



Health Insurance MarketplaceSM

2018 Qualified Health Plan Enrollee Experience Survey Vendor Training

October 24, 2017

Health Insurance ExchangeSM and ExchangeSM are service marks of the U.S. Department of Health & Human Services.

Note: The term "Exchange" should be used in communications with QHP issuer clients. The term "Marketplace" should be used in communication with enrollees.

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.
Survey Vendor Quality Oversight	2:55 p.m. – 3:15 p.m.
Wrap-Up and Next Steps	3:15 p.m. – 3:30 p.m.



★ = New/Revised Guidance for 2018

Note: A summary of changes is included in the 2018 QAG

! = Existing Guidance Emphasized for 2018



Welcome



Program Overview

- Roles and Responsibilities
 - Project Team
 - QHP Issuers
 - Survey Vendors
- Survey Overview
 - About the Survey
 - Survey Measures
 - 2018 Survey Administration
- Technical Assistance

Centers for Medicare & Medicaid Services (CMS)

- Sponsorship
- Guidance
- Oversight
- Public Reporting

Booz Allen Hamilton, National Committee for Quality Assurance (NCQA)

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

Roles & Responsibilities: Project Team

- Provide Quality Assurance Guidelines (QAG)
- Train survey vendors annually
- Provide survey administration oversight
- Provide technical assistance
- Provide tools, format, and procedures for data submission
- Process, review, and analyze data
- Provide survey results



Roles & Responsibilities: QHP Issuers

- Contract with an HHS-approved survey vendor to conduct the survey
- Contract with an NCQA HEDIS® Compliance Auditor to validate the sample frame
- ★ Authorize survey vendor to conduct the survey via NCQA's Healthcare Organization Questionnaire (HOQ)
- Generate sample frame according to specifications
- Complete sample frame validation process by January 31, 2018
- Provide validated sample frame to survey vendor
- ! Notify CMS of any changes in eligibility status within 3 business days, but **no later than** January 15, 2018

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Roles & Responsibilities: QHP Issuers

Authorization via NCQA's HOQ

- ★ Select survey vendor from list of all approved survey vendors in the HOQ for each reporting unit required to conduct the 2018 QHP Enrollee Survey
 - Not a substitution for the contracting process (due January 5, 2018)
- ★ Verify required reporting unit information
 - Enrollment
 - Year Plan Began Operating
 - Three-Year Operational Status
- Must be completed along with sample frame validation by January 31, 2018
- HOQ available beginning in early January
- Additional information will be provided to QHP issuers in November



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 in accordance with the data file specifications
- Meet all due dates and project reporting requirements
- ! Notify CMS of QHP issuer clients that do not provide a validated sample frame as of January 26, 2018



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 2018](#)
- 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).



★ **Note:** *The questionnaire for the QHP Enrollee Survey has changed since 2017*

- Removed the Access to After Hours Care Questions (Q7, Q8)
- Removed the Question about Recommending Health Plan to Friends and Family (Q53)
- Removed the Survey Questions for Aspirin Use and Discussion Measure (Q65 – Q69)
- Consists of 82 questions

2018 QHP Enrollee Survey Timeline

Task	Date
Conditionally approved vendors contract with QHP issuers.	August – December 2017
2018 QHP Enrollee Survey Vendor Training.	October 24, 2017
CMS conducts remote data records reviews of 2017 data.	November – December 2017
Survey Materials: Survey vendors submit the following materials <ul style="list-style-type: none">• 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 13, 2017 – January 18, 2018
Report #1: Survey vendors submit Quality Assurance Plan (QAP).	December 8, 2017



2018 QHP Enrollee Survey 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 HEDIS Compliance Auditor to perform sample frame validation. Survey vendors verify QHP issuers complete the NCQA Healthcare Organization Questionnaire (HOQ). 	January 2018
QHP issuers complete contracting activities with survey vendors.	January 5, 2018
Report #2: Survey vendors submit preliminary QHP client list and oversampling requests.	January 5, 2018
<ul style="list-style-type: none"> Survey vendors receive validated sample frames and obtain confirmation that an NCQA-Certified HEDIS Compliance Auditor validated the sample frame. Survey vendors draw the survey sample. 	January – February 2018
QHP issuers notify CMS if they no longer meet the enrollment threshold as of January 1, 2018.	January 15, 2018



2018 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
Survey vendors notify CMS of QHP issuer clients that have not provided a validated sample frame.	January 26, 2018
QHP issuers complete sample frame validation and survey vendor authorization in HOQ.	January 31, 2018
Survey vendors administer QHP Enrollee Survey.	January – May 2018
Report #3: Survey vendors submit final QHP client list.	February 12, 2018
Report #4: Survey vendors submit interim progress report.	April 5, 2018
Survey vendors submit interim data file for testing purposes.	April 10 – 12, 2018
Data submission: <ul style="list-style-type: none">Files due by 11:59 p.m. ET on May 25, 2018.	May 11 – 25, 2018
<ul style="list-style-type: none">Data resubmission (if requested).Must submit within 3 business days of date requested.	May 28 – 31, 2018
Report #5: Survey vendors submit final report.	May 31, 2018



Technical Assistance for Survey Vendors

- CMS Marketplace Quality Initiatives (MQI) Website
 - General information and updates
 - Important news and updates
 - Materials that support survey implementation
 - 2018 QHP Enrollee Survey Quality Assurance Guidelines
 - 2018 QHP Enrollee Survey Instruments (English, Spanish, Chinese)
 - 2018 QRS and QHP Guidance and Technical Specifications
 - <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/QualityInitiativesGenInfo/Health-Insurance-Marketplace-Quality-Initiatives.html>
- Technical Assistance
 - Email: MQITier2HelpDesk@bah.com



Technical Assistance for QHP Issuers

- Marketplace Service Desk
 - Email: CMS_FEPS@cms.hhs.gov
 - Please reference “QHP Enrollee Survey” in the subject line
 - Telephone: 1-855-CMS-1515 (1-855-267-1515)
- CMS Marketplace Quality Initiative Website
 - <http://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/QualityInitiativesGenInfo/Health-Insurance-Marketplace-Quality-Initiatives.html>





Program Overview Questions?



Survey Management and Data Security

- 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 2018 QHP Enrollee Survey Vendor Training and all subsequent trainings
- Make QAG available to staff and subcontractors



Personnel Training – Mail Protocol

- Train 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 D
 - Must be able to provide answers in all survey languages offered
 - *For 2018 responses have been standardized in all languages*



Personnel Training – Customer Support

- Train on QHP Enrollee Survey specifications, methodology, and FAQ
 - Responding when answers to questions are not known
 - Rights of survey respondents
- Train on procedures for transferring calls to telephone interviewers or scheduling callbacks
- Train 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
- **Not** permitted for sampling, data file preparation, or data submission
- Must obtain signed confidentiality agreements
- Must provide and document oversight processes in QAP
- Participate in all required oversight activities
- **Note:** *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
 - ★ Maintain clean desk policy and protect sensitive information when visitors or unauthorized individuals are present
- Take appropriate actions to safeguard data



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
 - Enrollee name, contact information, date of birth
 - Physician names



Data Retention and Destruction

- Data must be retained in a secure and environmentally controlled location for a minimum of 3 years
 - Includes mail, telephone, and Internet data
 - Returned mail surveys or scanned images of hardcopy mail surveys
 - ! Confirm scanned images have been saved in SMS before securely destroying hardcopies



- 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 email address
 - 24-hour turnaround time
 - ! If unable to provide a response within 24 hours, must acknowledge receipt
- 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
- ★ Collect information on requests to complete the survey in other languages
 - Specify language
 - Track count
 - Include findings in Report #5
- FAQ available in Appendix D of QAG
 - Updated to reflect changes to survey (e.g., time to complete survey)
 - FAQ available in Spanish and Chinese
 - Located in the QAG Foreign Language Supplements
 - Will be posted on the MQI 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 sampling, data file preparation, or data submission
 - 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 email address





Survey Management and Data Security Questions?



Sampling

Sampling Overview

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



Reporting Unit Definition for QHP Issuers

- Defined as the discrete package of health insurance coverage benefits that a health plan insurance issuer offers using a particular product type network within a service area
 - Unique State-product type for each issuer
 - Product Network Type = HMO, POS, PPO, or EPO
 - Service Area = State
 - Indemnity plans (i.e., fee for service plans) are not included
- QHP issuers create a sample frame for each product type offered through the Exchange in a particular state
 - May include a single QHP or many QHPs
 - May span a variety of product or metal levels (e.g. bronze, silver, gold)
 - 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 for QHP Issuers (cont'd.)

- If there are multiple products of the same type in a single state (3 HMOs in a particular state), then the QHP issuer must combine the enrollees into one reporting unit
- If multiple product levels (silver and gold) are offered through the Exchange for a given product type (HMO) 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 market and the Small Business Health Options Program (SHOP) within a state must combine enrollees from both the individual market and SHOP



QHP Eligibility Guidelines for QHP Issuers

QHP issuers are required to collect and submit survey response data for each reporting unit that meets all below criteria:

- Offered through an Exchange in the prior year (2017)
- Offered through an Exchange in the reporting year (2018)
- Included more than 500 enrollees as of July 1, 2017
- Included more than 500 enrollees as of January 1, 2018

Note: *All enrollees within the product type are included in the count of enrollees for this requirement (not just “survey eligible” enrollees)*



QHP Eligibility Guidelines for QHP Issuers (cont'd.)

- Reporting units decertified or discontinued before June 15, 2018 are exempt
- ! For an eligible reporting unit impacted by a QHP issuer change in ownership (e.g., merger, acquisition) effective as of January 1, 2018, the QHP issuer that assumes the reporting unit is responsible for meeting the survey requirements
- QHP issuers with more than 500 enrollees as of July 1, 2017, that are uncertain if they will have more than 500 enrollees as of January 1, 2018, proceed as though they will be required to field the survey
 - If the issuer does not meet the January 1, 2018 minimum enrollment threshold, the QHP issuer must notify CMS within 3 business days but no later than January 15, 2018



QHP Eligibility Guidelines for QHP Issuers (cont'd.)

★ Operating Status Criteria	Required to Field 2018 QHP Enrollee Survey
Reporting Unit began operating in Plan Year (PY) 2018.	No
Reporting Unit began operating in PY 2017 and continued operating in PY 2018.	Yes
Reporting Unit began operating in PY 2016 and continued operating in PY 2017 and PY 2018.	Yes
Reporting Unit began operating in PY 2016, did not operate in PY 2017, and resumed operating in PY 2018.	No
Reporting Unit began operating in PY 2016, continued operating in PY 2017, and was not operating in PY 2018.	No



QHP Eligibility Guidelines for QHP Issuers Example

Reporting Unit	Enrollment as of July 1, 2017 (total and per individual market vs. SHOP)	Enrollment as of January 1, 2018 (total and per individual market vs. SHOP)	Offered as of June 15, 2018	Meet participation criteria? (i.e., required to submit QRS and QHP Enrollee Survey measure data)?
WV PPO	505 (505 individual, 0 SHOP)	505 (505 individual, 0 SHOP)	Yes	Yes
WV HMO	601 (501 individual, 100 SHOP)	N/A	No – discontinued as of December 31, 2017	No – not operating in ratings year
MD PPO	100 (55 individual, 45 SHOP)	100 (55 individual, 45 SHOP)	Yes	No – insufficient enrollment size in both years
MD HMO	700 (700 individual, 0 SHOP)	300 (300 individual, 0 SHOP)	Yes	No – insufficient enrollment size as of January 1, 2018



Summary of Eligibility Guidelines for QHP Issuers

Enrollee Eligibility Status	Eligibility Criteria
<u>Eligible</u> if <u>all</u> listed criteria are met.	Enrollee is in a QHP offered through the Exchange (HIOS variant IDs -01 through -06 or -31 through -36 for states with Medicaid 1115 waivers allowing access to Exchange plans).
	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, 2017.
	Enrollee meets continuous enrollment criteria.
	Enrollee is still enrolled on January 1, 2018.
<u>Ineligible</u> if <u>any</u> of the listed criteria apply.	Enrollee is in a QHP offered outside the Exchange (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, 2017.
	Enrollee does not meet continuous enrollment criteria.
	Enrollee is no longer enrolled as of January 1, 2018.



Enrollee Eligibility Guidelines for QHP Issuers

- QHP issuers are required to generate a complete, accurate, and valid sample frame data file that is representative of the entire eligible population for each reporting unit
- Include all enrollees in QHPs offered through the Exchange who are still enrolled as of January 1, 2018
 - ★ Designated by HIOS ID variants -01 through -06 or -31 through -36 (for states with Medicaid 1115 waivers allowing access to Exchange plans)
 - Do not include enrollees in QHPs offered outside the Exchange (off-Exchange 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*



Enrollee Eligibility Guidelines for QHP Issuers (cont'd.)

- Include individuals ≥ 18 years (as of December 31, 2017) who have been enrolled for at least the past 6 months (since July 1, 2017) 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, 2017) 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, 2018, include enrollees that may be aligned to a different certified QHP issuer in the prior year (e.g., the gaining QHP should include the enrollees previously aligned to the ceding QHP issuer)



Enrollee Eligibility Guidelines for QHP Issuers (cont'd.)

- ! Include enrollees who have requested not to be contacted (e.g., are on a “Do Not Call” list)
 - Although excluded from the survey, these enrollees are included in the sample frame at the time it is created
- ! Exclude individuals who discontinue their coverage through the QHP for plan year 2018
 - ***Note:** QHP issuers are not permitted to generate a separate list of disenrollees. All exclusions of disenrollees must occur prior to submitting the sample frame for the HEDIS Compliance Audit*
- Exclude deceased enrollees as of January 1, 2018



Sample Frame Generation for QHP Issuers

- QHP issuers must produce a single sample frame data file for each reporting unit
- 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
 - When portions of required enrollee data are missing, QHP issuers must denote these elements with the valid value for *Missing*
- QHP issuers must adhere to the sample frame layout and format specified in Appendix H of the QAG
- QHP issuers may not append any additional fields to the sample frame that are not specified



Sample Frame Generation for QHP Issuers (cont'd.)

- QHP issuers may not generate sample frames prior to January 2018 and must remove disenrolled and deceased enrollees (as of January 1, 2018)
- 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 HEDIS Compliance Auditor to validate sample frames
 - QHP issuers are responsible for the accuracy of the sample frame
 - Once a QHP issuer has received a validated sample frame from the auditor, they must provide it directly to their contracted survey vendor in a secure manner



Sample Frame Validation for QHP Issuers

Step	Description
Step 1	<p>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.</p> <p>Note: <i>This is also the same number of reporting units for which the QHP issuer must select and authorize a survey vendor and verify required reporting unit information in the HOQ.</i></p>
Step 2	<p>The QHP issuer generates the sample frame data files per specifications.</p>
Step 3	<p>The QHP issuer delivers the sample frame data files to the NCQA HEDIS Compliance Auditor to allow the validation of the sample frame by January 31, 2018.</p> <p>Note: <i>Survey vendors notify CMS of any QHP issuer clients that have not provided a validated sample frame as of January 26, 2018.</i></p>
Step 4	<p>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.</p>
Step 5	<p>The auditor enters the result of the sample frame validation into the HOQ.</p>
Step 6	<p>The QHP issuer forwards the sample frame data files and documentation of sample frame validation results to the QHP Enrollee Survey vendor (via secure transmission).</p>
Step 7	<p>The survey vendor draws the survey sample and administers the QHP Enrollee Survey according to specifications.</p>



Sampling Protocol for Survey Vendors

- Definitions
- Protocol
- Count Variables
- Oversampling



Sampling Definitions for Survey Vendors (cont'd.)

- 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 for Survey Vendors (cont'd.)

- Remove duplicate entries before selecting the sample based on the following:
 - Name
 - Address
 - Date of Birth
- Assess the completeness of the contact information (e.g., mailing address, telephone number) included in the sample frame for each enrollee
 - If missingness 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 validated sample frame file
 - 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

Sampling Protocol for Survey Vendors (cont'd.)

- ★ **Step 1:** Sort sample frame into the following hierarchy
 - First: Sort by SFID (to group all family members covered)
 - Second: Group all EUIDs associated with the same SFID
- **Step 2:** Deduplicate sample frame
 - Deduplicate by EUID:
 - Use simple random sampling to retain one eligible EUID per SFID
 - Deduplicate by address if:
 - SFIDs are unique for each enrollee (i.e., the SFID acts like an EUID) in the covered family unit
 - Sample frame does not contain SFIDs
 - ! 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
- ★ Retain all sample data in a secure and environmentally controlled location for a minimum of three years

Count Variables for Survey Vendors

- 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 reporting unit before deduplication (field name=n-fr)
 - This value will be the same for all enrollees in the same reporting unit
 2. Count number of enrollees covered by the SFID associated with each retained EUID (field name=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
 - This value will vary by enrollee
 3. **Count** total number of records in sample frame for reporting unit after deduplication (field name=M)
 - This value will be the same for all enrollees in the same reporting unit

Oversampling for Survey Vendors

- 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 oversampling requests by January 5, 2018 (as part of Report #2)



“Do Not Survey” List for Survey Vendors


- Exclude from fielding sampled enrollees on survey vendor’s list from the prior survey year
 - Assign “X40—Ineligible: Not Eligible or on a ‘Do Not Survey’ List”
 - ! Enrollees cannot be excluded from the sample 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”
- List applies to all survey modes
- Survey vendors maintain list for 3 years
- ! Do not remove or replace enrollees who have requested to not be contacted from the sample



Fielding Additional Surveys for Survey Vendors

- ★ 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 fielding (January 1–April 30)
 - Strongly encourage excluding households and SFIDs that are sampled for the 2018 QHP Enrollee Survey





Sampling Questions?



Break 1



Data Collection Protocol

Data Collection Protocol Overview

- Survey Fielding
- Mail Protocol
- Telephone Protocol
- Internet Protocol





Survey Fielding

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 fielding schedule has changed for 2018*

Task	Date
Mail prenotification letter	Day 0
Open telephone customer support	Day 1
Mail first questionnaire with survey cover letter to nonrespondents (4 calendar days after prenotification letter is mailed)	Day 4
Mail reminder letter to nonrespondents (13 calendar days after first questionnaire is mailed)	Day 17
Mail second questionnaire with survey cover letter to nonrespondents (27 days (approximately 4 weeks) after first questionnaire is mailed)	Day 31



Survey Administration Schedule (cont'd.)

Task	Date
<p>Initiate telephone follow-up contact for nonrespondents (21 days after second questionnaire is mailed)</p> <ul style="list-style-type: none">• 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• <u>Note:</u> <i>Day 70 is the last day of the fielding period</i>	Day 52–70
<ul style="list-style-type: none">• End data collection activities• End all telephone interviews• Inactivate Internet survey• Close customer support line• <u>Note:</u> <i>Mail surveys received after the scheduled fielding end date (Day 71 or after) may not be included in data submission files</i>	Day 71



Supplemental Questions

- Survey vendors may not include supplemental questions on the 2018 QHP Enrollee Survey



Communication about Survey to QHP Enrollees

- QHP issuers may notify enrollees that they may be asked to participate in the 2018 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

- ACA Requirements and Nondiscrimination
- Production of Mail Materials
- Foreign Language Mail Administration
- Outbound Mail Requirements
- Inbound Mail Requirements



ACA Regulations and Nondiscrimination

- ! QHP issuers are required to provide taglines in non-English languages indicating availability of language services for limited English proficient individuals on website contents and documents “critical” for obtaining health insurance coverage or access to health care services
- ! QHP Enrollee Survey materials are not considered “critical” documents; however, QHP issuers may include the following statements on any QHP Enrollee Survey materials:
 - [Name of covered entity] complies with applicable Federal civil rights laws and does not discriminate on the basis of race, color, national origin, age, disability, or sex.
 - [Name of covered entity] cumple con las leyes federales de derechos civiles aplicables y no discrimina por motivos de raza, color, nacionalidad, edad, discapacidad o sexo.
 - [Name of covered entity] 遵守適用的聯邦民權法律規定，不因種族、膚色、民族血統、年齡、殘障或性別而歧視任何人。
- ! QHP issuers and survey vendors may not produce QHP Enrollee Survey materials in languages other than those specified in the QAG (i.e., English, Spanish, Chinese)
- ! Beyond the tagline statements above, QHP issuers and survey vendors may not change foreign language materials



Production of Mail Materials

- Must produce sufficient volume of survey materials in English and Spanish; Chinese *(if applicable)*
- Mail Materials
 - Prenotification Letter
 - Survey Cover Letters
 - Reminder Letter
 - Questionnaires
 - Envelopes
- English mail materials included in Appendix E
 - Spanish and Chinese materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI website
- Must be reviewed by Project Team
 - ★ Submit all materials as PDF files to MQITier2HelpDesk@bah.com



Production of Mail Materials (cont'd.)

- May not create or use any other translations of the QHP Enrollee Survey
- May not make changes to text or translations
- Include the same QHP issuer or reporting unit name in each specified fill location
 - This is the same name included in the <plan-name-fill> XML data element in the data submission file (Appendix I)
- May include tracking codes for quality control purposes



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 email
- Only the name of the survey vendor in the return address
- 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
- 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
- Printed in black on white paper
 - QHP issuer and/or survey vendor logos may be printed in color



English

- Must include information about Internet survey
- Must include instructions for completing Internet survey
- Must include 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

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
- Spanish and Chinese materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI 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 email
- ★ Survey vendors may include the return address of a subcontractor on all mail survey materials but the name associated with the return address must be that of the survey vendor 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 wrapped around the questionnaire
 - May not be attached to the questionnaire
- Must fit on one page
- 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
- Printed in black on white paper
 - QHP issuer and/or survey vendor logos may be printed in color



- Adheres to the same specifications as prenotification letters
- 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

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
- Printed in black on white paper
 - QHP issuer and/or survey vendor logos may be printed in color

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
- Spanish and Chinese materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI website

- Outbound Envelopes
 - Survey vendor name and address as the return address
 - Survey vendor logo or QHP issuer logo or both
 - No banners or taglines
 - ★ Taglines required by QHP issuers for legal purposes are permissible
 - *Optional:* Use of window envelopes (return address block must be visible through the envelope window)
- Business Reply Envelopes
 - Included with each questionnaire
 - Pre-paid
 - Pre-addressed to survey vendor or subcontractor
 - Return address name is that of the survey vendor only
- Envelopes may be printed on colored paper
 - Survey vendors track all reporting units for which envelopes are printed in color

- 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
 - Option to include unique IDs on each survey page
 - May not include enrollee name or address

- 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

May Not Change:

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

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
 - QHP issuer and/or survey vendor logos may be printed in color
- Font size equal to or larger than 11-point Times New Roman or Arial



Optional Questionnaire Formatting

- May 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"



Foreign Language Administration

- ! Work with QHP issuer clients to determine the best strategy for achieving optimal response rates in the administration of Spanish (or Chinese, if applicable) language surveys
- Make Spanish (or Chinese, if applicable) 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 (or Chinese) about how to request materials in Spanish (or Chinese) to all enrollees	Mail both English and Spanish (or Chinese) materials in the same envelope to all enrollees ("double stuff")	Mail Spanish (or Chinese) materials to enrollees with a Spanish (or Chinese) language preference and English materials to all other enrollees

Foreign Language Administration (cont'd.)

- All English materials must include instructions in Spanish (or Chinese, if applicable) on how an enrollee can request a Spanish (or Chinese) survey
 - Standard text included in letter templates
 - If using Option 2, letters may be printed with English on one side and Spanish (or Chinese) on the reverse side
- ! If an enrollee requests a Spanish (or Chinese) mail survey, the survey vendor must mail the survey within 2 business days
- Survey vendors may attempt to complete an inbound Spanish (or 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 within 24 hours of receipt
- 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



Processing Undeliverable Mail:

- 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 removing all enrollee-identifying information
- Must shred if contain PII

Processing Surveys Returned Blank:

- Assign interim disposition code
 - "M34—Blank Survey Returned or Incomplete Survey"
- ★ Not required to mail a second 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

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

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

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 date 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
- Select and review a sample of cases to verify that the scanning program is operating accurately and coding rules are being followed
 - Compare hardcopy survey responses to scanned entries
 - ★ Recommended minimum of 10%
 - ★ Must be conducted throughout the mail protocol



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
- Must provide CMS with documentation of subcontractor-specific oversight processes


Mail Protocol Summary

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





Mail Protocol Questions?



Polling Question 1



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
 - English script included in Appendix F
 - Spanish and Chinese materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI website
- Interviewer capacity must support data collection timeline
- Home-based interviewers are prohibited
- Interviews may not be completed on paper and key-entered post-interview
- Distressed respondent protocol is required



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

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
 - ★ Submit all materials to MQITier2HelpDesk@bah.com
- *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 19-day telephone interview period
- No more than 6 attempts may be made



Outbound Telephone Protocol (cont'd.)

- ★ Disenrollees are individuals who were insured by the Exchange within a reporting unit at the time that sampling occurred but who are no longer insured by the reporting unit at the time of survey

Handling Disenrollees:

- ★ Individuals who indicate by mail or Internet that they are no longer enrolled in the QHP are not to receive telephone follow-up
- ★ If an individual indicates that he or she is a disenrollee by phone
 - Do not interview
 - Do not make additional telephone attempts
 - Code as X40---Ineligible: Note Eligible or on a "Do Not Survey" List



Outbound Telephone Protocol (cont'd.)

Definition of 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
 - 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 19-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



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



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 Q81 of the CATI script



Telephone Interviewing Specifications

CATI Script Templates:

- English, Spanish, and Chinese scripts are available
 - English script included in Appendix F
 - Spanish and Chinese materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI website
 - May not be translated into any other languages
- Survey vendors must submit CATI system screenshots for review
 - Survey vendors are responsible for accurate programming of all survey skip patterns in the CATI system
 - CMS 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 D



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 monitoring must span the entirety of the telephone protocol (e.g., must be conducted at a 10% rate throughout the phone phase)



Telephone Interviewer Monitoring (cont'd.)

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



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 19-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
- CMS 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



- 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

1. Create secure Internet survey platform
2. Establish URL address
3. Program and test Internet survey instrument
4. Provide CMS with access to Internet survey
 - ★ Submit to MQITier2HelpDesk@bah.com
5. Assign customized login credentials
6. Include URL in prenotification and reminder letters
7. Collect Internet survey data



English

- English Internet script available in Appendix G
 - Text and programming conventions
 - Entry page script

Spanish

- Spanish materials available in QAG Foreign Language Supplements
 - Will be posted on the MQI website
- 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



- Adheres to language in the Internet survey script
 - Spanish translation of entry page available in QAG Foreign Language Supplements
 - Will be posted on the MQI 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 email 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

- One 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 not allowed
- Do not 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



- 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

Login Credential(s):

- Customized login (username and/or password)
- Assigned randomly
- Non-sequential
- Alphanumeric
- At least 8 characters in length
 - ★ If both a username and password are used, then both credentials must be at least 8 characters in length
- Customer support
 - May provide survey URL and login credential(s) to an enrollee
 - Via phone or email

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> 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
- CMS oversight
 - Review Internet survey instrument





Internet Protocol Questions?



Data Coding, Specifications and Submission

- 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 $\geq 50\%$ 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 2018, an enrollee must answer at least 8 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 Exhibit 12 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 Exhibit 11 of the QAG



Survey Disposition Codes (cont'd.)

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 Exhibit 14



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	<p>Sampled enrollee is unable to complete the survey because he/she is:</p> <ul style="list-style-type: none">• Mentally/physically incapable or residing in a group home/institution <u>and</u>• Either a proxy is not available <u>or</u> the sampled enrollee does not consent to a proxy	Mentally or Physically Incapacitated



Survey Disposition Codes (cont'd.)

Code	Description	Survey Status
X32	<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">★ Sampled enrollee returns blank mail survey/mail survey with no key items answered <u>and</u> either no other contact information is available <u>or</u> 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	<ul style="list-style-type: none">• 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 <u>and</u> the telephone number are found to be not viable	Bad Address and Bad Telephone Number See Exhibit 13



Survey Disposition Codes (cont'd.)

	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.)

- **Sufficient** 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
- **Insufficient** 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.)

Examples of Valid 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

Examples of Invalid Plan Aliases for Q2

- 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
<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	-3 = Missing
Questions have instructions to "Mark one or more" (Q78, Q82)	ALL selected responses are coded as 1 = Checked <i>Note: If all responses options are left blank, code as -3 = Missing rather than 0 = Not Checked</i>
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" <i>Note: Failed skips should not be edited/cleaned</i>

Processing Written Text Responses for Question 2

- ! Do not edit written responses to Q2 (except for the redaction of PII)
- Enter text response data in the final data file exactly as it is written on the mail survey
- Do not correct misspelled health plan names
 - If the misspelled plan name is recognizable as a valid plan alias, the enrollee is eligible for the survey
- If only a product type is provided, the enrollee is considered eligible regardless of whether that product type aligns with the product type associated with the reporting unit
- If only a metal level is provided, the enrollee is considered eligible regardless of whether that product type aligns with the metal level(s) associated with the reporting unit



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 (cont'd.)

- Special instructions for coding the race variable

When	Code As
Telephone Q78D (Are you Asian?) = 0 (No) <u>Note:</u> <i>Q78D is not included in final data file</i>	asian-indian, chinese, filipino, japanese, korean, vietnamese, other-asian = 0 (Not Checked)
Telephone Q78L (Are you Native Hawaiian or Pacific Islander?) = 0 (No) <u>Note:</u> <i>Q78L is not included in final data file</i>	native-hawaiian, guamanian-chamorro, samoan, otr-pacific-island = 0 (Not Checked)
Mail Survey Q78 = 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
 - ★ Recommended minimum of 10%
 - Compare hardcopy responses to scanned responses to responses entered in data files
 - ★ Recommended minimum of 10%
 - Calculate and review response rates on periodic basis
 - Conduct data file review
 - Compare completed telephone interview responses to values output in the data file
 - ★ Recommended minimum of 10%
- ★ Checks must be performed by a different staff member than the individual who originally performed the task

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 I in QAG



Data Submission Process

- Survey vendors will submit data files via Secure File Transfer Protocol (SFTP)
- Data Submission Training in Spring 2018
- Test File(s): April 10 – 12, 2018
 - 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, 2018
 - 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 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



Polling Question 2



Data Analysis and Public Reporting

- Data Analysis and Scoring Specifications
- Data Cleaning Procedures
- Case-Mix Adjustment
- Public Reporting
- 2018 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 2018
 - *QRS & QHP Enrollee Survey: Technical Guidance for 2018*
 - Scoring specifications for the HEDIS[®]-based clinical measures available in the *QRS Measure Technical Specifications*



Data Cleaning Procedures

- CMS uses a forward-cleaning approach to edit and clean survey data
- “Screener” item responses control how subsequent items are treated
 - Retain the original response
 - Set the response to a missing value
- Survey vendors never clean or recode survey response data



Data Cleaning Procedures (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 Procedures (cont'd.)

Scenario in Data File		Data Cleaning Step Taken	
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 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

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

- The QRS utilizes data from 11 survey-based measures
- Includes 2 HEDIS®-based clinical measures
 - Flu Vaccinations for Adults Ages 18–64*
 - Medical Assistance with Smoking and Tobacco Use Cessation*
- Refer to Exhibit 18: Crosswalk of 2018 QHP Enrollee Survey Questions included in the QRS

Public Reporting (cont'd.)

Criteria	Required to Field 2018 QHP Enrollee Survey?	Eligible to be Publicly Reported?
Reporting Unit began Operating in Plan Year (PY) 2018	No	No
Reporting Unit began Operating in PY 2017 and Continued Operating in PY 2018	Yes	No
Reporting Unit Began Operating in PY 2016 and Continued Operating in PY 2017 and 2018	Yes	Yes

QRS Preview Period:

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

Public Reporting (cont'd.)

- CMS will display the 2018 QRS global rating and 3 summary indicator ratings on HealthCare.gov for each eligible QHP
- CMS anticipates that Exchanges and SBMs will display the quality rating information assigned to each QHP as calculated by CMS on their respective websites in time for the open enrollment period for 2019
- CMS will release additional details specifying the form and manner in which CMS will display QHP quality rating information at HealthCare.gov



- Produced for all reporting units that field the 2018 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
- ★ Exhibit 20 provides information for reviewing QHP Enrollee Survey results
- Scoring guide will accompany the 2018 QI Reports

2018 Reporting Timeline

Activity	Timeframe
QHP Enrollee Survey data submission deadline	May 25, 2018
QHP issuer submits validated QRS clinical measure data	June 15, 2018
Data processing and scoring	May – July 2018
QHP issuers and Exchanges preview the QHP quality rating information	Anticipated August 2018
QHP Enrollee Survey Quality Improvement (QI) Reports made available to QHP issuers	Anticipated Fall 2018
Exchanges begin publicly displaying QHP quality rating information	November 1, 2018



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
 - Recode responses for Q7, Q13, and Q32
- 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)
 - May include data for Q3–Q9; Q12–Q46
 - May not include data for Q10 or Q11
 - May not include data for the cost items (Q47–Q49)
 - May not include data for the “About You” items (Q55–Q82)
 - 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
- Exchanges 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
- Data Record Review
- Quality Assurance Plan (QAP)
- Seeded Mailings
- 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 **all applicable languages** to MQITier2HelpDesk@bah.com
 - Mail Materials
 - English and Spanish required, Chinese optional
 - Must be submitted as PDF files
 - Telephone Script
 - Screenshots of programmed 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 all survey materials as a .zip file with following email subject line:
 - [SURVEY VENDOR NAME] QHP [INSTRUMENT TYPE] Material Review
 - Instrument Type = Language(s) and Mode(s)
 - E.g., XYZ Inc. QHP English Mail Material Review
 - Survey vendors may make multiple email submissions
 - All materials must appear as they would to a respondent or telephone interviewer
- Feedback provided within 10 business days
- Submit revisions within 5 business days of resubmission request
- Timeframe: November 13, 2017 – January 18, 2018



- Conduct review of 2017 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 – December 2017

Quality Assurance Plan (QAP)

- Documents compliance of survey fielding protocols with QAG requirements
- Model QAP serves as template
 - Appendix C 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
- Deadline: December 8, 2017



- Integrated with survey mailing sample
- Include designated CMS representatives in mailing database
- Include survey vendor personnel
- Seed one reporting unit for each survey language being implemented by mail
 - Seed Project Team for one English reporting unit
 - For Spanish and Chinese, only seed Project Team if a letter and/or survey is mailed in Spanish or Chinese
- Timeframe: February – April 2018

Customer Support Review

- Customer Support Telephone Line
 - Ask standard set of questions from FAQ
 - Confirm customer support staff responses are appropriate and accurate
- Customer Support Email
 - Send standard set of FAQ to project-specific email address
 - Confirm accuracy of responses
 - Verify 24-hour turnaround time is met
- Timeframe: March 2018



- 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 2018

Telephone Interview Monitoring

- Assess interviewer compliance with telephone specifications
- Two-hour session
 - Web-Ex format required for remote sessions
- Required with each telephone subcontractor if more than one used
- Timeframe: April 2018



- Data Submission
 - Analysis of submitted data
 - Follow-up if errors found
 - Timeframe: May 11 – 25, 2018
- Data File Resubmission
 - Revised data files submitted within 3 business days
 - Timeframe: May 28 – 31, 2018

Discrepancy Report

- Immediately notify CMS of any deviations from standard protocols during sampling, fielding, or data submission
- Submit completed report within 1 business day of discovery
 - Discrepancy Report Form Template found in Appendix J



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

- Issued when survey vendor:
 - Fails to demonstrate adherence to protocols and guidelines
 - Experiences ongoing problems during fielding
- Schedule and status determined by CMS
- 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 to MQITier2HelpDesk@bah.com

- Use the following email subject line:
 - [SURVEY VENDOR NAME] Report [#] Submission
 - E.g., XYZ Inc. Report #1 Submission

Report	Activity	Comment	Due Date
#1	Survey Vendor QAP	<ul style="list-style-type: none">• Addresses all required elements of survey administration	December 8, 2017
#2	Preliminary QHP Client List	<ul style="list-style-type: none">• Client list for reconciliation• Oversampling requests	January 5, 2018
#3	Final QHP Client List	<ul style="list-style-type: none">• Final QHP client list• Sample frame receipt status	February 12, 2018
#4	Interim Progress Report	<ul style="list-style-type: none">• Fielding status for each QHP reporting unit• Summary of customer support calls and emails	April 5, 2018
#5	Final Report	<ul style="list-style-type: none">• Discussion of survey implementation and lessons learned• Requests to take the survey in languages other than English, Spanish, or Chinese• Recommendations for next year	May 31, 2018



Quality Oversight Summary

- CMS 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 to MQITier2HelpDesk@bah.com :
 - QAP
 - Survey Materials
 - Discrepancy Report(s) and Corrective Action Plan(s)
 - Survey Vendor Reports





Quality Oversight Questions?



Wrap-Up and Next Steps

- One individual from survey vendor firm must complete training evaluation
 - Available immediately following training
 - Due COB October 26, 2017
 - Final approval notifications will be sent November 1
 - Final approval status to be posted to MQI website November 2
- Training slides to be posted on MQI website
 - <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/QualityInitiativesGenInfo/Health-Insurance-Marketplace-Quality-Initiatives.html>

- MQI Website
 - <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/QualityInitiativesGenInfo/Health-Insurance-Marketplace-Quality-Initiatives.html>
- Technical Assistance
 - Email: MQITier2HelpDesk@bah.com



Questions?
