Health Insurance Marketplace

2020 Qualified Health Plan Enrollee Experience Survey Vendor Training

October 25, 2019

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.
Eligibility and Sampling	11:30 a.m. – 12:05 p.m.
Personnel Training and Data Security	12:05 p.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. – 2:30 p.m.
Break 2	2:30 p.m. – 2:40 p.m.
Data Analysis and Public Reporting	2:40 p.m. – 3:00 p.m.
Quality Oversight	3:00 p.m. – 3:20 p.m.
Wrap-Up and Next Steps	3:20 p.m. – 3:30 p.m.

Housekeeping

★ = New/Revised Guidance for 2020

! = Existing Guidance Emphasized for 2020

__Note:__ A summary of changes is included in the 2020 Technical Specifications

2020 Technical Specifications Changes

★ General Changes to the Technical Specifications:

- Updated dates throughout, as needed
- Revised the deadlines and survey question numbers throughout, as needed

Welcome

Program Overview

Overview

- Roles and Responsibilities
  - Project Team
  - QHP Issuers
  - Vendors
- Survey Overview
  - About the Survey
  - Survey Measures
  - 2020 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 and 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 and 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 (<u>no earlier than January 7, 2020</u>)
- Complete sample frame validation process by January 31, 2020
- Provide validated sample frame to vendor
- Notify CMS of any changes in eligibility status within 3 business days but <u>no later than</u> date specified in 2020 Operational Instructions

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

Roles and 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 2020 QHP Enrollee Survey
  - Not a substitution for the contracting process
- Verify required reporting unit information
  - Enrollment
  - Year Plan Began Operating
  - 3-Year Operational Status as the same product type
- Must be completed along with sample frame validation by January 31, 2020
- HOQ available beginning early January 2020
- Additional information will be provided to QHP issuers in the 2020 Operational Instructions (released Fall 2019)

Roles and 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, 2020

About the Survey (cont'd.)

- Includes core CAHPS® Health Plan 5.0 Survey questions
  - Questions added to collect data specific to population
  - Vendors may not include supplemental questions
- Supplies data to the Quality Rating System (QRS)
  - *2020 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).

2020 QHP Enrollee Survey Timeline

Task	Date
Conditionally approved vendors contract with QHP issuers	September – December 2019
2020 QHP Enrollee Survey Vendor Training	October 25, 2019
Vendors are notified of final approval status	October 31, 2019
CMS conducts remote data records reviews of 2019 data	November – December 2019
Survey Materials: Vendors submit: • **Mail:** Print materials (English, Spanish; Chinese (*if applicable*)). ★ **Internet:** 12 sample user names/passwords and at least 12 unique URLs with embedded login credentials for testing internet survey and programmed emails (English, Spanish) • **Telephone:** Screenshots of CATI programming (English, Spanish; Chinese (*if applicable*))	★ **Deadline (Mail):** November 4, 2019 ★ **Deadline (Internet):** November 25, 2019 ★ **Deadline (Telephone):** December 6, 2019

2020 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
Report #1: Vendors submit Quality Assurance Plan (QAP)	**Deadline:** November 12, 2019
Report #2: Vendors submit preliminary QHP client list and oversampling requests	**Deadline:** January 6, 2020
QHP issuers generate sample frame for each sampling unit	January 7 – 31, 2020
QHP issuers notify CMS if no longer meet enrollment threshold as of January 1, 2020	**Deadline:** Mid-January 2020
Vendors notify CMS of QHP issuer clients that have not provided validated sample frame	**Deadline:** January 28, 2020
QHP issuers arrange for NCQA HEDIS Compliance Auditor to perform sample frame validation	**Deadline:** January 31, 2020

2020 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, 2020
• Vendors receive validated sample frames and obtain confirmation that NCQA-Certified HEDIS Compliance Auditor validated sample frame • Vendors then draw survey sample	**Deadline:** January 31, 2020
Vendors verify QHP issuers complete the NCQA Healthcare Organization Questionnaire (HOQ)	**Deadline:** February 2020
Vendors administer QHP Enrollee Survey	February – May 2020

2020 QHP Enrollee Survey Timeline (cont'd.)

Task	Date
Report #3: Vendors submit final QHP client list	**Deadline:** February 11, 2020
Report #4: Vendors submit interim progress report	**Deadline:** April 3, 2020
Vendors submit interim data file for testing purposes	April 8 – 10, 2020
Data submission: • Files due by 11:59 p.m. (ET) on May 22, 2020	May 15 – 22, 2020
• Data resubmission (if requested) • Must submit within 3 business days of date requested	May 26 – 29, 2020
Report #5: Vendors submit final report	**Deadline:** May 29, 2020

Technical Assistance for Vendors

- CMS Marketplace Quality Initiatives (MQI) Website
  - General information, important news, and updates
  - Materials that support survey implementation
  - 2020 QHP Enrollee Survey Technical Specifications
  - 2020 QHP Enrollee Survey Instruments (English, Spanish, Chinese)
  - Discrepancy Report Template
  - 2020 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 (MSD)
  - 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
  - *2020 Quality Rating System and Qualified Health Plan Enrollee Survey Technical Guidance*

Program Overview Questions?

Eligibility and Sampling

QHP Eligibility and Sampling Overview

- Reporting Unit Definition
- Eligibility Guidelines (QHP Issuers and Enrollees)
- Sample Frame Generation and Validation
- Sample Frame File Quality Control Checks
- Sampling Protocol
  - Count Variables
  - Do Not Survey List
  - Enrollees with Known Bad Addresses and Email Preferences
  - Enrollees in Hospice
- Oversampling

Reporting Unit Definition

- 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 (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 1 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 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

- QHP issuers are required to collect and submit survey response data for each reporting unit that meets all below criteria:
  - Offered through an Exchange in the prior year (2019)
  - Offered through an Exchange in the ratings year (2020) as same product type
  - Included more than 500 enrollees as of July 1, 2019
  - Included more than 500 enrollees as of January 1, 2020
- ★ In other words, QHP issuers are required to collect and submit validated clinical measure and survey response data for each product type offered through an Exchange for 2 consecutive years (i.e., 2019 and 2020) that meets the specified enrollment thresholds
- All enrollees within the product type are included in the count of enrollees (not just "survey eligible" enrollees)

QHP Eligibility Guidelines (cont'd.)

- "Operational": 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": 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 requirements for the QHP Enrollee Survey, the QRS clinical quality measures, and for each product

QHP Eligibility Guidelines (cont'd.)

- Reporting units discontinued before June 15, 2020 are exempt from QRS and QHP Enrollee Survey requirements
  - "Discontinued": QHPs in the reporting unit will not be offered (i.e., not offered 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, 2020 the gaining QHP issuer is responsible for meeting the survey requirements
- QHP issuers with more than 500 enrollees as of July 1, 2019 that are uncertain if they will have more than 500 enrollees as of January 1, 2020 proceed as though they will be required to field the survey
  - ! If the QHP issuer does not meet the January 1, 2020 minimum enrollment threshold, it **must** notify CMS within 3 business days but **no later than** the date specified in the 2020 Operational Instructions
  - ★ QHP issuers notify CMS about product type changes to reporting unit(s) via email to MSD at CMS_FEPS@cms.hhs.gov

QHP Eligibility Guidelines (cont'd.)

Operating Status Criteria	Required to Field 2020 QHP Enrollee Survey
Reporting Unit began operating in Plan Year (PY) 2020	No
Reporting Unit product type changed	No
Reporting Unit began operating in PY 2019 and continued operating in PY 2020	Yes
Reporting Unit began operating in PY 2018 and continued operating in PY 2019 and PY 2020	Yes
Reporting Unit began operating in PY 2018, did not operate in PY 2019, and resumed operating in PY 2020	No
Reporting Unit began operating in PY 2018, continued operating in PY 2019, and will not operate in PY 2020	No

QHP Eligibility Guidelines (cont'd.)

Reporting Unit	Enrollment as of July 1, 2019	Enrollment as of January 1, 2020	Offered as of June 15, 2020	Required to submit QRS and QHP Enrollee Survey 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, 2019	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, 2020
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

Eligibility Roadmap

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 2019?

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

3 ★ Will the reporting unit operate on an Exchange in 2020 as the same product type?

(i.e. Will the reporting unit operate on an Exchange in both 2019 and 2020 as the exact same product type)

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

4 Does the issuer anticipate discontinuing the report unit prior to June 15, 2020?

- Refer to the ***Quality Rating System FAQ*** for the difference between discontinuation and uniform modification
- *If no, continue to step 5*
- *If yes, stop. Reporting unit is ineligible 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, 2019?
- *If yes, continue to step 6*
- *If no, stop. Reporting unit is ineligible 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, 2020?
- *If yes, continue to step 7*
- *If no, stop. Reporting unit is ineligible 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 to June 15, 2020. Please review the ***Quality Rating System FAQ*** for additional information on discontinuation and uniform modification.

A text version of this roadmap can be found on [slide 282]

Enrollee Eligibility Guidelines

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, 2019.
	Enrollee meets continuous enrollment criteria.
	Enrollee is still enrolled on January 6, 2020.
	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 child-only health plan or stand-alone dental plan.
	Enrollee is younger than 18 years of age as of December 31, 2019.
	Enrollee does not meet continuous enrollment criteria.
	Enrollee discontinued enrollment for the plan year 2020 prior to 11:59 p.m. ET January 6, 2020.
	Enrollee is deceased as of January 6, 2020.

Enrollee Eligibility Guidelines (cont'd.)

- QHP issuers are required to generate a complete and accurate sample frame file representative of 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 6, 2020 (<u>anchor date</u>)
  - Designated by HIOS ID variants -01 through -06 <u>or</u> -31 through -36 (for states with Medicaid 1115 waivers allowing access to Exchange plans)
  - Do <u>not</u> include enrollees in QHPs offered outside the Exchange (off-Exchange plans), designated by HIOS ID variant -00
  - Do <u>not</u> 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, stand-alone dental plans, or indemnity plans

Enrollee Eligibility Guidelines (cont'd.)

- Include <u>continuously enrolled</u> individuals ≥18 years (as of December 31, 2019) enrolled from July 1 through December 31, 2019 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 period are considered continuously enrolled and included in the product line/product they were enrolled in at the end of the continuous enrollment period
- 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, 2019) <u>and</u> as of 11:59 p.m. (ET) on January 6, 2020
- Include individuals with primary health coverage through the eligible QHP in which they are enrolled

Enrollee Eligibility Guidelines (cont'd.)

- When the QHP issuer has documented a change in ownership effective as of January 1, 2020, include enrollees aligned to a different QHP issuer in the prior year (e.g., the gaining QHP issuer includes enrollees <u>previously aligned to the ceding QHP issuer</u>)
- Include enrollees who requested not to be contacted (e.g., are on a "Do Not Survey" list)
- Exclude individuals who discontinue their coverage through the QHP for plan year 2020 prior to 11:59 p.m. (ET) on January 6, 2020
  - *<u>Note:</u> QHP issuers cannot generate a separate disenrollee list; all exclusions must occur prior to submitting the sample frame for the HEDIS Compliance Audit*
- Exclude deceased enrollees as of January 6, 2020

Sample Frame Generation

- QHP issuers must produce a single sample frame file for each reporting unit
- QHP issuers may not combine sample frame files for different reporting units or products into a single file
- QHP issuers must populate the sample frame to the extent possible
  - If portions of 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)
  - ★ Completeness thresholds included for each variable
  - ★ New Fields: Enrollee Education, Enrollee Employment
- QHP issuers may not append additional fields to the sample frame

Sample Frame Generation (cont'd.)

- QHP issuers may not generate sample frames prior to January 7, 2020 and must remove disenrolled and deceased enrollees (as of January 6, 2020)
  - Sample frame will include multiple adults (18 and older) from same policy
  - Vendors select 1 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, 2020
  - 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
- ★ QHP issuers must provide a list of common plan name aliases to vendors prior to fielding to support accurate eligibility determinations for enrollee response data

Sample Frame Validation

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. *<u>Note:</u> 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, 2020. *<u>Note:</u> Vendors notify CMS of any QHP issuer clients that have not provided a validated sample frame as of January 28, 2020.*
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.

Sample Frame File Quality Control Checks

- QHP issuers must conduct QC checks of data included in sample frame
- Vendors <u>must</u> also conduct QC checks of the sample frame to verify accuracy of the information provided by QHP issuer
- QC checks verify that data from the sample frame are accurately captured and prevent sampling errors

Sample Frame File Quality Control Checks (cont'd.)

Quality Control Checks for Sample Frame Files
Verify that organization is listed in the "Reporting Units Required to Submit 2020 QRS Clinical Measure Data and QHP Enrollee Survey Response Data" in the *2020 Qualified Health Plan Enrollee Experience Survey: Operational Instructions* (Reporting Unit ID [Issuer ID-QHP State-Product Type]).
★ Verify that the reporting unit's product type is the exact same product type in 2020 as the reporting unit's product type in 2019.
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.
Review the sample frame files for missing information. Data are required for all variables.

Sample Frame File Quality Control Checks (cont'd.)

Quality Control Checks for Sample Frame Files
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.
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 (2019). Investigate for significant (suggested greater than 30%) changes and determine if the data are accurate.

Sample Frame File Quality Control Checks (cont'd.)

Quality Control Checks for Sample Frame Files
Verify that organizations with Medicaid Expansion QHP enrollees (Field Position 602, 1=Yes) have a Variant ID value between -31 and -36.
★ Verify that all records within a sample frame have the same value for QHP Issuer Legal Name, Product Type, Issuer ID, QHP State, Reporting Unit ID, Reporting Status, and Total Enrollment.
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 is how the QHP Issuer name will appear in the Quality Improvement (QI) Report.*
★ Verify that Total Enrollment is greater than 500.

Sampling Definitions

- Subscriber or Family Identifier (SFID)
  - Covered family unit
  - Primary insured person + covered dependents
- Enrollee Unique Identifier (EUID)
  - Specific person
  - Each person in the SFID has an EUID, including the primary insured person and every dependent

Sampling Protocol

- Remove duplicate entries before selecting sample based on the following:
  - Name, Address, Date of Birth
- Assess completeness of contact information (mailing address, telephone number, email address) included 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 full 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 (cont'd.)

Sampling Procedure:

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
2. Deduplicate sample frame
   - Deduplicate by SFID
     - Use simple random sampling to retain 1 eligible EUID per SFID
   - Deduplicate by address if:
     - SFIDs are unique for each enrollee in the covered family unit
     - Sample frame does not contain SFIDs
     - ! No deduplication by address if already deduplicated by SFIDs
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

Sampling Protocol (cont'd.)

- Retain all sample data in secure and environmentally controlled location for at least 3 years
- ★ Vendors <u>must</u> conduct QC checks of survey sample to verify accurate deduplication and random sampling procedures

Count Variables

Calculate 3 variables for inclusion in the data file to determine selection probabilities and create survey weights:

1. Count total number of enrollees in sample frame for each 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, sum 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

“Do Not Survey” List

- Exclude from fielding sampled enrollees on vendor’s “Do Not Survey” list from prior survey year
  - Assign “X43—Do Not Survey List”
  - Do not exclude enrollees from the sample based on a QHP issuer’s “Do Not Survey” list (to include those who opted out of emails)
- 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 <u>not</u> remove or replace enrollees who have requested to not be contacted from the sample

Enrollees with Known Bad Addresses

- Vendors cannot exclude from sampling enrollees with known bad addresses
- If an enrollee with a known bad address is randomly selected, vendors are not required to mail them survey materials but are required to conduct the internet and telephone protocol with the enrollee

Enrollees with Known Email Preferences

- Vendors cannot exclude from sampling enrollees who asked to be removed from QHP issuer email communications
- If an enrollee who unsubscribed from QHP issuer communications is randomly selected for the survey, vendors are still required to send them notification and reminder emails
  - ★ Unless the enrollee clicks the “unsubscribe” button

Enrollees in Hospice

- Enrollees in hospice are included in the sample frame, given all other eligibility requirements are met
- Enrollees identified as being in hospice during fielding are assigned a final disposition code of “X24—Mentally or Physically Incapacitated”

Oversampling

Oversampling:

- Permitted at the reporting unit level if eligible enrollee volume is sufficient to support the increased sample size
- Must occur in 5% increments and may not exceed 30%
- QHP issuers should notify their vendor of oversampling plans as early as possible
- Vendors submit oversampling requests by **January 6, 2020** (as part of Report #2)
- ★ Vendors <u>must</u> provide a rationale for oversampling decision

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 2020 QHP Enrollee Survey

Eligibility and 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 7, 2019**
- QHP issuers validate sample frame data files
- QHP issuers and vendors conduct QC checks on data included in the sample frame file
- Vendors draw the survey sample per protocol and prepare for fielding

Eligibility and Sampling Questions?

Personnel Training and Data Security

Overview

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

Personnel Training – General

- Designated Personnel
  - Project Manager
  - Mail, Telephone, and Internet Survey Supervisor
  - Sampling Manager
  - Information System Staff
- Complete 2020 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
  - QA procedures for mail production activities and mailout processes
  - Decision rules and coding guidelines
  - Proper handling of hardcopy and electronic data, including data storage requirements

Personnel Training – Internet Protocol

- Train on internet survey and email procedures
- Training Topics:
  - Use of relevant software
  - Role-specific QHP Enrollee Survey protocols
  - Proper handling of electronic data, including data storage requirements
  - QA procedures for internet survey and emails

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
  - ★ Proxy guidance (detailed in Telephone Section)
  - ★ Q26A and Q26B
  - Frequently Asked Questions (FAQ) (Appendix D)
  - Telephone Customer Support Agent and Interviewer Guidance (Appendix E)

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 section of 2020 CATI Script (i.e., [INTRO 4: INBOUND REQUESTS])
- Train on threats respondent may make to self or others
- Telephone Customer Support Agent and Interviewer Guidance (Appendix E)
  - ★ Voicemail <u>must</u> be programmed in English, Spanish, and Chinese (*if applicable*)

Use of Subcontractors

- **Not** permitted for sample frame receipt, survey sample selection, email/internet survey administration, or data preparation/submission
- Permitted for mail and telephone protocols, customer support, and data receipt and processing
- 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
- ***Note:*** *Vendors must attend subcontractor training sessions*

Survey Management System

- Survey Management System (SMS) tracks:
  - Sampled enrollee data elements by unique ID
    - Unique IDs <u>must</u> 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
  - ★ Enrollees calling to request a Spanish or Chinese survey to confirm they are contacted in the appropriate language throughout fielding
- 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 store confidential data on computers without data encryption software
  - Maintain clean desk policy and protect sensitive information when visitors or unauthorized individuals are present
  - Never store confidential data on any device, including personal digital assistants, cell phones, universal serial bus drives, or on remote/home systems
- Take appropriate actions to safeguard data
- ★ Maintain a secure transmission log to document transmission of person-level data files, PII, or PHI
- ! File submissions to CMS <u>must</u> contain enrollee-level, deidentified data only
  - ! The write-in field for Q2 <u>must</u> be reviewed and any identifiable data removed

Data Security and Confidentiality (cont'd.)

- Limit confidential data access to authorized staff members only
- Maintain signed confidentiality agreements
  - Project staff <u>must</u> sign affidavits of confidentiality annually
- 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
  - Electronic images of scanned surveys <u>must</u> be secured electronically with limited access based on staff roles
- Develop procedures for identifying and handling breaches
  - Vendors <u>must</u> notify CMS of confidentiality or data breaches within 24 hours
- Redact all PII from data files prior to submission
  - Q2
  - 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

Personnel Training and Data Security Summary

- Personnel attend annual training and receive role-specific instruction
- ★ QHP Enrollee Survey project staff sign affidavits of confidentiality annually
- 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

Personnel Training and Data Security Questions?

Break 1

Data Collection Protocol

Data Collection Protocol Overview

- Survey Fielding
- Mail Protocol
- Internet Protocol
- Telephone Protocol
- Customer Support

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 has changed for 2020*

Task	Date
• Activate internet survey • Mail prenotification letter to sampled enrollees* • 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 notification email to non-respondents 6 calendar days after prenotification letter is mailed*	Day 6

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

Survey Administration Schedule (cont'd.)

Task	Date
• Mail reminder letter to non-respondents 13 calendar days after first survey is mailed* • Send reminder email to non-respondents 13 calendar days after notification email is sent*	Day 19
• Mail second survey with cover letter to non-respondents 27 calendar days after first survey is mailed* ★ Send reminder email to non-respondents 27 calendar days after the notification email is sent*	Day 33

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

Survey Administration Schedule (cont'd.)

Task	Date
• 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

**Vendors must accept and process data for all mail surveys received through 11:59 p.m. (ET) on May 15, 2020

Communication about Survey to QHP Enrollees

- QHP issuers may notify enrollees that they may be asked to participate in 2020 QHP Enrollee Survey
- Vendors, QHP issuers, or their agents may <u>not</u>:
  - Attempt to influence or encourage enrollees to answer survey questions in a particular way
  - Imply that the plan, its personnel, or agents will be rewarded or gain benefits for positive feedback
  - Offer incentives of any kind
- QHP issuers and their agents are strongly discouraged from asking enrollees QHP Enrollee Survey questions 4 weeks prior to and during the administration period (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 2020:
  - Updated Mail Material Requirements to:
    - Clarify that vendors are to include the QHP issuer's easily recognizable plan name in designated fill locations
    - Specify that if a vendor subcontracts customer service operations, they may include the telephone number of a subcontractor in the telephone number fill on mail letters
  - Updated Mail Survey Requirements to:
    - Specify that vendors may place the OMB statement either on the survey instructions page or on the back of the survey
    - Clarify that if a list of reporting unit aliases is printed on the survey, it must be printed on the survey instructions page
    - Specify that Q1 and Q2 must <u>not</u> be printed on the survey instructions page, and that they must be printed in 2-column format
    - Remove [QHP ISSUER NAME] fill from Q1

Key Changes to Mail Protocol (cont'd.)

- Key Changes to Mail Protocol for 2020:
  - Updated Mail Letter Requirements to:
    - Clarify that all letters must include foreign language taglines with information on how to request survey materials in the other languages available
    - Specify that only prenotification and reminder letters include information on how to complete the internet survey (survey URL and login credential(s) must <u>not</u> be printed on cover letters)
  - Updated Envelope Requirements to:
    - Clarify that the return address printed on business reply envelopes may be that of a subcontractor; however, the name associated with the return address must be that of the vendor only
    - Specify that the vendor's and/or the QHP issuer's logo must be printed on outbound envelopes (may print logos directly on the envelopes, or may use window envelopes)

Key Changes to Mail Protocol (cont'd.)

- Key Changes to Mail Protocol for 2020:
  - Updated Envelope Requirements to (cont'd.):
    - Clarify that vendors are not required to include the vendor's and/or QHP issuer's logo on business reply envelopes
  - Updated Mail Foreign Language Requirements to:
    - Specify that English and Spanish foreign language taglines on prenotification and reminder letters must include internet survey login credentials
    - Add potential strategies for optimizing response rates for foreign language survey administration based on language preference indicators
  - Updated Mail Quality Assurance Requirements to:
    - Specify that staff involved in mailing must be trained on QA procedures for mail production activities and mailout processes
    - Specify that vendors log all QA checks to document completion
    - Specify that vendors record all attempts to update mailing address information

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

Mail Material Requirements:

- 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 PDFs to QHPSurveyVendor@bah.com

Production of Mail Materials (cont'd.)

Mail Material Requirements:

- May <u>not</u> create or use any other translations of QHP Enrollee Survey
- May <u>not</u> make changes to text or translations
- ★ Include the same easily recognizable QHP issuer's plan name in each specified fill location
  - Same name included in <plan-name-fill> in Data Dictionary (Appendix G)
- May include tracking codes for QC purposes

Mail Survey Requirements:

- Include all questions
- Place full title including administration year at top of first page
- 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 OMB statement, approval number, and expiration date on either the survey instructions page or the back page of the survey
  - ★ May <u>not</u> be included on survey questions pages
  - ! <u>Must</u> be included in its entirety
- Print Q1 and Q2 on the first questions page of the survey
  - Q1 and Q2 may not be printed on the survey instructions page
- ★ The [QHP ISSUER NAME] fill has been removed from Q1

Mail Survey Requirements:

- Include enrollee unique identifier
  - Include on the instructions page and/or back page of the survey
  - May include unique IDs on each survey page
  - Cannot include enrollee name or address
  - Cannot contain any PII or any IDs included in the sample frame
- 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 the survey
    - If printed on the survey, must be on the instructions page
- Include address of vendor or subcontractor but name of vendor only in return address
- Subcontractor name may not be included in survey

May Not Change:

- ★ 2-column format to display all survey questions, including Q1 and Q2
- Question and response category wording
- Question and response category format
- Question and response category order

Must Follow Specified Text Conventions:

- Must bold text that is bold
- Cannot bold text that is not bold
  - Question stems
  - Response categories
  - Only emphasized words and skip pattern language are bold
- Cannot underline text that is bold
- Must italicize text that is italicized
- 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 ≥ 11 points
  - Easily readable font (e.g., Times New Roman or Arial)

Optional Survey Formatting:

- May include vendor logo and/or QHP issuer logo
- 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”

Prenotification Letter

Prenotification Letter Requirements:

- Enrollee's full name and address in the address block
- Personal salutation (i.e., "Dear [ENROLLEE FIRST AND LAST NAME]")
- Vendor logo or QHP issuer logo or both
- Vendor customer support telephone number and email address
- Call-out box for the internet survey
  - Contains non-language specific survey URL and login credential(s) that direct sampled enrollees to a page to enter their unique credential(s)
- QHP name inserted in specified fill locations

Prenotification Letter (cont'd.)

Prenotification Letter Requirements:

- Vendor or QHP issuer senior executive name, title, signature, and organization name
- Vendor name only in the return address
- Must fit on 1 page
- Font size ≥ 11 points
  - Easily readable font (e.g., Times New Roman, 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 Requirements:

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

Reminder Letter Requirements:

- Adheres to same specifications as the prenotification letter
- Reminds sampled enrollees that they should have already received a mail survey and encourages completion
- Includes call-out box for the internet survey
  - Contains non-language specific survey URL and login credential(s) that direct sampled enrollees to a to a page to enter their unique credential(s)

Reminder Letter (cont'd.)

English and Spanish Requirements:

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

Cover Letters

Cover Letter Requirements:

- 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 telephone number and email address
- QHP name inserted in specified fill locations
- Vendor or QHP issuer senior executive name, title, signature, and organization name
- Vendor name only in the return address
- ★ Do <u>not</u> print the internet survey URL and login credential(s) on cover letters

Cover Letters (cont'd.)

Cover Letter Requirements:

- 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 1 page
- Font size ≥ 11 points
  - Easily readable font (e.g., Times New Roman, 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 survey materials in other languages offered
- **Spanish** – Must include text in English and Chinese *(if applicable)* on how to request survey materials in other languages offered

Envelopes

Outbound Envelope Requirements:

- Used to send prenotification letters, survey packets (i.e., cover letters, surveys, and business reply envelopes), and reminder letters
- ★ Vendor logo and/or QHP issuer logo
- May not include banners such as "Important Information Enclosed"
- Taglines required by QHP issuers for legal purposes are permissible

Outbound Envelopes May:

- Use window envelopes that allow logo printed on the cover letter to be seen through the window
  - The return address block must be visible through window
- Include codes to assist with survey tracking
- Use address labels

Envelopes (cont'd.)

Business Reply Envelope Requirements:

- Included with each survey and cover letter
- Pre-paid
- Pre-addressed to vendor or subcontractor
- ★ The name associated with a return address is that of the vendor only
  - The address may be that of the vendor or of the subcontractor

Business Reply Envelopes May:

- Include codes to assist with survey tracking
- ★ Include the vendor and/or QHP issuer's logo
- Be printed on colored paper
  - Vendors track all reporting units for which envelopes are printed in color

Foreign Language Administration

Foreign Language Requirements:

- Work with clients to determine best strategy for achieving optimal response rates for Spanish or Chinese *(if applicable)* surveys
- Make Spanish and 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 to all enrollees with text in Spanish or Chinese *(if applicable)* about how to request materials in available languages. Mail Spanish or Chinese *(if applicable)* materials upon request only	Mail materials in English, Spanish, or Chinese *(if applicable)* depending on the language preference specified in the sample frame. Materials must include text about how to request materials in other available languages	Mail materials in both English and Spanish/or Chinese *(if applicable)* (i.e., “double stuff” approach). Materials must include text about how to request materials in other available languages

Foreign Language Administration (cont'd.)

Foreign Language Requirements:

- All letters mailed in English must include instructions in Spanish or Chinese *(if applicable)* on how to request materials in their preferred language
  - Standard text included in letter templates
  - ★ If using Option 1, the Spanish text on the prenotification and reminder letters must include the survey URL and login credential(s) to take the internet survey
  - ★ If using Option 3, the sampled enrollee address and salutation <u>must</u> be printed on both the front and the back of the letters
  - ★ If using Option 3, letters may be printed with English on 1 side and Spanish/Chinese on the reverse side, and <u>must</u> include information on how to request materials in other available language (*if applicable*)
- If an enrollee requests a Spanish or Chinese mail survey, it is strongly recommended that the vendor to mails survey within 2 business days
- 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
- The use of first class postage or indicia is strongly encouraged

Address Standardization

Address Standardization Requirements:

- 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

Quality Control Requirements:

- 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
- ★ Log all QA checks to document their completion
- Initiate “seeded mailings”
- Validate and update addresses
- ★ Record all attempts to update mailing address information
- Confirm production totals match sample

Inbound Mail Requirements

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 final disposition code to every sampled enrollee

! Vendors <u>must</u> include responses from mail surveys received through May 15, 2020 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 securely discard undeliverable surveys after removing all enrollee-identifying information
- Must shred if contains 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 2 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
  - Deceased (Disposition Code: X20)
  - Does Not Meet Required Eligibility Criteria (Disposition Code: X40)
  - Do Not Survey List (Disposition Code: X43)
  - Language Barrier (Disposition Code: X22)
  - Physically or Mentally Incapacitated (Disposition Code: X24)
- Scan or store survey hardcopies for 3 years

Inbound Mail Requirements (cont'd.)

Processing Surveys with Incorrect Skip Patterns:

- When respondents do not follow a skip pattern as instructed (a "failed skip"), <u>do not</u> edit or clean responses
- When respondents leave a screener question blank but then answer subsequent follow-up questions, code the screener question as *Missing*

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

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% manual 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

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 QC activities
  - Data entry and scanning
- CMS oversight
  - Review of all mail materials prior to bulk printing

Mail Protocol Questions?

Internet Protocol

Internet Protocol Overview

- Internet Protocol
- Internet Survey Requirements
- System Requirements
- Security Requirements
- ★ Internet Survey Wireframe
  - Login, Landing, Instructions, Survey Questions, and Exit Pages
- Notification and Reminder Emails
- Foreign Language Requirements
- Quality Assurance and Control

Key Changes to Internet Protocol

- Key Changes to Internet Protocol for 2020:
  - Updated the name of the “prenotification email” to “notification email”
  - Revised the requirement to include login credentials on prenotification and reminder letters only (not cover letters)
  - Added a requirement that vendors <u>must</u> program and complete testing of emails before the prenotification letter is mailed
  - Updated internet survey requirements to:
    - Specify the internet surveys must be compatible with iOS and Android devices and popular browsers
    - Specify that respondents <u>must</u> enter their login credentials on a webpage prior to selecting their preferred language and entering the survey

Key Changes to Internet Protocol (cont'd.)

★ Key Changes to Internet Protocol for 2020:

- Added the Internet Survey Wireframe section
- Updated the internet programming requirements for the login, landing, instructions, survey questions, and exit pages
- Added recommendations that vendors use an email verification service and use a service to check the display of emails on various platforms
- Updated email requirements to:
  - Revise which days in the fielding schedule emails are sent
  - Require an "unsubscribe" link on all emails
  - Require a "Take Survey Now/Responda la encuesta ahora" button, as well as a full unique URL link in emails, both with embedded login credentials
  - Specify that all hyperlinks must be formatted in a color different than the rest of the email text

Key Changes to Internet Protocol (cont'd.)

- Key Changes to Internet Protocol for 2020:
  - Clarified foreign language requirements
  - Added a requirement that vendors <u>must</u> provide the programmed internet survey URL with at least 12 user names and/or passwords, and at least 12 unique URLs with embedded login credentials to CMS for review
  - Added internet protocol QA requirements
  - Added a requirement that vendors verify that embedded login credentials function properly

Internet Protocol:

- Internet survey must be available for entire data collection period
- Both English and Spanish administration required
- Subcontracting is not permitted for internet survey administration
- Create secure, password protected internet survey platform
- Establish easily recognizable URL address
- Optimize the internet survey for completion on mobile devices
- ★ Program and test internet survey, as well as emails, before prenotification letter is mailed

Internet Protocol:

- Assign customized login credentials
- ★ Internet survey URL and login credential(s) provided on prenotification and reminder letters only (not on cover letters)
- ★ Vendors communicate availability of internet survey via emails to sampled enrollees with an email address
  - ★ Include “Take Survey Now/Responda la encuesta ahora” button and full unique URL on emails, both with embedded login credentials
- Collect internet survey data

Internet Survey Conventions

Internet Conventions:

- English and Spanish internet scripts posted on [MQI website]
  - Text and programming conventions
  - Instructions page script
- ★ Prenotification and reminder letters **must** provide a non-language specific URL and login credential(s) that direct to a login page instructing enrollees to enter login credentials
  - Cannot provide separate URLs by language
  - Instructions on how to enter login credential(s) must be provided in both English and Spanish
- ★ All emails **must** provide a non-language specific "Take Survey Now/Responda la encuesta ahora" button and full unique URL, both with embedded login credentials
  - Cannot provide separate URLs by language
  - Automatically logs enrollee into the survey and directs to a landing page where enrollee selects preferred language

Internet Survey Conventions (cont'd.)

Internet Conventions:

- 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>1</u> gate item per webpage
  - <u>2 or 3</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.)

Internet Conventions:

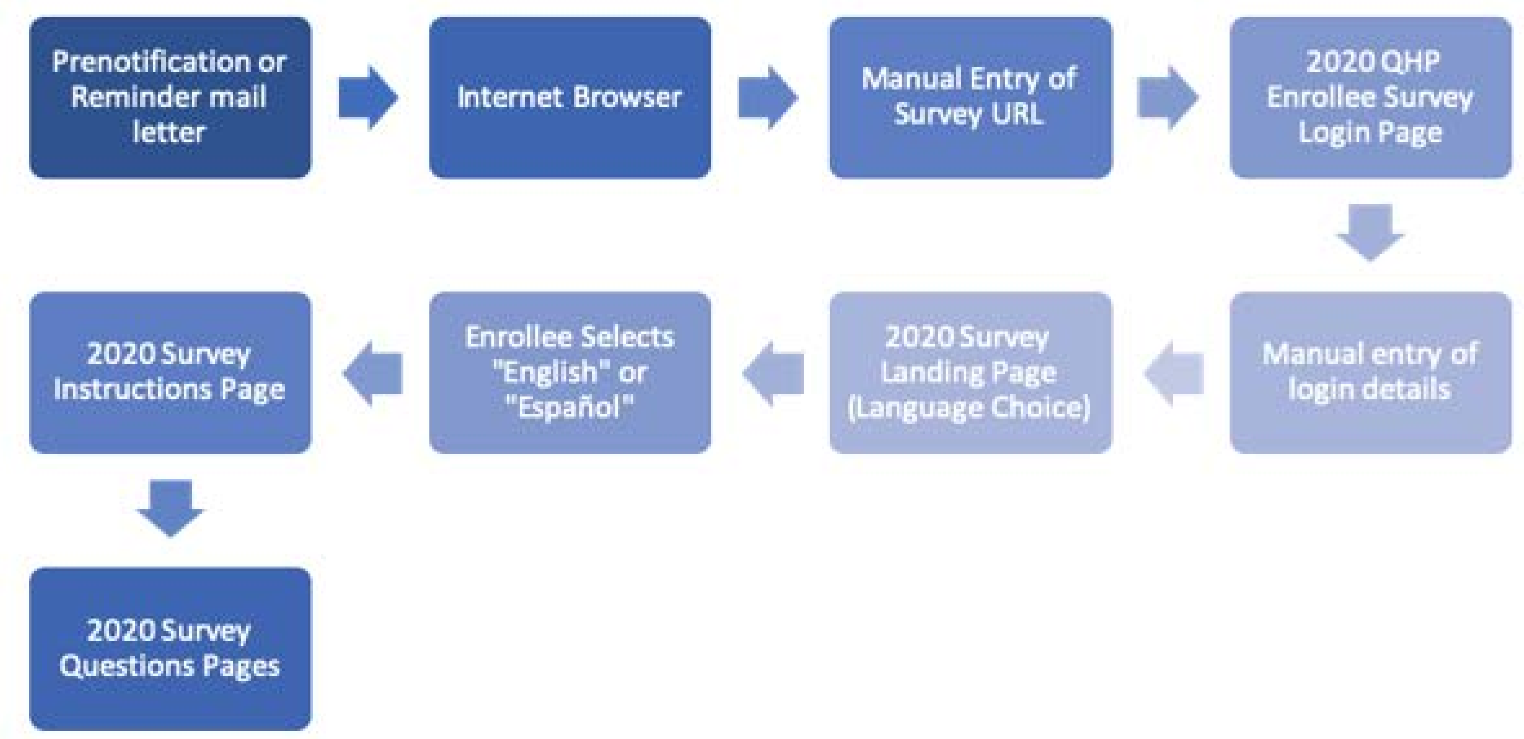
- Must bold text that is bold
- <u>Cannot</u> bold text that is not bold
  - Question stems
  - Response categories
  - Only emphasized words and skip pattern language are bold
- <u>Cannot</u> underline text that is bold
- Must italicize text that is italicized
- Black or dark blue readable font for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

Internet Survey Wireframe

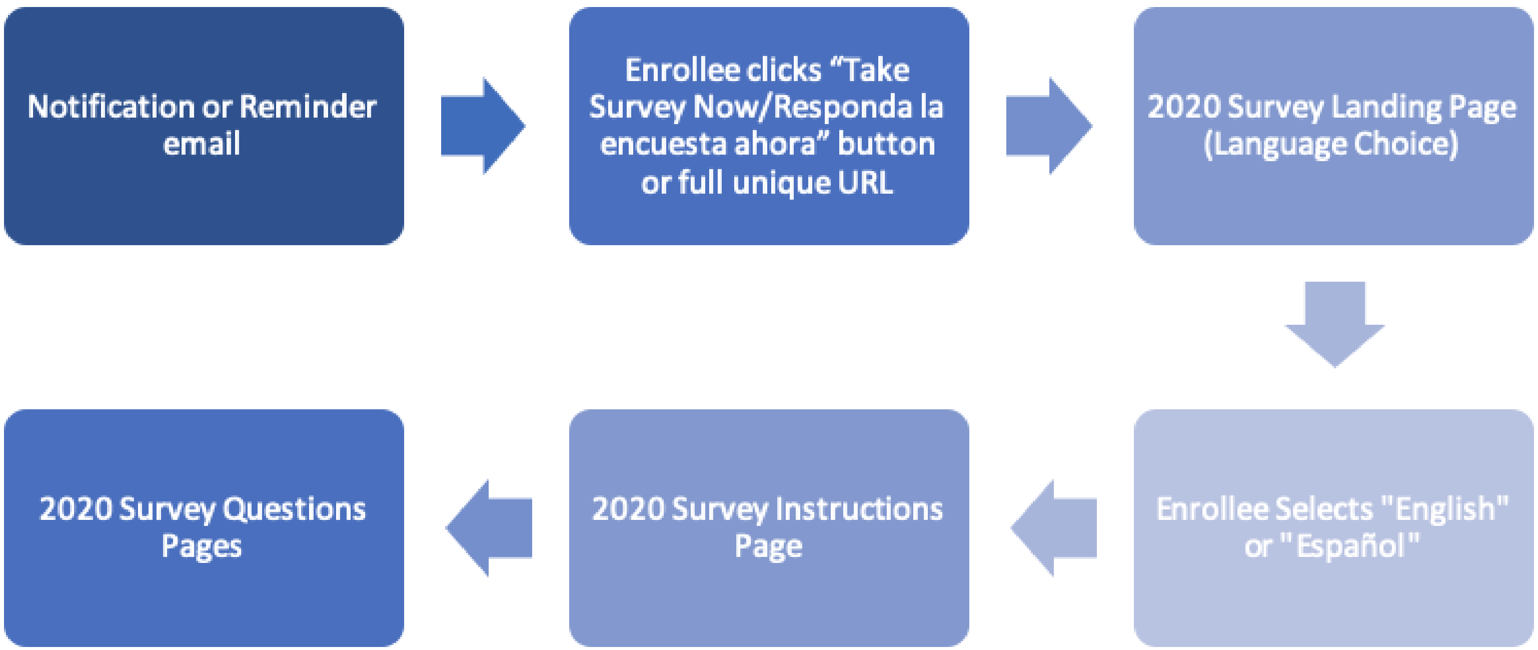
- ★ Survey Login Page
- ★ Survey Landing Page
- ▪ Survey Instructions Page
- ▪ Survey Question Pages
- ▪ Survey Exit Page

Internet Survey Wireframe (cont’d.)

<u>Manual Entry Wireframe</u>

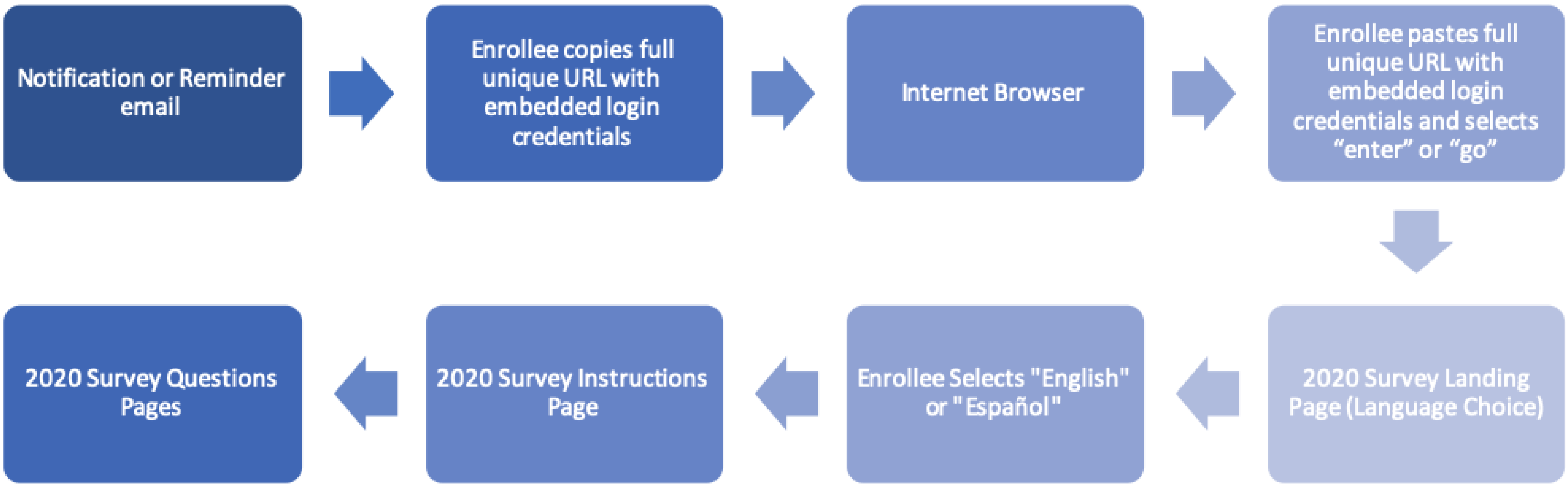


Email Direct Entry Wireframe – Option 1



Internet Survey Wireframe (cont'd.)

Email Direct Entry Wireframe - Option 2



Survey Login Page

- Survey Login Page Requirements:
  - Enrollee manually enters the survey URL from prenotification or reminder letter
  - Instructions included in both English and Spanish to explain how to enter the customized login credentials, provided on the mailed letters
  - Requires entry of login credentials
  - Once login credentials successfully entered, directs to landing page
  - Includes a “Questions/Preguntas” 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 Landing Page

★ Survey Landing Page Requirements:

- Automatic entry to the landing page when enrollee clicks on their custom URL link (with embedded login credentials) from an email
- Option to take the survey in English or Spanish
- Once preferred language is selected, directs to survey instructions page
- Includes a “Questions/Preguntas” 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

Instructions Page Requirements:

- Provides general survey navigation instructions
  - “Previous/Anterior” button
  - “Next/Próxima (or Siguiente)” button
- Displays OMB statement, approval number, expiration date
- Includes additional instructions specific to internet survey instrument or platform (*if applicable*)
- Includes survey title and administration year at top
- Assures sampled enrollee’s confidentiality is protected
- Includes a “Questions/Preguntas” 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

Survey Question Pages Requirements:

- 1 gate item per page
- At least 2 but no more than 3 non-gate items per page
  - Except for Q2, Q51, and Q68
  - Vendors use their discretion when deciding to use 2 or 3 non-gate items
- Program to follow all skip pattern logic
- No changes to wording or order of questions or response categories
- Response options must be displayed vertically
  - Matrix presentation not allowed
- Do not number survey questions
- Each page includes a section header

Survey Question Pages (cont'd.)

Survey Question Pages Requirements:

- All pages include "Previous/Anterior" and "Next/Próxima (or Siguiente)" buttons
- All pages include a "Questions/Preguntas" link
- Program questions that permit only 1 response to accept only 1 response
- Program questions that permit multiple responses to accept multiple responses
- Q2
  - 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 Requirements:

- Provides confirmation that the survey has been submitted and received by the vendor
- Thanks sampled enrollee for participating
- Includes a “Questions/Preguntas” link
    - Contains vendor name and toll-free number
    - May also provide customer support email address

System Requirements

System Requirements:

- Prevent completion of more than 1 survey per enrollee
- Link responses to appropriate sampled enrollee in SMS
- ★ Remove sampled enrollees who complete the internet survey from further mail, email, 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, tablets, and computers, and test prior to fielding
  - ★ Internet surveys must be compatible with iOS and Android devices and popular browsers

System Requirements (cont'd.)

System Requirements:

- 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.)

System Requirements:

- "Previous/Anterior" button
  - Allows enrollee to return to the previous survey question
- "Next/Próxima (or Siguiente)" button
  - Advances survey when an answer is provided
  - Allows enrollee to skip to the next survey question without answering the current question
  - When this 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 this button is selected without a response for a non-gate item, the enrollee is directed to the next question

Internet Security

Internet Security Requirements:

- 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 Sockets 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 credential(s) (user name and/or password) on prenotification and reminder letters <u>only</u>:
  - Assigned randomly
  - Non-sequential
  - Alphanumeric
  - At least 8 characters in length
    - If both user name and password used, both <u>must</u> be at least 8 characters
- ★ Embedded login credential(s) in a "Take Survey Now/Responda la encuesta ahora" button and full unique URL within emails:
  - Automatically log enrollees into the survey when clicked
  - Match respondents 1-to-1 with the sampled enrollees
  - Test embedded login credentials prior to fielding

Internet Security (cont'd.)

Survey URLs:

- ★ Provided to sampled enrollees in prenotification and reminder letters
- ★ Embedded with login credential(s) in a "Take Survey Now/Responda la encuesta ahora" button and full unique URL in emails
- May not be included on vendor or QHP issuer websites
- Should be easy for enrollees to retype

Customer Support for Internet Surveys:

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

Notification and Reminder Emails

Notification and Reminder Emails:

- Inform enrollees with an email address included in the sample frame about internet survey option
- Send 1 notification email and 2 reminder emails to non-respondents
  - ★ Notification email sent 6 days after prenotification letter mailed
  - ★ 1st reminder email sent on same day that reminder letter is mailed
  - ★ 2nd reminder email sent on same day that 2nd survey packet mailed
- ★ English and Spanish emails are sent based on available language preference indicators
- ★ The order of information presented in emails has been revised for 2020

Notification and Reminder Emails (cont'd.)

Notification and Reminder Emails Must:

- Fit into 1 email message
- Use ≥ 11-point font 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
  - ★ Format all hyperlinks in a color of a high contrast and different than the rest of the email text
- 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

Notification and Reminder Emails (cont'd.)

Notification and Reminder Emails Must Include:

- Vendor name, enrollee email address, and QHP issuer name in designated fill locations
- ★ Standardized subject line has been updated for 2020 administration
- ★ "Take Survey Now/Responda la encuesta ahora" button in a call-out box and a full unique URL, both with embedded login credentials, that automatically log sampled enrollees into the internet survey
- Vendor customer support telephone number and project-specific email address
- ★ Vendor or QHP issuer name, title, and organization name
- ★ "Unsubscribe" link that successfully removes the sampled enrollee from further email communications
- May include taglines required by the QHP issuer for legal purposes

Notification and Reminder Emails (cont'd.)

Notification Email Requirements:

- Informs enrollee of internet survey option
- Includes instructions for completing survey on a secure website
- Standard notification email template posted on MQI website

Notification and Reminder Emails (cont'd.)

Reminder Email Requirements:

- Reminds enrollees of internet survey option
- Informs enrollees they should have already received mail survey
- Includes instructions for completing survey on a secure website
- Standard reminder email template posted on the MQI website

Foreign Language Administration

Foreign Language Requirements:

- Include a non-language specific URL with embedded login credentials on emails that, when clicked, directs sampled enrollees to a landing page on which they select to take the internet survey in English or Spanish
- Insert a “Take Survey Now/Responda la encuesta ahora” button with embedded login credentials on emails that, when clicked, directs sampled enrollees to a non-language specific landing page on which they select to take the internet survey in English or Spanish

Foreign Language Administration (cont'd.)

Foreign Language Requirements:

- Work with clients to determine best strategy for achieving optimal response rates in the administration of Spanish or Chinese *(if applicable)* surveys
- Send emails based on availability of language preference indicators using the following options:

Option 1	Option 2	Option 3
Send emails in English or Spanish depending on the language preference specified in the sample frame. Emails must include text about how to request a survey in the preferred language.	Send emails in English only. Must include text in Spanish or Chinese *(if applicable)* about how to request a survey in the preferred language.	Send emails in both English and Spanish (i.e., "double stuff" approach). Not required to include text about how to request a survey in the preferred language unless fielding in Chinese.

Foreign Language Administration (cont'd.)

Foreign Language Requirements:

- Emails sent in English must include instructions in Spanish or Chinese *(if applicable)* on how to request materials in the preferred language
  - Standard text included in letter templates
  - ★ If using Option 2, the Spanish or Chinese (*if applicable*) text on the emails <u>must</u> include text about how to request the survey in the preferred language
    - ★ Spanish text <u>must</u> include the full survey URL with embedded login credentials to take the internet survey
  - ★ If using Option 3, send 1 email in both English and Spanish
    - ★ If fielding in Chinese, <u>must</u> include text about how to request a survey in Chinese

Quality Assurance and Control

Quality Assurance and Control:

- Vendors must provide the programmed internet survey URL for both English and Spanish surveys to CMS for review
- ★ Vendors <u>must</u> provide at least 12 login credentials and at least 12 unique URLs with embedded login credentials to CMS for review
- Vendors must email programmed emails to QHPSurveyVendor@bah.com and also notify the Project Team by email once the email templates are sent
- ★ Test the functionality of the links in at least 5% of the emails for each reporting unit prior to fielding
- ★ Log all QA checks to document their completion
- ★ Seed at least 1 internal staff member in the email distribution list for each reporting unit for which the survey is being fielded

Internet Protocol Summary

Summary:

- English and Spanish required
- Available for entire duration of data collection period
- Adhere to internet survey script
- ★ Send prenotification and reminder letters, and notification and reminder emails to enrollees to inform them of internet option
- ★ Login information included on all prenotification and reminder letters, and links with embedded login credentials included on emails
- Vendor oversight
  - ★ Program and complete testing of the internet survey, as well as emails, before the prenotification letter is sent to sampled enrollees
- CMS oversight
  - Review programmed emails and internet survey instrument

Internet Protocol Questions?

Telephone Protocol

Telephone Protocol Overview

- Telephone Interviewing System
- Inbound Telephone Protocol
- Outbound Telephone Protocol
- Proxy Respondents
- Interviewing Specifications
- Interviewer Training
- Interviewer Monitoring
- Telephone Subcontractors
- Telephone Data Processing

Key Changes to Telephone Protocol

- Key Changes to Telephone Protocol for 2020:
  - Updated the proxy protocol to:
    - Specify that proxy interviews may be completed on behalf of sampled enrollees who are either mentally/physically incapable or those who are capable but otherwise consent to a proxy respondent
    - Clarify that all sampled enrollees must consent to the use of a proxy
  - Updated the definition of a telephone attempt to:
    - Clarify that reaching a busy signal counts as 1 telephone attempt
      - At the discretion of the vendor, a telephone attempt may consist of 3 consecutive telephone attempts made at approximately 20-minute intervals
    - Include a new definition of telephone attempt: Interviewer is placed on hold for at least 3 minutes, at which time the interviewer may disconnect the call

Key Changes to Telephone Protocol (cont'd.)

- Key Changes to Telephone Protocol for 2020:
  - Added new telephone QA requirements to:
    - Specify that vendors must test each programmed response option for all survey questions, including "Don't Know" and "Refused" responses
    - Specify that CMS reviews skip pattern programming via web conferencing prior to fielding
    - Require that vendors verify the infrastructure to support initial dialing in a sampled enrollee's preferred language is operational prior to fielding
  - Specified foreign language requirements for the telephone survey
  - Clarified that silent monitoring must consist of listening to both live and recorded interviews

Key Changes to Telephone Protocol (cont'd.)

- Key Changes to Telephone Script for 2020:
  - Updated introduction prompts for handling proxy respondents to:
    - Add [Intro3] for respondents that are not mentally/physically unable but who request a proxy
  - Updated interviewer instructions and probes to:
    - Add new probes for Q60 and Q64
    - Clarify which instructions are for interviewers/programmers
  - Updated survey questions to:
    - Revise Q61 to require that interviewers ask an enrollee's sex
    - Split Q26 into 2 parts (26A and 26B)
    - Make Q64 and Q65 gender-neutral
    - Reduce the number of race categories in Q66
    - Change the codes for Not Applicable responses from 5 to -5

Telephone Requirements:

- Integrated CATI system
- Standardized CATI scripts and specifications
  - English and Spanish required, Chinese optional
- 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 vendor 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:* May program caller ID to display vendor's name
  - May <u>not</u> program to display *"on behalf of [QHP Issuer Name]"*

Telephone Quality Assurance Requirements

Vendors Must:

- Confirm telephone script matches previously accepted screenshots
- Verify system follows each skip pattern correctly, as well as all other programming instructions in the script template
- ★ Test each response option, including “Don’t Know” and “Refused”, for all questions to confirm accuracy of skip pattern programming
- Verify infrastructure to support initial dialing in sampled enrollee’s preferred language is operational
- Make every reasonable attempt to contact nonrespondents
  - Vendors must use a secondary source to verify or obtain a telephone number for each sampled enrollee

Inbound Telephone Protocol

Inbound Telephone Requirements:

- 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/activation of the internet survey
  - Standardized introduction for inbound interview requests in CATI script
- <u>Must</u> be available for the remainder of the mail protocol

Inbound Telephone Protocol (cont'd.)

Inbound Telephone Requirements:

- 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

Inbound Telephone Protocol (cont'd.)

Foreign Language Administration:

- Vendors may attempt to complete an inbound telephone interview with the sampled enrollee during a call in which a Spanish or Chinese (*if applicable*) mail survey is requested

Outbound Telephone Protocol

Enrollees in the Outbound Telephone Protocol:

- Did not respond to mail or internet survey
- 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.)

Telephone Protocol:

- 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.)

Updating Telephone Numbers:

- 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 <u>only</u> request contact information for entire sample frame (<u>not</u> selected survey sample)
  - May <u>never</u> request contact information for specific enrollees

Outbound Telephone Protocol (cont'd.)

Handling Multiple Phone Numbers:

- If vendors receive 2 enrollee phone numbers in the sample frame
  - <u>Must</u> 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.)

Foreign Language Requirements:

- Vendors work with QHP issuer clients to determine how to optimize response rates for foreign language administration, based on language preference indicators included in the sample frame
- If a sampled enrollee calls the vendor to request a Spanish or Chinese survey during the mail protocol, the vendor should begin telephone attempts in this language from the beginning of the telephone protocol

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.)

Each of the Following is a Single Telephone Attempt:

- At least 6 rings with no answer
- Sampled enrollee requests callback
- Household reached but sampled enrollee not available
- ★ Busy signal reached
  - May consist of 3 consecutive dial-outs made at 20-minute intervals
- ★ Interviewer placed on hold for at least 3 minutes
  - May disconnect the call
- Answering machine or voicemail reached

Answering Machine Messages:

- Vendors may leave messages on answering machines
- Maximum of 2 messages
- Review HIPAA requirements

Outbound Telephone Protocol (cont'd.)

Handling Disenrollees:

- Disenrollees are individuals insured by a QHP in a reporting unit at the time of sampling, but no longer insured at the time of survey
- Individuals who indicate by mail or internet they are no longer enrolled in the QHP do not receive telephone follow up
- If an individual indicates 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.)

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.)

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 Respondent Guidelines:

- Vendor may conduct proxy interviews for sampled enrollees who are either physically/mentally capable or incapable
- Sampled enrollee <u>must</u> grant permission for proxy to complete telephone interview
- CATI script includes interviewer instructions for:
  - Obtaining permission from sampled enrollee to use proxy
  - Modifying script to accommodate proxies
- CATI training materials must include instructions on how to obtain permission from a sampled enrollee to use a proxy
- Interviewers indicate whether a phone interview is completed by proxy in Q67 of CATI script

Proxy Respondents (cont'd.)

Example Scenarios for Requesting a Proxy:

- "My [relative/household member] can take the survey. Talk to him/her."
- "I do not take surveys, but my [relative/household member] can answer health questions for me. Please speak with him/her."
- "I am busy right now. Please speak with my [relative/household member] who can take the survey on my behalf."

Proxy Respondents (cont'd.)

Dispositioning Proxy Scenarios:

- If sampled enrollee is physically/mentally unable to respond to the survey and is unable/unwilling to grant permission to a proxy, then the interviewer:
  - Ends the interview
  - Assigns a final disposition code of "X24—Mentally or Physically Incapacitated"
- If sampled enrollee does not specifically state he/she is physically/mentally incapable of participating in the survey and is unable/unwilling to grant permission to a proxy, then the interviewer:
  - Ends the interview
  - ★ Assigns a final disposition code of "X32 – Refusal"

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 reviews skip pattern programming via web conferencing prior to fielding
  - 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 PARENTHESES)
- Text in UPPERCASE LETTERS should not be read aloud
  - DON'T KNOW / REFUSED answer categories should <u>not</u> be read
- Text in **bold, lowercase letters** should be read aloud
- Text that is <u>underlined</u> should be emphasized

Telephone Interviewer Training:

- Rationale → Standardized Data Collection
- Interviewer Training Topics
  - QHP Enrollee Survey specifications
  - General interviewing practices
- Refusal Avoidance and Conversion Techniques
  - Not permitted when sampled enrollee is at work or driving
- FAQ located in Appendix D
- Telephone Customer Support Agent and Interviewer Guidance located in Appendix E

Telephone Interviewer Training (cont'd.)

Telephone Interviewer Training:

- Read questions and response choices verbatim
- Probe when a sampled enrollee fails to give a complete or adequate answer
- Maintain a professional, neutral rapport with the sampled enrollee
- Minimize interviewer coding and answer interpretation
- Record the appropriate outcome of all call attempts to reach a sampled enrollee
- Operate the CATI system efficiently
- If an enrollee does not provide an answer to a question because they are clearly confused by the question itself, code it as "Don't Know"

Special Training Considerations:

- Q26 split into Q26A and Q26B:

26A. In the last 6 months, how many times did you visit your personal doctor to get care for yourself?

(READ RESPONSE OPTIONS ONLY IF NECESSARY. IF READING RESPONSES, SAY: **Would you say…**)

0☐ NONE → [IF NONE, GO TO #26B]
1☐ 1 TIME → [IF 1 TIME, GO TO #27]
2☐ 2 → [IF 2, GO TO #27]
3☐ 3 → [IF 3, GO TO #27]
4☐ 4 → [IF 4, GO TO #27]
5☐ 5 TO 9 TIMES → [IF 5 TO 9 TIMES, GO TO #27]
6☐ 10 OR MORE TIMES, OR → [IF 10 OR MORE TIMES, GO TO #27]
-5☐ NOT APPLICABLE; YOU DO NOT HAVE A PERSONAL DOCTOR?
→ [IF NOT APPLICABLE, GO TO #39]

-1☐ REFUSED → [IF REFUSED, GO TO #39]
-2☐ DON'T KNOW → [IF DON'T KNOW, GO TO #39]

Telephone Interviewer Training (cont'd.)

Special Training Considerations:

- Q26 split into Q26A and Q26B:

26B. Is that because you have a personal doctor but did not visit them in the last 6 months, or is that because you do not have a personal doctor?

(READ RESPONSE OPTIONS ONLY IF NECESSARY. IF READING RESPONSES, SAY: **Would you say…**)

0☐ YOU HAVE A PERSONAL DOCTOR BUT DID NOT VISIT HIM OR HER IN THE LAST 6 MONTHS; OR → [IF NONE, GO TO #39]

-5☐ YOU DO NOT HAVE A PERSONAL DOCTOR? → [IF NOT APPLICABLE, GO TO #39]

Telephone Interviewer Training (cont'd.)

Special Training Considerations:

- Q60 – New Probe for Age Question

(IF RESPONDENT STATES AGE BEFORE RESPONSE OPTIONS ARE READ, SAY: **Thank you. I just want to confirm, your age is between [XX] and [XX], correct?** READ THE MINIMUM AND MAXIMUM AGES FOR THE CATEGORY IN WHICH THE RESPONDENT INDICATES THE ENROLLEE'S AGE FALLS.)

- Q64 and Q65 – Question and Responses Revised to be Gender-Neutral

Special Training Considerations:

- Q66 – Race Categories Reduced from 14 to 5

66. I am going to read a list of race categories. For each category, please say yes or no if it describes your race. I must ask you about all categories in case more than one applies.

(IF THE RESPONDENT WANTS TO KNOW WHY YOU ARE ASKING WHAT RACE THEY ARE, SAY: **We ask about your race for demographic purposes only.**)

(TREAT EACH ITEM AS A YES/NO QUESTION)

	YES	NO
[A.] **Are you White?**	1☐	0☐
[B.] **Are you Black or African American?**	1☐	0☐
[C.] **Are you American Indian or Alaska Native?**	1☐	0☐
[D.] **Are you Asian?**	1☐	0☐
[E.] **Are you Native Hawaiian or Pacific Islander?**	1☐	0☐

-1☐ REFUSED
-2☐ DON'T KNOW

Telephone Interviewer Monitoring

Telephone Interviewer Monitoring Requirements:

- Implement a monitoring and evaluation program throughout the telephone protocol
- Monitor a minimum of 10% of all interviews
  - ★ At least 7% using silent monitoring (live <u>and</u> recordings)
  - Up to 3% using callback monitoring
  - Must be conducted at a 10% rate throughout phone phase
- Monitor both attempts and completed interviews
  - Across all interviewers and times of day

Telephone Interviewer Monitoring (cont'd.)

Telephone Interviewer Monitoring Requirements:

- Must be aware of and follow applicable federal and state regulations when monitoring and/or recording telephone calls
- Document monitoring session outcomes
- Provide feedback on interviewer performance
- CMS remotely monitors interviews

Telephone Subcontractors

Vendors Must:

- Provide proper oversight of subcontractors
- Obtain signed confidentiality agreements
- Attend subcontractor's telephone interviewer training
- Monitor combined total of at least 10% of all interviews
  - Each organization must conduct monitoring
  - Interviews monitored jointly only contribute to 1 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)
- 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
  - Recommended minimum of 10%

Telephone Protocol Summary

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
  - ★ CMS reviews skip pattern programming via web conferencing
  - Remote monitoring session

Telephone Protocol Questions?

Customer Support

Customer Support Overview

- Customer Support Requirements
- Customer Support Subcontractors
- Customer Support Quality Assurance

Customer Support Requirements

Vendors Must:

- Establish a 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
    - Voicemail mailbox <u>must</u> be programmed in English, Spanish, and Chinese (*if applicable*)
  - Voicemail messages must be returned within 24-hours
  - If line not project-specific, must probe caller to confirm survey in question
- Establish project-specific email address
  - 24-hour turnaround time for inquiries in all languages
  - If unable to provide a response within 24 hours, <u>must</u> acknowledge receipt
- Operational by start of mail phase (i.e., prenotification letter mail date/internet survey activation date)
  - Test system prior to survey implementation

Customer Support Requirements (cont'd.)

Vendors Must:

- 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
  - ★ New FAQ provided
    - Q: "What timeframe should I use to answer the survey questions?"
    - A: "Please use your healthcare experiences with [QHP ISSUER NAME] from July through December 2019 to answer the survey questions."

Customer Support Subcontractors

Vendors Must:

- Provide proper oversight of subcontractors
- Obtain signed confidentiality agreements
- Attend subcontractor's customer support training
- Provide feedback on the quality and accuracy of customer support responses
- Vendors and subcontractors must comply with all HIPAA rules and regulations for safeguarding PII

Customer Support Quality Assurance

★ Vendors Must:

- Confirm accuracy of at least 10% customer support responses
- Review speed of responses for all customer support inquiries
  - Confirm that all responses are provided within 24 hours
- Review at least 10% of responses to confirm professionalism of customer support representatives
  - Listen to telephone recordings or review email responses
- Confirm that all requests to customer support for a scheduled phone survey result in a conducted survey
- Confirm that all foreign language customer support inquiries are responded to accurately and within 24 hours

Customer Support Questions?

Data Coding, Specifications, and Submission

Overview

- Definition of a Complete Survey
- Disposition Codes
- Determining Enrollee Eligibility
- 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
  - An enrollee must answer at least 9 key items to be defined as a “completed survey”
- 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 54 of the Technical Specifications

Definition of a Complete Survey (cont'd.)

- If more than 1 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

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 53 of the Technical Specifications

Disposition Codes (cont'd.)

Code	Description	Survey Status	★ Date_Complete Coding Guidelines
M, I, or T 10	Respondent answers 50% or more of key survey items	Completed Survey	Code as the date the completed survey was received
M, I, or T 31	Respondent answers less than 50% of key survey items	Partially Completed Survey	Code as the date the partially completed survey was received or administered
X20	Sampled enrollee is reported as deceased during the survey period	Ineligible: Deceased	Code as the date it is determined the enrollee is deceased
X40	Sampled enrollee does not meet all required eligibility criteria for inclusion in the survey sample	Ineligible: Not Eligible	Code as the date it is determined that the enrollee does not meet all required eligibility criteria
X43	Sampled enrollee is on vendor's "Do Not Survey" list	Do Not Survey List	Code as the first date of fielding for the Reporting Unit

Disposition Codes (cont'd.)

Code	Description	Survey Status	★Date_Complete Coding Guidelines
X22	Sampled enrollee does not speak one of the approved survey languages (English, Spanish, or Chinese (*if applicable*))	Language Barrier	Code as the date it is determined that a language barrier prevents the enrollee from completing the survey
X24	Sampled enrollee 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	Code as the date it is determined that a mental or physical incapacity prevents the enrollee from completing the survey

Disposition Codes (cont'd.)

Code	Description	Survey Status	★Date_Complete Coding Guidance
X32	Sampled enrollee indicates refusal to participate in survey OR sampled enrollee requests to be placed on "Do Not Survey" list during data collection	Refusal	Code as the date enrollee or proxy indicates he/she does not wish to participate in the survey, or requests to be placed on the "Do Not Survey" list
X33	Mailing address or telephone number assumed to be viable, but enrollees does not respond or cannot be reached OR completed survey received after data collection period OR sampled enrollee is away for duration of data collection period	No Response After Maximum Attempts	Code as the last date of fielding for the Reporting Unit

Disposition Codes (cont'd.)

Code	Description	Survey Status	★ Date_Complete Coding Guidance
X34	Sampled enrollee returns a blank mail or internet survey (or a survey with no key items answered) AND either no other contact information is available OR telephone attempts to reach the enrollee are unsuccessful OR sampled enrollee initiates CATI but does not answer any key items	Blank Survey Returned or Incomplete Survey	Code as the date the blank survey or incomplete survey was received
X35	Both the mailing address AND the telephone number are found to be not viable	Bad Address and Bad Telephone Number	Code as the latest date it is determined that the mail address or telephone number for an enrollee is not viable

Disposition Codes (cont'd.)

- Sufficient 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"
- Insufficient 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

Disposition Codes (cont'd.)

- Sufficient 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
- Insufficient 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

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 response (including "none," "N/A," and blank), unless it is an Invalid Plan Alias	Yes	Any Q2 Response (including "none," "N/A," and blank): Assess Survey – Completed or Partially Completed <u>OR</u> Invalid Plan Alias Q2 Response: X40: Ineligible
★	Yes	Response includes both a Valid and an Invalid Plan Alias (e.g., "Gold Medicare")	No	X40: Ineligible

<u>Note:</u> *Assume all enrollees are eligible until there is evidence that an enrollee is ineligible. When an invalid and a valid plan alias is present in Q2, the invalid plan alias overrides the valid plan alias and the respondent is deemed ineligible.*

Determining Enrollee Eligibility (cont'd.)

Q1 Response	Q2 Response	Enrollee Eligible?	Final Disposition Code
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 ★ Medicaid, including state-specific names for Medicaid (e.g., Medi-Cal, AHCCCS)	• Employer-sponsored health plan • Medicare • Medicare Advantage, even if the plan is offered by the same QHP issuer • TRICARE • Veterans Health Administration (VA)

★ *Note: For 2020, QHP issuers are required to provide a list of common plan aliases to vendors.*

Determining Enrollee Eligibility (cont'd.)

★ Medicaid Plan Alias:

- For 2020, "Medicaid" (and other state-specific names) is a Valid Plan Alias <u>only</u> for samples enrollees that have the enrollee-specific Medicaid Expansion QHP Enrollee variable coded as "1 = Yes" in the sample frame file for QHPs operating in a state with Medicaid expansion
  - The Medicaid Expansion QHP Enrollee variable indicates whether an enrollee was enrolled in the QHP via a Medicaid 1115 waiver
- Vendors <u>must</u> check and review the sample frame to confirm eligibility for enrollees who provide "Medicaid" as a Q2 response
  - Telephone interviewers should continue an interview if a sampled enrollee provides "Medicaid" as a response to Q2

Processing Written Text Responses for Question 2

- Do not edit written responses to Q2 (except for the redaction of PII)
  - Only include QHP name in the data submission file
- 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 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: Decision Rules

When	Code As	Mode
★ A response is crossed out, and another response option is selected	The corrected response option	Mail
★ Language is written next to a response option (e.g., N/A); however, a separate response is clearly marked	The response clearly marked	Mail
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*	Mail
Response mark falls between 2 response options but is obviously closer to 1 than the other	Choice to which mark is closest	Mail

Data Coding: Decision Rules (cont'd.)

When	Code As	Mode
• Missing • A mark falls equidistant between 2 response options • More than 1 response option is marked	-3 = Missing	Mail
"Failed skips" occur	"As is" ***Note:*** *Failed skips should not be edited/cleaned*	Mail
Items are appropriately skipped	-4 = Appropriate Skip	Telephone
Screener, or gate, question and dependent questions not answered	-3 = Missing	Telephone

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 or 43)

I = Ineligibility (disposition code 20 or 40)

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

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

Quality Control Procedures for Data Coding

Ongoing Quality Control Checks for Data Processing Activities:

- Run frequencies and count distributions on administration and response data
- Check data processing programs to confirm proper coding
- Verify surveys are assigned a complete/partially complete disposition code
- Review disposition codes to see if there are any disconnects between presence of response data and assignment of ineligible/nonresponse final disposition codes
- 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

Note: *Checks must be performed by a different staff member than the individual who originally performed the task*

Quality Control Procedures for Data Coding (cont'd.)

- Question 2 Quality Control Checks for Data Processing Activities:
  - Review all plan aliases provided for Q2 and evaluate whether these responses (in conjunction with Q1 responses) render the sampled enrollee as eligible or ineligible
  - Review Q2 responses for:
    - Double quotes
    - Tabbed spacing
    - Line breaks
    - Double spaces between words and after periods

Quality Control Procedures for Data Coding (cont'd.)

★ Question 26 Quality Control Checks for Data Processing Activities:

- Review coding for Q26 telephone records
  - Q26 is split into Q26A and Q26B for telephone only
- Report only a single value for Q26 (do not report separate values for Q26A and Q26B)
  - Code Q26 as 0 = None if the sampled enrollee provides a response of "None" to Q26B
  - Code Q26 as -5 = Not Applicable if the sampled enrollee provides a response of "I do not have a personal doctor" or "Not Applicable" to Q26B
  - Code Q26 with the appropriate valid value if the sampled enrollee provides a remaining numerical response to Q26A

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 2020 Data Dictionary (Appendix G)

- Added 4 new variables
- Removed 11 race variables

New Data Submission Variables	
SF_Educ	SF_Employment
Asian	Nhpi

Removed Race Variables	
Asian_Indian	Chinese
Filipino	Japanese
Korean	Vietnamese
Other_Asian	Native_Hawaiian
Guamanian_Chamorro	Samoan
Otr_Pacific_Island	

Data Submission File Specifications (cont'd.)

★ New Variable Descriptions and Valid Values:

Variable Name	Description	Valid Values
SF_Educ	Enrollee education (*from the sample frame provided by the QHP issuer*)	1 = 8th grade or less 2 = Some high school, but did not graduate 3 = High school graduate or GED 4 = Some college or 2-year degree 5 = 4-year college graduate 6 = More than 4-year college degree 9 = Missing
SF_Employment	Enrollee employment status (*from the sample frame provided by the QHP issuer*)	1 = Employed full-time 2 = Employed part-time 3 = Homemaker 4 = Full-time student 5 = Retired 6 = Unable to work for health reasons 7 = Unemployed 8 = Other 9 = Missing

Data Submission File Specifications (cont'd.)

★ New Variable Descriptions and Valid Values (cont'd.):

Variable Name	Description	Valid Values
Asian	Q66-3: Are you Asian?	0 = Not Checked 1 = Checked -1 = Refused (Phone Only) -2 = Don't Know (Phone Only) -3 = Blank/ Nonresponse/ No Answer for All Race Categories
Nhpi	Q66-4: Are you Native Hawaiian or other Pacific Islander?	0 = Not Checked 1 = Checked -1 = Refused (Phone Only) -2 = Don't Know (Phone Only) -3 = Blank/ Nonresponse/ No Answer for All Race Categories

Data Submission File Specifications (cont'd.)

- Clarified Descriptions for Following Variables:
  - Internet_Opt_In
  - Internet_Device_Type
  - Internet_Browser
  - Alternate_Phone_Flag
  - Web_Entry_Flag
  - Num_Visits_Doc
- Clarified Valid Values for Following Variables:
  - Mail_Drop_Off
  - Internet_Drop_Off
  - Phone_Drop_Off

Data Submission File Specifications (cont'd.)

★ Clarified Descriptions for Select Variables:

Variable Name	Description
Internet_Opt_In	Method by which respondent opted into internet survey regardless of the mode of survey completion ***Note***: *Internet_Opt_In variable is collected for any sampled enrollee who logs into the survey instrument regardless of whether the enrollee completes the internet survey*
Internet_Device_Type	Type of device respondent used to complete internet-based survey ***Note:*** *For enrollees who have started the internet survey but completed the survey via mail or telephone, code these cases as "6 = Not Applicable (Mail or Phone Only)"* ***Note:*** *For enrollees who did not respond to the survey (X20, X22, X24, X32, X33, X35, X43), code these cases as "9 = Not Applicable (Nonrespondent)"* ***Note:*** *For ineligible enrollees (X40) or blank surveys (X34), code with values 1 through 6 if this information is available; if this information is not available, code as "9 = Not Applicable (Nonrespondent)"*

Data Submission File Specifications (cont'd.)

★ Clarified Descriptions for Select Variables (cont'd.):

Variable Name	Description
Internet_Browser	Type of browser respondent used to complete internet-based survey ***Note:*** *For enrollees who started the internet survey but completed the survey via mail or telephone, code these cases as "7 = Not Applicable (Mail or Phone Only)"* ***Note:*** *For enrollees who did not respond to the survey (X20, X22, X24, X32, X33, X35, X43), code these cases as "9 = Not Applicable (Nonrespondent)"* ***Note:*** *For ineligible enrollees (X40) or blank surveys (X34), code with values 1 through 7 if this information is available; if this information is not available, code as "9 = Not Applicable (Nonrespondent)"*
Alternate_Phone_Flag	• Was an alternate phone number provided? • This is a record-level variable

Data Submission File Specifications (cont'd.)

★ Clarified Descriptions for Select Variables (cont'd.):

Variable Name	Description
Web_Entry_Flag	• Flag indicating whether the sampled enrollee ever logged in to the internet survey • This is a record level variable and must be coded for every record • Code this flag as 1=Yes for any sampled enrollee who logs into the internet survey, regardless of whether the enrollee completes the internet survey • If Web_Entry_Flag is selected for a record, the record must also have a value between 1 and 4 for Internet_Opt_In
Num_Visits_Doc	• In the last 6 months, how many times did you visit your personal doctor to get care for yourself? • Refer to Exhibit 57: Quality Control Checks for Survey Data Files for coding guidelines specific to telephone records

Data Submission File Specifications (cont'd.)

★ Clarified Valid Values for Select Variables:

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) ***Note:*** *Do NOT add leading zeros for Q1-Q9 in data submission file*
Internet_Drop_Off	Last question completed for the internet mode regardless of final disposition code	1-68 -1 = Not Applicable (did not submit an internet survey) -9 = Not Applicable (Nonrespondent) ***Note:*** *Do NOT add leading zeros for Q1-Q9 in data submission file*
Phone_Drop_Off	Last question completed for the phone mode regardless of final disposition code	1-66 -1 = Not Applicable (did not complete a phone survey) -9 = Not Applicable (Nonrespondent) ***Note:*** *Do NOT add leading zeros for Q1-Q9 in data submission file*

Data Submission File Specifications (cont'd.)

- Updated Valid Values for the Following Variables:
  - Date_Complete
    - Removed 999999 = Not Applicable
  - Response_Time
    - Updated range to 001-999; revised to -1 = Not Ascertained
  - Name_Health_Plan

Enrollee Response	Code As
Text Response	Text Response (Redact PII)
Refusal	-1 = Refused (Phone Only)
"I don't know"	-2 = Don't Know (Phone Only)
Leaves question blank	-3 = Blank/Nonresponse/No Answer (Mail/Internet)
"None"	-3 = Blank/Nonresponse/No Answer (Mail/Internet)

Note: *Vendors redact all personally identifiable information provided by respondents*

Data Submission File Specifications (cont'd.)

- Updated Valid Values for 'Not Applicable' Survey Responses from 5 to -5
  - Impacts Q3, Q4, Q5, Q6, Q9, Q12, Q13, Q20, Q21, Q24, Q26, Q32, Q34, Q39, and Q41

Web_Entry_Flag and Bad_Email_Flag Variables

- 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 notification 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

Data Submission Process

- Vendors submit data files via Secure File Transfer Protocol (SFTP)
- Data Submission Training in Spring 2020
- Test File(s): April 8 – 10, 2020
  - At least 1 unencrypted test zip file containing files for 2 reporting units with at least 100 records between the 2 reporting units
  - Test files may include >100 records
  - May submit more than 2 files
- Final Data Files: May 15 – 22, 2020
  - All data files must be received by 11:59 p.m. ET on May 22
  - 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
- ★ QHP Enrollee Survey vs. QRS Communication of Relative Performance
- Data Cleaning Procedures
- Case-Mix Adjustment
- Public Reporting
- 2020 Reporting Timeline
- Reporting Guidelines for Vendors
- Summary of 2019 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 2020
  - *QRS and QHP Enrollee Survey: Technical Guidance for 2020*
  - Scoring specifications for the HEDIS®-based clinical measures available in the *QRS Measure Technical Specifications*

QHP Enrollee Survey vs. QRS Communication of Relative Performance

- Communication of Relative Performance
  - The QHP Enrollee Survey QI Reports' approach to convey relative performance is based on a pair-wise t-test
  - The QRS measure data are standardized across all reporting units
  - If a majority of reporting units submit high measure raw values, a single reporting unit may submit a high raw value for a given measure, but may receive a low standardized score for the measure, because many other reporting units performed better
    - Refinements to the survey may impact comparability between years
    - Prior years' QHP Enrollee Survey QI Report Methodology Guide should not be independently applied to data from other years

Data Cleaning Procedures

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

Data Cleaning Procedures (cont'd.)

- Survey items with multiple responses when only 1 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 2019 QHP Enrollee Survey analysis:
  - Education
  - Global Health Rating
  - Mental Health Rating
  - Age
  - Survey Language
  - Survey Mode
  - Chronic Conditions and Medications
  - Respondent Received Help Completing Survey

Goals:

! Empower consumers to make informed healthcare decisions
- 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 and Proof Sheet
- Quality Improvement (QI) Reports

Public Reporting (cont'd.)

- For 2020, QHP issuers are required to collect and submit validated data for 37 measures in the QRS measure set
  - 27 clinical measures
  - 10 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 61: Crosswalk of 2020 QHP Enrollee Survey Questions included in the QRS

Public Reporting (cont'd.)

Criteria	Required to Field 2020 QHP Enrollee Survey?	Eligible to be Publicly Reported?
Reporting Unit began Operating in Plan Year (PY) 2020	No	No
Reporting Unit began Operating in PY 2019 and Continued Operating in PY 2020	Yes	No
Reporting Unit Began Operating in PY 2018 and Continued Operating in PY 2019 and 2020	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.)

- Starting with the 2020 Open Enrollment Period, CMS will display star ratings on a 1 to 5 star scale (5 is highest) for the QRS global rating and 3 summary indicator ratings on the HealthCare.gov website for each scoring-eligible QHP available through HealthCare.gov
- In alignment with this timeline, SBEs whose consumers do not use HealthCare.gov are also required to display QHP quality rating information on their respective websites for the 2020 Open Enrollment Period

QI Reports

- Produced for all reporting units that field the 2020 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
  - QHP issuers and State Exchange administrators receive QHP QI reports for each reporting unit via the CMS HIOS-MQM website
  - They will receive an email notification prior to the start of a 2-week preview period during which they will preview their QHP QI Reports and QRS quality rates
- Exhibit 60 provides resources for reviewing QHP Enrollee Survey results
- Scoring guide will accompany 2020 QI Reports

2020 Reporting Timeline

Activity	Timeframe
QHP Enrollee Survey data submission deadline	May 22, 2020
QHP issuer submits validated QRS clinical measure data	June 15, 2020
Data processing and scoring	May – July 2020
QHP issuers and Exchanges preview QHP quality rating information	August – September 2020
QHP Enrollee Survey Quality Improvement (QI) Reports made available to QHP issuers	Anticipated Fall 2020
Exchanges begin publicly displaying QHP quality rating information	Individual market open enrollment period for 2021

Reporting Guidelines for Vendors

- May provide aggregate results to QHP issuers
  - ★ There are no minimum cell size restrictions for the QHP Enrollee Survey; the minimum cell size of 11 sampled enrollees is no longer applicable
- <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 <u>not</u> clean survey data
- 2 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
- ★ Simulated Telephone Interview Session(s)
- Data Record Review
- Quality Assurance Plan (QAP)
- ★ Seeded Mailings and Emails
- 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 to QHPSurveyVendor@bah.com
  - Mail Materials
    - Print-ready letter and survey templates
    - English and Spanish required, Chinese only if fielding
    - PDF file format
  - Telephone Scripts
    - Screenshots of programmed telephone interviewing script
    - English and Spanish required, Chinese only if fielding
    - PDF file format preferred, 1 question per page
  - Internet Survey and Emails
    - ★ Internet survey URL with at least 12 login credential(s)
    - ★ 12 unique URLs with embedded login credential(s)
    - Programmed notification and reminder emails
    - English and Spanish required

Survey Material Review (cont'd.)

- Submit survey materials as a .zip file:
  - 3 mode-specific submissions
  - ★ Submit mode-specific cover sheet
  - Subject Line: [VENDOR NAME] QHP [SURVEY MODE] Material Review
  - All materials must appear as they would to respondent or telephone interviewer
  - Vendors without clients are not required to submit survey materials for review
- ★ Mode-Specific Deadlines:
  - Mail: November 4, 2019
  - Internet: November 25, 2019
  - Telephone: December 6, 2019
- Project Team provides revision requests
  - 10 business days for mail and telephone materials
  - ★ 15 business days for internet materials
- Vendors submit revisions within 5 business days

Simulated Telephone Interview Session(s)

- ★ Project Team conducts “mock” interviews once telephone materials accepted
  - Review skip pattern programming
  - English and Spanish scripts
- Format and Requirements
  - Web conference format
  - At least 1 English-speaking and 1 Spanish-speaking staff member
  - If multiple subcontractors, a session is required with each subcontractor
  - If errors are found, an attenuated session will be held to verify corrections
- Timeframe: January 2020

Data Record Review

Data Review Before Fielding:

- Conduct review of 2019 data records with each vendor that submitted data
  - Trace data records from sample frame receipt through data submission
  - Review source files and the SMS
  - Confirm accurate coding of final disposition and survey administration variables
  - Verify responses in source files match those in data submission file
- Format and Requirements
  - Web conference format
  - All required staff must attend
- Timeframe: November – December 2019

Data Record Review (cont'd.)

Data Review During Fielding:

- May Occur
  - Following the test data submission period
  - During onsite or remote visits
  - At another time specified by CMS
- Format and Requirements
  - Web conference or in-person format
  - All required staff must attend
- Timeframe: TBD, as needed

Quality Assurance Plan (QAP)

- Documents compliance of survey fielding protocols with Technical Specifications requirements
- Model QAP Template (Appendix C of QHP Technical Specifications)
  - Present information in specified order
  - Submit previously accepted QAPs in track change mode
  - Vendors without clients are not required to submit a QAP for review
- Acceptance of QAP does not constitute approval or endorsement of vendor’s processes
- Deadline: November 12, 2019

Seeded Mailings

- Integrate with survey mailing sample
- Include designated CMS representatives and at least 1 internal staff member in mailing database
- Seed 1 reporting unit for <u>each survey language</u> implemented
  - ★ If fielding the survey in English only (enrollees <u>must</u> call in to request a Spanish or Chinese survey), seed the Project Team in 1 reporting unit if an enrollee requests the survey in Spanish and Chinese
    - – Seed CMS representatives throughout the remainder of the fielding protocol
  - ★ If more than 1 print/mail facility (and/or subcontractor) is used, seed the Project Team in a reporting unit produced at each print/mail facility (and/or subcontractor) in each language administered
  - ★ Internet survey URL and credentials <u>must</u> be operational in mail seeds
- Timeframe: February – April 2020

Seeded Emails

- Seed Project Team in email protocol for 1 reporting unit in English and Spanish
  - If seeding the Project Team in “double-stuffed” emails, do not seed in English-only or Spanish-only emails
  - Survey links in email seeds <u>must</u> direct to a live survey
- Timeframe: February – April 2020

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 and Interviewer Guidance (Appendix E)
- Timeframe: March 2020

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 2020

Telephone Interview Monitoring

- Assess interviewer compliance with telephone specifications
- 2-hour session
  - Web conference format
- Required for each call center/telephone subcontractor
- Timeframe: April 2020

Data Analysis and Validation

- Test Data Submission
  - Project Team will notify vendors if errors found
  - Timeframe: **April** 8 – 10, 2020
- Data Submission
  - Analysis of submitted data
  - Project Team will notify vendors if errors found
  - Timeframe: May 15 – 22, 2020
- Data File Resubmission
  - Revised data files must be submitted within 3 business days
  - Timeframe: May 26 – 29, 2020

Discrepancy Report

★ Updated Process for 2020

- Submit initial Discrepancy Report via email (QHPSurveyVendor@bah.com) within 24 hours of becoming aware of a discrepancy
  - Complete initial Discrepancy Report to the extent information is available
  - Mark sections with outstanding information as "To be Updated"
- Submit a second Discrepancy Report within 2 weeks of initial report
  - Comply with all requests for updated Discrepancy Reports
  - Notify clients when a Discrepancy Report is submitted
  - Provide clients with reporting unit-specific Discrepancy Report(s), as applicable

▪ 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 data impacts 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 to administer the QHP Enrollee Survey
  - 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

- 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	November 12, 2019
#2	Preliminary QHP Client List	• Client list for reconciliation • Oversampling requests	January 6, 2020
#3	Final QHP Client List	• Final QHP client list • Sample frame receipt status	February 11, 2020
#4	Interim Progress Report	• Fielding status for each QHP reporting unit • Summary of customer support calls and emails	April 3, 2020
#5	Final Report	• Discussion of survey implementation and lessons learned • Count of other foreign language requests • Recommendations for next year	May 29, 2020

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)

Vendor Quality Oversight Questions?

Wrap-Up and Next Steps

Next Steps

- 1 individual from vendor firm must complete training evaluation
  - Available immediately following training
  - Due COB October 28, 2019
  - Final approval notifications will be sent October 31
  - Final approval status to be posted to MQI website November 1
- Training slides to be posted on MQI website

Contact Us

- MQI Website
- 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 2019
- **Step 3:** QHP Issuers must determine whether the reporting unit will operate on an Exchange in 2020 as the same product type
- **Step 4:** QHP Issuers must confirm the reporting unit will not discontinue before June 15, 2020
- **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, 2019)
- **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, 2020)
- If the criteria in Steps 1 through 6 are met, the QHP issuer must submit QRS clinical data and QHP Enrollee Survey data.

Return to slide 30