Subcontractors

Survey vendors:

- Responsible for providing proper oversight of subcontractors
- Obtain signed confidentiality agreements
- Attend subcontractor training to confirm compliance with mail survey protocols, procedures, and guidelines
- Rescan surveys and compare with original scans
 - At least 10%
 - May be done by survey vendor or subcontractor



Mail Protocol Summary

- English and Spanish administration required
- 4-wave mailing
 - Prenotification Letter, Reminder Letter, 2 Questionnaires
- Subcontractors allowed
- Survey vendor oversight
 - Printing/Mailing quality control activities
 - Data entry and scanning
- Project Team oversight
 - Approval of all mail materials prior to bulk printing
 - Review of seeded mailings





Mail Protocol Questions?



Telephone Protocol

Telephone Protocol Overview

- Telephone Interviewing System
- Inbound Telephone Protocol
- Outbound Telephone Protocol
- Interviewing Specifications
- Interviewer Monitoring
- Data Processing



Telephone Requirements

- Integrated CATI system
- Standardized CATI scripts and specifications
 - English and Spanish required
 - Chinese optional
- Interviewer capacity must support data collection timeline
- Home-based interviewers are prohibited
- Interviews may not be completed on paper and key-entered post-interview
- Established distressed respondent protocol is required



Telephone Interviewing System

CATI systems must:

- Link to the SMS electronically
 - Track enrollees through the survey process
- Reflect all survey specifications and skip pattern logic
 - Requires prior approval of CATI scripts by Project Team

Predictive dialing requirements:

- Live interviewer must be available
- CATI system must comply with federal regulations



Inbound Telephone Protocol

- Accommodate enrollees who contact customer support to complete a survey during the mail protocol
- CATI systems must be able to handle inbound requests by the onset of the mail protocol
- Available for the duration of the mail protocol



Inbound Telephone Protocol (cont'd.)

- If an interviewer is not available:
 - Schedule callback appointment
 - If no response, make at least one additional contact attempt
- If an inbound interview is not completed:
 - Resume standard mail and telephone protocol
 - Call is not counted toward the 6 required outbound attempts



Outbound Telephone Protocol

Enrollees in the outbound telephone protocol:

- Did not respond to mail or Internet surveys
- Returned a blank or partially complete mail or Internet survey
- Have an invalid or undeliverable mailing address but a valid phone number



Outbound Telephone Protocol (cont'd.)

- 6 telephone attempts
 - Different times of day
 - Different days of the week
 - Different weeks
- Attempts span at least 2 different calendar weeks during the 21-day telephone interview period
- No more than 6 attempts may be made



Outbound Telephone Protocol (cont'd. 2)

What constitutes a telephone attempt?

- At least 6 rings with no answer
- Sampled enrollee requests a callback
- Household reached but sampled enrollee not available
- Busy signal received during 3 consecutive dial-outs on a single day
 - If possible, attempt to re-contact at 20-minute intervals
- Answering machine or voicemail is reached
 - Review HIPAA requirements
 - Maximum of 2 messages permitted



Outbound Telephone Protocol (cont'd. 3)

Attempt to contact enrollees 6 times over 21-days unless sampled enrollee:

- Completes survey
- Found ineligible
- Away for the duration of the data collection period
- Refuses to complete the survey
- 6 attempts have been made
 - Maximum of 6 attempts permitted



Outbound Telephone Protocol (cont'd. 4)

Special Case Scenarios:

- Requests for callbacks on the 6th attempt
 - Permitted as long as the telephone protocol is still open
 - Code as sixth call attempt
- Inbound requests after the 6th attempt
 - Permitted as long as the telephone protocol is still open
 - Considered sixth call attempt
- Requests for inbound customer support number during an outbound call attempt
 - Survey vendors must provide the number



Outbound Telephone Protocol (cont'd. 5)

Survey vendors:

- Make every effort to obtain correct telephone numbers
 - Second source verification required
 - Commercial telephone matching services or software
 - Directory applications
- May not request updated contact information from QHP issuers
 - QHP issuers provide current contact information to survey vendors in the sample frame data file



Outbound Telephone Protocol (cont'd. 6)

Contacting Difficult-to-Reach Enrollees:

- Telephone number no longer in service
 - Attempt to identify updated telephone number
- Incorrect telephone number
 - Use updated information to contact sampled enrollee if provided by an individual answering at the incorrect number
- Institutionalized but capable
 - Request information on how to contact sampled enrollee
 - Attempt to contact institutionalized sampled enrollee
- Unavailable, ill or temporarily away
 - Attempt to re-contact before data collection ends



Proxy Respondents

- Proxy may complete survey for a sampled enrollee physically and/or mentally unable to complete survey
- Sampled enrollee must grant permission for proxy to complete telephone interview
- CATI scripts include instructions for obtaining permission from sampled enrollee to use a proxy



Telephone Interviewing Specifications

Standardized CATI scripts and specifications

- English, Spanish and Chinese scripts available on Project Website
 - May not be translated into any other languages
 - English and Spanish required
 - Chinese optional



Telephone Interviewing Specifications (cont'd.)

CATI Specifications:

- CATI programmer instructions appear in [UPPERCASE LETTERS ENCLOSED IN BRACKETS]
- Interviewer instructions appear in <UPPERCASE LETTERS ENCLOSED IN ANGLE BRACKETS> or (UPPERCASE LETTERS ENCLOSED IN PARENTHESES)
- Text in UPPERCASE LETTERS should not be read aloud
 - DON'T KNOW / REFUSED answer categories should not be read
- Text in **bold, lowercase letters** should be read aloud
- Text that is underlined should be emphasized



Telephone Interviewer Training

- Rationale
 - Standardize data collection
- Interviewer Training Topics
- Refusal Avoidance and Conversion Techniques
 - Not permitted when a sampled enrollee is reached at work or while driving
- FAQ



Telephone Interviewer Monitoring

Survey vendors:

- Implement a monitoring and evaluation program
 - Silent monitoring of interviewers
 - Operational throughout the telephone protocol
- Monitor a minimum of 10% of all interviews
 - At least 7% using silent monitoring
 - Up to 3% using callback monitoring
- Monitor both attempts and completed interviews
 - Across all interviewers
 - Across all times of the day



Telephone Interviewer Monitoring (cont'd.)

- Document monitoring session outcomes
- Provide feedback on interviewer performance
- Project Team remotely monitors interviews



Telephone Subcontractors

Survey vendors:

- Responsible for providing proper oversight of subcontractors
- Obtain signed confidentiality agreements
- Attend subcontractor's telephone interviewer training
- Monitor at least 10% of interviews conducted by subcontractors
- Provide feedback on interviewer performance



Telephone Data Processing Requirements

Survey vendors:

- Assign unique ID number to each sampled enrollee
 - Survey management system
 - Final data file
- Enter date of interview in SMS
- De-identify all telephone interview data in final data file
- Assign final survey disposition code to each sampled enrollee



Telephone Protocol Summary

- English and Spanish administration required
- 6 call attempts over at least 2 calendar weeks
- Accommodate inbound requests during mail and phone phases
- Proxies and subcontractors allowed
- Survey vendor oversight
 - Interviewer training
 - Interviewer monitoring program
- Project Team oversight
 - Approval of CATI scripts and screen shots
 - Remote monitoring session





Telephone Protocol Questions?



Internet Protocol

Internet Protocol Overview

- Internet Protocol
- Internet Implementation
- Internet Programming
- Survey Entry Page
- Survey Question Pages
- Survey Exit Page



Internet Protocol

- Survey vendors implement a standardized Internet data collection protocol
- Internet survey available for entire data collection period
- Internet protocol available in English and Spanish
 - English required
 - Spanish optional



Internet Implementation

1. Program Internet survey
2. Create secure Internet survey platform
3. Establish URL address
4. Provide Project Team with access to Internet survey
5. Assign customized usernames and passwords
6. Include URL in prenotification and reminder letters



Internet Implementation (cont'd.)

- Allow survey completion in stages
 - Do not communicate this functionality
- Link responses to appropriate sampled enrollee in SMS
- Remove sampled enrollees who have completed the survey from further mail or telephone contact attempts
- Prevent completion of more than one survey per sampled enrollee
- Assess whether optimized for mobile devices



Internet Programming

- Use English and Spanish mail surveys as templates
- Accommodate survey skip pattern logic
- Program questions that permit only one response to accept only one response
- Program questions that permit multiple responses to accept multiple responses
- Question 2
 - Must be programmed to accept at least a 60-character response
 - May include a dropdown menu of QHP issuer aliases
- Allow enrollees to not answer but still continue with survey



Internet Security

- Ensure a secure Internet survey platform
 - Protect enrollee confidentiality
 - Require usernames and passwords
 - Implement firewall protection
- Secure the transmission of Internet survey data
 - Secure Socket Layer (SSL)
 - Separate SSL required for each server used to collect data
- May not log or track IP addresses
- May not include the name of the sampled enrollee in the Internet survey



URL Addresses

- URL addresses provided to sampled enrollees in prenotification and reminder letters
- Enrollees may only access survey by typing the URL into the address field
- Internet search engines must not detect the URL
- URL addresses should be easy for enrollees to retype
- URL link may not be included on survey vendors' or QHP issuers' websites



User Names and Passwords

- Assigned randomly
- Non-sequential
- Alphanumeric
- At least 8 characters in length
- Customer support
 - May provide Internet survey URL, user name, and password to a sampled enrollee requesting this information
 - Via phone or e-mail



Survey Entry Page

- Requires entry of username and password
- Assures sampled enrollee's privacy
- Provides general survey navigation instructions
 - “Previous” button
 - “Next” button
- May not link to survey vendor's or QHP issuer's home page
- Displays the survey vendor's or QHP issuer's logo or both



Survey Entry Page (cont'd.)

- Displays OMB statement, approval number, expiration date
- Provides “Questions” link
 - Directs sampled enrollees to an information page with:
 - Survey vendor name
 - Survey vendor toll-free number
 - May also provide customer support e-mail address



Survey Question Pages

- May not number survey questions
- Display a completion progress indicator bar
- Include appropriate section header for each question
- Allow sampled enrollees to skip questions without providing a response
- Allow sampled enrollees to unselect a previously selected response
- May not link to survey vendor's or issuer's home page
- Include "Questions" link



Survey Question Pages (cont'd.)

- “Previous” button
 - Allows enrollee to return to the previous survey question
- “Next” button
 - Allows enrollee to skip to the next survey question without answering the current question
 - When the “Next” button is selected without a response for a gate item, the enrollee is directed to the next appropriate question according to skip pattern logic
 - Exception: Question 1
 - When the “Next” button is selected without a response for a non-gate item, the enrollee is directed to the next question



Survey Exit Page

- Provides confirmation that the survey has been submitted and received by the survey vendor
- Thanks sampled enrollee for participating



Internet Protocol Summary

- English administration required
- Spanish administration optional
- Available for entire duration of data collection period
- Adapted from mail questionnaires
- Login information included in prenotification and reminder letters
- Survey vendor oversight
 - Test survey prior to fielding to verify accuracy
- Project Team oversight
 - Approval of Internet survey instrument





Internet Protocol Questions?



Data Coding, Specifications and Submission

Overview

- Data Coding
- Key Survey Items
- Data File Specifications
- Data Submission



Data Coding

- If both a mail survey and telephone survey were completed for an enrollee, use survey with more key items answered
 - If equally complete, use first survey received
- If an enrollee is deceased
 - If completed by someone else after death, do not retain data
 - If completed by enrollee prior to death, retain data



Data Coding: Mail Decision Rules

When	Code As
<ul style="list-style-type: none">• Missing• A mark falls equidistant between two response options• More than one response option is marked• Gate question and dependent questions left blank	Missing (-3)
Questions have instructions to “Mark one or more” (Q80, Q85)	ALL responses that the respondent selected <u>Note:</u> If all responses options are left blank, code as (-3-Missing) rather than (0-Not Checked)
Response mark falls between two response options but is obviously closer to one than the other	Choice to which the mark is closest
“Failed skips” occur	“As is” <u>Note:</u> Failed skips should not be edited/cleaned



Data Coding: Telephone Decision Rules

When	Code As
Items are appropriately skipped	Appropriately Skipped
Gate question and dependent questions not answered	Missing (-3)



Key Variables

- Disposition Code
- Number of Attempts
- Survey Mode



Determining Enrollee Eligibility

Q1 Response	Q2 Response	Enrollee Eligibility	Final Disposition Code
Yes	Any	Yes	“Completed” or “Partially Completed”
No	Valid Plan Alias	Yes	“Completed” or “Partially Completed”
Blank/Nonresponse/ No Answer	Valid Plan Alias	Yes	“Completed” or “Partially Completed”
No	Blank/Nonresponse/ No Answer	No	X40
No	Invalid Plan Alias	No	X40
Blank/Nonresponse/ No Answer	Blank/Nonresponse/ No Answer	Yes	Assess Survey – “Complete”/“Partially Completed”
Blank/Nonresponse/ No Answer	Invalid Plan Alias	No	X40

Survey Disposition Codes

Code	Description	Survey Status
M, I, or T 10	Respondent answers 50% or more of key survey items	Completed Survey
M, I, or T 31	Respondent answers less than 50% of key survey items	Partially Completed Survey
X11	Sampled enrollee is residing in a group home or institution	Ineligible: Institutionalized
X20	Sampled enrollee is reported as deceased during the course of the survey period	Ineligible: Deceased
X40	Sampled enrollee does not meet required eligibility criteria for being included in the survey sample	Ineligible: Not Eligible or on a “Do Not Survey” List – See <i>Table 7.3 in QAG</i>



Survey Disposition Codes

Code	Description	Survey Status
X22	Sampled enrollee does not speak one of the approved survey languages: English, Spanish, or Chinese (if applicable)	Language Barrier
X24	Sampled enrollee is mentally or physically incapable	Mentally or Physically Incapacitated
X24	Proxy is not available	Mentally or Physically Incapacitated
X24	Sampled enrollee does not consent to have proxy complete survey	Mentally or Physically Incapacitated

Survey Disposition Codes (cont'd 2)

Code	Description	Survey Status
X32	Sampled enrollee indicates (writing or verbally) refusal to participate in survey	Refusal
X32	Requests to be placed on "Do Not Survey" list during data collection	Refusal
X34	Sampled enrollee returns a blank or incomplete mail survey	Blank Survey Returned/ Incomplete Survey
X34	Sampled enrollee initiates CATI but does not answer any key items	Blank Survey Returned/ Incomplete Survey



Survey Disposition Codes (cont'd 3)

Code	Description	Survey Status
X33	No response or cannot be reached	Response After Maximum Attempts
X33	Completed survey received after data collection period	Response After Maximum Attempts
X33	Sampled enrollee is away for duration of data collection period	Response After Maximum Attempts
X35	Telephone number is bad	Bad Address or Telephone Number
X35	Mailing address is not viable	Bad Address or Telephone Number
X35	Mailing is returned as undeliverable	Bad Address or Telephone Number



Calculating Response Rates

$$\text{Response Rate (RR)} = \frac{C}{(C + E) + (R + O) + (X * U)}$$

Where

C = Completed Surveys (disposition code 10)

E = Partial Completed Surveys (disposition code 31)

U = Cases with Unknown Eligibility (disposition codes 33, 34, 35)

O = Other Disposition (disposition codes 22 and 24)

R = Refusal (disposition code 32)

I = Ineligible (disposition codes 11, 20, or 40)

X = Proportion of cases eligible for this survey, which is calculated as:

$$X = \frac{C + E}{C + E + I + O + R}$$



Data File Specifications

- Data submission file includes:
 - Selected variables from the sample frame
 - Variables associated with survey administration
 - Final disposition codes
 - Survey responses
- **All** sampled enrollees regardless of final disposition
- XML format
 - Appendix H in QAG



Quality Control Procedures for Data Coding

- Must implement quality control measures for data processing activities
 - Select and review a sample of coded cases
 - Compare hardcopy responses to scanned responses to responses entered in data files
 - Calculate and review response rates on periodic basis
 - Conduct data file review
 - Compare at least 50 completed telephone interview responses to values output in the data file



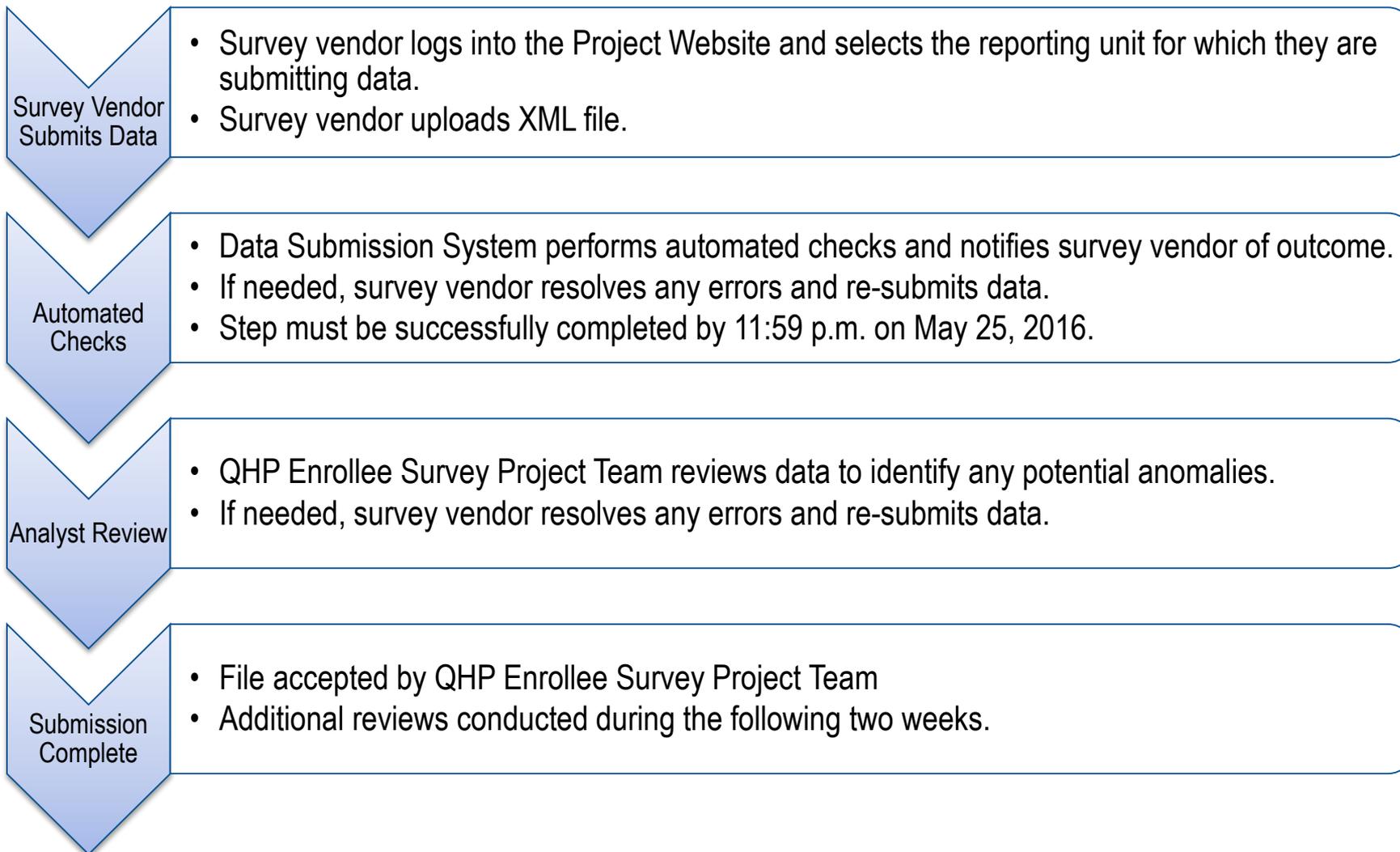
Data Submission

■ Data Submission Process

- Detailed instructions on data submission will be provided on the Project Website
- Data Submission Training – Spring 2016
- Test file: April 6 – April 8, 2016
 - At least 1 test file containing at least 100 records
- Final data files: May 11 – May 25, 2016



Data Submission Process



Data Coding and Submission Summary

- Data must be coded in accordance to specifications
- Data must be submitted for each record
- Test and final data must be submitted on time
 - Final data file resubmission may be requested





Data Coding, Specifications and Submission Questions?



Break 2



Survey Vendor Quality Oversight

Quality Oversight Overview

- Survey Material Review
- Survey Vendor QAP
- Customer Support Monitoring
- Onsite/Remote Visit
- Telephone Interview Monitoring
- Data Analysis and Validation
- Discrepancy Report and Corrective Action Plan
- Project Reporting



Survey Material Review

- Survey vendors submit all survey materials to the Project Team for review and approval prior to administration
 - Mail Materials
 - English and Spanish required, Chinese optional
 - Telephone Scripts
 - Non-proxy and proxy telephone scripts (screen shots)
 - English and Spanish required, Chinese optional
 - Internet Survey Instrument
 - Internet survey URL and at least five user names and passwords
 - English required, Spanish optional
- Timeframe: November 2 – 17, 2015
- Feedback provided within 10 business days



Survey Material Review (cont'd.)

Seeded Mailings:

- Integrated with survey mailing sample
- Include survey vendor personnel
- Include designated Project Team members
- Seed one sample for each language
 - English and Spanish required
 - Chinese optional
- Timeframe: February – April 2016



Quality Assurance Plan (QAP)

- Documents compliance of survey administration protocols with QAG requirements
- Model QAP serves as template
 - Appendix B in QAG
 - Present information in specified order
 - Submit previously accepted QAPs in track change mode
- Acceptance of QAP does not constitute approval or endorsement of the survey vendor's processes
- Deadline: December 7, 2015



Customer Support Monitoring

- Customer Support Telephone Line
 - Project Team:
 - Asks standard set of question from FAQ
 - Confirms the responses provided by customer support staff are appropriate and accurate
- Customer Support E-mail
 - Project Team:
 - Submits set of standard questions from FAQ
 - Confirms accuracy of responses
 - Verifies 24-hour turnaround time is met
- Timeframe: March 2016



Onsite/Remote Visits

- Evaluate survey vendor's compliance with QHP Enrollee Survey requirements
- Review Items
 - Survey Management and Data Systems
 - Live Telephone Interview Monitoring
 - Sampling
 - Data Collection Protocol
 - Data Coding and Submission
- Timeframe: March – April 2016



Telephone Interview Monitoring

- Assess level of compliance of interviewers with telephone specifications
- Two-hour session
 - Web-Ex format required for remote sessions
- Timeframe: March – April 2016



Data Analysis and Validation

- Data Submission
 - Analysis of submitted data
 - Follow-up if errors found
 - Timeframe: May 11 – 25, 2016
- Data Resubmission
 - Revised data files submitted within 5 business days
 - Timeframe: May 26 – June 24, 2016



Discrepancy Report

- Immediately notify Project Team of any deviations from QHP Enrollee Survey protocols during administration
- Submit the following to qhpcahps@air.org:
 - Discrepancy Report Form
 - Template available on Project Website
 - Excel spreadsheet of all impacted reporting units
- Submit completed report within 1 business day of discovery



Discrepancy Report (cont'd.)

- Include sufficient detail on the following components:
 - Description and discovery of discrepancy
 - Timeframe of discrepancy
 - Excel spreadsheet of impacted reporting units
 - Plan name and issuer ID
 - Total number of eligible enrollees
 - Total number of sampled enrollees
 - Number of affected sampled enrollees
 - Corrective action plan and timeline



Discrepancy Report (cont'd. 2)

- Review Process
 - Acknowledgment of receipt
 - Assessment of actual or potential impact on data within 5 business days
 - Additional information may be requested



Corrective Action Plan

- Issued when survey vendor:
 - Fails to demonstrate adherence to protocols and guidelines
 - Experiences ongoing problems during administration
- Schedule and status determined by Project Team
- Potential outcomes for non-compliance with protocol:
 - Loss of approved status as QHP Enrollee Survey vendor
 - Increased oversight activities
 - Adjustment to publicly reported scores, as needed
 - Other sanctions, as deemed appropriate by CMS



Survey Vendor Reporting

All Reports: E-mail to ghpcahps@air.org

Report	Activity	Comment	Due Date
#1	Survey Vendor QAP	<ul style="list-style-type: none">Addresses all required elements of survey administration	December 7, 2015
#2	Preliminary QHP Client List	<ul style="list-style-type: none">Submit Client List to Project Team for reconciliationSubmit requests for Oversampling	January 5, 2016
#3	Final QHP Client List	<ul style="list-style-type: none">Submit Final QHP Client List to Project Team	January 27, 2016
#4	Interim Progress Report	<ul style="list-style-type: none">Spreadsheet displaying fielding status for each QHP reporting unitProvide summary of customer support calls and e-mails	April 11, 2016
#5	Final Report	<ul style="list-style-type: none">Discussion of survey implementation and lessons learnedRecommendations for next year	June 7, 2016



Quality Oversight Summary

- Project Team conducts various oversight activities before, during, and after fielding
- Survey vendors must comply with all oversight activities
- Increased oversight may be performed
- Submit all required reports to qhpcahps@air.org





Quality Oversight Questions?



Survey Vendor Authorization

Survey Vendor Authorization Overview

- Survey Vendor Authorization Timeline
- Survey Vendor Authorization Process



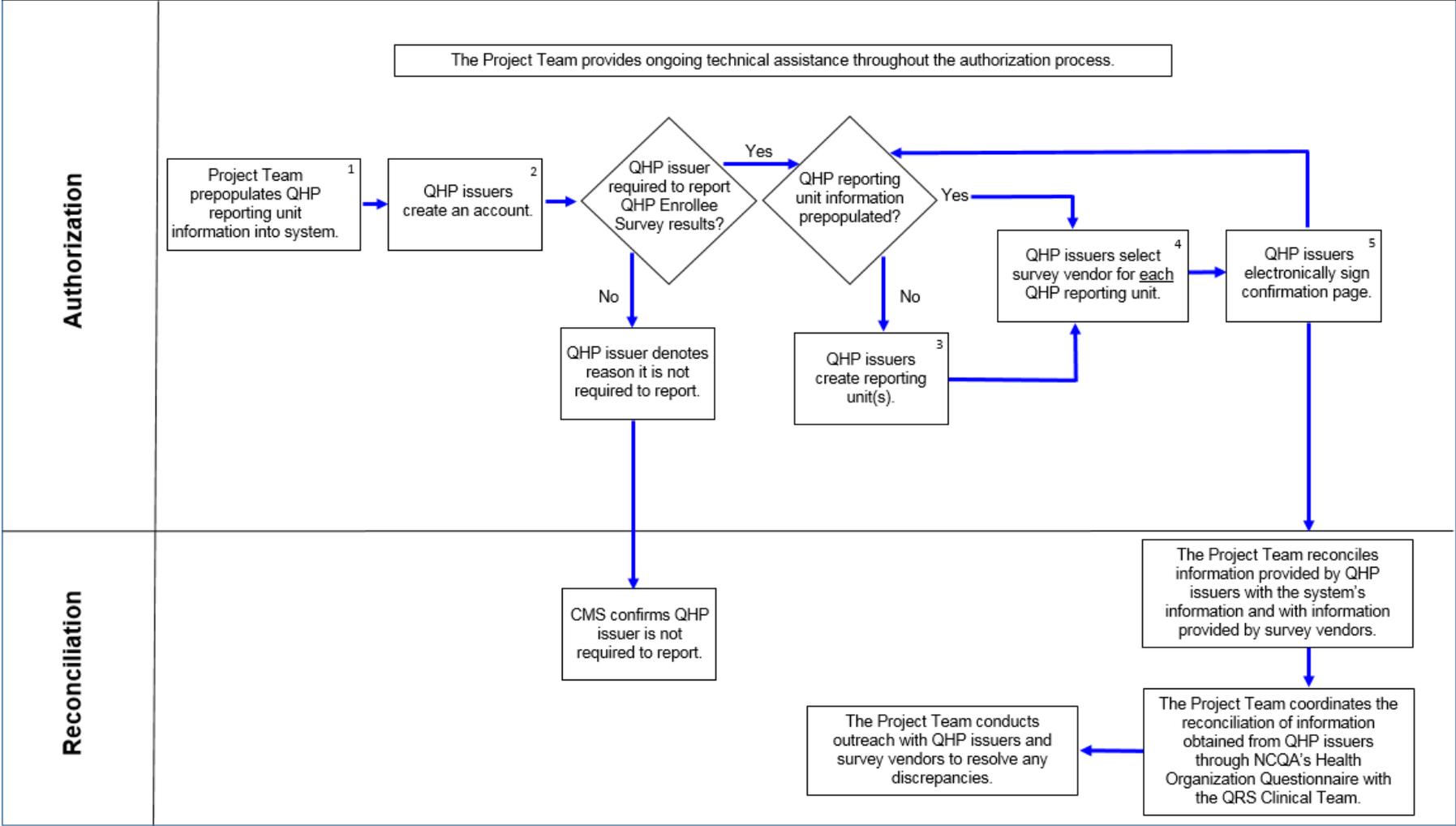
Survey Vendor Authorization Timeline

Task	Dates
QHP Enrollee Survey operational instructions e-mail sent to QHP issuers via the Project Mailbox	November 2016
Authorization of survey vendors on Project Website	November–December 2016
Survey vendor authorization due from QHP issuers	January 5, 2016



Survey Vendor Authorization Process

QHP ENROLLEE SURVEY VENDOR AUTHORIZATION PROCESS



Technical Assistance for the Authorization Process

- Visit “Support/Contact Us” page
- Email ghpcahps@air.org or call 844-849-5243





Survey Vendor Authorization Questions?



Wrap-up and Next Steps

Next Steps

- One individual from survey vendor must complete training evaluation
 - Available for 3 days immediately following training
 - Due October 23, 2015
 - Final approval status posted to Project Website next week
- Training slides available on the Project Website
 - <https://qhpcahps.cms.gov>



Contact Us

- Project Website
 - <https://qhpcahps.cms.gov>
- Technical Assistance
 - E-mail: qhpcahps@air.org
 - Telephone: 844-849-5243





Questions?