Health Insurance Marketplace

2019 Qualified Health Plan Enrollee Experience Survey Vendor Training

October 16, 2018

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. – 11:45 a.m.
Eligibility and Sampling	11:45 a.m. – 12:20 p.m.
Break 1	12:20 p.m. – 12:30 p.m.
Data Collection Protocol	12:30 p.m. – 2:00 p.m.
Data Coding, File Specifications and Submission	2:00 p.m. – 2:35 p.m.
Break 2	2:35 p.m. – 2:45 p.m.
Data Analysis and Public Reporting	2:45 p.m. – 3:05 p.m.
Vendor Quality Oversight	3:05 p.m. – 3:25 p.m.
Wrap-Up and Next Steps	3:25 p.m. – 3:30 p.m.

Housekeeping

★ = New/Revised Guidance for 2019

! = Existing Guidance Emphasized for 2019

__Note:__ A summary of changes is included in the 2019 Technical Specifications

2019 Technical Specifications Changes

★ General Changes to the Technical Specifications:

- Updated name to the *QHP Enrollee Survey Technical Specifications*
- Restructured and reorganized the document to include sets of requirements collapsed into checklists
- Included process graphics and roadmaps to explain the administration process and reporting requirements
- All standard survey material templates in all languages and the Discrepancy Report template are posted on the MQI website as Word documents

Welcome

Program Overview

Overview

- Roles and Responsibilities
  - Project Team
  - QHP Issuers
  - Vendors
- Survey Overview
  - About the Survey
  - Survey Measures
  - 2019 Survey Administration
- Technical Assistance

Project Team

Centers for Medicare & Medicaid Services (CMS)	Booz Allen Hamilton; 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

- Provide Technical Specifications
- Train 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 HHS-approved vendor to conduct survey
- Contract with NCQA HEDIS® Compliance Auditor to validate sample frame
- Authorize vendor to conduct survey via NCQA's Healthcare Organization Questionnaire (HOQ)
- ★ Generate sample frame for each reporting unit according to specifications (no earlier than January 8, 2019)
- Complete sample frame validation process by January 31, 2019
- Provide validated sample frame to vendor
- ! Notify CMS of any changes in eligibility status within 3 business days but no later than date specified in 2019 Operational Instructions

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

Roles & Responsibilities: QHP Issuers (cont'd.)

Vendor Authorization via NCQA's HOQ

- Select vendor from list of approved vendors in HOQ for each reporting unit required to conduct 2019 QHP Enrollee Survey
  - Not a substitution for the contracting process
- 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, 2019
- HOQ available beginning early January 2019
- Additional information will be provided to QHP issuers in the 2019 Operational Instructions (released Fall 2018)

Roles & Responsibilities: Vendors

- Follow all rules of participation and program requirements
- Draw sample from validated sample frame
- Administer survey
- Oversee work quality of staff and subcontractors
- Submit data files in accordance with 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 28, 2019

About the Survey

- Includes 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)
  - *2019 Quality Rating System and Qualified Health Plan Enrollee Survey Technical Guidance*
- Data used in Quality Improvement (QI) Reports

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

2019 QHP Enrollee Survey

★ ***Note:*** *The QHP Enrollee Survey has changed for 2019*

- Reduced total number of questions from 82 to 68
  - Collapsed 14 gate questions
- Q3, Q4, Q5, Q6, Q9, Q12, Q20, Q21, Q24, Q26, Q32, Q34, Q39, and Q41 now include "Not Applicable" response option
- Moved up "Your Health Plan" question set to follow Q2
- Transferred health literacy questions (Q17 and Q18) from "About You" section to "Your Health Plan" section
- Moved global rating items to end of relevant section
- Revised skip patterns accordingly

2019 QHP Enrollee Survey Timeline

Task	Date
Conditionally approved vendors contract with QHP issuers.	September – December 2018
2019 QHP Enrollee Survey Vendor Training.	October 16, 2018
Vendors are notified of final approval status.	October 25, 2018
CMS conducts remote data records reviews of 2018 data.	November – December 2018
Survey Materials: Vendors submit: • **Mail:** Print materials [English, Spanish; Chinese (*if applicable*)]. ★ **Internet:** 10 sample user names/passwords for testing Internet survey and programmed emails (English, Spanish). • **Telephone:** Screenshots of CATI programming (English, Spanish; Chinese, if applicable).	★ **Deadline (Mail):** November 19, 2018 ★ **Deadline (Internet):** December 10, 2018 ★ **Deadline (Telephone):** January 8, 2019
Report #1: Vendors submit Quality Assurance Plan (QAP).	**Deadline:** December 7, 2018
Report #2: Vendors submit preliminary QHP client list and oversampling requests.	**Deadline:** January 7, 2019

2019 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
• QHP issuers generate sample frame for each sampling unit. • QHP issuers arrange for NCQA HEDIS Compliance Auditor to perform sample frame validation. • Vendors verify QHP issuers complete the NCQA Healthcare Organization Questionnaire (HOQ).	★ January 8 – 31, 2019
• Vendors receive validated sample frames and obtain confirmation that NCQA-Certified HEDIS Compliance Auditor validated sample frame. • Vendors draw survey sample.	★ January 8 – February 2019
QHP issuers notify CMS if no longer meet enrollment threshold as of January 1, 2019.	Mid-January 2019
Vendors notify CMS of QHP issuer clients that have not provided validated sample frame.	**Deadline:** January 28, 2019

2019 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
• QHP issuers complete sample frame validation and vendor authorization in HOQ. • QHP issuers complete contracting activities.	**Deadline:** January 31, 2019
Vendors administer QHP Enrollee Survey.	★ January 8 – May 2019
Report #3: Vendors submit final QHP client list.	**Deadline:** February 12, 2019
Report #4: Vendors submit interim progress report.	**Deadline:** April 5, 2019
Vendors submit interim data file for testing purposes.	April 10 – 12, 2019
Data submission: • Files due by 11:59 p.m. ET on May 24, 2019.	May 10 – 24, 2019
• Data resubmission (if requested). • Must submit within 3 business days of date requested.	May 28 – 31, 2019
Report #5: Vendors submit final report.	**Deadline:** May 31, 2019

Technical Assistance for Vendors

- CMS Marketplace Quality Initiatives (MQI) Website
  - General information, important news, and updates
  - Materials that support survey implementation
  - 2019 QHP Enrollee Survey Technical Specifications
  - ★ 2019 QHP Enrollee Survey Instruments (English, Spanish, Chinese)
  - ★ Discrepancy Report Template
  - ★ Notarized attestation of translation accuracy for Spanish and Chinese materials
  - 2019 QRS and QHP Enrollee Survey Technical Guidance
- Technical Assistance
  - Email: QHPSurveyVendor@bah.com
  - ★ Submit all inquiries, materials, and reports to this address

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 (MQI) Website
  - http://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/QualityInitiativesGenInfo/Health-Insurance-Marketplace-Quality-Initiatives.html
  - *2019 Quality Rating System and Qualified Health Plan Enrollee Survey Technical Guidance*

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 2019 QHP Enrollee Survey Vendor Training and all subsequent trainings
- Make Technical Specifications 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

- Establish interviewer training and monitoring process
- Training Topics
  - Telephone protocols and question specifications
  - Content and purpose of survey
  - Standardized, nondirective interviews
  - Refusal avoidance and conversion techniques
  - System navigation
- Telephone Customer Support Agent & Interviewer Guidance (Appendix E)
  - ★ New guidance for Customer Support Agents

Personnel Training – Telephone Protocol (cont'd.)

- Frequently Asked Questions (FAQ) (Appendix D)
  - ★ New Items:
    - I have a question/complaint about the care that I received.
    - I have a question/complaint about billing or other administrative matters.
    - Can you send me a survey in a language other than English, Spanish, or Chinese?
    - Is it too late to send back my survey?
  - ★ Responses revised for clarity and standardized in all languages
  - Must be able to provide answers in all survey languages offered

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 interviewers or scheduling callbacks
  - ★ Refer to Inbound Telephone Interviewing Protocol section of 2019 CATI Script (i.e., [INTRO 3-1: INBOUND REQUESTS])
- Train on threats respondent may make to self or others

★ Telephone Customer Support Agent & Interviewer Guidance (Appendix E)

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, or data submission
- Must obtain signed confidentiality agreements
- Must comply with all HIPAA rules and regulations for safeguarding PII (vendors and subcontractors)
- Must provide and document oversight processes in QAP
- Must participate in all required oversight activities
- *<u>Note</u>: Vendors must attend subcontractor training sessions*

Survey Management System

- Survey Management System (SMS) used to track:
  - Sampled enrollee data elements by unique ID
    - Unique IDs must be de-identified numbers and cannot contain PII
  - Data collection activities
    - Updated address and/or phone number
    - Undeliverable return
    - Date and outcome of mail survey attempts
    - Date and outcome of telephone attempts
    - Date and outcome of Internet attempts
- Data collection activities must be logged in SMS within <u>24 hours</u>
- Vendors test system prior to implementation

Data Security and Confidentiality

- Keep confidential data physically and electronically secure
  - Store data in password-protected locations
  - Separate any PII from sampled enrollee response data
  - Keep confidential hardcopy information in locked room or file cabinet
  - Never remove confidential data from 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 confidential data access 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 data files prior to submission
  - Question 2
  - 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
  - ★ Includes sample frame file
  - Returned mail surveys or scanned images of hardcopy mail surveys
  - ! Confirm scanned images saved in SMS before securely destroying hardcopies

Customer Support

- Establish toll-free telephone number
  - Staffed live during 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
  - ★ If line not project-specific, must probe caller to confirm survey in question
- 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

Customer Support (cont'd.)

- Respond to questions in all languages offered
- Document and track questions and responses
- Collect information on requests to complete survey in other languages
  - Specify language and count
  - Include findings in Report #5
- ★ FAQ available in Appendix D and [MQI Website]
  - Updated to reflect changes to survey and include additional questions
  - Available in English, Spanish, and Chinese

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 Technical Specifications
- Retain data for at least 3 years
- Establish toll-free number and project-specific email address

Survey Management and Data Security Questions?

Eligibility & Sampling

QHP Eligibility & 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
- Conducting Quality Control Checks for Sample Frame Files

QRS and QHP Enrollee Survey Data Submission Eligibility Roadmap

1

Combine same product-types to create a reporting unit

- QHP issuers must combine the on-Exchange enrollees for each product type in a State (e.g., EPO,HMO, POS, PPO) offered through an Exchange
- Issuers must combine enrollees from Individual and SHOP plans for each product type.
- Applies to all Exchange QHP's with variant IDs -01 through -06
- Applies to QHPs in States with on-Exchange Medicaid Expansion with variant IDs -31 through -36

2

Did the reporting unit operate on an Exchange in 2018?

- *If yes, continue to step 3*
- *If no, stop. Reporting unit is exempt from data submission*

3

Did the reporting unit operate on an Exchange in 2019?

- *If yes, continue to step 4*
- *If no, stop. Reporting unit is exempt from data submission*

4

Does the issuer anticipate discontinuing the report unit prior to June 15, 2019?

- Refer to the CCIIO ***Uniform Modification and Plan/Product Withdrawal FAQ*** for the difference between discontinuation and uniform modification
- *If no, continue to step 5*
- *If yes, stop. Reporting unit is exempt from data submission*

5

Did the reporting unit meet the first enrollment threshold?

- Does the reporting unit have more than 500 enrollees as of July 1, 2018?
- *If yes, continue to step 6*
- *If no, stop. Reporting unit is exempt from data submission*

6

Did the reporting unit meet the second enrollment threshold?

- Does the reporting unit have more than 500 enrollees as of January 1, 2019?
- *If yes, continue to step 7*
- *If no, stop. Reporting unit is exempt from data submission*

7

Data Submission Eligible

- Reporting unit is required to submit QRS Clinical data and QHP Enrollee Survey Data
- *Note:* Reporting units will not be eligible to receive a QRS rating until their third consecutive year of operation on an Exchange

Definitions and Examples

- **Operational**
  The QHPs in the reporting unit are available for purchase on an Exchange (SHOP or individual), accepting new members or groups and/or have active or existing members.
- **Not Operational**
  The QHPs in the reporting unit are not sold on an Exchange (SHOP or individual), are not accepting new members or groups, and do not have active or existing members (i.e., zero members).
- **Discontinued**
  The QHPs in the reporting unit will not be offered (i.e., not offering to new members and/or not available for purchase during the upcoming open enrollment period) through an Exchange and will not be operational.
  - Example: The QHPs in the reporting unit will not be sold through an Exchange and have zero active members in the ratings year prior June 15, 2019. Please navigate to the ***Uniform Modification and Plan/Product Withdrawal FAQ*** for additional information on discontinuation and uniform modification.

A text version of this roadmap can be found on slide 243

Reporting Unit Definition for QHP Issuers

- Defined as the unique State-product type offered by QHP issuer through the Exchange, including QHPs in both the individual market and the Small Business Health Options Program (SHOP)
  - Product Type = HMO, POS, PPO, or EPO
  - Indemnity plans (i.e., fee for service plans), stand-alone dental, or child-only plans are not included
- QHP issuers create sample frame of all survey-eligible enrollees 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)
  - Cannot combine product types
- Identified by a Reporting Unit ID
  - Issuer ID (5-digit)–State (2-character)–Product Type (3-character)
  - 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 plan levels (silver and gold) are offered through the Exchange for a given product type (HMO) in a state for a QHP issuer, then all HMOs offered by that issuer in that state are considered a single reporting unit
- 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
- QHP issuer offering the same product type in the individual market (individual and family plans) and SHOP within a state must combine enrollees from the individual and family plans 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 (or operational)* through an Exchange in the prior year (2018)
  - Offered (or operational) through an Exchange in the ratings year (2019)
  - Included more than 500 enrollees as of July 1, 2018
  - Included more than 500 enrollees as of January 1, 2019
- "Operational" is defined as:
  - The QHPs in the reporting unit are available for purchase on an Exchange (SHOP or Individual), accepting new members or groups and/or have active or existing members.
- "Not Operational" is defined as:
  - The QHPs in the reporting unit are not sold on an Exchange (SHOP or Individual), are not accepting new members or groups and/or do not have active or existing members (i.e., zero members).

! QHP issuers must use a consistent approach when determining the eligible population and reporting for the QHP Enrollee Survey, the QRS clinical quality measures, and for each product

__Note:__ All enrollees within the product type are included in the count of enrollees for this requirement (not just "survey eligible" enrollees)

* *Offered is the official statutory language; to determine whether a plan is 'offered' or 'not offered', please refer to the operational status definitions in the 2019 Technical Specifications*

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

- Reporting units discontinued before June 15, 2019 are exempt from QRS and QHP Enrollee Survey requirements
- "Discontinued" is defined as:
  - The QHPs in the reporting unit will not be offered (i.e., not offering to new members and/or not available for purchase during the upcoming open enrollment period) through an Exchange and will not be operational
- For an eligible reporting unit impacted by a QHP issuer change in ownership (e.g., merger, acquisition) effective as of January 1, 2019, the gaining QHP issuer is responsible for meeting the survey requirements
- QHP issuers with more than 500 enrollees as of July 1, 2018, that are uncertain if they will have more than 500 enrollees as of January 1, 2019, proceed as though they will be required to field the survey
  - If the QHP issuer does not meet the January 1, 2019 minimum enrollment threshold, the QHP issuer must notify CMS within 3 business days but <u>no later than</u> the date specified in the 2019 Operational Instructions

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

Operating Status Criteria	Required to Field 2019 QHP Enrollee Survey
Reporting Unit began operating in Plan Year (PY) 2019	No
Reporting Unit began operating in PY 2018 and continued operating in PY 2019	Yes
Reporting Unit began operating in PY 2017 and continued operating in PY 2018 and PY 2019	Yes
Reporting Unit began operating in PY 2017, did not operate in PY 2018, and resumed operating in PY 2019	No
Reporting Unit began operating in PY 2017, continued operating in PY 2018, and will not operate in PY 2019	No

QHP Eligibility Guidelines for QHP Issuers – Examples

Reporting Unit	Enrollment as of July 1, 2018 (total and per individual market vs. SHOP)	Enrollment as of January 1, 2019 (total and per individual market vs. SHOP)	Offered as of June 15, 2019	Meet participation criteria? (i.e., required to submit QRS and QHP Enrollee Survey measure data)?
12345-WV-PPO	505 (505 individual, 0 SHOP)	505 (505 individual, 0 SHOP)	Yes	Yes
12345-WV- HMO	601 (501 individual, 100 SHOP)	N/A	No – Discontinued as of December 31, 2018	No – Not operating in ratings year
12345-MD- PPO	100 (55 individual, 45 SHOP)	100 (55 individual, 45 SHOP)	Yes	No – Insufficient enrollment size in both years
12345-MD- HMO	700 (700 individual, 0 SHOP)	300 (300 individual, 0 SHOP)	Yes	No – Insufficient enrollment size as of January 1, 2019
12345-MD- EPO	505 (300 individual, 205 SHOP)	501 (300 individual, 201 SHOP)	Yes	Yes
12345-MD- HMO	500 (300 individual, 200 SHOP)	500 (300 individual, 200 SHOP)	Yes	No – Insufficient enrollment size in both years

Summary of Eligibility Guidelines for QHP Issuers

Enrollee Eligibility Status	Eligibility Criteria
Eligible if all 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, 2018.
	Enrollee meets continuous enrollment criteria.
	★ Enrollee is still enrolled on January 7, 2019.
	Enrollees who have requested to not be contacted (i.e., on a “Do Not Survey” list).
Ineligible if any of the listed criteria apply	Enrollee is in a QHP offered outside the Exchange (HIOS variant ID -00) or a non-QHP.
	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, 2018.
	★ Enrollee does not meet continuous enrollment criteria.
	★ Enrollee discontinued enrollment for the plan year 2019 prior to 11:59 p.m. ET January 7, 2019.
	★ Enrollee is deceased as of January 7, 2019.

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 11:59 p.m. ET on January 7, 2019 (anchor date)
  - ! 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 (including SHOP plans)
  - 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 <u>continuously enrolled</u> individuals ≥18 years (as of December 31, 2018) enrolled from July 1 through December 31, 2018 with no more than one 31-day break
  - Enrollees who switch among different product lines (commercial, Medicaid, Medicare) or products (HMO, POS, PPO, EPO) within the eligible QHP during this period are considered continuously enrolled and included in the product line/product they were enrolled in at the end of the continuous enrollment period (i.e., December 31, 2018)
- Include <u>currently enrolled</u> individuals who are enrolled in the eligible QHP at the end of the continuous enrollment period (i.e., December 31, 2018) <u>and</u> on January 7, 2019
- 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, 2019, include enrollees that may have been aligned to a different certified QHP issuer in the prior year (e.g., the gaining QHP should include the enrollees <u>previously aligned to the ceding QHP issuer</u>)

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

- Include enrollees who have requested not to be contacted (e.g., are on a "Do Not Survey" 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 2019 as of January 7, 2019
  - ***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 7, 2019

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 layout and format specified in Sample Frame File Layout (Appendix F)
  - Added new fields: Enrollee Email Address, Enrollee Phone 2, and Total Enrollment
  - Removed field: SCID
  - Added new Metal Level: 6 = Bronze Expanded
- QHP issuers may not append any additional fields to the sample frame

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

- ★ QHP issuers may not generate sample frames prior to January 8, 2019 and must remove disenrolled and deceased enrollees (as of January 7, 2019)
- Sample frame will include multiple adults (18 and older) from same policy
  - 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 no later than January 31, 2019
  - QHP issuers are responsible for the accuracy of the sample frame
  - Once a QHP issuer receives the validated sample frame from the auditor, they must provide it to their contracted vendor securely

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

Step	Description
Step 1	In the NCQA HOQ, the QHP issuer enters information for each QHP Enrollee Survey reporting unit it is required 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 vendor and verify required reporting unit information within the HOQ.*
Step 2	The QHP issuer generates the sample frame data file(s) per specifications.
Step 3	The QHP issuer delivers the sample frame data file(s) to the NCQA HEDIS Compliance Auditor (auditor) to allow the validation of the sample frame by January 31, 2019. *Note:* *Vendors notify CMS of any QHP issuer clients that have not provided a validated sample frame as of January 28, 2019.*
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 the desired audit result is achieved.
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 file(s) and documentation of sample frame validation results to the vendor (via secure transmission).
Step 7	The vendor draws the survey sample and administers the survey according to specifications.

Conducting Quality Control Checks for Sample Frame Files

- QHP issuers must conduct quality control checks on data included in the sample frame file.
- Quality control checks verify that data from the sample frame are accurately captured and prevent sampling errors
- Examples include, but are not limited to:
  - Verify that organization is listed in the "Reporting Units Required to Submit 2019 QHP Enrollee Survey Response Data and QRS Clinical Measure Data" in the *2019 Qualified Health Plan Enrollee Experience Survey: Operational Instructions* (Reporting Unit ID [Issuer ID-QHP State-Product Type])
  - Compare the frequencies and count distributions of sample frame data to the previous survey administration year (2018)
    - Investigate for significant (suggested greater than 30%) changes and determine if data are accurate

Conducting Quality Control Checks for Sample Frame Files (cont'd.)

Quality Control Checks for Sample Frame Files	✓
Verify that organization is listed in the "Reporting Units Required to Submit 2019 QHP Enrollee Survey Response Data and QRS Clinical Measure Data" in the *2019 Qualified Health Plan Enrollee Experience Survey: Operational Instructions* (Reporting Unit ID [Issuer ID-QHP State-Product Type]).	
Verify that the Reporting Unit for the QHP Enrollee Survey and QRS is defined by the unique State-Product Type (EPO, HMO, POS, and PPO) for each QHP issuer. QHP issuers may not combine States or Product Types.	
Verify that the sample frame contains the entire eligible population, including both the individual market and SHOP enrollees.	
Verify that enrollees are in QHPs offered through an Exchange. These Exchange QHPs are designated as HIOS Variant IDs -01 through -06 and -31 through -36 for Medicaid Expansion QHP enrollees.	
Verify that data elements are assigned correctly, and all required fields contain allowed values.	
Verify that the population included in the sample frame matches the population being reported. For example, if an Exchange PPO file is being reported, then no Exchange HMO members should be included in the file.	

Conducting Quality Control Checks for Sample Frame Files (cont'd.)

Quality Control Checks for Sample Frame Files	✓
Run frequencies and count distributions on sample frame data to check for outliers and anomalies (including missing values). Investigate sample frame files if there are notable differences or missing values and determine if the data are accurate.	
Compare the frequencies and count distributions of sample frame data to the previous survey administration year (2018). Investigate for significant (suggested greater than 30%) changes and determine if the data are accurate.	
Verify that organizations with Medicaid Expansion QHP enrollees (Field Position 598, 1=Yes) have a Variant ID value between -31 and -36.	
Verify that all records within a sample frame have the same value for Product Type, Issuer ID, QHP State, and Reporting Unit ID.	
Verify that the Reporting Unit ID (Issuer ID-QHP State-Product Type) in the file name matches those populated in the data.	
Verify that QHP Issuer Legal Name does not include extra spaces, abbreviations, or acronyms. ***Note:*** *This variable is how the QHP Issuer name will appear in the Quality Improvement (QI) Report*	

Sampling Protocol for Vendors

- Definitions
- Protocol
- Count Variables
- Oversampling

Sampling Definitions for Vendors

- 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 Vendors (cont'd.)

- Remove duplicate entries before selecting sample based on the following:
  - Name
  - Address
  - Date of Birth
- Assess the completeness of contact information (e.g., mailing address, telephone number) included in sample frame for each enrollee
  - If missingness threatens response rates, vendors may request additional contact information from the QHP issuer
  - If available, QHP issuers provide updated contact information for all enrollees in the <u>full</u> validated sample frame file
  - QHP issuers use a secure transfer method to provide the vendor with updated sample frame file
  - Vendors may update contact information in the drawn survey sample based on these updates and use for contact attempts
    - Vendors <u>never</u> send selected survey sample to QHP issuers or ask for updated information for a particular enrollee

Sampling Protocol for 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 SFID
    - 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 secure and environmentally controlled location for minimum of 3 years

Count Variables for 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 <u>before</u> deduplication (field name=n-fr)
     - This value will be the same for all enrollees in the same reporting unit
  2. Count number of survey-eligible enrollees covered by the SFID associated with each retained EUID (field name=K)
     - Calculate by summing number of EUIDs per SFID <u>before</u> deduplication
     - If no SFIDs, calculate by summing the number of EUIDs per mailing address <u>before</u> deduplication
     - This value will vary by enrollee
  3. Count total number of records in sample frame for reporting unit <u>after</u> deduplication (field name=M)
     - This value will be the same for all enrollees in the same reporting unit

Oversampling for 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 vendor as early as possible
- Vendors submit oversampling requests by January 7, 2019 (as part of Report #2)

“Do Not Survey” List for Vendors

- Exclude from fielding sampled enrollees on vendor’s “Do Not Survey” list from prior survey year
  - ★ Assign “X43—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
- 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 Vendors

- 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 – May 15)
  - Strongly encourage excluding households and SFIDs that are sampled for the 2019 QHP Enrollee Survey

Eligibility & Sampling Summary

- Eligibility guidelines for
  - QHP issuers
  - Enrollees
- QHP issuers generate a single sample frame data file for each reporting unit no earlier than **January** 8, 2019
- QHP issuers validate sample frame data files
- QHP issuers conduct quality control checks on data included in the sample frame file
- Vendors draw the survey sample per protocol and prepare for fielding

Eligibility and 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
Internet Survey (Required)	Internet Survey ★ (Required)	-
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 is changing for 2019*

Task	Date
• Activate Internet survey • Mail prenotification letters to sampled enrollees ★ Send prenotification email to sampled enrollees *(if applicable)* • Open telephone customer support line	Day 0
• Mail first survey with cover letter to non-respondents 6 calendar days after prenotification letter is mailed ★ Send reminder email to non-respondents 6 calendar days after prenotification email is sent *(if applicable)*	Day 6

Survey Administration Schedule (cont'd.)

Task	Date
• Mail reminder letter to non-respondents 19 calendar days after first survey is mailed* ★ Send reminder email to non-respondents 19 calendar days after prenotification email is sent *(if applicable)*	Day 19
• Mail second survey with cover letter to non-respondents 27 calendar days after first survey is mailed*	Day 33
• Initiate telephone follow-up contacts for non-respondents 21 calendar days after second survey is mailed	Days 54-72
• End data collection activities • End all telephone interviews • Deactivate Internet survey • Close customer support toll-free line	Day 73

★ *If a mailout day falls on a Sunday or federal holiday, mail the following business day

Supplemental Questions

- Vendors may not include supplemental questions on the 2019 QHP Enrollee Survey

Communication about Survey to QHP Enrollees

- QHP issuers may notify enrollees that they may be asked to participate in 2019 QHP Enrollee 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 administration period (January 1 – May 15)

Mail Protocol

Mail Protocol Overview

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

Key Changes to Mail Protocol

★ Key Changes to Mail Protocol for 2019:

- Specified that vendor-assigned unique IDs cannot contain PII or any IDs also included in the sample frame
- Specified that the original sample file must be stored in a secure electronic location for three years
- Made inclusion of vendor and/or QHP issuer logo on cover page or first page of the survey optional
- Specified that vendors and subcontractors must comply with all HIPAA rules and regulations for safeguarding PII
- Revised the inbound mail requirements to allow vendors to include responses from mail surveys received through May 15, 2019 in final data files
- Updated data scanning guidance to require ongoing interval checks to verify that software consistently scans response values accurately for each language in which the survey is administered

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 vendors may not produce QHP Enrollee Survey materials in languages other than those specified in the Technical Specifications (i.e., English, Spanish, Chinese)
- Beyond the tagline statements above, QHP issuers and 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
  - Surveys
  - Envelopes
- ★ All mail materials in all languages posted on MQI website
- Must be reviewed by Project Team
  - ★ Submit all materials as PDF files to QHPSurveyVendor@bah.com

Production of Mail Materials (cont'd.)

- May not create or use any other translations of 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
  - Same name included in <plan-name-fill> in Data Dictionary (Appendix G)
- 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]”)
- Vendor logo or QHP issuer logo or both
- Vendor customer support phone and email
- Call-out box for the Internet survey
  - Contains survey URL and login credential(s)
  - Inclusion of call-out box depends on survey language (English and Spanish)
- QHP name inserted in specified fill locations
- Vendor or QHP issuer senior executive signature
- Vendor name only in the return address

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 vendor logos may be printed in color

Prenotification Letter (cont'd.)

English and Spanish:

- 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
- **English** – Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail survey
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request mail survey in other languages offered

Must Include:

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

Cover Letters (cont'd.)

- Printed on a sheet of paper separate from survey
  - May <u>not</u> be wrapped around survey
  - May <u>not</u> be attached to survey
- Must fit on one page
- Font size equal to or larger than 11-point Times New Roman or Arial
- Printed in black on white paper
  - QHP issuer and/or vendor logos may be printed in color
- **English** – Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail survey
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request mail survey in other languages offered

Cover Letters (cont'd.)

English and Spanish

- Must include information about Internet survey
- Instructions for completing Internet survey
- Call-out box for Internet survey
  - Customized user name and/or password
  - Secure website URL
- Printed in black on white paper
  - QHP issuer and/or vendor logos may be printed in color
- **English** – Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail survey
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request mail survey in other languages offered

Reminder Letter

- Adheres to same specifications as prenotification letters
- Reminds sampled enrollees that they should have already received a mail survey and encourages completion
- Includes call-out box with Internet survey URL and login credential(s)
  - Contains survey URL and login credential(s)
  - Inclusion of call-out box depends on survey language (English and Spanish)
- **English** – Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail survey
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request mail survey in other languages offered

Reminder Letter (cont'd.)

English and Spanish

- Must include information about Internet survey
- Instructions for completing Internet survey
- Call-out box for Internet survey
  - Customized user name and/or password
  - Secure website URL
- Printed in black on white paper
  - QHP issuer and/or vendor logos may be printed in color
- **English** – Must include text in Spanish and Chinese *(if applicable)* on how to request foreign language mail survey
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request mail survey in other languages offered

Envelopes

- Outbound Envelopes
  - Used to send prenotification letters, survey packets (i.e., cover letters, surveys, and business reply envelopes), and reminder letters
  - Vendor name and address as return address
  - 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 window)
  - *Optional:* Include codes to assist with survey tracking
  - *Optional:* Use of address labels
- Business Reply Envelopes
  - Included with each survey and cover letter
  - Pre-paid
  - Pre-addressed to vendor or subcontractor
  - Return address name is that of vendor only
  - *Optional:* Include codes to assist with survey tracking
- Envelopes may be printed on colored paper
  - Vendors track all reporting units for which envelopes are printed in color

Survey

- Include all questions
- Place full title including administration year at top of first page
- Include OMB statement, approval number, and expiration date on front page or first page of survey
- Include all survey instructions at the top of first page
  - No bullets in survey instructions
  - ★ Instructions may not be compressed to fit within a single column; they must span both columns
- Include enrollee unique identifier
  - Include on front page or back page or both
  - May include unique IDs on each survey page
  - Cannot include enrollee name or address
  - ★ Cannot contain any PII
  - ★ Cannot contain any IDs included in the sample frame

Survey (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 packet or printed on survey
    - On cover or before first question
- Include address of vendor or subcontractor but name of vendor only in return address
- Subcontractor name may not be included in survey
- *Optional:* Include vendor logo or QHP issuer logo or both

Survey (cont'd.)

May <u>Not</u> Change:

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

Survey (cont'd.)

Must Follow Specified Text Conventions:

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

Survey (cont'd.)

- Keep question and response categories together in same column on same page
- Print survey in black and white
  - May use highlight color
  - QHP issuer and/or vendor logos may be printed in color
- Font size equal to or larger than 11-point Times New Roman or Arial

Optional Survey Formatting

- Display each question's response options vertically and list responses individually for each question
- May add a code to assist in identifying the survey round
- Increase margin width (at least ¾ inches)
- Use ovals instead of boxes for response categories
- Include response category coding numbers:
  - May be included to 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 on page X"

Foreign Language Administration

- Work with QHP issuer clients to determine 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 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.)

- Prenotification letters, reminder letters, and cover letters mailed in English must include instructions in Spanish [or Chinese *(if applicable)*] on how to 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 vendor attempts to mail survey within 2 business days, if possible
- Vendors may attempt to complete an inbound Spanish (or Chinese) phone interview with enrollee during this request

Outbound Mail Requirements

- Make every reasonable attempt to contact eligible sampled enrollees
- Enclose self-addressed, pre-paid business reply envelope in each survey mail packet, along with cover letter and survey
- Use enrollee address provided in sample frame data file (unless vendor received an updated mailing address)
- Make every reasonable attempt to cease mail and phone attempts to enrollees who complete 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 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
- ★ Vendors may include responses from mail surveys received through May 15, 2019 in final data files
  - Mail surveys received after this date must be shredded and destroyed securely

Inbound Mail Requirements (cont'd.)

Processing Undeliverable Mail:

- May <u>not</u> 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

Inbound Mail Requirements (cont’d.)

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 refusal note with 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 vendor learns the enrollee is deceased and the survey was completed by someone else:
  - Do <u>not</u> use survey data
  - 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 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
- ★ Must conduct ongoing interval checks to verify software consistently scans response values accurately for each language in which survey administered

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 survey
  - Supervisor resolves discrepancies and verifies correct value
- Supervisory staff review a sample of cases coded by each data entry staff member (recommended minimum of 10%)

Mail Subcontractors

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

★ Vendors and subcontractors must comply with all HIPAA rules and regulations for safeguarding PII

Mail Protocol Summary

- English and Spanish administration required, Chinese optional
- 4-wave mailing
  - Prenotification Letter, 2 Survey Packets, Reminder Letter
- Subcontractors allowed for outbound and inbound activities
- 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?

Telephone Protocol

Telephone Protocol Overview

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

Key Changes to Telephone Protocol

- Key Changes to Telephone Protocol for 2019:
  - Included a reference to **Appendix E: Telephone Customer Support Agent & Interviewer Guidance** as a resource for interviewers
  - Clarified that if vendors receive two phone numbers for an enrollee, then they must update the Enrollee Phone 1 (primary number), but have the option to update the Enrollee Phone 2 (secondary number) (see **Obtain Telephone Numbers** section)
  - Clarified that vendors use both Enrollee Phone 1 (primary) and Enrollee Phone 2 (secondary) numbers provided by the QHP issuer in the sample frame
  - Specified that subcontractors must comply with all HIPAA rules and regulations for safeguarding PII

Key Changes to Telephone Protocol (cont'd)

- Key Changes to Telephone Script for 2019:
  - Updated script to align with 2019 mail survey
  - Updated introduction
    - Changed "the last 6 months" to "from July through December 2018"
    - Added standardized language for inbound telephone interview requests
    - *Optional*: "If this is a convenient time, I'd like to begin the interview now"
  - Updated interviewer instructions and probes
    - Q2, Q13, Q15, Q16, and Q62
  - Added skip patterns for Q66D and Q66L

Telephone Requirements

- Integrated CATI system
- Standardized CATI scripts and specifications
  - English and Spanish required, Chinese optional
  - ★ CATI scripts in all languages are posted on the MQI website
- Interviewer capacity must support data collection timeline
- Use of virtual or home-based interviewers is strictly prohibited
- Interviews may **not** be completed on paper and key-entered later
- 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
- Responsibility of vendors to determine whether system may be construed as a predictive dialer under state and federal regulations
- 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
  - Vendors test programming prior to administration
  - CATI scripts may <u>not</u> be modified
  - CATI scripts must be reviewed by the Project Team
    - Submit all materials to QHPSurveyVendor@bah.com
- *Optional: V*endors may program caller ID to display vendor’s name
  - May <u>not</u> program to display *“on behalf of [QHP Issuer Name]”*

Inbound Telephone Protocol

- Accommodate enrollees who contact customer support to complete survey during mail protocol
- CATI systems must be able to handle inbound requests by onset of mail protocol
  - Date of prenotification letter mailing
  - ★ Standardized introduction for inbound interview requests now in CATI script
- 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 1 additional contact attempt
- If an inbound interview is not completed:
  - Resume standard mail and telephone protocols
  - Call is <u>not</u> 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 blank/partially complete mail or Internet survey
  - For blank/partially complete mail or Internet surveys, vendors <u>must</u> ask all survey questions by phone
  - For partially completed <u>telephone</u> surveys, vendors may continue survey from the last question answered
- Have an invalid/undeliverable mailing address but 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.)

Handling Disenrollees:

- Disenrollees are individuals who were insured by the QHP within a reporting unit at the time of sampling, but who are no longer insured by the reporting unit at the time of survey
- Individuals who indicate by mail or Internet that they are no longer enrolled in the QHP do not 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"

Outbound Telephone Protocol (cont'd.)

Handling Multiple Phone Numbers:

- If vendors receive two enrollee phone numbers in the sample frame
  - Must update Enrollee Phone 1 (primary number)
  - Option to update Enrollee Phone 2 (secondary number)
- Use both primary and secondary numbers, but handling of attempts left to vendor discretion
- No more than 6 attempts may be made

Outbound Telephone Protocol (cont'd.)

Each of the following is considered one telephone attempt:

- At least 6 rings with no answer
- Sampled enrollee requests 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 reached
  - Vendors may leave messages on answering machines
    - Review HIPAA requirements
    - Maximum of 2 messages

Outbound Telephone Protocol (cont'd.)

Contact 6 Times over 19-Day Period Unless Enrollee:

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

Outbound Telephone Protocol (cont'd.)

Special Case Scenarios:

- Callback requests on 6th call attempt
  - Permitted if telephone protocol still open for reporting unit
- Inbound requests after 6th call attempt
  - Permitted if telephone protocol still open for reporting unit
- Requests for customer support number during outbound call attempt
  - Vendors must provide number

Outbound Telephone Protocol (cont'd.)

- Make every effort to update 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 entire sample frame (<u>not</u> selected survey sample)
  - 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 individual answering at 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 interview for sampled enrollee who is physically and/or mentally unable to complete survey
- Sampled enrollee <u>must</u> grant permission for proxy to complete telephone interview
- CATI scripts include interviewer instructions for:
  - Obtaining permission from sampled enrollee to use proxy
  - Modifying script to accommodate proxies
- Interviewers indicate whether a phone interview is completed by proxy in Q67 of CATI script

Telephone Interviewing Specifications

CATI Script Templates:

- English, Spanish, and Chinese scripts available
  - ★ CATI script templates for all languages are posted on the [MQI website]
  - May not be translated into any other languages
- Vendors must submit CATI system screenshots for review
  - Vendors are responsible for accurate programming of all survey skip patterns
  - CMS does not verify skip pattern programming
  - CMS does not review proxy versions of programmed scripts

Telephone Interviewing Specifications (cont'd.)

CATI Specifications:

- CATI programmer instructions appear in [ENGLISH UPPERCASE LETTERS ENCLOSED IN BRACKETS]
- Inserts or fills from sample frame appear in {ENGLISH UPPERCASE LETTERS ENCLOSED IN CURLY BRACKETS}
- Interviewer instructions appear in <ENGLISH UPPERCASE LETTERS ENCLOSED IN ANGLE BRACKETS> or (ENGLISH 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 sampled enrollee is reached at work or while driving
- FAQ located in Appendix D
- ★ Telephone Customer Support Agent & Interviewer Guidance located in Appendix E

Telephone Interviewer Monitoring

- Implement a monitoring and evaluation program
  - Silent monitoring of interviewers
  - Throughout telephone protocol
- Monitor minimum of 10% of all interviews
  - At least 7% using silent monitoring (live or via recordings)
  - Up to 3% using callback monitoring
- Monitor both attempts and completed interviews
  - Across all interviewers and times of day
- Telephone monitoring must span entirety of telephone protocol (i.e., must be conducted at a 10% rate throughout phone phase)
- ★ Must be aware of and follow applicable federal and state regulations when monitoring and/or recording telephone calls
  - Includes regulations that permit monitoring/recording of calls only after interviewer states, "This call may be monitored (and/or recorded) for quality improvement purposes"

Telephone Interviewer Monitoring (cont’d.)

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

Telephone Subcontractors

Vendors:

- Responsible for providing proper oversight of subcontractors
- Obtain signed confidentiality agreements
- Attend subcontractor’s telephone interviewer training
- Between subcontractor and vendor, monitor combined total of at least 10% of all interviews
  - Each organization must conduct monitoring
  - Interviews monitored jointly only contribute to one organization’s monitoring requirements
- Provide feedback on interviewer performance
- ★ Vendors and subcontractors must comply with all HIPAA rules and regulations for safeguarding PII

Telephone Data Processing

Data Processing Requirements:

- Include unique ID number for each enrollee in SMS and final data file
- Enter the interview date in SMS
  - Link each interview to SMS with appropriate variables (e.g., language, date of interview, etc.)
- Remove all PII when data is transferred to final data file
- Assign final disposition code and include in final data file
- Review data files for accuracy
  - Compare responses from completed interviews directly from CATI system to corresponding responses in final data file

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 and subcontractors allowed
- Vendor oversight
  - Interviewer training and 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
- ★ Prenotification and Reminder Emails
- Internet Survey Programming
  - Entry, Question, and Exit Pages
- System Requirements
- Internet Security
- ★ Web Entry and Bad Email Flags
- Quality Assurance and Control

Key Changes to Internet Protocol

- Key Changes to Internet Protocol for 2019:
  - English and Spanish survey administration required
    - Landing page must give enrollees option to take survey in English or Spanish
  - Added email wave
    - Vendors must send emails to enrollees with email addresses to communicate availability of Internet survey
  - Internet survey must be optimized for mobile devices and tested prior to fielding
  - Gate items must be displayed one question per webpage
  - Non-gate items must be displayed two or three questions per webpage
  - If enrollee exits survey, all completed responses must be saved

Key Changes to Internet Protocol (cont'd)

- Key Changes to Internet Script for 2019:
  - Updated script to align with 2019 mail survey
  - Updated script conventions
    - Dashed RED lines indicate separation into different webpages
      - One gate item per webpage
      - Two or three non-gate items per webpage except Q2, Q51, Q68
    - Solid RED lines indicate webpage breaks between survey sections

Internet Protocol

- Vendors implement standardized Internet data collection protocol
- Internet survey must be available for entire data collection period
- ★ Both English and Spanish administration required
- ★ Internet survey URL and login credential(s) provided on prenotification, cover, and reminder letters
- ★ Vendors communicate availability of Internet survey via prenotification and reminder emails to sampled enrollees with an email address

Internet Protocol (cont'd.)

1. Create secure Internet survey platform
2. Establish URL address
3. ★ Program and test Internet survey instrument and emails
4. Provide CMS with access to Internet survey
   - ★ Submit to QHPSurveyVendor@bah.com
   - ★ Include at least 10 login credentials
5. Assign customized login credentials
6. ★ Include URL in prenotification, cover, and reminder letters and emails
7. Collect Internet survey data

Prenotification and Reminder Emails

- Inform enrollees with an email address about Internet survey option
- Send one prenotification email and two reminder emails to non-respondents
  - Prenotification email sent on same day that prenotification letter mailed
  - 1st reminder email sent on same day that 1st survey packet mailed
  - 2nd reminder email sent on same day that reminder letter mailed
  - No reminder email sent on day that 2nd survey packet mailed
- Prenotification and reminder emails must be presented in both English and Spanish unless language preference indicators are available

Prenotification and Reminder Emails (cont'd.)

- Prenotification and Reminder Emails Must:
  - Fit into one email message
  - Use 11-point font (or larger) that is easily readable
    - Information about accessing Internet survey must be in a call-out box with at least 14-point font
  - Use black or blue font on a white background
  - Display vendor logo or QHP issuer logo or both in the header
    - May include vendor's return address but cannot include QHP issuer's return address
  - Contain a personal salutation

Prenotification and Reminder Emails (cont'd.)

- Prenotification and Reminder Emails Must Include:
  - Vendor name, enrollee email address, and QHP issuer name in designated fill locations
  - Standardized subject line
  - URL link directly to Internet survey
  - Vendor toll-free customer support telephone number and project-specific email address
  - Vendor or QHP issuer senior executive signature
  - May include taglines required by the QHP issuer for legal purposes

Prenotification and Reminder Emails (cont'd.)

- Prenotification Email Specifications:
  - Informs enrollee of Internet survey option
  - Must include instructions for completing survey on a secure website
  - Must include customized login for each enrollee
  - Standard prenotification email template posted on MQI website

Prenotification and Reminder Emails (cont'd.)

- Reminder Email Specifications
  - Reminds enrollees of Internet survey option
  - Must inform enrollees they should have already received mail survey
  - Standard reminder email template posted on the MQI website

Internet Survey Conventions

- English and Spanish Internet scripts posted on MQI website
  - Text and programming conventions
  - Entry page script
- Must provide a non-language specific URL that directs to a landing page where enrollee selects preferred language
  - Cannot provide separate URLs by language

Internet Survey Conventions (cont'd.)

- Programmer instructions <u>and</u> question numbers appear in [UPPERCASE LETTERS ENCLOSED IN BRACKETS]
  - May <u>not</u> be displayed on webpages
- Inserts or fills from sample frame appear in {ENGLISH UPPERCASE LETTERS ENCLOSED IN CURLY BRACKETS}
- ★ Dashed RED lines indicate separation into different webpages
  - ★ <u>One</u> gate item per webpage
  - ★ <u>Two or three</u> non-gate items per webpage except Q2, Q51, Q68 (vendor discretion)
- ★ Solid RED lines indicate webpage breaks between survey sections
- Unless otherwise noted, skipped questions follow same skip pattern as the "No" or "None" skip pattern

Internet Survey Conventions (cont'd.)

- Must bold text that is bold
- <u>Cannot</u> bold text that is not bold
  - Question stems
  - Response categories
  - Only emphasized words and skip pattern language are bold
- <u>Cannot</u> 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 corresponding language in the Internet survey script
- ★ Provides option to take survey in English or Spanish
  - Cannot use language-specific URL links
- Requires entry of login credential(s)
- Displays OMB statement, approval number, expiration date
- Includes survey title and administration year at top
- Assures sampled enrollee's confidentiality is protected

Survey Entry Page (cont'd.)

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

Survey Question Pages

- ★ <u>One</u> gate item per page
- ★ At least <u>two</u> but no more than <u>three</u> non-gate items per page
  - Except Q2, Q51, and Q68
  - Vendors use their discretion
- 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 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
  - ★ The system must save all previously completed responses regardless of the question at which the enrollee exits
- Test system and survey prior to survey administration
- ★ Optimize survey for completion on mobile devices and test prior to fielding

System Requirements (cont'd.)

- Permit enrollees to not answer survey questions but still continue with survey
- Allow sampled enrollees to deselect a previously selected response
- May not link to vendor or QHP issuer home page
  - Vendor's website may not contain links to 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 <u>not</u> log or track IP addresses
- May <u>not</u> populate name of 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
    - If both username and password used, then both must be at least 8 characters

Customer Support:

- May provide survey URL and login credential(s) to an enrollee
- Via phone or email

URL Addresses:

- Provided to sampled enrollees in cover, prenotification, and reminder letters and emails
- May not be included on vendor or QHP issuer websites
- Should be easy for enrollees to retype

Web Entry and Bad Email Flags

- Web_Entry_Flag
  - 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
- ★ Bad_Email_Flag
  - Code “Yes” if prenotification email is undeliverable (“bounces back”)
  - In this event, vendors do not attempt to send any reminder emails but should continue to contact the enrollee by mail and telephone
  - Not used for final disposition code determinations

Quality Assurance and Control

- Vendors must provide the programmed Internet survey URL for both English and Spanish surveys to CMS for review
- ★ Vendors must provide at least 10 login credentials to CMS for review
- ★ Vendors must email programmed prenotification and reminder emails to QHPSurveyVendor@bah.com and also notify the Project Team by email once the email templates are sent

Internet Protocol Summary

- ★ English and Spanish required
- Available for entire duration of data collection period
- Adhere to Internet survey script
- ★ Send letters and emails to enrollees to inform them of Internet option
- Login information on all mail materials and the prenotification and reminder emails
- Vendor oversight
  - ★ Test survey prior to fielding to verify accuracy and optimization for mobile devices
- CMS 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 key items in survey
  - Not required to conduct further outreach to complete survey
- Key items are questions that all respondents are eligible to answer, excluding “About You” items
  - ★ For 2019, 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 Exhibit 51 of the Technical Specifications

Definition of a Complete Survey (cont'd.)

- If more than one survey completed
  - Use survey with the most 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

- Vendors are required to maintain current and accurate disposition codes for all sampled enrollees
- Interim disposition codes represent current survey status of enrollees
- Final disposition codes represent final survey status of enrollees
  - Assigned to each sampled enrollee prior to data submission
- Disposition codes found in Exhibit 50 of the Technical Specifications

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 survey period	Ineligible: Deceased
X40	Sampled enrollee does not meet all required eligibility criteria for inclusion in the survey sample	Ineligible See Exhibit 50
★ X43	Sampled enrollees is on vendor's "Do Not Survey" list	Do Not Survey List

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 <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	• 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 a blank mail or Internet survey (or a 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 or Incomplete Survey

Survey Disposition Codes (cont'd.)

Code	Description	Survey Status
X33	• Mailing address or telephone number assumed to be viable, but enrollees does not respond 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 52

Survey Disposition Codes (cont'd.)

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

Survey Disposition Codes (cont'd.)

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

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>

★ ***Note:*** *Vendors assign the Bad_Email_Flag for undeliverable emails but this flag is not used to determine the final disposition code*

Determining Enrollee Eligibility

Q1 Response	Q2 Response	Enrollee Eligible?	Final Disposition Code
Yes	Any	Yes	Assess Survey – Completed or Partially Completed
No	Valid Plan Alias	Yes	Assess Survey – Completed or Partially Completed
Blank/Nonresponse/ No Answer	Valid Plan Alias	Yes	Assess Survey – Completed or Partially Completed
No	Blank/Nonresponse/ No Answer	No	X40: Ineligible
No	Invalid Plan Alias	No	X40: Ineligible
Blank/Nonresponse/ No Answer	Blank/Nonresponse/ No Answer	Yes	Assess Survey – Completed or Partially Completed
Blank/Nonresponse/ No Answer	Invalid Plan Alias	No	X40: Ineligible

Determining Enrollee Eligibility (cont'd.)

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 QHP issuer • TRICARE • Veterans Health Administration (VA)

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 misspelled plan name is recognizable as valid plan alias, then enrollee is eligible
- If only a product type is provided, then enrollee is considered eligible regardless of whether that product type aligns with product type associated with reporting unit
- If only a metal level is provided, then enrollee is considered eligible regardless of whether that product type aligns with metal level(s) associated with reporting unit

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” (Q66, Q68)	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 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	-4 = Appropriate Skip
Screener, or 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 Q66D (Are you Asian?) = 0 (No) ***Note:*** *Q66D is not included in final data file*	asian-indian, chinese, filipino, japanese, korean, vietnamese, other-asian = 0 (Not Checked)
Telephone Q66L (Are you Native Hawaiian or Pacific Islander?) = 0 (No) ***Note:*** *Q66L is not included in final data file*	native-hawaiian, guamanian-chamorro, samoan, otr-pacific-island = 0 (Not Checked)
Mail Survey Q66 = 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 = Partially 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, 40, or 43)

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

- Vendors implement quality control measures for data processing activities
  - Select and review a sample of coded cases (Recommend 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 (Recommended minimum of 10%)
    - Compare completed telephone interview responses to values output in the data file
- 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 sample frame
  - Variables associated with survey administration
  - Final disposition codes
  - Survey responses
- <u>All</u> sampled enrollees included regardless of final disposition
- .CSV format

Data Submission File Specifications (cont'd.)

- Changes to the 2019 Data Dictionary (Appendix G)
  - Added 15 new variables and deleted the SCID field
  - Review new variable descriptions and valid values carefully in Appendix G

New Data Submission Variables	
Survey_Mode	Response_Time
Mixed_Mode	Email_Address_Flag
Internet_Opt_In	Alternate_Phone_Flag
Mail_Drop_Off	Bad_Email_Flag
Internet_Drop_Off	Total_Enrollment
Phone_Drop_Off	Collection_Start_Date
Internet_Device_Type	Collection_End_Date
Internet_Browser	

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values

Variable Name	Description	Valid Values
Survey_Mode	Survey mode in which respondent completed (or partially completed) survey.	1 = Internet 2 = Mail 3 = Outbound Telephone 4 = Inbound Telephone 9 = Not Applicable (Nonrespondent)
Mixed_Mode	Indicate whether enrollee completed (or partially completed) the survey using more than one mode (e.g., mail and Internet, Internet and phone, mail and phone).	1 = Yes 2 = No 3 = Missing 9 = Not Applicable (Nonrespondent)

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Internet_Opt_In	Method by which respondent opted into Internet survey regardless of the mode of survey completion.	1 = Email 2 = Mail 3 = Unknown 4 = Not Applicable (Mail or Phone Only) 9 = Not Applicable (Nonrespondent) ***<u>Note:</u>*** *If this information is collected, vendors must report it. Otherwise, code all responses as 3 = Unknown.*

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Mail_Drop_Off	Last question completed for the mail mode regardless of final disposition code.	1-68 -1 = Not Applicable (Did not return a mail survey) -9 = Not Applicable (Nonrespondent)
Internet_Drop_Off	Last question completed for the Internet mode regardless of final disposition code.	1-68 -1 = Not Applicable (Did not submit Internet survey) -9 = Not Applicable (Nonrespondent)
Phone_Drop_Off	Last question completed for the phone mode regardless of final disposition code.	1-66 -1 = Not Applicable (Did not complete phone survey) -9 = Not Applicable (Nonrespondent)

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Internet_Device_ Type	Type of device respondent used to complete Internet-based survey.	1 = Mac 2 = PC 3 = Mobile Phone 4 = Tablet 5 = Unknown 6 = Not Applicable (Mail or Phone Only) 9 = Not Applicable (Nonrespondent) *__Note:__ If this information is collected, then vendors must report it. Otherwise, code as 5 = Unknown.*

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Internet_Browser	Type of browser respondent used to complete Internet-based survey.	1 = Chrome 2 = Safari 3 = Firefox 4 = Internet Explorer 5 = Other 6 = Unknown 7 = Not Applicable (Mail or Phone Only) 9 = Not Applicable (Nonrespondent) *Note:* *If this information is collected, then vendors must report it. Otherwise, code as 6 = Unknown.*

Data Submission File Specifications (cont'd.)

★ New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Response_Time	Number of minutes respondent took to complete phone or Internet mode.	000-999 -1 = Unable to determine (Phone or Internet Only) -2 = Not Applicable (Mail Only) -9 = Not Applicable (Nonrespondent) *__Note:__ Responses must be reported in a 3-digit format (i.e. , if the interview took 44 minutes, then code 044). If this information is collected, then vendors must report it. Otherwise, code as -1 = Unable to Determine (Phone or Internet Only).*
Email_Address_ Flag	Was email address provided?	0 = No 1 = Yes
Alternate_Phone_ Flag	Was an alternate phone number provided?	0 = No 1 = Yes

Data Submission File Specifications (cont'd.)

- New variable descriptions and valid values (cont'd.)

Variable Name	Description	Valid Values
Bad_Email_Flag	Flag indicating whether the email address for a sampled enrollee is not operational. If there is sufficient evidence of a bad email address, vendors code this flag as 1=Yes.	0 = No 1 = Yes 9 = Not Applicable (No Email Address Included in the Sample Frame)
Total_Enrollment	The total number of members enrolled in the reporting unit *(from the sample frame provided by the QHP issuer).*	0 - 999999 -1 = Unknown/Missing *<u>Note:</u> This value will be the same for all individuals in the reporting unit.*
Collection_Start_Date	Date the data collection period began (Day 0) for the reporting unit.	MMDDYY *<u>Note:</u> This value will be the same for all individuals in the reporting unit.*
Collection_End_Date	Date the data collection period ended (Day 72) for the reporting unit.	MMDDYY *<u>Note:</u> This value will be the same for all individuals in the reporting unit.*

Data Submission Process

- Vendors submit data files via Secure File Transfer Protocol (SFTP)
- Data Submission Training in Spring 2019
- Test File(s): April 10 – 12, 2019
  - At least one unencrypted test zip file containing files for two reporting units with at least 100 records between the two reporting units
  - Test files may include >100 records
  - May submit more than two files
- Final Data Files: May 10 – 24, 2019
  - All data files must be received by **11:59 p.m. ET on May 24**
  - 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

Data Analysis and Public Reporting

Overview

- Data Analysis and Scoring Specifications
- Data Cleaning Procedures
- Case-Mix Adjustment
- Public Reporting
- 2019 Reporting Timeline
- Reporting Guidelines for Vendors
- Summary of 2018 Data Collection

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 2019
  - *QRS & QHP Enrollee Survey: Technical Guidance for 2019*
  - Scoring specifications for the HEDIS®-based clinical measures available in the *QRS Measure Technical Specifications*

Data Cleaning Procedures

- CMS uses a <u>forward-cleaning approach</u> 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
- Vendors <u>never</u> 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

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 Adjustment

- Case-mix adjusters used for the 2018 QHP Enrollee Survey:
  - Education
  - Global Health Rating
  - Mental Health Rating
  - Age
  - Survey Language
  - Survey Mode
  - Chronic Conditions and Medications
  - Respondent Received Help Completing Survey

Public Reporting

Goals:

- Inform consumer choice
- Provide actionable information to improve QHP quality and performance
- Facilitate regulatory QHP oversight 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 38 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 59: Crosswalk of 2019 QHP Enrollee Survey Questions included in the QRS

Public Reporting (cont'd.)

Criteria	Required to Field 2019 QHP Enrollee Survey?	Eligible to be Publicly Reported?
Reporting Unit began Operating in Plan Year (PY) 2019	No	No
Reporting Unit began Operating in PY 2018 and Continued Operating in PY 2019	Yes	No
Reporting Unit Began Operating in PY 2017 and Continued Operating in PY 2018 and 2019	Yes	Yes

Public Reporting (cont'd.)

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 2019 QRS global rating and 3 summary indicator ratings on HealthCare.gov for each eligible QHP
- CMS anticipates 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 2020
- CMS will release additional details specifying the form and manner in which QHP quality rating information will be displayed at HealthCare.gov

QI Reports

- Produced for all reporting units that field the 2019 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 58 provides information for reviewing QHP Enrollee Survey results
- Scoring guide will accompany 2019 QI Reports

2019 Reporting Timeline

Activity	Timeframe
QHP Enrollee Survey data submission deadline.	May 24, 2019
QHP issuer submits validated QRS clinical measure data.	June 17, 2019
Data processing and scoring.	May – July 2019
QHP issuers and Exchanges preview QHP quality rating information.	August – September 2019
QHP Enrollee Survey Quality Improvement (QI) Reports made available to QHP issuers.	Anticipated Fall 2019
Exchanges begin publicly displaying QHP quality rating information.	Individual market open enrollment period for 2020

Reporting Guidelines for Vendors

- May provide aggregate results to QHP issuers
  - <u>Cannot</u> include any cell sizes with fewer than 11 cases
  - If a response option is chosen fewer than 11 times, data for that response option <u>cannot</u> be displayed, even if 11 or more responses were received for the question as a whole
  - ★ Recode responses for Q22, Q26, and Q40 (Exhibit 57)
- <u>Must</u> communicate that vendor scores are <u>not</u> official CMS scores
- Strongly encouraged to explain to clients why CMS scores may differ from vendor reports
  - Case-mix adjustment

Reporting Guidelines for Vendors (cont'd.)

- May <u>not</u> 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-Q10, Q19-Q23, or Q25-Q42
  - May include reporting unit identification number <reporting-unit-id> from sample frame
  - May not include person-level responses to questions Q1, Q2, Q11-Q18, Q24, or Q43-Q68
  - May not include information from sample frame or sampled enrollee list (except for reporting unit identification number)

Data Analysis and Public Reporting Summary

- QHP Enrollee Survey scores are calculated using CAHPS Analysis Program
- 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
- Vendors must adhere to Technical Specifications requirements for generating reports for QHP issuers and regulatory agencies

Data Analysis and Public Reporting Questions?

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 <u>all applicable languages</u> to QHPSurveyVendor@bah.com
  - Mail Materials
    - English and Spanish required, Chinese optional (PDF file format preferred)
  - Telephone Scripts
    - Screenshots of programmed telephone interviewing script
    - English and Spanish required, Chinese optional (PDF file format preferred)
  - Internet Survey Instrument and Prenotification and Reminder Emails
    - ★ Internet survey URL and at least 10 login credential(s)
    - ★ Vendors must email programmed prenotification and reminder emails to QHPSurveyVendor@bah.com and notify Project Team by email once sent
    - ★ English and Spanish required

Survey Material Review (cont'd.)

- Submit survey materials as a .zip file with following email subject line:
  - [VENDOR NAME] QHP [INSTRUMENT TYPE] Material Review
    - Instrument Type = Language and Mode (e.g., XYZ Inc. QHP English Mail Material Review)
  - ★ Vendors make three email submissions to submit all materials by mode on specified date
  - All materials must appear as they would to respondent or telephone interviewer
- ★ Mode-Specific Deadlines:
  - Mail: November 19, 2018
  - Internet: December 10, 2018
  - Telephone: January 8, 2019

  Note: *Vendors may submit materials (regardless of mode) earlier than the mode-specific deadlines*
- Feedback provided within 10 business days
- Submit revisions within 5 business days of resubmission request

Data Record Review

- Conduct review of 2018 data records with each vendor that submitted data
  - WebEx format for remote sessions
  - Trace data records from sample frame receipt through data submission
- Timeframe: November – December 2018

Quality Assurance Plan (QAP)

- Documents compliance of survey fielding protocols with Technical Specifications requirements
- Model QAP Template (Appendix C)
  - Present information in specified order
  - Submit previously accepted QAPs in track change mode
- Acceptance of QAP does not constitute approval or endorsement of vendor's processes
- Deadline: December 7, 2018

Seeded Mailings

- Integrated with survey mailing sample
- Include designated CMS representatives in mailing database
- Include vendor personnel
- Seed one reporting unit for <u>each survey language</u> implemented
  - Seed Project Team for one English reporting unit
  - For Spanish and Chinese, only seed Project Team if Spanish or Chinese letter and/or survey is mailed
  - Vendors must also seed at least one internal staff member
- Timeframe: February – April 2019

Customer Support Review

- Customer Support Telephone Line
  - Ask standard set of questions from FAQ (Appendix D)
  - 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 response turnaround time is met
- Resource
  - ★ Telephone Customer Support Agent & Interviewer Guidance (Appendix E)
- Timeframe: March 2019

Onsite/Remote Visits

- Evaluate 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 2019

Telephone Interview Monitoring

- Assess interviewer compliance with telephone specifications
- 2-hour session
  - WebEx format required for remote sessions
- Required with each telephone subcontractor if more than 1 used
- Timeframe: April 2019

Data Analysis and Validation

- Data Submission
  - Analysis of submitted data
  - Project Team will notify vendors if errors found
  - Timeframe: May 10 – 24, 2019
- Data File Resubmission
  - Revised data files must be submitted within 3 business days
  - Timeframe: May 28 – 31, 2019

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 posted to MQI website

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 vendor:
  - Fails to demonstrate adherence to protocols and guidelines
  - Experiences ongoing problems during fielding
- Schedule and status determined by CMS
- Potential outcomes for continued noncompliance:
  - 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

Vendor Oversight Reports

- ★ Submit all reports to QHPSurveyVendor@bah.com
  - Use the following email subject line:
    - [VENDOR NAME] Report [#] Submission (e.g., XYZ Inc. Report #1 Submission)

Report	Activity	Comment	Due Date
#1	Vendor QAP	• Addresses all required elements of survey administration	December 7, 2018
#2	Preliminary QHP Client List	• Client list for reconciliation • Oversampling requests	January 7, 2019
#3	Final QHP Client List	• Final QHP client list • Sample frame receipt status	February 12, 2019
#4	Interim Progress Report	• Fielding status for each QHP reporting unit • Summary of customer support calls and emails	April 5, 2019
#5	Final Report	• Discussion of survey implementation and lessons learned ★ Count of other foreign language requests • Recommendations for next year	May 31, 2019

Quality Oversight Summary

- CMS conducts oversight activities before, during, and after fielding
- Vendors must comply with all oversight activities
- Increased oversight may be performed
- ★ Submit the following items to QHPSurveyVendor@bah.com:
  - QAP
  - Survey Materials
  - Vendor Reports
  - Discrepancy Report(s) and Corrective Action Plan(s)

Quality Oversight Questions?

Wrap-Up and Next Steps

Next Steps

- One individual from vendor firm must complete training evaluation
  - Available immediately following training
  - Due COB October 18, 2018
  - Final approval notifications will be sent October 25
  - Final approval status to be posted to MQI website October 26
- Training slides to be posted on MQI website

Contact Us

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

Questions?

Text Description of the Data Submission Eligibility Roadmap

This process for determining QRS and QHP Enrollee Survey data submission eligibility includes the following steps:

- **Step 1:** QHP issuers must combine same product types to create a reporting unit (defined below).
- **Step 2:** QHP issuers must determine whether the reporting unit operated on an Exchange in 2018.
- **Step 3:** QHP issuers must determine whether the reporting unit will operate on an Exchange in 2019.
- **Step 4:** QHP issuers must confirm that the reporting unit will not discontinue before June 15, 2019.
- **Step 5:** QHP issuers must determine whether the reporting unit met the first enrollment threshold (i.e., had more than 500 enrollees as of July 1, 2018).
- **Step 6:** QHP issuers must determine whether the reporting unit met the second enrollment threshold (i.e., had more than 500 enrollees as of January 1, 2019).
- If the criteria in Steps 1 through 6 are met, the QHP issuer must submit QRS clinical data and QHP Enrollee Survey data.