Health Insurance Marketplace[SM]

2017 Qualified Health Plan Enrollee Experience Survey Vendor Training

October 20, 2016

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. – 11:30 a.m.
Survey Management and Data Security	11:30 a.m. – 12:00 p.m.
Sampling	12:00 p.m. – 12:30 p.m.
Break 1	12:30 p.m. – 12:40 p.m.
Data Collection Protocol	12:40 p.m. – 1:55 p.m.
Data Coding, Specifications and Submission	1:55 p.m. – 2:30 p.m.
Break 2	2:30 p.m. – 2:40 p.m.
Data Analysis and Public Reporting	2:40 p.m. – 2:55 p.m.
2016 Protocol Analysis	2:55 p.m. – 3:15 p.m.
Survey Vendor Quality Oversight	3:15 p.m. – 3:40 p.m.
Survey Vendor Authorization	3:40 p.m. – 3:50 p.m.
Wrap-Up and Next Steps	3:50 p.m. – 4:00 p.m.

Housekeeping

★ = New/Revised Guidance for 2017

Note: *A summary table of changes is included in the 2017 QAG*

! = Existing Guidance Emphasized for 2017

Welcome

Program Overview

Overview

- Roles and Responsibilities
  - Project Team
  - QHP Issuers
  - Survey Vendors
- Survey Overview
  - About the Survey
  - Survey Measures
  - Project Website
  - 2017 Survey Administration
- Technical Assistance

Project Team

Centers for Medicare & Medicaid Services (CMS)	American Institutes for Research (AIR), National Committee for Quality Assurance (NCQA)
• Sponsorship • Guidance • Oversight • Public Reporting	• Project Management • Survey Design and Methodology • Data Submission • Analysis • Technical Support • Survey Operations and Oversight

Roles & Responsibilities: 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 an NCQA-Certified HEDIS® Compliance Auditor to validate the sample frame
- Generate sample frame according to specifications
- Complete sample frame validation process
- Provide validated sample frame to survey vendor

★ Notify the Project Team of any changes in eligibility status within 3 business days, but **no later than** January 15, 2017

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

Roles & Responsibilities: Survey Vendors

- Follow all rules of participation and program requirements
- Draw sample from the validated sample frame
- Administer the survey
- Oversee work quality of staff and subcontractors
- Submit data files via the Data Submission System
- Meet all due dates and project reporting requirements
- ★ Notify the Project Team of QHP issuer clients that do not provide a validated sample frame as of January 23, 2017

About the Survey

- Qualified Health Plan Enrollee Experience Survey
  - QHP Enrollee Survey
- Includes all core CAHPS® Health Plan 5.0 Survey questions
  - Adult Medicaid version
  - Questions added to collect data specific to population
- Supplies data to the Quality Rating System (QRS)
  - *Quality Rating System and Qualified Health Plan Enrollee Experience Survey: Technical Guidance for 2017*
- Data used in Quality Improvement (QI) Reports

CAHPS®, Consumer Assessment of Health Providers and Services, is a registered trademark of the Agency for Healthcare Research and Quality (AHRQ).

QRS Survey Measures

- The QRS utilizes data from 12 survey-based measures:
  - Rating of All Health Care
  - Rating of Health Plan
  - Rating of Personal Doctor
  - Rating of Specialist
  - Access to Care
  - Access to Information
  - Care Coordination
  - Cultural Competence
  - Plan Administration
  - Flu Vaccinations for Adults Ages 18–64*
  - Aspirin Use and Discussion*
  - Medical Assistance with Smoking and Tobacco Use Cessation*
- Asterisks (*) represent the 3 HEDIS®-based clinical measures

QI Report Survey Measures

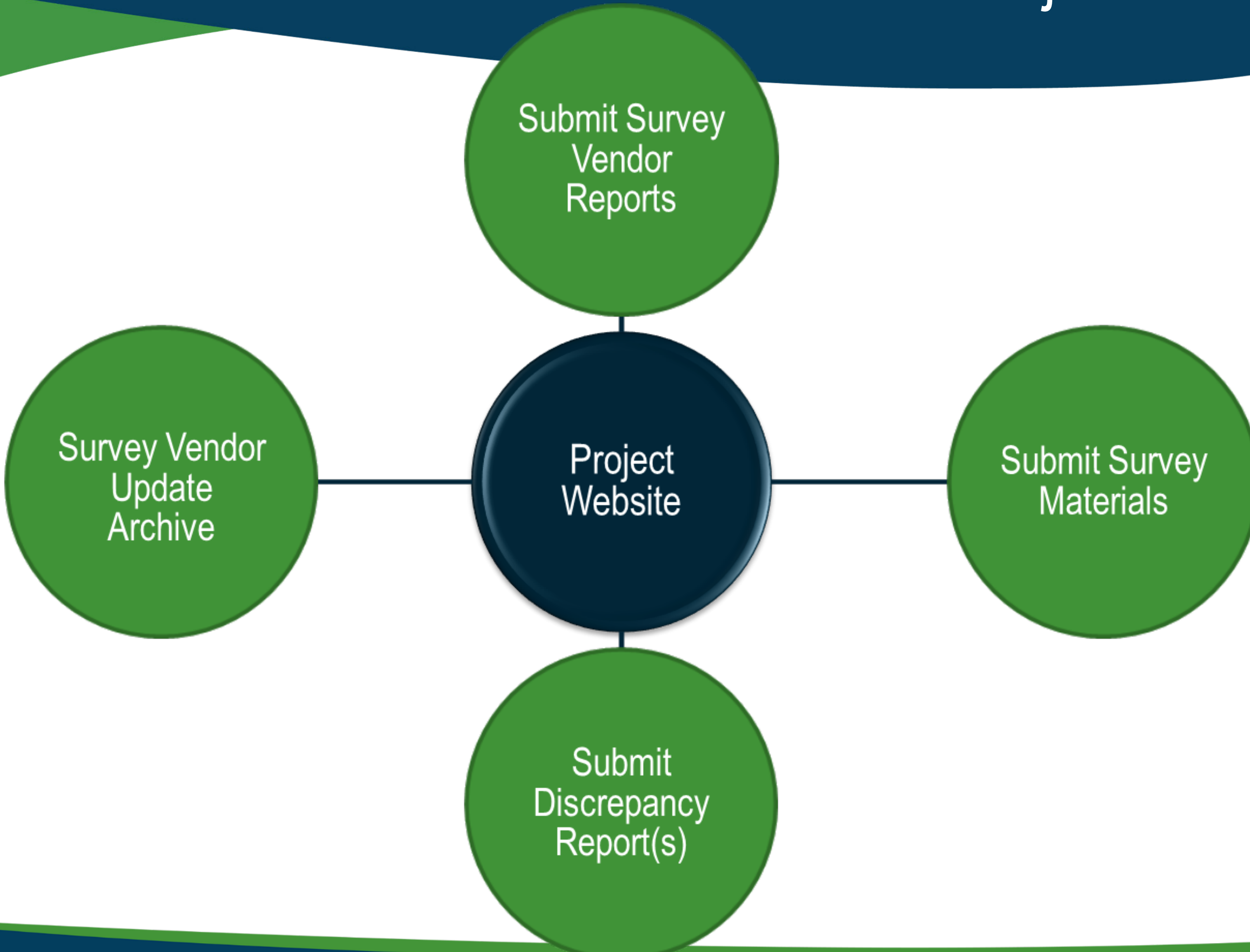
- QI Reports utilize data from 13 survey-based measures:
  - Getting Care Quickly
  - Getting Needed Care
  - Getting Information in a Needed Language or Format
  - How Well Doctors Communicate
  - How Well Doctors Coordinate Care and Keep Patients Informed
  - Health Plan Customer Service
  - Getting Information about Health Plan and Costs of Care
  - Enrollee Experience with Cost
  - Rating of All Health Care
  - Rating of Personal Doctor
  - Rating of Specialist
  - Rating of Health Plan
  - Enrollee's Rating of Likelihood of Recommending Health Plan to Friends and Family

2017 QHP Enrollee Survey

★ ***Note:*** *The questionnaire for the QHP Enrollee Survey has changed since 2016*

- Added six new disability-related questions (Q74-Q79)
- Removed the question: Did you have health insurance in the United States at any time between January 1st and December 31st, 2016?
- Included the word "of" in the question stem and response options for Q84
- Removed the "Please Specify" response lines from the last question
- Includes a total of 90 questions

Project Website



2017 QHP Enrollee Survey Timeline

Task	Date
Conditionally approved survey vendors contract with QHP issuers.	August – December 2016
2017 QHP Enrollee Survey Vendor Training.	October 20, 2016
Survey Materials: Survey vendors submit the following materials through the Project Website. • **Mail:** Print materials (English and Spanish; Chinese, if applicable). • **Telephone:** Screenshots 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 14, 2016 – January 9, 2017
Report #1: Survey vendors submit Quality Assurance Plan (QAP) through the Project Website.	December 2, 2016

2017 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
• 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 the NCQA Healthcare Organization Questionnaire (HOQ).	January 2017
Report #2: Survey vendors submit preliminary QHP client list and oversampling requests through the Project Website.	January 5, 2017
QHP issuers complete survey vendor authorization.	January 5, 2017
• Survey vendors receive validated sample frames and obtain confirmation that a NCQA-Certified HEDIS Compliance Auditor validated the sample frame. • Survey vendors draw the survey sample.	January – February 2016
★ QHP issuers notify the Project Team they no longer meet the enrollment threshold as of January 1, 2017.	January 15, 2017

2017 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
★ Survey vendors notify the Project Team of QHP issuer clients that have not provided a validated sample frame.	January 23, 2017
Survey vendors administer QHP Enrollee Survey.	January – May 2017
Report #3: Survey vendors submit final QHP client list through the Project Website.	February 6, 2017
Report #4: Survey vendors submit interim progress report.	April 4, 2017
Survey vendors submit interim data file for testing purposes.	April 11 – 13, 2017
Data submission: • Files due by 11:59 p.m. ET on May 25, 2017.	May 11 – 25, 2017
• Data resubmission (if requested). • Must submit within 3 business days of date requested.	May 26 – June 16, 2017
Report #5: Survey vendors submit final report through the Project Website.	June 5, 2017

Technical Assistance for Survey Vendors

- QHP Project Website
  - General information
  - Important news and updates
  - All materials that support survey implementation
  - ★ Survey vendors submit all reports and survey materials via the Project Website
  - 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 and Data Security

Overview

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

Personnel Training – General

- Designated Personnel
  - Project Manager
  - Mail, Telephone, and Internet Survey Supervisor
  - Sampling Manager
  - Information System Staff
- Complete 2017 QHP Enrollee Survey Vendor Training and all subsequent trainings
- QAG made available to staff and subcontractors

Personnel Training – Mail Protocol

- Training on outbound and inbound 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
- Training Topics:
  - Telephone protocols and question specifications
  - Content and purpose of the survey
  - Standardized, nondirective interviews
  - Refusal avoidance and conversion techniques
  - System navigation
- Frequently Asked Questions (FAQ)
  - Appendix C
  - Must be able to provide answers in all survey languages offered

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 a respondent may make to self or others

Use of Subcontractors

- Permitted for mail and telephone protocols, customer support, and data receipt and processing
- **<u>Not</u>** 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
- ***<u>Note</u>****: Survey vendors must attend subcontractor training sessions*

Survey Management System

- Survey Management System (SMS) used to track:
  - Sampled enrollee data elements by unique ID
  - Data collection activities
    - Updated address and/or phone number
    - Undeliverable return
    - Date and outcome of mail survey attempts
    - Date and outcome of telephone attempts
- Data collection activities must be logged into the SMS within **24 hours**
- Survey vendors test system prior to implementation

Data Security and Confidentiality

- Keep confidential data physically and electronically secure
  - Store data in password-protected locations
  - Separate personally identifying information from sampled enrollee response data
  - Keep confidential hardcopy 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
- Redact all PII from file prior to submission

Data Retention and Destruction

- Data must be retained in a secure and environmentally controlled location for a minimum of 3 years
  - Data collected by mail, telephone, and Internet
  - Returned mail surveys or scanned images
  - Store scanned mail survey images in SMS before destroying hardcopies

Customer Support

- Establish toll-free telephone number
  - Staffed live during survey vendor's regular business hours
    - 90% of calls answered live within 30 seconds
  - Voicemail available on nights, weekends, and federal holidays
  - 24-hour turnaround time
- Establish project-specific e-mail address
  - 24-hour turnaround time
- Operational by start of mail phase
  - Test system prior to survey implementation

Customer Support

- Respond to questions in all languages offered
- Document and track questions and responses
- FAQ available in Appendix C of QAG
  - ★ Additional items added to the 2017 FAQ
  - FAQ available in Spanish and Chinese on Project Website

Survey Management and Data Security 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
- SMS tracks key events during fielding
- Data collection activities must be logged within **24 hours**
- Ensure data security per QAG
- Retain data for at least 3 years
- Establish toll-free number and project-specific e-mail address

Survey Management and Data Security Questions?

Sampling

Sampling Overview

- Reporting Unit Definition
- Eligibility Guidelines (QHP and Enrollee)
- Off-Marketplace Enrollees
- Sample Frame Generation and Validation
- Sampling Protocol
- Oversampling
- “Do Not Survey” List
- Enrollee Contact Information

Reporting Unit Definition

- QHP issuers create a sample frame for each product type offered through the Marketplace (FFMs and SMBs) in a particular state
  - Product Type = HMO, POS, PPO, or EPO
  - Indemnity plans (i.e., fee for service plans) are not included
- May include a single QHP or many QHPs
- May span a variety of metal levels
- QHP issuers may not combine product types
- Identified by a Reporting Unit ID
  - Issuer ID (5-digit)–State (2-character)–Product Type (3-character)
  - E.g.12345–TX–PPO

Reporting Unit Definition (cont'd.)

- If more than one plan is offered through the Marketplace for a given product type (bronze and silver HMOs) in a state for a particular QHP issuer, then all HMOs offered by that issuer in that state are considered a single 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

QHP Eligibility Guidelines

QHP issuers are required to collect and submit 2017 QHP Enrollee Survey response data for each reporting unit that meets the following criteria:

- Offered through a Marketplace in 2016; and
- Offered through a Marketplace in 2017; and
- ★ Had more than 500 enrollees as of July 1, 2016, **and** more than 500 enrollees as of January 1, 2017
- All enrollees within the product type are included in the count of enrollees for this requirement
  - Not just "survey eligible" enrollees

QHP Eligibility Guidelines (cont'd.)

- Reporting units decertified or discontinued before June 15, 2017 are exempt
- For an eligible reporting unit impacted by a QHP issuer change in ownership (e.g., merger, acquisition) effective as of January 1, 2017, the QHP issuer that assumes the reporting unit is responsible for meeting the QHP Enrollee Survey requirements
- QHP issuers with more than 500 enrollees as of July 1, 2016, that are uncertain if they will have more than 500 enrollees as of January 1, 2017, proceed as though they will be required to field the survey
  - If the issuer does not meet the January 1, 2017 minimum enrollment threshold, the QHP issuer must notify the Project Team within 3 business days but **no later than** January 15, 2017

Enrollee Eligibility Guidelines

- Include all enrollees in QHPs offered through the Marketplace who are still enrolled as of January 1, 2017
  - Designated by HIOS ID variants -01 through -06
  - Do **not** include enrollees in QHPs offered outside the Marketplace (off-Marketplace plans), designated by HIOS ID variant -00
  - Do **not** include enrollees in non-QHPs (traditional commercial plans)
- Include all enrollees in QHPs that provide family and/or adult-only medical coverage
  - QHP Enrollee Survey requirements do not apply to child-only health plans or stand-alone dental plans
  - ***Note:*** *Indemnity plans (i.e., fee for service plans) are not included*
  - ***Note:*** *Basic Health Plans are not included*

Enrollee Eligibility Guidelines (cont'd.)

- Include individuals ≥18 years (as of December 31, 2016) who have been enrolled for at least the past 6 months (since July 1, 2016) with no more than one 31-day break
  - Enrollees who switch among different product lines (commercial, Medicaid, Medicare, Marketplace) or products during the time specified for continuous enrollment (July 1–December 31, 2016) are considered continuously enrolled
    - These enrollees are included in the product line/product in which they are enrolled as of the end of the continuous enrollment period
- Include individuals with primary health coverage through the eligible QHP in which they are enrolled
- When the QHP issuer has documented a change in ownership effective as of January 1, 2017, include enrollees that may be aligned to a different certified QHP issuer in the prior year

Summary of Eligibility Guidelines

Enrollee Eligibility Status	Eligibility Criteria
Eligible if all of the listed criteria are met.	Enrollee is in a QHP offered through the Marketplace (HIOS variant IDs -01 through -06).
	Enrollee is in a QHP that provides family and/or adult medical coverage.
	Enrollee is 18 years of age or older as of December 31, 2016.
	Enrollee meets continuous enrollment criteria.
	Enrollee is still enrolled on January 1, 2017.
Ineligible if any of the listed criteria apply.	Enrollee is in a QHP offered outside the Marketplace (HIOS variant ID -00).
	Enrollee is in a QHP that provides child-only health plans or stand-alone dental plans.
	Enrollee is younger than 18 years of age as of December 31, 2016.
	Enrollee does not meet continuous enrollment criteria.
	Enrollee is no longer enrolled as of January 1, 2017.

Sample Frame Generation

- QHP issuers must produce a single sample frame data file for each reporting unit
- If a QHP issuer offers multiple products, it must produce sample frames separately by product
- QHP issuers may not combine sample frame data files for different reporting units or products into a single file
- QHP issuers must attempt to populate the sample frame to the extent possible
- Updated layout and format specified in Appendix G

Sample Frame Generation (cont'd.)

- QHP issuers may not generate sample frames prior to January 2017 and must remove disenrolled and deceased enrollees (as of January 1, 2017)
- 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
- Enrollee contact information included in the sample frame
- QHP issuers arrange for an NCQA-Certified HEDIS Compliance Auditor to validate sample frames
  - QHP issuers are responsible for the accuracy of the sample frame

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. 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 and completes the sample frame validation by January 31, 2017. **Note:** Survey vendors notify the Project Team of any QHP issuer clients that have not provided a validated sample frame as of January 23, 2017.
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 Identifier (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 SFIDs
    - Unique SFIDs for each enrollee in the covered family unit
  - If duplicate entries for same enrollee, remove before sampling
  - ★ Deduplication by address may not be done on sample frames already deduplicated by SFIDs
- **Step 3:** Draw random sample from deduplicated sample frame
  - Either 1,300 or more (if oversampling)
  - 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 (n-fr)
  2. Count number of enrollees covered by the SFID associated with each retained EUID (k)
     - Calculate by summing number of EUIDs per SFID **before** deduplication
     - If no SFIDs, calculate by summing the number of EUIDs per mailing address **before** deduplication
  3. Count total number of records in sample frame for sampling unit **after** deduplication (M)

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, 2017 (in conjunction with Report #2) to the Project Team via the Project Website

“Do Not Survey” List

- Exclude sampled enrollees on survey vendor’s list from the prior survey year
  - Assign “X40—Ineligible: Not Eligible or on a ‘Do Not Survey’ List”
  - ! Survey vendors may not exclude sampled enrollee’s from the survey based on a QHP issuer’s ‘Do Not Call’ 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 maintain list for 3 years

Enrollee Contact Information

- Enrollee contact information may be missing in the validated sample frame file
- ★ If missingness in the selected sample threatens response rates, survey vendors may request additional contact information from the QHP issuer
  - ★ If available, QHP issuers provide updated contact information **for all enrollees** in the full sample frame
  - ★ QHP issuers use a secure transfer method to provide the survey vendor with the updated sample frame file
  - ★ Survey vendors may update contact information in the drawn survey sample based on these updates and use for contact attempts
- Survey vendors **never** send the selected survey sample to QHP issuers or ask for updated information for a particular enrollee

Fielding Additional Surveys

- ★ Survey vendors may use the QHP Enrollee Survey sample frame to draw additional samples for other survey efforts
  - Only after the QHP Enrollee Survey sample has been drawn
  - Strongly discourage asking any QHP Enrollee Survey questions 4 weeks prior to or during QHP Enrollee Survey administration (January 1–April 30)
  - Strongly encourage excluding households and SFIDs that are sampled for the 2017 QHP Enrollee Survey

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

★ ***Note:*** *The QHP Enrollee Survey administration schedule has changed since 2016*

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 3
Mail reminder letter to nonrespondents (14 days after first questionnaire is mailed)	Day 17
Mail second questionnaire with survey cover letter to nonrespondents (4 weeks after first questionnaire is mailed)	Day 31

Survey Administration Schedule (cont'd.)

Task	Date
Initiate telephone follow-up contact for nonrespondents (3 weeks after second questionnaire) • No more than 6 attempts • Call attempts must occur over minimum of 2 weeks • Call attempts must be scheduled at different times, on different days, in different weeks	Day 52–70
• End data collection activities • End all telephone interviews • Inactivate Internet survey • Close customer support line • **Note:** Mail surveys received after the scheduled fielding end date (Day 71) may not be included in data submission files	Day 71

Supplemental Questions

- Survey vendors may not include supplemental questions on the 2017 QHP Enrollee Survey

Communication about Survey to QHP Enrollees

- QHP issuers may notify enrollees that they may be asked to participate in the 2017 QHP Enrollee Survey
- Survey vendors, QHP issuers, or their agents may **not**:
  - 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
- QHP issuers and their agents are strongly discouraged from asking enrollees QHP Enrollee Survey questions 4 weeks prior to and during the administration period

Mail Protocol

Mail Protocol Overview

- Production of Mail Materials
- Foreign Language Mail Administration
- Outbound Mail Requirements
- Inbound 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
  - English materials also included in Appendix D
- Mail Materials
  - Prenotification Letter
  - Survey Cover Letters
  - Reminder Letter
  - Questionnaires
  - Envelopes
- Must be reviewed by the Project Team
- ★ Survey vendors may include tracking codes for quality control purposes

Prenotification Letter

Must Include:

- Enrollee's full name and address in the address block
- Personal salutation (i.e., "Dear [Sampled Enrollee Name]")
- Survey vendor logo or QHP issuer logo or both
- Survey vendor customer support phone and e-mail
- Survey vendor return address only
- QHP name inserted in specified fill locations
- ★ Call-out box for the Internet survey
  - Contains survey URL and login credential(s)
  - Inclusion of call-out box depends on survey language
- Survey vendor or QHP issuer senior executive signature

Prenotification Letter (cont'd.)

- Must fit on one page
- Uses font size equal to or larger than 11-point Times New Roman or Arial
  - ★ Text in the Internet call-out box must be printed in 14-point font

Prenotification Letter (cont'd.)

English

- Must include information about Internet survey
- Instructions for completing Internet survey
- ★ Call-out box for the Internet survey
  - Customized user name and/or password
  - Secure website URL
- Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail surveys

Prenotification Letter (cont'd.)

Spanish

- If using Spanish Internet option, prenotification letter must include all English requirements listed on previous slide
- ★ Include instructions in English on how to request an English survey
- Two versions of the Spanish prenotification letter are available
  - One version for reporting units using the Internet survey option
  - One version for reporting units not using this option
  - Posted to Project Website

Must Include:

- Enrollee's full name and address in the address block
- Personal salutation (i.e., "Dear [Sampled Enrollee Name]")
- Survey vendor logo or QHP issuer logo or both
- Survey vendor customer support phone and e-mail
- Survey vendor return address only
- QHP name inserted in specified fill locations
- Survey vendor senior executive signature or QHP issuer senior executive signature

Cover Letters (cont'd.)

- Printed on a sheet of paper separate from the questionnaire
- May **not** be attached to the questionnaire
- Must fit on one page
- Use font size equal to or larger than 11-point Times New Roman or Arial
- Do **not** include the Internet survey link on cover letters
  - Included only on prenotification and reminder letters
- Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail surveys

Reminder Letter

- Adheres to the same specifications as prenotification letters
- Provides information about the purpose of the survey
- Reminds sampled enrollees that they should have already received the survey in the mail and encourages them to complete it
- ★ Includes call-out box with Internet survey URL and login credential(s)
- Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail surveys

Reminder Letter (cont'd.)

English

- Must include information about Internet survey
- Instructions for completing Internet survey
- ★ Call-out box for the Internet survey
  - Customized user name and/or password
  - Secure website URL
- Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail surveys

Reminder Letter (cont'd.)

Spanish

- If using Spanish Internet option, reminder letter must include all English requirements listed on previous slide
- ★ Include instructions in English on how to request an English survey
- Two versions of the Spanish reminder letter are available
  - One version for reporting units using the Internet survey option
  - One version for reporting units not using this option
  - Posted to the Project Website

Envelopes

- Outbound Envelopes
  - Survey vendor name and address as the return address
  - Survey vendor logo or QHP issuer logo or both
  - No banners or taglines
  - *Optional:* Use of window envelopes
- Business Reply Envelopes
  - Included with each questionnaire
  - Pre-addressed to survey vendor or subcontractor
  - Return address name is that of the survey vendor only

Questionnaire

- Place full title including the year at top of first page
- Include OMB statement, approval number, and expiration date on front page or first page of the questionnaire
- Include all survey instructions at the top of first page
  - ★ No bullets in the survey instructions
- Include enrollee unique identifier
  - Include on front page or back page or both
  - May **<u>not</u>** include enrollee name or address

Questionnaire (cont'd.)

- Include QHP issuer name in designated fill locations
  - Work with QHP issuers to identify most readily identifiable name
  - May provide list of alias plan names with the language: "You may also know your plan by one of the following names"
  - ★ Alias list can be included as a separate list in the survey packet or printed on the questionnaire
    - On the cover or before the first question
- Include survey vendor name in return address
- Subcontractor name may not be included in the questionnaire

Questionnaire (cont'd.)

May **Not** Change:

- Two-column format
- Question and response category wording
- Question and response category format
- Question and response category order

Questionnaire (cont'd.)

Must Follow Text Conventions in the Template Questionnaire:

- Must bold text that is bold
- **Cannot** bold text that is not bold
  - Question stems
  - Response categories
  - Only emphasized words and skip pattern language are bold
- **Cannot** underline text that is bold
- Must italicize text that is italicized

Questionnaire (cont'd.)

- 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

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 right of response categories 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"

Options for Spanish-Speaking Enrollees

- Work with QHP issuer clients to determine the best strategy for achieving optimal response rates in the administration of Spanish language surveys
- Make Spanish materials available based on the availability of language preference indicators using the following options:

Option 1	Option 2	Option 3
Mail English materials with text in Spanish about how to request materials in Spanish to all enrollees	Mail both English and Spanish materials in the same envelope to all enrollees (“double stuff”)	Mail Spanish materials to enrollees with a Spanish language preference and English materials to all other enrollees

Options for Spanish-Speaking Enrollees (cont'd.)

- All English materials must include instructions in Spanish on how an enrollee can request a Spanish survey
  - Standard text included in letter templates
  - If using Option 2, letters may be printed with English on one side and Spanish on the reverse side
- If an enrollee requests a Spanish mail survey, the survey vendor must mail a Spanish survey within 2 business days
- Survey vendors may attempt to complete an inbound Spanish phone interview with the enrollee during this request

Options for Chinese-Speaking Enrollees

- Work with QHP issuer clients to determine the best strategy for achieving optimal response rates in the administration of Chinese language surveys
- Make Chinese materials available based on the availability of language preference indicators using the following options:

Option 1	Option 2	Option 3
Mail English materials with text in Chinese about how to request materials in Chinese to all enrollees	Mail both English and Chinese materials in the same envelope to all enrollees (“double stuff”)	Mail Chinese materials to enrollees with a Chinese language preference and English materials to all other enrollees

Options for Chinese-Speaking Enrollees (cont'd.)

- If fielding in Chinese, all English materials must include instructions in Chinese on how an enrollee can request a Chinese survey
  - Must also include instructions for requesting a Spanish survey
  - Standard text included in letter templates
  - If using Option 2, letters may be printed with English on one side and Chinese on the reverse side
- If an enrollee requests a Chinese mail survey, the survey vendor must mail a Chinese survey within 2 business days
- Survey vendors may attempt to complete an inbound Chinese phone interview with the enrollee during this request

Outbound Mail Requirements

- Make every reasonable attempt to contact eligible sampled enrollees
- Enclose a self-addressed, pre-paid business reply envelope in each 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)
- Make every reasonable attempt to cease mail and phone attempts to enrollees who complete the Internet survey
- 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
- Retain a record of attempts to acquire or update missing address data

Quality Control for Outbound Mail

- ★ Confirm printed survey materials match survey proofs
- Perform interval checking (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

Inbound 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

Inbound Mail Requirements (cont'd.)

Processing Undeliverable Mail:

- Reissue item using alternate address, if available
  - May **not** contact sampled enrollees by phone for updated addresses
- Must 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 discard undeliverable surveys after shredding materials containing PII

Inbound Mail Requirements (cont'd.)

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

Inbound Mail Requirements (cont'd.)

Processing Duplicate Surveys:

- If two surveys completed, use most complete survey
  - Retain survey with most key items completed
  - Regardless of mode
- If surveys are equally complete, use first survey received

Inbound Mail Requirements (cont'd.)

Processing Surveys Returned as Ineligible:

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

Inbound Mail Requirements (cont'd.)

Processing Surveys for Deceased Sampled Enrollees:

- If a mail survey is returned and the survey vendor learns the enrollee is deceased and the survey was completed by someone else:
  - Do **not** use the survey
  - Assign "X20—Ineligible: Deceased" disposition code
- If survey completed by enrollee prior to death, retain survey

Optical Scanning Requirements

- Must scan or “wand-in” all returned mail surveys daily
- Must record data of receipt in SMS
- Must not permit the same survey to be scanned more than once
- 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

Key Entry Requirements

- Must record date of receipt in SMS
- Must not permit the same survey to be keyed more than once
- 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
- Review a sample of cases coded by each data entry staff member

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
- Quality control for scanning and key entry:
  - Rescan surveys and compare with original scans (at least 10%)
  - 100% re-key of all data and review of key-entered data
  - May be done by survey vendor or subcontractor

Mail Protocol Summary

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

Mail Protocol Questions?

Telephone Protocol

Telephone Protocol Overview

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

Telephone Requirements

- Integrated CATI system
- Standardized CATI scripts and specifications
  - English and Spanish required, Chinese optional
  - Posted to Project Website
  - English script also available in Appendix E
- Interviewer capacity must support data collection timeline
- Home-based interviewers are prohibited
- Interviews may **not** be completed on paper then key-entered post-interview
- Distressed respondent protocol is required

Telephone Requirements (cont'd.)

Predictive Dialing Requirements:

- CATI system must comply with all federal and state regulations
- Live interviewer must be available
- ★ It is the responsibility of the survey vendor to determine whether its system may be construed as a predictive dialer under state and federal regulations
- ★ Survey vendors must provide option for enrollees to revoke consent to be called through "Do Not Survey" list

Telephone Interviewing System

CATI Systems Must:

- Link to the SMS electronically
  - Track enrollees through the survey process
- Adhere to all survey specifications and skip pattern logic
  - Survey vendors test programming prior to administration
  - CATI scripts may **not** be modified
  - CATI scripts must be reviewed by the Project Team

★ *Optional:* Survey vendors may program caller ID to display the survey vendor's name

  - May **not** program to display *"on behalf of [QHP Issuer Name]"*

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
  - Date of prenotification letter mailing
- Must be available for the remainder 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 protocols
  - 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/partially complete mail or Internet survey
  - For blank/partially complete mail or Internet surveys, survey vendors must ask all survey questions by phone
  - ★ If a survey vendor calls a sampled enrollee to finish a partially completed **telephone** survey, may continue survey from the last question answered
- 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 18-day telephone interview period
- No more than 6 attempts may be made

Outbound Telephone Protocol (cont'd.)

Definition of a Telephone Attempt:

- **<u>At least 6 rings</u>** 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
  - Survey vendors may leave messages on answering machines
    - Review HIPAA requirements
    - Maximum of 2 messages permitted

Outbound Telephone Protocol (cont'd.)

Contact Enrollee 6 Times over 18-Day Period Unless:

- 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.)

Special Case Scenarios:

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

Outbound Telephone Protocol (cont'd.)

- Make every effort to obtain correct telephone numbers
  - Second source verification required
    - Commercial telephone matching services or software
    - Directory applications
- ★ May request updated contact information from QHP issuers
  - ★ May only request contact information for the entire sample frame
  - ★ May never request contact information for specific enrollees

Outbound Telephone Protocol (cont'd.)

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
- Unavailable, ill, or temporarily away
  - Attempt to re-contact before data collection ends
- Institutionalized but capable
  - Request information on how to contact sampled enrollee
  - Attempt to contact institutionalized sampled enrollee

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 interviewer instructions for:
  - Obtaining permission from sampled enrollee to use a proxy
  - Modifying the script to accommodate proxies
- Interviewers indicate whether a phone interview is completed by proxy in Q89 of the CATI script

Telephone Interviewing Specifications

CATI Script Templates:

- English, Spanish, and Chinese scripts available on Project Website
  - May not be translated into any other languages
  - English and Spanish required, Chinese optional
- Survey vendors must submit CATI system screenshots to the Project Team for review
  - Project Team does not verify skip pattern programming

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
  - QHP Enrollee Survey specifications
  - General interviewing practices
- Refusal Avoidance and Conversion Techniques
  - Not permitted when a sampled enrollee is reached at work or while driving
- FAQ located in Appendix C

Telephone Interviewer Monitoring

- 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
- Between subcontractor and survey vendor, monitor a combined total of at least 10% of all interviews
  - Each organization must conduct monitoring
  - Interviews monitored jointly may only contribute to one organization’s monitoring requirements
- Provide feedback on interviewer performance

Telephone Protocol Summary

- English and Spanish administration required, Chinese optional
- 6 call attempts over 2 weeks during 18-day phone period
- Accommodate inbound requests during all protocol modes
- Proxies allowed
- Subcontractors allowed
- Survey vendor oversight
  - Interviewer training
  - Interviewer monitoring program
  - Subcontractors, if applicable
- Project Team oversight
  - Review of CATI scripts and screenshots
  - Remote monitoring session

Telephone Protocol Questions?

Internet Protocol

Internet Protocol Overview

- Internet Protocol
- Internet Survey Conventions
- Internet Survey Programming
  - Entry, Question, and Exit Pages
- System Requirements
- Internet Security
- Web Entry Flag

Internet Protocol

- Survey vendors implement a standardized Internet data collection protocol
- Internet survey must be available for entire data collection period
- Internet protocol available in English and Spanish
  - English required
  - Spanish optional
- Internet survey URL and login credential(s) provided on prenotification and reminder letters only

Internet Protocol (cont'd.)

1. Create secure Internet survey platform
2. Establish URL address
3. Program and test Internet survey instrument
4. Provide Project Team with access to Internet survey
5. Assign customized login credentials
6. Include URL in prenotification and reminder letters
7. Collect Internet survey data

Internet Survey Conventions

English

- Use English Internet Survey Script (Appendix F)
  - Text and programming conventions
  - Entry page script

Spanish

- Use English Internet survey script programming conventions and Spanish questionnaire text
- May provide a separate URL for Spanish Internet survey
- May direct to a landing page where enrollee selects preferred language

Internet Survey Conventions (cont'd.)

- Programmer instructions **and** question numbers appear in [UPPERCASE LETTERS ENCLOSED IN BRACKETS]
  - May **not** be displayed on webpages
- Inserts or fills from the sample frame appear in {UPPERCASE LETTERS ENCLOSED IN CURLY BRACKETS}
- Dashed lines indicate the separation between questions
  - **One** survey question per webpage
- Unless otherwise noted, skipped questions follow the same skip pattern as the "No" or "None" skip pattern

Internet Survey Conventions (cont'd.)

- Must bold text that is bold
- **Cannot** bold text that is not bold
  - Question stems
  - Response categories
  - Only emphasized words and skip pattern language are bold
- **Cannot** underline text that is bold
- Must italicize text that is italicized
- ★ Black or dark blue readable font for survey questions
  - ★ Font color must be consistent throughout survey
  - ★ May use highlight color for instructions and survey headings

Internet Survey Programming

- Survey Entry Page
- Survey Question Pages
- Survey Exit Page

Survey Entry Page

- ★ Adheres to language in the Internet survey script
  - Spanish translation of entry page available on Project Website
- Requires entry of login credential(s)
- Displays OMB statement, approval number, expiration date
- Includes survey title and year at top
- Assures sampled enrollee's privacy

Survey Entry Page (cont'd.)

- Provides general survey navigation instructions
  - "Previous" button
  - "Next" button
- Includes a "Questions" link
  - Contains survey vendor name and toll-free number
  - May also provide customer support e-mail address
- Displays the survey vendor's or QHP issuer's logo or both
- May not link to survey vendor's or QHP issuer's home page

Survey Question Pages

- **<u>One</u>** question per page
- Program to follow all skip pattern logic
- No changes to the wording or order of questions or response categories
- Response options must be displayed vertically
  - Matrix presentation **<u>not</u>** allowed
- Do **<u>not</u>** number survey questions
- Each page includes a section header
- All pages include “Previous” and “Next” buttons
- All pages include a “Questions” link

Survey Question Pages (cont'd.)

- 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 accept at least a 250-character response
  - May include a dropdown menu of QHP issuer aliases
- ★ *Optional:* Display a progress indicator bar

Survey Exit Page

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

System Requirements

- Prevent completion of more than one survey per enrollee
- Link responses to appropriate sampled enrollee in SMS
- Remove sampled enrollees who complete the Internet survey from further mail or telephone contact attempts
- Allow survey completion in stages
- Test system and survey prior to survey administration

System Requirements (cont'd.)

- Permit enrollees to not answer survey questions but still continue with survey
- Allow sampled enrollees to unselect a previously selected response
- May not link to survey vendor's or QHP issuer's home page
  - Survey vendor's website may not contain links to the Internet survey

System Requirements (cont'd.)

- "Previous" button
  - Allows enrollee to return to the previous survey question
- "Next" button
  - Advances survey when an answer is provided
  - 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
  - When the "Next" button is selected without a response for a non-gate item, the enrollee is directed to the next question

Internet Security

- Ensure a secure Internet survey platform
  - Protect enrollee confidentiality
  - Require customized login credential(s)
  - 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

Internet Security (cont'd.)

Login Credential(s):

★ Customized login (username and/or password)

- Assigned randomly
- Non-sequential
- Alphanumeric
- At least 8 characters in length
- Customer support
  - May provide survey URL and login credential(s) to an enrollee
  - Via phone or e-mail

Internet Security (cont'd.)

URL Addresses:

- Provided to sampled enrollees in prenotification and reminder letters only
- May not be included on survey vendors' or QHP issuers' websites
- Should be easy for enrollees to retype

Web Entry Flag

- <Web-entry-flag> XML data element
  - Code “Yes” for sampled enrollees who logged in to the Internet survey, regardless of whether the Internet survey was completed
  - Code “No” for sampled enrollees who never logged in to the Internet survey

Internet Protocol Summary

- English required, Spanish optional
- Available for entire duration of data collection period
- ★ Adhere to Internet survey script
- Login information on prenotification and reminder letters only
- Survey vendor oversight
  - Test survey prior to fielding to verify accuracy
- Project Team oversight
  - Review Internet survey instrument

Internet Protocol Questions?

Data Coding, Specifications and Submission

Overview

- Definition of a Complete Survey
- Disposition Codes
- Eligibility Assessment Based on Responses to Q1 and Q2
- Data Coding and Decision Rules
- Response Rate Calculations
- Quality Control Procedures
- Data File Specifications
- Data Submission Process

Definition of a Complete Survey

- Complete Survey
  - Sampled enrollee answers ≥50% of the key items in the survey
  - Not required to conduct further outreach to complete the survey
- Key items are questions that all respondents are eligible to answer, excluding the “About You” items
  - For 2017, an enrollee must answer at least 9 key items
- Partially Complete Survey
  - Enrollee answers <50% of the key items
  - Required to follow up with enrollees who return a partially complete mail or Internet survey to try to obtain a complete survey
- Key items found in Table 7-2 of the QAG

Definition of a Complete Survey (cont'd.)

- If more than one survey completed
  - Use survey with more key items answered
  - Regardless of survey mode
  - 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

Survey Disposition Codes

- Survey vendors are required to maintain current and accurate disposition codes for all sampled enrollees
- Interim disposition codes represent the current survey status of an enrollee
- Final disposition codes represent the final survey status of an enrollee
  - Assigned to each sampled enrollee prior to data submission
- Disposition codes found in Table 7-1 of the QAG

Survey Disposition Codes (cont’d.)

★ ***Note:*** *Disposition codes have been revised for 2017*

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
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 Table 7-4

Survey Disposition Codes (cont'd.)

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 unable to complete the survey because he/she is: • Mentally/physically incapable or residing in a group home/institution **and** • Either a proxy is not available **or** the sampled enrollee does not consent to a proxy	Mentally or Physically Incapacitated

Survey Disposition Codes (cont'd.)

Code	Description	Survey Status
X32	• Sampled enrollee indicates (in writing or verbally) refusal to participate in survey • Sampled enrollee requests to be placed on "Do Not Survey" list during data collection	Refusal
X34	• Sampled enrollee returns blank/ partially complete mail survey **and** either no other contact information is available **or** telephone attempts to reach the enrollee to complete the survey are unsuccessful • Sampled enrollee initiates CATI but does not answer any key items	Blank Survey Returned/ Incomplete Survey

Survey Disposition Codes (cont'd.)

Code	Description	Survey Status
X33	• Mailing address or telephone number assumed to be viable, but no response or cannot be reached • Completed survey received after data collection period • Sampled enrollee is away for duration of data collection period	No Response After Maximum Attempts
X35	Both the mailing address **and** the telephone number are found to be not viable	Bad Address and Bad Telephone Number See Table 7-3

Survey Disposition Codes (cont'd.)

★ ***Note:*** *Guidance for assigning X33 and X35 is new for 2017*

	No Evidence of Invalid Address	Sufficient Evidence of Invalid Address
No Evidence of Invalid Telephone Number	Assign X33 – After all mail and phone attempts exhausted without response	Assign X33 – After all phone attempts exhausted without response Assign <bad-address-flag>
Sufficient Evidence of Invalid Telephone Number	Assign X33 – After all mail attempts exhausted without response Assign <bad-telephone-flag>	Assign X35 Assign <bad-address-flag> Assign <bad-telephone-flag>

Survey Disposition Codes (cont'd.)

- **Sufficient** evidence of an invalid address:
  - Incomplete mailing address included in the sample frame, and survey vendor is unable to obtain a complete/updated address
  - Mail returned marked as "Address Unknown"
  - Mail returned marked as "Moved–No Forwarding Address"
- **Insufficient** evidence of an invalid address:
  - Address search does not result in exact match
  - If search does not result in an exact match, survey vendor must attempt to mail using available address

Survey Disposition Codes (cont'd.)

- **<u>Sufficient</u>** evidence of an invalid telephone number:
  - Survey vendor is unable to obtain a telephone number
  - Interviewer receives a message that the number is non-working or out of order, and no updated number is available
  - Interviewer informed that he/she has the wrong number and all other attempts to obtain the correct number are unsuccessful
- **<u>Insufficient</u>** evidence of an invalid telephone number:
  - Busy signal every time an attempt is made
- Survey vendors must keep a record of attempts to acquire accurate contact information

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

Determining Enrollee Eligibility (cont'd.)

★ ***Note:*** *This guidance is new for 2017*

Examples of Valid Plan Aliases for Q2	Examples of Invalid Plan Aliases for Q2
• Marketplace • Exchange • Obamacare • Affordable Care Act (ACA) • Written response for product type, regardless of product type • Written response for metal level, regardless of metal level	• Employer-sponsored health plan • Medicaid, including state-specific names for Medicaid • Medicare • Medicare Advantage, even if the plan is offered by the same issuer • TRICARE • Veterans Health Administration (VA)

Data Coding: Mail Decision Rules

When	Code As
• Missing • A mark falls equidistant between two response options • More than one response option is marked • Gate question and dependent questions left blank	-3 = Missing
Questions have instructions to “Mark one or more” (Q86, Q90)	ALL selected responses are coded as 1 = Checked **Note:** 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” **Note:** 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	-3 = Missing

Data Coding: Combining Mail and Telephone

- Recode phone responses of “Don’t know” to match the valid value used for mail responses of “Don’t know”

When	Code As
flu-shot (Q60) = -2 (Don’t know) daily-aspirin (Q65) = -2 (Don’t know) aspirin-unsafe (Q66) = -2 (Don’t know)	3 = Don’t know
use-tobacco (Q61) = -2 (Don’t know)	4 = Don’t know

- Nonrespondents/Refusals:
  - Code Q68 and Q69 items as 0 = Not Checked
  - Code all other survey questions as -3 = Blank / Nonresponse / No Answer

Data Coding: Combining Mail and Telephone (cont'd.)

- Special instructions for coding the race variable

When	Code As
Telephone Q86D (Are you Asian?) = 0 (No) **Note:** Q86D is not included in final data file	asian-indian, chinese, filipino, japanese, korean, vietnamese, other-asian = 0 (Not Checked)
Telephone Q86L (Are you Native Hawaiian or Pacific Islander?) = 0 (No) **Note:** Q86L is not included in final data file	native-hawaiian, guamanian-chamorro, samoan, otr-pacific-island = 0 (Not Checked)
Mail Survey Q86 = All race variables are blank	Blank/Nonresponse/No Answer for All Race Categories = -3

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 20 or 40)
X = Proportion of cases eligible for this survey, which is calculated as:

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

Quality Control Procedures for Data Coding

- Survey vendors 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 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
  - Specifications in Appendix H in QAG

Data Submission Process

- Detailed instructions will be posted on the Project Website
- Data Submission Training in Spring 2017
- Test File(s): April 11 – 13, 2017
  - At least 1 test file containing at least 100 records
  - May submit more than one test file
  - Test file(s) may include >100 records
- Final Data Files: May 11 – 25, 2017
  - All data files must be received by **11:59 p.m. EST on May 25**
  - No exceptions to the deadline
  - Files received late will be excluded from the QRS and public reporting

Data Submission Process (cont'd.)

Survey Vendor Submits Data	• Survey vendors log into the Project Website and select the reporting unit for which they are submitting data. • Survey vendors uploads XML file(s).
Automated Checks	• Data Submission System performs automated checks and notifies survey vendor of outcome. • If needed, survey vendor resolves any errors and resubmits data. • Step must be successfully completed by 11:59 p.m. on May 25, 2017.
Analyst Review	• QHP Enrollee Survey Project Team reviews data to identify any potential anomalies. • If needed, survey vendor resolves any errors and resubmits data.
Submission Complete	• File accepted by QHP Enrollee Survey Project Team.
Resubmission (if needed)	• After close of data submission, the Project Team will perform additional reviews to identify potential systematic errors. • If errors are identified, survey vendors must resubmit file(s) within 3 business days. ★

Data Coding and Submission Summary

- Data must be coded in accordance to specifications
- Data must be submitted for each sampled enrollee
- Test and final data must be submitted on time
  - Resubmission requests must be completed within 3 business days

Data Coding, Specifications and Submission Questions?

Break 2

Data Analysis and Public Reporting

Overview

- Data Analysis and Scoring Specifications
- Data Cleaning Procedures
- Case-Mix Adjustment
- Public Reporting
- 2017 Reporting Timeline
- Reporting Guidelines for Survey Vendors

Data Analysis and Scoring Specifications

- QHP Enrollee Survey scores calculated using CAHPS® Analysis Program (CAHPS® macro)
  - Aligns with MA & PDP CAHPS® to the extent possible
  - Case-mix adjusted
- QRS scoring specifications for 2017
  - Appendix F of the *QRS & QHP Enrollee Survey: Technical Guidance (Version 3.0)*
  - Scoring specifications for the HEDIS®-based clinical measures available in the *QRS Measure Technical Specifications*

★ QI Report scoring specifications available in Appendix J

Data Cleaning by the Project Team

- The Project Team uses a <u>**forward-cleaning approach**</u> to edit and clean survey data
- Responses to “screener” items control how subsequent items are treated
  - Retain the original response
  - Set the response to a missing value
- Survey vendors <u>**never**</u> clean or recode survey response data

Data Cleaning by the Project Team (cont'd.)

- Survey items with multiple responses when only one is allowed are set to missing
- If screener is blank, but data is entered for dependent questions, the data are retained and screener is set to missing
- If response to screener is valid, but respondent violates skip instructions, the screener response is retained and the responses for the dependent questions are set to missing
- Embedded screeners (skip pattern within a skip pattern) are treated the same way as the primary screener
  - Embedded skip evaluated first, followed by primary skip pattern

Data Cleaning by the Project Team (cont'd.)

Scenario in Data File		Data Cleaning Step Taken by Project Team	
Screener Item	**Dependent Item**	**Screener Item**	**Dependent Item**
Blank	Blank	Set to Missing	Set to Missing
Blank	Includes Data	Set to Missing	No Action Data Retained
Includes Data	Includes Data Skip Pattern Followed	No Action Data Retained	No Action Data Retained
Includes Data	Includes Data Skip Pattern Violated	No Action Data Retained	Set to Missing Data Deleted
Includes Data	Blank	No Action Data Retained	Set to Missing

Case-Mix Adjustment

- Case-mix adjusters used for the 2017 QHP Enrollee Survey:
  - Education
  - Global Health Rating
  - Mental Health Rating
  - Age
  - Survey Language
  - Survey Mode
  - Chronic Conditions and Medications
  - Respondent Received Help Completing Survey

Case-Mix Adjustment (cont'd.)

- Additional questions were added to the 2017 survey that are potential case-mix adjusters for 2018
  - Disability-related questions
- Once final for 2017, the Project Team will notify survey vendors of the case-mix adjusters used to calculate scores

Public Reporting

Goals:

- Inform consumer choice
- Provide actionable information to improve QHP quality and performance
- Facilitate regulatory oversight of QHPs in accordance with the ACA

Reports Provided to Issuers:

- QRS Preview Report & Proof Sheet
- Quality Improvement (QI) Reports

Public Reporting (cont'd.)

- The QRS utilizes data from 12 survey-based measures:
  - Rating of All Health Care
  - Rating of Health Plan
  - Rating of Personal Doctor
  - Rating of Specialist
  - Access to Care
  - Access to Information
  - Care Coordination
  - Cultural Competence
  - Plan Administration
  - Flu Vaccinations for Adults Ages 18–64*
  - Aspirin Use and Discussion*
  - Medical Assistance with Smoking and Tobacco Use Cessation*
- Asterisks (*) represent the 3 HEDIS®-based clinical measures

Public Reporting (cont'd.)

	Reporting Unit Began Operating in Plan Year (PY) 2017	Reporting Unit Began Operating in PY 2016 & Continued Operating in PY 2017	Reporting Unit Began Operating in PY 2015 & Continued Operating in PY 2016 & 2017
Required to Field 2017 QHP Enrollee Survey?	No	Yes	Yes
QRS Results Eligible to be Publicly Reported?	No	No	Yes

Public Reporting (cont'd.)

QRS Preview Period:

- Issuers preview CMS-calculated scores and ratings prior to public reporting
  - QRS proof sheets
- Occurs via the Marketplace Quality Module (MQM) in CMS' Health Insurance Oversight System (HIOS)
  - QHP issuers receive information on how to access QRS reports prior to the onset of preview period

Public Reporting (cont'd.)

- Marketplaces are required to display the quality rating information assigned to each QHP as calculated by CMS on Marketplace websites
- CMS will display the 2017 QRS global rating on the HealthCare.gov website for each QHP offered
- SBMs must display **at least** the QRS global rating directly on their websites by the start of the individual market open enrollment period for 2018
- CMS will release additional details specifying the form and manner in which CMS will display QHP quality rating information at HealthCare.gov

QI Reports

- QI Reports utilize data from 13 survey-based measures:
  - Getting Care Quickly
  - Getting Needed Care
  - Getting Information in a Needed Language or Format
  - How Well Doctors Communicate
  - How Well Doctors Coordinate Care and Keep Patients Informed
  - Health Plan Customer Service
  - Getting Information about Health Plan and Costs of Care
  - Enrollee Experience with Cost
  - Rating of All Health Care
  - Rating of Personal Doctor
  - Rating of Specialist
  - Rating of Health Plan
  - Enrollee's Rating of Likelihood of Recommending Health Plan to Friends and Family

QI Reports (cont'd.)

- Produced for all reporting units that field the 2017 survey
- Present results for all survey composites and items
  - Includes items not displayed in the QRS
  - Composites align with CAHPS Health Plan 5.0 composites, which differ from QRS measures
- Include information on how reporting unit performance compares to national averages
- Distributed after QRS Preview Period

2017 Reporting Timeline

Activity	Timeframe
QHP Enrollee Survey Data Submission Deadline.	May 25, 2017
QHP issuer submits validated QRS clinical measure data to CMS.	June 15, 2017
Data Processing and Scoring.	May – July 2017
QHP issuers and Marketplaces preview the QHP quality rating information.	August 2017
QHP Enrollee Survey Quality Improvement (QI) Reports made available to QHP issuers.	Late August/Early September 2017
Marketplaces begin publicly displaying QHP quality rating information.	November 1, 2017

Reporting Guidelines for Survey Vendors

- May provide aggregated results to QHP issuers
  - **Cannot** include any cell sizes with fewer than 11 cases
  - If a response option is chosen fewer than 11 times, data for that response option **cannot** be displayed, even if 11 or more responses were received for the question as a whole
- **Must** communicate that survey vendor scores are **not** the official CMS scores
- Strongly encouraged to explain to clients why CMS scores may differ from survey vendor reports
  - Case-mix adjustment

Reporting Guidelines for Survey Vendors (cont'd.)

- May **not** provide member-level datasets to QHP issuers
- May submit de-identified member-level datasets to regulatory agencies on behalf of QHP issuer clients
  - E.g., states and state insurance commissioners
  - Limited to the core QHP Enrollee Survey questions (Q3–Q53)
  - Utilization items (Q9, Q15, Q34) must be included in a more aggregate manner
  - May **not** include data for Q12, Q13, or Q49–Q51
  - May **not** include data for the "About You" items (Q58–Q90)
  - ★ May **not** include data for the cost items (Q54–Q57)
  - May **not** include sample frame variables, except for Reporting Unit ID

Data Analysis and Public Reporting Summary

- QHP Enrollee Survey scores are calculated using CAHPS Analysis Program
- Survey vendors do **not** clean survey data
- Two reports generated using survey-based measures
  - QRS Reports and QI Reports
- Marketplaces must adhere to CMS' guidance for publicly displaying QHP Enrollee Survey results
- Survey vendors must adhere to QAG guidance in generating reports for QHP issuers and regulatory agencies

Data Analysis and Public Reporting Questions?

Survey Vendor Quality Oversight

Quality Oversight Overview

- Survey Material Review
- Seeded Mailings
- Quality Assurance Plan (QAP)
- Data Record Review
- Customer Support Review
- Onsite/Remote Visits
- Telephone Interview Monitoring
- Data Analysis and Validation
- Discrepancy Report and Corrective Action Plan
- Project Reporting

Survey Material Review

- Submit all survey materials in **<u>all applicable languages</u>** to the Project Team for review and approval prior to administration
  - Mail Materials
    - English and Spanish required, Chinese optional
  - Telephone Scripts
    - Screenshots of telephone interviewing script
    - English and Spanish required, Chinese optional
  - Internet Survey Instrument
    - Internet survey URL and at least five login credential(s)
    - English required, Spanish optional
- ★ Submit survey material through the Project Website
- Project Team provides feedback within 10 business days
- ★ Submit revisions within 5 business days of resubmission request
- Timeframe: November 14, 2016 – January 9, 2017

Seeded Mailings

- Integrated with survey mailing sample
- Include designated Project Team members in mailing database
- Include survey vendor personnel
- Seed one reporting unit for **<u>each survey language</u>** being implemented by mail
  - Seed the Project Team for one English reporting unit
  - For Spanish and Chinese, only seed the Project Team if a letter and/or survey is mailed in Spanish or Chinese
- Timeframe: February – April 2017

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 survey vendor’s processes
- ★ Submit through Project Website
- Deadline: December 2, 2016

Data Record Review

- Conduct review of 2016 data records with each survey vendor that submitted data
  - WebEx format for remote sessions
  - Trace data records from sample frame receipt through data submission
- Timeframe: November 2016

Customer Support Review

- Customer Support Telephone Line
  - Ask standard set of questions from FAQ
  - Confirm responses provided by customer support staff are appropriate and accurate
- Customer Support E-mail
  - Send standard set of FAQ to project-specific e-mail address
  - Confirm accuracy of responses
  - Verify 24-hour turnaround time is met
- Timeframe: March 2017

Onsite/Remote Visits

- Evaluate survey vendor's compliance with QHP Enrollee Survey requirements
- Review Items
  - Survey Management and Data Systems
  - Sampling
  - Data Collection Protocol
  - Data Coding and Submission
- Timeframe: March – April 2017

Telephone Interview Monitoring

- Assess level of compliance of interviewers with telephone specifications
- Two-hour session
  - Web-Ex format required for remote sessions
- ★ Required with each telephone subcontractor if more than one is being used
- Timeframe: April 2017

Data Analysis and Validation

- Data Submission
  - Analysis of submitted data
  - Follow-up if errors found
  - Timeframe: May 11 – 25, 2017
- Data Resubmission
  - ★ Revised data files submitted within 3 business days
  - Timeframe: May 26 – June 9, 2017

Discrepancy Report

- Immediately notify Project Team of any deviations from the standard QHP Enrollee Survey protocols during administration or data submission
- ★ Submit through the Project Website:
  - Discrepancy Report Form located on Project Website
  - Template found in Appendix I
- 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
  - List 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.)

- Discrepancy Report 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

★ Submit all reports through the Project Website (qhpcahps.cms.gov)

Report	Activity	Comment	Due Date
#1	Survey Vendor QAP	• Addresses all required elements of survey administration	December 2, 2016
#2	Preliminary QHP Client List	• Submit Client List to Project Team for reconciliation • Submit requests for Oversampling	January 5, 2017
#3	Final QHP Client List	• Submit Final QHP Client List to Project Team	February 6, 2017
#4	Interim Progress Report	• Spreadsheet displaying fielding status for each QHP reporting unit • Provide summary of customer support calls and e-mails	April 4, 2017
#5	Final Report	• Discussion of survey implementation and lessons learned • Recommendations for next year	June 5, 2017

Updates to Project Website Login Page

Welcome Vendor Representative 1

Reports & Survey Materials Submission Portal

Coming soon....

Reports Submission Portal
Survey Materials Submission Portal

Email Archive

2017 Survey Vendor Update Email Archive

Select the "2017 Survey Vendor Update Email Archive" link above to view the list of e-mails sent from the QHP Enrollee Survey Project Team.

My Information

Primary Contact

First Name:	Vendor
Last Name:	Representative 1

Company Information

Company Name:	Survey Vendor 1
Business Phone:	111-222-1122
Address 1:	123 Apple Town
City:	City
State:	MA
Zip Code:	12345

View Survey Vendor Report

Report 1 - Quality Assurance Plan (QAP)

View | Edit

Report 1: Quality Assurance Plan (QAP)

Survey vendors submit a Quality Assurance Plan (QAP) as Report #1 that addresses all required elements as described in the Quality Oversight section. Survey vendors follow the Model Survey Vendor Quality Assurance Plan template provided in Appendix B of the QAG, presenting content in the same order as the template. Returning survey vendors submit the prior year's version of the QAP in "track changes" mode to emphasize updates and revisions, as long as it follows the Model Survey Vendor QAP template. *A survey vendor's QAP must be approved by the Project Team before data collection activities may begin.*

Report Template: Model QAP
Submission Deadline: December 2, 2016

Report ID: 1 - Quality Assurance Plan (QAP)

Submit Survey Vendor Reports

Edit Reports Materials Report 1 - Quality Assurance Plan (QAP)

View | Edit

Report ID: 1 - Quality Assurance Plan (QAP)

Upload Report

Vendors, click 'Choose file' to select your file, and click 'Upload'. Don't forget to click 'Save' when ready to submit.

Add a new file

Choose File No file chosen Upload

Files must be less than **700 MB**.
Allowed file types: **txt pdf zip doc docx xls xlsx**.

Revision information
New revision

Revision log message

Provide an explanation of the changes you are making. This will help other authors understand your motivations.

Save

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 the following items through the Project Website:
  - QAP
  - Survey Materials
  - Discrepancy Report(s) and Corrective Action Plan(s)
  - Survey Vendor Reports

Quality Oversight Questions?

Survey Vendor Authorization

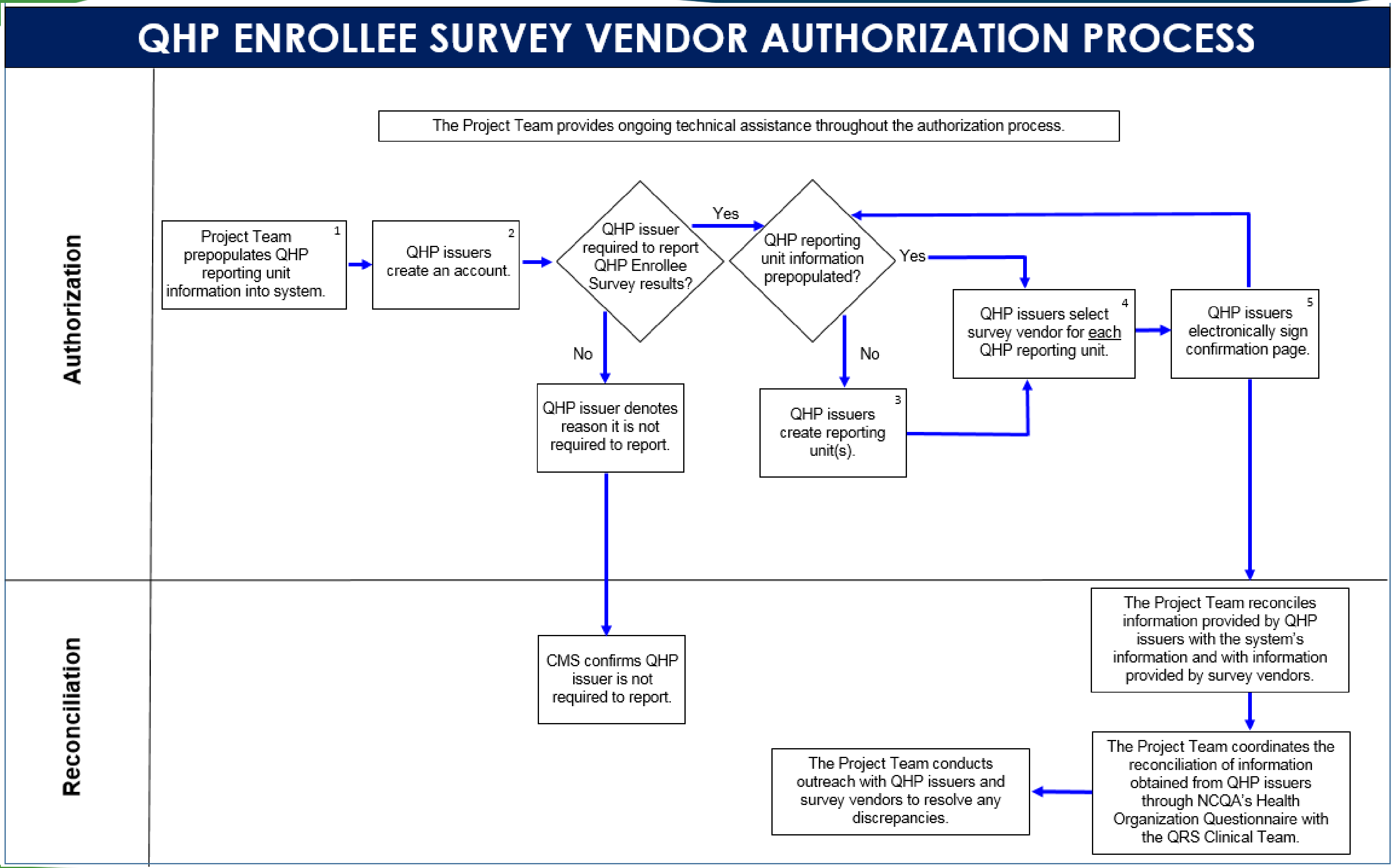
Survey Vendor Authorization Overview

- 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
QHP issuers authorize survey vendors via Project Website. Survey vendors login to Project Website to review authorizations.	November–December 2016
QHP issuers complete survey vendor authorization. Survey vendors submit Report #2.	January 5, 2017

Survey Vendor Authorization Process



Technical Assistance for the Authorization Process

- Visit "Support/Contact Us" page
- E-mail qhpcahps@air.org or call 844-849-5243

Survey Vendor Authorization Questions?

Wrap-Up and Next Steps

Next Steps

- One individual from survey vendor firm must complete training evaluation
  - Available immediately following training
  - Due COB October 24, 2016
  - Final approval status posted to Project Website this 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?