2024 Qualified Health Plan Enrollee Experience Survey (QHP Enrollee Survey)
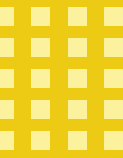
Vendor Training

September 2023

Agenda

Agenda Item	Time
Welcome and Training Introduction	1:05–1:10 p.m.
Program Overview	1:10–1:20 p.m.
Eligibility and Sampling	1:20–1:40 p.m.
Data Collection Protocol	1:40–2:15 p.m.
Break	2:15–2:30 p.m.
Data Coding, File Specifications, and Submission	2:30–2:50 p.m.
Data Analysis and Public Reporting	2:50–3:00 p.m.
Quality Oversight	3:00–3:20 p.m.
Wrap-Up and Next Steps	3:20–3:30 p.m.

Welcome and Training Introduction

Welcome and Training Introduction

- Welcome to the 2024 QHP Enrollee Survey vendor training

- Today's training focuses on:

  - New/Revised guidance for 2024

  - Existing guidance emphasized for 2024

  - Changes to survey instruments and protocols

  - Quality control and oversight

- Vendors are responsible for reviewing the *QHP Enrollee Survey: Technical Specifications for 2024* (2024 Technical Specifications) and all survey materials posted on the Health Insurance Marketplace Quality Initiatives (MQI) Website
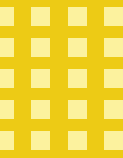
Special Bullets

★ = New/Revised Guidance for 2024

! = Existing Guidance Emphasized for 2024

Note. References to appendices (e.g., Appendix D), exhibits (e.g., Exhibit 18), sections (e.g., Section 9) and tables (e.g., Table F-2) refer to the 2024 Technical Specifications

Program Overview

Overview

- Introduction to the QHP Enrollee Survey

- QHP Enrollee Survey goals

- About the survey instrument

- Roles and responsibilities

- QHP Enrollee Survey website

- QHP Enrollee Survey timeline

- Key changes for 2024

- Technical assistance

Introduction to the QHP Enrollee Survey

- Established by Section 1311(c)(4) of the Patient Protection and Affordable Care Act (ACA)

- Assesses enrollee experience and satisfaction with each QHP offered through the Health Insurance Exchanges (Exchanges)

- Supplies data to the Quality Rating System (QRS)

- Collects data for production of Quality Improvement (QI) reports

- QHP issuers are required to submit QHP Enrollee Survey response data and QRS clinical measure data as a condition of certification and participation in the Exchanges

QHP Enrollee Survey Goals

- Provide comparable and useful information to consumers about the quality of health care services and enrollee experience with QHPs offered through the Exchanges

- Facilitate oversight of QHP issuer compliance with quality reporting standards set forth in the ACA

- Provide actionable information that QHP issuers can use to improve quality and performance

About the Survey Instrument

- 67 questions, including Consumer Assessment of Healthcare Providers and systems (CAHPS®) questions and new questions specifically designed for the QHP enrollee population

  – Supplemental questions not permitted

QHP Enrollee Survey Topics	
Access to Care*	Doctor Communication
Access to Information	Enrollee Experience with Cost
Care Coordination*	Plan Administration
Cultural Competence	Prevention

*Survey questions within this topic are included in the QRS measure set.

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

Roles and Responsibilities: Project Team

Centers for Medicare & Medicaid Services (CMS)

- Sponsorship
- Guidance
- Oversight
- Reporting

American Institutes for Research (AIR); General Dynamics Information Technology (GDIT)

- Project management
- Survey design and methodology
- Data submission and analysis
- Technical Support
- Survey operations and oversight

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Roles and Responsibilities: QHP Issuers

- Attend 2024 QRS and QHP Enrollee Survey webinars on the Registration for Technical Assistance Portal (REGTAP)

- Contract with:
  - Department of Health and Human Services (HHS)-approved vendor to conduct survey
  - National Committee for Quality Assurance (NCQA) Healthcare Effectiveness Data and Information Set (HEDIS®) Compliance Auditor to validate sample frame

- Complete the NCQA Healthcare Organization Questionnaire (HOQ) by January 31, 2024, to document and prepare for QRS clinical measure data submission and confirm QHP Enrollee Survey sample frame validation

- Generate sample frame for each reporting unit (on or after January 5, 2024)

- Provide validated sample frame to vendor

Note. 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)

★ Complete the following via the QHP Enrollee Survey Website no later than January 31, 2024:

  ★ Attest to reporting unit eligibility or report ineligibility to CMS

  ★ If eligible, communicate authorized survey vendor to CMS

  ★ Notify CMS of changes in eligibility status within three business days of discovery (but no later than January 31, 2024)

Roles and Responsibilities: Vendors

- Adhere to participation rules and program requirements

- Administer survey per the 2024 Technical Specifications

- Oversee work of staff and subcontractors

- Conduct all business operations at official location within the continental U.S., Hawaii, Alaska, or U.S. Territories

  ! Remote operations **not** permitted without prior approval from CMS

- Maintain and establish security procedures as required by the Health Insurance Portability and Accountability Act (HIPAA)

Roles and Responsibilities: Vendors (cont'd)

- Contract with issuers and verify issuer clients have authorized vendor to submit data to CMS on their behalf

! Receive validated sample frame and perform quality assurance (QA) checks

- Draw sample according to specifications

! Notify CMS of issuers that do not provide a validated sample frame by January 31, 2024

- Submit files in accordance with specifications via the QHP Enrollee Survey Website

- Meet all project deadlines and reporting requirements

! After a minimum of three years, securely destroy QHP data files, including paper or scanned questionnaires and electronic data files

QHP Enrollee Survey Website

- QHP Enrollee Survey Website

- Registration required

  – Must register account in CMS's Identity Management System (IDM), then request Vendor or Issuer role (as applicable)

★ **Issuer Processes**

  ★ Attest to reporting unit eligibility/ineligibility

  ★ Report HHS-approved survey vendor to CMS

  ★ 2024 Operational Instructions (to be posted on the MQI Website in Fall 2023) will include detailed steps to submit reporting unit eligibility status and survey vendor selection

- **Vendor Processes**

  – Data submission

2024 QHP Enrollee Survey Timeline

Task	Date
Conditionally approved vendors contract with QHP issuers	September–December 2023
2024 QHP Enrollee Survey Vendor Training	September 27, 2023
Vendors notified of final approval status	October 4, 2023
CMS conducts remote data systems review	December 2023
Survey Materials: Vendors submit: • **Mail:** Survey instruments and letters • **Internet:** Internet survey, emails, and required credentials • **Telephone:** Screenshots of computer-assisted telephone interviewing (CATI) system	**Deadline Mail:** October 13, 2023 **Deadline Internet:** November 3, 2023 **Deadline Telephone:** November 17, 2023

2024 QHP Enrollee Survey Timeline (cont'd)

Task	Date
Report #1: Vendors submit Quality Assurance Plan	**Deadline:** October 20, 2023
Report #2: Vendors submit preliminary QHP client list and oversampling requests	**Deadline:** January 5, 2024
★ QHP issuers notify CMS via the QHP Enrollee Survey Website if no longer meet enrollment threshold as of January 1, 2024 • Vendors notify CMS of QHP issuer clients that have not provided validated sample frame • QHP issuers arrange for NCQA HEDIS Compliance Auditor to perform sample frame validation	**Deadline:** January 31, 2024

2024 QHP Enrollee Survey Timeline (cont'd)

Task	Date
• QHP issuers complete sample frame validation in HOQ ★ QHP issuers authorize a QHP Enrollee Survey vendor and communicate this information to CMS via the QHP Enrollee Survey Website • QHP issuers contract with a vendor • Vendors receive validated sample frames and obtain confirmation that NCQA-Certified HEDIS Compliance Auditor validated sample frame	**Deadline:** January 31, 2024
Vendors administer QHP Enrollee Survey per sampling and fielding protocols	February–May 2024

2024 QHP Enrollee Survey Timeline (cont'd)

Task	Date
Report #3: Vendors submit final QHP issuer client list	**Deadline:** February 9, 2024
Report #4: Vendors submit Interim Progress Report	**Deadline:** March 29, 2024
Test data submission	April 3–5, 2024
Data submission *Files due by 11:59 p.m. ET on May 17, 2023*	May 10–17, 2024
Data resubmission (if requested) *Must submit within three business days of date requested*	**Deadline:** May 20–22, 2024
Report #5: Vendors submit Final Report	**Deadline:** May 24, 2024

Key Updates for 2024

★ 2024 Technical Specifications

- Revised references to question numbers to reflect changes to the 2024 QHP Enrollee Survey
- Updated to reflect new issuer processes for reporting eligibility/ineligibility and vendor selection via the QHP Enrollee Survey Website
- Updated sample frame validation processes to specify steps occurring in the NCQA HOQ

★ 2024 Survey Materials

- Removed two survey questions (public health emergency and flu vaccination, previously questions 17 and 47) and adjusted question numbers and skip patterns accordingly
- Updated and consolidated Ethnicity question (previously questions 66 and 67, now question 64)
- Revised Race question to include additional response options (previously question 68, now question 65)
- Updated OMB statement

Technical Assistance Resources

- CMS Marketplace Quality Initiatives (MQI) Website
  - General information, important news, and updates
  - 2024 Technical Specifications and survey materials
  - Exception Request template
  - Discrepancy Report template
  - *QRS and QHP Enrollee Survey: 2024 Technical Guidance*
- Technical Assistance for Vendors
  - Email: QHP_Survey@air.org
- Technical Assistance for Issuers
  - Email: CMS_FEPS@cms.hhs.gov (include *QHP Enrollee Survey* in subject)
  - Phone: 1-855-CMS-1515 (1-855-267-1515)

Program Overview Questions?

Eligibility and Sampling
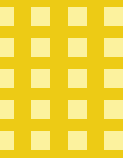
Eligibility and Sampling Overview

- Reporting unit definition and eligibility guidelines

- Reporting eligibility status to CMS

- Sample frame generation, validation, and layout

- Sampling protocol

- Sample frame QA checks

- Fielding additional surveys using the QHP Enrollee Survey sample frame

Note. See Section 9: Determine QHP Issuer Eligibility and Section 10: Create Sample Frame and Draw Sample for detailed eligibility and sampling requirements.

Reporting Unit Definition

- Defined as the unique state-product type offered by a QHP issuer through the Exchange, including QHPs in both the Small Business Health Options Program (SHOP) and individual market
  - Excludes enrollees in basic health program (BHP) plans, indemnity plans (i.e., fee for service plans), stand-alone dental plans, or child-only plans
  - Product types subject to survey requirements: EPO, HMO, POS, PPO
- Identified by a Reporting Unit ID
  - Issuer ID–QHP State–Product Type
  - 12345–TX–PPO
! QHP issuers **<u>must</u>** combine SHOP and individual family plans if they are the same product type offered in the same state
! QHP issuers **<u>must not</u>** combine product types or states

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Reporting Unit Eligibility Guidelines

- QHP issuers required to collect and submit QHP data for each reporting unit that meets all below criteria:
  - Offered through an Exchange in the prior year (2023)
  - Offered through an Exchange in the ratings year (2024) as same product type
  - Included more than 500 enrollees as of July 1, 2023
  - Included more than 500 enrollees as of January 1, 2024
- ! Count includes *all enrollees* within the reporting unit (**not** just "survey eligible" enrollees) in both SHOP and individual markets
- ! *Note.* If a reporting unit is discontinued before June 15 of the ratings year *and* all enrollees are automatically transferred to a new reporting unit of the same product type, then the new reporting unit is responsible for meeting reporting requirements

Reporting Unit Eligibility Examples

Reporting Unit	Enrollment as of July 1, 2023	Enrollment as of January 1, 2024	Discontinued Prior to June 15, 2024?	Required to submit QRS and QHP Enrollee Survey Data?
12345-WV-PPO	505 (505 individual, 0 SHOP)	505 (505 individual, 0 SHOP)	No	Yes
12345-WV-HMO	601 (501 individual, 100 SHOP)	N/A	Yes – Discontinued as of December 31, 2023	No – Not operating in ratings year
12345-MD-PPO	100 (55 individual, 45 SHOP)	100 (55 individual, 45 SHOP)	No	No – Insufficient enrollment size in both years
12345-MD-HMO	700 (700 individual, 0 SHOP)	300 (300 individual, 0 SHOP)	No	No – Insufficient enrollment size as of January 1, 2024
12345-MD-EPO	505 (300 individual, 205 SHOP)	501 (300 individual, 201 SHOP)	No	Yes
12345-MD-POS	500 (300 individual, 200 SHOP)	500 (300 individual, 200 SHOP)	No	No – Insufficient enrollment in both years

Reporting Eligibility Status to CMS: QHP Issuers

★ QHP issuers must report eligibility or ineligibility for each reporting unit via the [QHP Enrollee Survey Website](#) by **January 31, 2024**

   ★ QHP issuers with **ineligible** reporting units must submit reporting unit information and ineligibility reason

   ★ QHP issuers with **eligible** reporting units must attest to reporting unit information and select HHS-approved vendor

★ CMS Identity Management (IDM) system and QHP Enrollee Survey Website registration required

★ The 2024 Operational Instructions (to be posted on the [MQI Website](#) in Fall 2023) will include detailed steps on how to submit reporting unit eligibility status information to CMS via the QHP Enrollee Survey Website

Sample Frame Generation: QHP Issuers

- Populate sample frame of all survey-eligible enrollees for each eligible reporting unit
  - **Do not** combine sample files for different reporting units or products into a single file
  - Enrollees must meet both continuous and current enrollment requirements
  - Refer to Exhibit 12 for detailed enrollee eligibility requirements
- Adhere to sample frame file layout (Appendix F)
  - Fully populate all variables
  - **Do not** append additional data fields
- Generate sample frames on or after January 5, 2024
  - Include current enrollees and remove deceased enrollees as of 11:59 p.m. ET on January 4, 2024 (anchor date)
- Complete HEDIS Compliance Audit by January 31, 2024
- Provide a list of common plan name aliases to vendors

Key Updates: Sample Frame File Layout (Appendix F)

★ Updated years and dates throughout, as needed

★ Removed flu flag variable and adjusted field positions accordingly

 – Field positions updated after 324

★ Updated Exhibit F-2 (Recommended Logic Agreement Checks for 0% Bias Variables) to include Variant ID and corresponding guidance

Sample Frame Validation

1. In the NCQA HOQ, **the QHP issuer** enters information for each eligible reporting unit
   – This is the number of sample frames the QHP issuer must produce and the number of reporting units for which the issuer must authorize a vendor and verify reporting unit information via the QHP Enrollee Survey Website

2. **The QHP issuer** generates the sample frame data file(s) per specifications

3. **The QHP issuer** delivers the sample frame data file(s) to the NCQA HEDIS® Compliance Auditor (auditor)

4. **The auditor** validates the sample frame data file(s) and notifies the QHP issuer of the results. If necessary, the QHP issuer corrects the sample frame until the desired audit result is achieved

5. **The auditor** provides the results of the sample frame validation in the HOQ

6. **The QHP issuer** securely forwards the sample frame data files and documentation of validation results to the vendor

7. **The vendor** draws the survey sample and administers the survey

Vendor Sampling Activities

Step 1	Step 2	Step 3	Step 4
• Vendor receives the auditor-locked sample frame data file(s) from QHP issuer via secure transmission • Vendor unlocks sample frame data file(s) using the appropriate password according to the licensed organization that conducted the audit	• Vendor reviews sample frame data file(s) and conducts QA checks including, but not limited to, the checks specified in Exhibit 18 and Table F-2	• Vendor deduplicates the sample frame data file(s) according to the process included in Exhibit 15	• Vendor determines deduplication counts as specified in Exhibit 16

Vendor Sampling Activities (cont'd)

Step 5	Step 6	Step 7
• Vendor draws random sample of 1,300 enrollees from deduplicated sample frame • If there are fewer than 1,300 enrollees in a reporting unit, the vendor surveys all enrollees in the sample frame	• Vendor conducts final QA activities on the selected survey sample	• Vendor excludes enrollees that appear on its internal "Do Not Survey" list from receiving survey outreach materials • *Note.* Do not replace these individuals in the survey sample; assign a final disposition code of "X43–Do Not Survey List"

Sample Frame QA Checks

! QHP issuers provide validated sample frames to vendors by January 31, 2024

- – Vendors notify CMS of any QHP issuer clients who do not provide a validated sample frame by January 31, 2024

! Vendors **must** conduct QA checks of the sample frames to verify accuracy

- QA checks verify that data from the sample frame are accurately captured to prevent sampling errors

- See Exhibit 18 for suggested sample frame QA checks for vendors

Sample Frame QA Checks (cont'd)

Example Vendor QA Checks for Sample Frame Files
• Verify that the organization (i.e., Reporting Unit ID [Issuer ID-QHP State-Product type]) is an **exact match** compared to what is listed in the *2024 QHP Enrollee Survey: Operational Instructions*
• Verify that the Reporting Unit ID corresponds to the correct Issuer Legal Name
• Verify that the reporting unit's product type was the same in both 2023 and 2024
• Verify that the Reporting Unit ID is defined by the unique state-product type (EPO, HMO, POS, and PPO) for each QHP issuer
• Verify that the sample frame contains the entire eligible populations, including both the individual market and SHOP enrollees
• Review the sample frame files for missing information
! Verify that enrollees are in QHPs offered through an Exchange. Exchange QHPs are designated as HIOS Variant IDs -01 through -06 and -31 through -36 for Medicaid Expansion QHP enrollees

Note. See Exhibit 18 for more examples. Exhibit 18 should not be considered an exhaustive list of QA activities.

Sample Frame QA Checks (cont'd)

- Select variables (0% bias variables) must be populated for every record in the file
  - Product Type
  - Issuer ID
  - QHP State
  - Reporting Unit ID
  - ★ Variant ID
  - Reporting Status
  - Total Enrollment

- Must meet specific logic agreement checks for each record

- Discrepancies can indicate a potential sample error

Sample Frame QA Checks (cont'd)

Exhibit F-2 details recommended logic agreement checks for 0% bias variable

★Added check for Variant ID for 2024

Variable	Logic Agreement Checks	Example
Variant ID	• Must not be missing (or must be coded with valid value 09 = Missing) • Must not include records with a Variant ID of 00	All records must have a Variant ID with a valid value

Sampling Definitions

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

Sampling Protocol

1. Sort sample frame into the following hierarchy (Exhibit 15)
   - First: Sort by SFID to group all covered family members together
   - Second: Group all EUID associated with the same SFID
2. Deduplicate sample frame
   - Deduplicate by SFID: Use simple random sampling to retain **one** eligible enrollee (i.e., 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 of 1,300 enrollees from deduplicated sample frame
   - If oversampling, draw sample according to approved oversampling percentage
   - ! If sample frame ≤1,300 enrollees, include all enrollees

Deduplication Counts

- Vendors calculate three "count" variables based on deduplication for inclusion in submitted data files

- "Count" variables used to determine selection probabilities and create survey weights

Field	Description
n_fr	Total number of enrollees in the sample frame for each reporting unit *before* deduplication *Note.* This value will be the same for all enrollees in the same reporting unit
K	Number of survey-eligible enrollees (or EUIDs) covered under each SFID; calculated by summing the number of EUIDs per SFID (or address, if applicable) *before* the deduplication step. *Note.* This value will vary by enrollee
M	Total number of records in the sample frame for reporting unit *after* deduplication. *Note.* This value will be the same for all enrollees in the same reporting unit

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 5, 2024** (as part of Report #2)

"Do Not Survey" List

- **Do not** exclude sampled enrollees based on a QHP Issuer's "Do Not Survey" List, including those who have opted out of emails

- **Do** exclude sampled enrollees based on internal vendor "Do Not Survey" list
  - Assign "X43—Do Not Survey List"
  - ! Vendors encouraged to maintain QHP-specific "Do Not Survey" list

- If enrollee requests to be placed on "Do Not Survey" list after data collection begins:
  - Assign "X32—Refusal"
  - Add to internal "Do Not Survey" list

- Vendors maintain list for three years; list applies to all survey modes

- ! **Do not** remove or replace enrollees in the sample who have requested to not be contacted

Bad Addresses/Telephone Numbers and Email Preferences

- Enrollees in sample frame with known bad addresses or telephone numbers **<u>cannot</u>** be excluded from the survey sample

  – Known bad address: include enrollee in internet and telephone phases

  – Known bad telephone number: include enrollee in mail and internet phases

- Enrollees in sample frame who asked to be removed from QHP issuer email communications **<u>cannot</u>** be excluded from the final survey sample

  – Vendors still required to send the enrollee emails

    » *Exceptions:* The enrollee asks the vendor to stop email communication or appears on the vendor's internal "Do Not Survey" list

Summary Sample Quality Control (QC) Checks

! Vendors **<u>must</u>** conduct QC checks of survey sample to verify accurate deduplication and sampling procedures

- Assess completeness of enrollee contact information (mailing address, telephone number, email address)
  - If missing contact information threatens response rates, vendors may request additional contact information from the QHP issuer
  - QHP issuers may provide additional contact information for the entire validated sample frame
  - Vendors **<u>never</u>** send selected survey sample or identifiable person-level information to QHP issuers or ask for updated information for a particular enrollee

Fielding Additional Surveys

- Vendors are strongly discouraged from asking sampled enrollees any QHP Enrollee Survey questions four weeks prior to and during QHP enrollee Survey Fielding

  - December 15, 2023 – May 15, 2024

- Vendors are permitted to 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

  - Vendors are strongly encouraged to exclude households and SFIDs that are sampled for the 2024 QHP Enrollee Survey

Summary of Key Updates: Eligibility and Sampling

★ Clarified "Discontinued" and "Continuous Enrollment" definitions for determining reporting unit eligibility

★ Revised process for issuers to report ineligibility, eligibility, and vendor selection via the QHP Enrollee Survey Website

★ Specified sample frame validation steps occurring in NCQA HOQ (Exhibit 13)

★ Removed flu flag variable from sample frame file layout and adjusted field positions

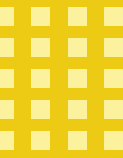★ Added Variant ID to 0% bias variable logic agreement checks

Eligibility and Sampling Questions?

Data Collection Protocol

Data Collection Protocol Overview

- Survey fielding

- Mail protocol

- Internet protocol

- Telephone protocol

- Customer support

Note. See Sections 12–16 for detailed data collection protocol requirements.

Survey Fielding

Mixed-Mode Administration

- Mail, internet, and telephone
- Available in English, Spanish, and Chinese
  - Internet survey available in English and Spanish only
- Fielding in English and Spanish required
- Fielding in Chinese optional
- Vendors prohibited from translating survey into other languages

Mail: *English, Spanish, and Chinese*	Internet: *English and Spanish*	Telephone: *English, Spanish, and Chinese*
Prenotification email	Notification email	Up to six follow-up calls to nonrespondents
Two survey mailings	Two reminder emails	
Reminder letter	Internet survey	

Survey Administration Schedule

Task	Date
• Mail prenotification letter,* activate internet survey, and open customer support telephone/email	Day 1
• Mail first survey packet to nonrespondents six calendar days after prenotification letter is mailed* • Send notification email to nonrespondents six calendar days after prenotification letter is mailed*	Day 7
• Send first reminder email to nonrespondents six calendar days after the notification email is sent*	Day 13
• Send second reminder email to nonrespondents six calendar days after the first reminder email is sent*	Day 19
• Mail reminder letter to nonrespondents 13 calendar days after the first survey is mailed*	Day 20
• Mail second survey packet to nonrespondents 14 calendar days after the reminder letter is mailed*	Day 34
• Initiate telephone follow-up for nonrespondents 21 calendar days after second survey is mailed	Day 55–73
• End data collection activities, including telephone interviews and internet survey** • Close customer support toll-free line and project-specific email address	Day 73

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

** Vendors must accept and process data for all mail surveys received through 2 weeks prior to the end of data submission (i.e., 11:59 p.m. ET on May 3, 2024). If vendors are still fielding the survey after May 3, 2024, they must accept and process data for all mail surveys received through the end of the protocol (Day 73).

Additional Language Protocols

- Vendors and clients to determine best strategy to maximize response rates for Spanish/Chinese protocols

- Vendors may:
  - Select one language protocol for all enrollees in a reporting unit (based on direction from clients) or
  - Use language preference indicators to determine which enrollees are placed in which language protocol
  - "Double stuff" materials (mail and internet)

- All letters mailed in English must include instructions in Spanish and/or Chinese (if applicable) on how to request materials in preferred language

- If an enrollee requests a Spanish or Chinese survey, it is strongly recommended that the vendor mails the survey within two business days
  - May attempt to complete an inbound Spanish/Chinese telephone interview during this request

- Vendors must accommodate enrollee requests to be contacted by telephone in Spanish/Chinese

Additional Language Protocols (cont'd)

Outreach Mode	English Only	Spanish Only	Chinese Only	English/ Spanish Double Stuff	English/ Chinese Double Stuff	Spanish/ Chinese Double Stuff
Mail	Mailings in English only	Mailings in Spanish only	Mailings in Chinese only	Mailings include both English and Spanish	Mailings include both English and Chinese	Mailings include both Spanish and Chinese
Internet	Emails in English only	Emails in Spanish only	★Emails in English only (option)	Emails include both English and Spanish	Emails in English only	Emails in Spanish only
Telephone	Calls in English only	Calls in Spanish only	Calls in Chinese only	Calls in either English or Spanish	Calls in either English or Chinese	Calls in either Spanish or Chinese

★If an enrollee is in the Chinese-only protocol, vendors may opt to send the enrollee email notifications in English.

Survey Management System

! Vendors **must** implement automated electronic Survey Management System (SMS) that:

- Assigns deidentified unique ID to each sampled enrollee

- Separates personally identifiable information (PII) from enrollee response data

- Tracks sampled enrollee data and all key survey events

- Tracks requests for Spanish/Chinese surveys

- Tracks duplicate surveys

- Links to internet survey and CATI system

- Assigns disposition codes for each sampled enrollee

! Vendors log data collection activities in SMS within **24 hours**

! Vendors test system prior to implementation

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, data receipt/processing

- Vendors must:
  – Provide oversight of subcontractors
  – Document subcontractor oversight processes in Quality Assurance Plans (QAPs)
  – Obtain signed confidentiality agreements from subcontractors
  – Attend subcontractor trainings

- Subcontractors must participate in all required Project Team oversight activities

Data Security and Confidentiality

- Vendors and subcontractors must:
  - Adhere to Health Insurance Portability and Accountability Act (HIPAA) requirements
  - Sign confidentiality agreements annually
  - Protect sampled enrollee PII
  - Safeguard both hardcopy and electronic data
  - Notify CMS of confidentiality or data breaches within 24 hours
  - Follow all data confidentiality and security requirements described in the 2024 Technical Specifications

Data Retention and Destruction

- Securely retain data in an environmentally controlled location for a minimum of three years, including:
  - Mail, telephone, and internet data
  - Original sample frame, deduplicated sample frame, and survey sample
  - Hardcopy or scanned images of returned mail surveys
- After three years (or as otherwise specified by CMS), securely destroy all data files

Mail Protocol
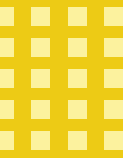
Mail Protocol Overview

- Vendors update and standardize addresses prior to start of mail protocol using commercial tools (e.g., National Change of Address [NCOA] database)

- Four mailing waves

  - Prenotification Letter

  - Two survey packets that include a survey cover letter, survey instrument, and business reply envelope

  - Reminder letter

- Mail materials available on MQI Website

  - Content and format of vendor materials must not deviate from templates

  - Materials must follow all requirements outlined in 2024 Technical Specifications

Mail Staff Training

- Vendors must train all staff (including subcontractors) involved in mail processes on applicable specifications and protocols

- Training topics for mailing and data collection staff include:
  - Operation of relevant equipment and software (e.g., SMS, scanning equipment, data entry programs)
  - Role-specific survey protocols (e.g., required mail survey packet content, documenting/entering returned surveys into the tracking system)
  - QA procedures for mail production activities and mailout processes
  - Decision rules and coding guidelines for returned surveys
  - Proper handling of hard-copy and electronic data, including data security and storage requirements

Key Updates: Mail Protocol

★ Updated years and dates, as applicable, across all mail materials

★ Updated time to complete estimate from 12 to 10 minutes across all mail materials

★ Specified that Chinese mail materials are available in simplified Chinese

★ Clarified requirement that mail materials must use a font size of at least 11 points in an easily readable font

- Vendors may use Times New Roman/Arial (or another easily readable font) for English and Spanish materials

★ Vendors may use PMingLiU (or another easily readable font) for Chinese materials

★ Use the same font consistently throughout a single mail material

★ Project Team will assess readability and font usage for all materials during oversight reviews

Key Updates: Survey Instrument

★Changes to the Survey Instrument for 2024:

★Removed two survey questions (public health emergency and flu vaccination, previously questions 17 and 47) and adjusted question numbers and skip patterns accordingly

★Updated OMB statement

Key Updates: Survey Instrument (cont'd)

★Changes to the Survey Instrument for 2024:

  ★Consolidated Ethnicity question (previously questions 66 and 67) and updated to allow for selection of multiple response options

  ★Ethnicity question now Question 64

64. Are you of Hispanic, Latino/a, or Spanish origin? *Mark one or more.*

  1 ☐ No, not of Hispanic, Latino/a, or Spanish origin
  2 ☐ Yes, Mexican, Mexican American, or Chicano/a
  3 ☐ Yes, Puerto Rican
  4 ☐ Yes, Cuban
  5 ☐ Yes, another Hispanic, Latino/a, or Spanish origin

Key Updates: Survey Instrument (cont'd)

★Changes to the Survey Instrument for 2024:

   ★Updated Race question to include additional response options

   ★Race question now Question 65

65. What is your race? *Mark one or more.*

- 1 ☐ American Indian or Alaska Native
- 2 ☐ Asian Indian
- 3 ☐ Chinese
- 4 ☐ Filipino
- 5 ☐ Japanese
- 6 ☐ Korean
- 7 ☐ Vietnamese
- 8 ☐ Other Asian
- 9 ☐ Black or African American
- 10 ☐ Native Hawaiian
- 11 ☐ Guamanian or Chamorro
- 12 ☐ Samoan
- 13 ☐ Other Pacific Islander
- 14 ☐ White

QR Codes

- Vendors may opt to include QR codes on prenotification and reminder letters

- Prenotification and reminder letters include internet survey URL and log-in credentials to inform enrollees of the internet survey option

- QR codes direct respondents to the internet survey and automatically logs them in

- Vendors are encouraged to use QR codes as a strategy to increase response rates
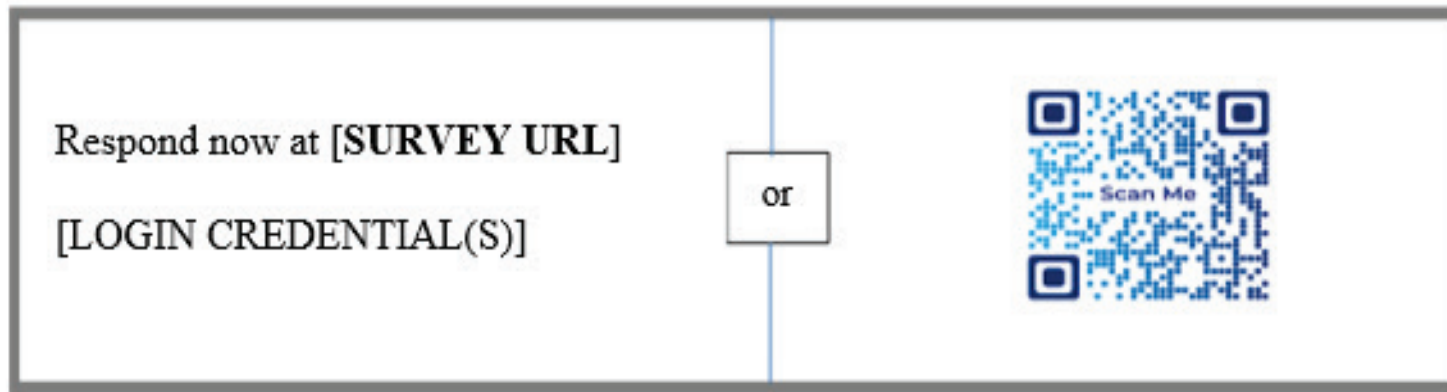
Mail QA Requirements

- Confirm printed materials match survey proofs accepted by the Project Team

- Integrate internal staff and CMS mail seeds directly into mailing database

- Make every reasonable attempt to contact sampled enrollees, regardless of completeness of mailing address

  – Record all attempts to update mailing address

- Log all QA checks to document their completion

Mail QA Requirements (cont'd)

- Interval check at least 10% of printed mailing pieces to confirm that:
  - Materials are visually acceptable (e.g., no smearing, misalignment, or bleed-throughs)
  - All pages are included in the survey
  - Printed materials are in an easily readable font of at least 11 points
  - Survey packet has accurate content, address information, and postage
  - Printed materials in a mailing envelope include the same unique identifier
  - Surveys and cover letters in a survey packet are matched to the same sampled enrollees and are in the same language
  - Number of survey packets to be mailed matches number of sampled enrollees

Collecting Data by Mail

- Send mailings according to the survey administration schedule (i.e., Day 1 to Day 34)

- Vendors strongly encouraged to use first-class postage or indicia to facilitate timely delivery and maximize response rates

- Vendors must verify mailout dates for all materials (e.g., USPS-generated report)
    - CMS may request documentation of mailout dates from vendors

Processing Inbound Mail

- Vendors process inbound mail using key-entry or optical scanning technology
- Record or scan surveys daily (within 24 hours) to designate as "received"
  - Cease additional contacts to enrollees who return a completed survey within 24 hours
  - Track date of receipt for each survey
  - Do not permit same survey to be scanned more than once
- Do not permit out-of-range or invalid responses
- Implement QA procedures to verify consistent and accurate scanning
- Assign a final disposition code to each sampled enrollee
- ! Include final responses from mail surveys received through May 3, 2024, in final data files
  - If vendors are still fielding the survey after May 3, 2024, they should accept and process all surveys received through the end of the protocol (Day 73)
  - Mail surveys received after this date must be shredded and disposed of securely

Decision Rules

Vendors implement decision rules to resolve ambiguous coding scenarios

Scenario	Decision Rule
Mark falls between two response options, but is obviously closer to one	Select option to which mark is closest
Mark is equidistant between two response options	Code as *Missing*
Value is missing	Code as *Missing*. Do not impute a response
More than one response is marked on a question that does not have instructions to "mark one or more"	Code as *Missing*
One response is crossed out and another response option is selected	Code the corrected response option
There is writing in the margins (e.g., N/A), but a separate response is clearly marked	Code the response clearly marked
Respondent leaves all response options blank for a question with instructions to "mark one or more"	Code all response categories as "Blank/Nonresponse/No Answer" (mail and internet surveys only)

Mail Survey Skip Patterns

- Screener/gate questions determine whether an enrollee should answer subsequent questions (i.e., a skip pattern)

- Some enrollees may:
  - Answer the screener question but leave follow up questions blank
  - Answer follow up questions that do not apply to them based on response to the screener question

- Vendors do **not** edit or clean responses

9. In the last 6 months, how often were the forms from your health plan easy to fill out?
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 99 ☒ Not Applicable; health plan did not give me forms to fill out ⟶ **If Not Applicable, go to #13**

10. In the last 6 months, how often did the health plan explain the purpose of a form before you filled it out?
    - 1 ☐ Never
    - 2 ☒ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always

Processing Undeliverable and Blank Surveys

- If a mail survey is returned **undeliverable**:
  - Make every reasonable effort to obtain a valid address
  - If unable to obtain valid address, attempt to contact enrollee by email/telephone
  - If a prenotification letter is returned undeliverable, do **<u>not</u>** contact sampled enrollee by telephone to obtain updated contact information
    - » Vendors may begin telephone phase early and assign Bad_Address_Flag if confirmation of bad address is received
- ! If a mail survey is returned **blank**:
  - Assign interim disposition code of X34 – Blank Survey Returned or Incomplete Survey
  - Do not mail a second survey; do attempt to contact during telephone phase
  - Do not assign final disposition code of X32 – Refusal unless enrollee explicitly refuses
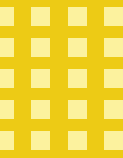
Processing Duplicate and Ineligible Surveys

- If **duplicate** surveys are returned from the same enrollee:
  - Use the most complete survey (i.e., has most key items answered) regardless of mode
    » If surveys are equally complete, use first survey received
- If a mail survey is returned with a note that the enrollee is **ineligible**:
  - Scan and store the survey for the required three-year period
  - Apply appropriate final ineligible disposition code based on illegibility reason (Exhibit 48):
    » X20 – Ineligible: Deceased
    » X40 – Ineligible: Not Eligible
    » X43 – Do Not Survey List
    » X22 – Language Barrier
    » X24 – Mentally or Physically Incapacitated

Data Entry/Scanning Quality Assurance Procedures

- Review a sample of cases (recommended minimum of 10%) throughout mail protocol

- Scanning:
  - Review randomly selected hard-copy surveys and compare with the scanned entries

- Manual key-entry:
  - All surveys must be 100% rekeyed
  - Supervisors resolve discrepancies and verify correct values have been entered
  - Supervisors review a recommended minimum of 10% of cases coded by each data entry staff member

Survey Fielding or Mail Protocol Questions?

Internet Protocol

Internet Protocol Overview

! Must be made available for entire duration of data collection period

- Vendors send three emails to enrollees with embedded log-in credentials:
  - One notification email
  - Two reminder emails
- Vendors program internet survey and emails in alignment with the templates available on MQI Website
  - Content and format must not deviate from templates
  - Must follow all programming and text convention requirements described in templates and 2024 Technical Specifications
- Program and test internet survey and emails before the prenotification letter is sent

Internet Staff Training

- Vendors must train all staff involved in internet processes on applicable specifications and protocols

- Training topics for internet staff include:

  – Use of relevant software

  – Role-specific QHP Enrollee Survey protocols

  – Proper handling of electronic data, including data security and storage requirements

  – QA procedures for the internet survey and emails

Programming the Internet Survey

! Optimize and test for use on mobile phones, tablets, and computers

- Allow sampled enrollees to complete in stages
  - Save all previously completed responses
  - Allow enrollees to return to previous questions
- Do not require enrollees to answer survey questions
- Program skip patterns and adhere to formatting/text conventions in internet script on MQI Website
- Unless otherwise noted, program each question to accept only one response
- Include "Questions" link on each webpage (see internet script for required language)

Programming Notification and Reminder Emails

- Program notification and reminder emails in alignment with templates on [MQI Website](#)

- Included a full, unique URL and a "Take Survey Now/Responda la encuesta ahora" button with embedded login credentials

- Include "Unsubscribe" link

- Test emails ahead of fielding

- Send emails on the following days:

  - Notification email: Day 7

  - First reminder email: Day 13

  - Second reminder email: Day 19

  Note. The text for the two reminder emails is the same.

Key Updates: Internet Protocol

★ Updated years and dates in internet script and email templates, as applicable

★ Updated time to complete estimate from 12 to 10 minutes in internet script and email templates

★ Removed two survey questions from the internet script (public health emergency and flu vaccination, previously questions 17 and 47) and adjusted question numbers and skip patterns accordingly (in alignment with the mail survey instrument)

★ Updated OMB statement

★ Updated guidance to permit vendors to send enrollees in Chinese-only protocol emails in English

Key Updates: Internet Protocol (cont'd)

★Consolidated Ethnicity question (previously questions 66 and 67) and updated to allow for selection of multiple response options

★Ethnicity question now Question 64

[64] Are you of Hispanic, Latino/a, or Spanish Origin? *Select one or more.*

- ☐ No, not of Hispanic, Latino/a, or Spanish origin
- ☐ Yes, Mexican, Mexican American, or Chicano/a
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban
- ☐ Yes, another Hispanic, Latino/a, or Spanish origin

[Q64 MUST BE PROGRAMMED TO ALLOW MULTIPLE RESPONSES.]

Key Updates: Internet Protocol (cont'd)

★Updated Race question to include additional response options

★Race question now Question 65

[65] What is your race? *Select one or more.*

- ☐ American Indian or Alaska Native
- ☐ Asian Indian
- ☐ Chinese
- ☐ Filipino
- ☐ Japanese
- ☐ Korean
- ☐ Vietnamese
- ☐ Other Asian
- ☐ Black or African American
- ☐ Native Hawaiian
- ☐ Guamanian or Chamorro
- ☐ Samoan
- ☐ Other Pacific Islander
- ☐ White

[Q65 MUST BE PROGRAMMED TO ALLOW MULTIPLE RESPONSES.]

Internet QA Requirements

- Confirm internet survey and emails match proofs accepted by the Project Team

- Seed internal staff and CMS directly into email distribution list

- Make every reasonable attempt to contact sampled enrollees, regardless of availability of complete email address

    – It is recommended that vendors run email addresses through an email verification service prior to fielding

- Log all QA checks to document their completion

- Confirm URL and QR code correctly directs enrollees to the log-in page

Internet QA Requirements (cont'd)

- Perform interval checking of emails to:
  - Confirm emails are matched to sampled enrollee
  - Confirm variable fills matched sampled enrollee information
  - Check formatting
  - Verify working links
- Check programmed internet survey ahead of fielding to:
  - Confirm adherence to internet script
  - Check formatting
  - Verify skip patterns
  - Confirm that sampled enrollees cannot complete internet survey more than once
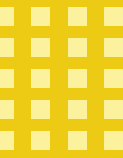
Collecting Internet Data

- Vendors use survey response data from all internet surveys, regardless of whether the survey was explicitly submitted by the respondent

  - *Example:* If a respondent logs into the survey and answers the first 40 questions and the exits survey without submitting their data, vendors should collect and use the data for the first 40 questions (assuming enrollee does not later complete survey by mail or telephone)

- Cease contact to enrollees who return a complete internet survey within 24 hours

Undeliverable Emails and Unsubscribe/Do Not Survey

- If an email is returned as **undeliverable:**
  - Assign Bad_Email_Flag and stop further email communications
  - Continue to contact the enrollee by mail and telephone
- If an enrollee **unsubscribes** from email notifications:
  - Remove the enrollee from further email communications (recommended that vendors remove enrollees between two and five days of the request)
  - Continue to contact the enrollee by mail and telephone
- Vendors encouraged to maintain QHP-specific unsubscribe list

Internet Protocol Questions?

Telephone Protocol

Telephone Protocol Overview

- Vendors required to use computer-assisted telephone interviewing (CATI) system
- Required to use secondary source (e.g., telephone matching services) to obtain or update telephone numbers for sampled enrollees
- Make up to six call attempts over 19-day period (i.e., Days 55 to 73) to enrollees who:
  - Have not returned a complete survey by any mode
  - Returned a blank/partially complete survey
  - Have an invalid/undeliverable mailing address but valid phone number
- CATI script available on MQI Website
  - Program CATI systems per the standardized script and requirements outlined in the 2024 Technical Specifications
  - CATI systems must follow skip patterns
  - Use consistent conventions throughout the script

Telephone Staff Training

- To ensure standardized data collection, vendors must train all telephone interviewers (including subcontractors) on applicable specifications and protocols

- Vendors must train telephone interviewers to:
  - Read questions and response choices verbatim
  - Probe to obtain appropriate responses
  - Maintain a professional, neutral tone
  - Minimize answer interpretation (i.e., only record answers that respondents specify)
  - Record the appropriate outcome of all call attempts
  - Operate CATI systems efficiently
  - Use of FAQs (Appendix D)
  - Refusal avoidance

Telephone Protocol Requirements

- CATI systems must:
  - Be operational by the start of survey administration to accommodate inbound requests for telephone interviews during mail/internet phases
  - Comply with federal and state laws, regulations, and guidelines
  - Link to the SMS
  - Adhere to all survey specifications and skip pattern logic
- Vendors must use secondary source to obtain updated telephone numbers
  - **Must** update Enrollee Phone 1; may update Enrollee Phone 2 if second number received
  - Handling of attempts to multiple phone numbers left to discretion of vendor
- Vendors test CATI programming ahead of survey administration

Key Updates: Telephone Protocol

★Updated years and dates, as applicable

★Removed two survey questions (public health emergency and flu vaccination, previously questions 17 and 47) and adjusted question numbers and skip patterns accordingly

   ★In alignment with mail and internet surveys

Key Updates: Telephone Protocol (cont'd)

★Revised gender question (Question 61)

  ★Interviewers not required to read response options

  ★Added optional probe specifying why the interviewer is asking this question

61. **What is your sex?**

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

(IF THE RESPONDENT WANTS TO KNOW WHY YOU ARE ASKING ABOUT THEIR SEX, SAY: **We ask about your sex for demographic purposes only.)**

(IF RESPONDENT REPLIES WITH ANY MASCULINE RESPONSE (E.G., MALE, MASCULINE, MAN, GUY), SELECT "MALE." IF RESPONDENT REPLIES WITH ANY FEMININE RESPONSE (E.G., FEMALE, FEMININE, WOMAN, LADY), SELECT "FEMALE." IF RESPONDENT DOES NOT ANSWER WITH A RESPONSE THAT CORRESPONDS WITH "MALE" OR "FEMALE," SELECT "OTHER.")

1 ☐ MALE
2 ☐ FEMALE

-6 ☐ OTHER
-1 ☐ REFUSED
-2 ☐ DON'T KNOW

Key Updates: Telephone Protocol (cont'd)

★Updated Ethnicity question (previously questions 66 and 67) and updated to allow for selection of multiple response options

   ★Ethnicity question now questions 64-1 through 64-5

   ★Added new valid values

64-1. Are you of Hispanic, Latino, or Spanish origin?

(READ RESPONSE OPTIONS ONLY IF NECESSARY. IF RESPONDENT HESITATES OR IS CONFUSED, ASK: **Would you say "Yes" or "No"?**)

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

0 ☐ YES
1 ☐ NO   → [IF NO, GO TO #65-1]

-1 ☐ REFUSED   → [IF REFUSED, GO TO #65-1]
-2 ☐ DON'T KNOW   → [IF DON'T KNOW, GO TO #65-1]

64-2. I am going to read a list of ethnicity categories. For each category, please say "Yes" or "No" if it describes your ethnicity. I must ask you about all categories in case more than one applies. Are you Mexican, Mexican American, or Chicano/a?

0 ☐ NO
1 ☐ YES

-1 ☐ REFUSED
-2 ☐ DON'T KNOW

Key Updates: Telephone Protocol (cont'd)

★Updated Race question (previously question 68) with additional race categories

  ★Updated format to allow selection of multiple response options

  ★Added new variable names

  ★Race question now questions 65-1 to 65-14

65-1. 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. Are you American Indian or Alaska Native?

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

0 ☐ NO
1 ☐ YES

-1 ☐ REFUSED
-2 ☐ DON'T KNOW

65-2A. Are you Asian?

0 ☐ YES
1 ☐ NO   → [IF NO, GO TO #65-9]

-1 ☐ REFUSED   → [IF REFUSED, GO TO #65-9]
-2 ☐ DON'T KNOW → [IF DON'T KNOW, GO TO #65-9]

Telephone QA Requirements

- At minimum, vendors must:
  - Review and confirm telephone script matches previously accepted screenshots
  - Verify CATI system correctly follows skip patterns and programming specifications
  - Test each response option (including "Don't Know" and "Refused") to confirm skip pattern logic
  - Verify capacity to support dialing volume (including additional languages)
  - Make every reasonable attempt to contact nonrespondents

Outbound Telephone Attempts

- Vendors make up to six telephone attempts to nonrespondents at different times of day, on different days of the week, and in different weeks over 19-day dialing period

- Definition of a Telephone Attempt:
  - Phone rings six times with no answer
  - Interviewer reaches voicemail
  - Interviewer reaches household or sampled enrollee, but enrollee is not available
    » Interviewer attempts to schedule callback
  - Interviewer reaches a busy signal (up to three busy signals in a day may equal one attempt)
  - Interviewer placed on hold

- Vendors may leave up to two voicemail messages for sampled enrollees (review HIPAA requirements and document processes in QAP

Inbound Telephone Interview Requests

- Vendors accommodate enrollee requests to take the survey over the phone throughout survey administration

- If interviewer not available at time of inbound request, schedule callback

- If enrollee not available at the time of a callback:
  - Make at least one additional attempt on the next day at the same time
  - If survey not conducted, continue standard mail, internet, and telephone protocols
  - Callback attempts do **not** count towards six required telephone attempts

# Telephone Data Processing Requirements

- Include unique ID number for each enrollee in SMS and final data file

- Enter interview date in SMS and link interviews to appropriate variables (i.e., language, date)

- Remove all PII and protected health information (PHI) 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 Interviewer Monitoring

! Vendors must silently monitor at least 10% of all interviews for each survey language

- Must be conducted throughout entire telephone phase

- Monitor both attempts and completed interviews

- Callbacks permitted, but do not count towards the 10% monitoring requirement

- Document outcomes using standard templates

• Supervisory staff conduct "floor rounding" to assess professionalism

! For vendors using telephone subcontractors:

- A combined total of 10% of interviews must be monitored by the vendor and/or subcontractor

Data Collection Considerations

- **Disenrollees:** Individuals who indicate they are no longer enrolled in the QHP
  - Discontinue contact across all modes to the enrollee
  - Assign final disposition of X40 – Ineligible
- **Proxy Respondents:** Someone who completes the survey on the enrollee's behalf
  - Vendors must modify CATI system programming to accommodate proxy interviews
  - Proxy permitted if a sampled enrollee is unable to respond to the survey
    - » Enrollee must consent to a proxy taking a survey on their behalf
    - » Proxy must be familiar with enrollee's health
  - If enrollee is physically/mentally unable to respond to the survey and unable/unwilling to grant permission to a proxy:
    - » Assign final disposition of X24 – Mentally or Physically Incapacitated
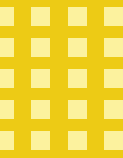
Customer Support

Customer Support Overview

! Vendors establish customer support toll-free telephone number and project-specific email address

! Must be operational by start of the mail phase and available for entire data collection period

• Requirements:
  – Answer at least 90% of incoming calls live within 30 seconds during regular business hours
  – Available in all fielded languages (i.e., English, Spanish, and Chinese [if applicable])
  – Program voicemailbox in all fielded languages; return voicemails within 24 hours or one business day
  – Respond to email inquiries within 24 hours or one business day
  – Track number of requests for language other than English, Spanish, or Chinese
  – Document and track all customer support inquiries
  – Test customer support systems ahead of survey fielding

Customer Support Staff Training

- Vendors train customer support staff on:
  - QHP Enrollee Survey requirements and methodology
  - Frequently Asked Questions document (Appendix D)
    - » Available on MQI Website in English, Spanish, and Chinese
  - Procedures for transferring calls to telephone interviewers or scheduling callbacks
- Customer Support Agent and Interview Guidance (Appendix E) provides guidance on best practices for customer support agents

Key Updates: FAQ and Interview Guidance

★Updated years, as applicable

★Removed references to the public health emergency from the FAQ (Appendix D) and Customer Support Agent and Interview Guidance (Appendix E)

   ★Revised questions 10, 11, and 13

★Revised questions 6 and 21 to update the survey completion time estimate from 12 to 10 minutes

Customer Support QA Requirements

- To reduce survey fielding errors and facilitate high quality customer support, vendors must:

  – Review at least 10% of customer support responses to confirm accuracy and professionalism

  – Confirm responses for all fielded languages are provided within 24 hours or one business day

  – Confirm that all requests for scheduled telephone surveys result are met

Telephone Protocol and Customer Support Questions?

Data Coding, File Specifications, and Submission

Data Coding, Specifications, and Submission Overview

- Data coding and file specifications

  - Processing written text responses

  - Determining enrollee eligibility

  - Key items and complete survey definition

  - Disposition codes

  - Survey round variables

  - Data dictionary

  - Quality control procedures

- Data submission process

Note. See Section 17: Code and submit data for detailed data coding and submission requirements.

Data Coding and File Specifications

Processing Written Text Responses

- Vendors submit open-ended responses to Question 2 in data files

- Enter responses exactly as written

- Redact PII and PHI (e.g., only submit the QHP name in the data submission file)

- Do not edit or correct misspellings

- Include enrollees who wrote in only a product type (e.g., HMO, POS, PPO, EPO) as eligible regardless of whether product type aligns with associated reporting unit

2. What is the name of your health plan?

Please print:

_____

_____

_____

Note. See Exhibit 52 for additional detail.

Determining Enrollee Eligibility

- Questions 1 and 2 determine enrollee eligibility
  - See Exhibit 53 for detailed guidelines
- QHP issuers provide list of common plan name aliases
  - See Exhibit 54 for additional common valid/invalid plan aliases
- If an enrollee's response to Question 2 varies significantly from list of common aliases, they are considered ineligible
- Telephone interview scripts must accommodate enrollee eligibility rules

1. Our records show that you are now in the health plan named on the front page. Is that right?

   [1] ☐ Yes → **If Yes, go to #3**
   [2] ☐ No

2. What is the name of your health plan?

   Please print:

   _____

   _____

   _____

Key Survey Items

★ 2024 QHP Enrollee Survey has 19 key items

   ★ Removed question 17 (public health emergency) for 2024

   – See Exhibit 57 for complete list of key items

- Key items are survey questions that all respondents are eligible to answer, excluding the "About You" items

Definition of a Complete Survey

- **Complete Survey:** Sampled enrollee answers ≥50% (at least 10) of the key items
  - Vendors make no additional attempts to enrollees who return a complete survey
- **Partially Complete Survey:** Enrollee answers <50% of the key items
  - Required to continue following up with enrollee to obtain complete survey
- If an enrollee completes more than one survey:
  - Use survey with most key items answered (regardless of survey mode)
  - If equally complete, use first survey received
- If an enrollee is deceased:
  - Do not retain data of completed by someone else after death
  - Retain data if completed by enrollee prior to death

Disposition Codes

- Designate survey status for each enrollee

! Vendors must maintain up-to-date, accurate disposition codes

- Interim disposition codes

  – Represent current survey status

  – Used for internal tracking purposes

  ! Include crosswalk of interim to final disposition codes in QAP

- Final disposition codes

  – Represent final survey status of enrollees

  – Assigned prior to data submission

Note. Exhibit 55 includes final disposition codes and guidelines for coding the Date_Complete variable.

Final Disposition Codes

Code	Description	Date_Complete Guidelines
M, I, or T10	Completed survey	Code as date completed survey was received or administered
M, I, or T31	Partially completed survey	Code as date partially completed survey was received or administered
X20	Ineligible: Deceased	Code as date it is determined enrollee is deceased
X40	Ineligible: Not Eligible	Code as date it is determined enrollee does not meet all required eligibility criteria for being included in survey sample
X43	Do Not Survey List	Code as first date of fielding for reporting unit
X22	Language Barrier	Code as date it is determined that a language barrier prevents the sampled enrollee from completing the survey
X24	Mentally of Physically Incapacitated	Code as date it is determined a mental or physical incapacity or institutionalization prevents the sampled enrollee from completing the survey
X32	Refusal	Code as date sampled enrollee or proxy refuses to complete survey (verbally or in writing)
X33	Nonresponse after Maximum Attempts	Code as last date of fielding for the reporting unit
X34	Blank Survey Returned or Incomplete Survey	Code as date the blank survey or incomplete survey was received or administered
X35	Bad Contact Information	Code as latest date it is determined that contact information is not viable

Note. See Exhibit 55 for additional detail.

Survey Round Variables

- Must be assigned to each sampled individual

- Provide detail on which round of outreach a mail or telephone survey was completed or partially completed

- Must be associated with mailed questionnaire or call attempt in which data were collected

- For disposition codes other than M/T/I10 or M/T/I31, code Survey Round as NC

- For I10 and I31 disposition codes, code Survey Round as IN

Survey Round	Description	Disposition Codes
M1	Respondent completely/partially completed first mail questionnaire	M10, M31
M2	Respondent completely/partially completed second mail questionnaire	M10, M31
T1–T6	Respondent completed/partially completed survey during the first, second, third, fourth, fifth, or sixth telephone attempt, respectively	T10, T31
TN	Respondent completed/partially completed survey during inbound call	T10, T31
IN	Respondent completed/partially completed internet survey	I10, I31
NC	Used for all final disposition codes that are not M/T/I10 or M/T/I31	X20, X40, X43, X22, X24, X32, X33, X34, X35

Key Updates: Data Dictionary (Appendix G)

★ Updated Hispanic Ethnicity question to allow for multiple choices to be selected and added new valid values

Added Variables	Removed Variables
• Not_Hispanic • Mexican • Puerto_Rican • Cuban • Otr_Hispanic	• Hispanic • Hispanic_Detail

Key Updates: Data Dictionary (cont'd)

Field	Question Number	Description	Valid Values	Data Type	Max Field Size
Not_Hispanic	64-1	Are you of Hispanic, Latino/a, or Spanish origin? No not of Hispanic, Latino/a, or Spanish Origin	0 = Not checked 1 = Checked -1 = Refused (phone only) -2 = Don't know (phone only) -3 = Blank/Nonresponse/No answer for all ethnicity categories	Num	2
Mexican	64-2	Mexican, Mexican American, or Chicano/a?	0 = Not checked 1 = Checked -1 = Refused (phone only) -2 = Don't know (phone only) -3 = Blank/Nonresponse/No answer for all ethnicity categories	Num	2
Puerto Rican	64-3	Puerto Rican?	0 = Not checked 1= Checked -1 = Refused (phone only) -2 = Don't Know (phone only) -3 = Blank/Nonresponse/No answer for all ethnicity categories	Num	2

Note. The Data Dictionary (Appendix G) includes information on the other added Ethnicity variables (i.e., Cuban, Otr_Hispanic).

Key Updates: Data Dictionary (cont'd)

★ Updated the Race question and assigned new variable names to distinguish their inclusion in the question series

Added Variables	Removed Variables
• Asian_Indian • Chinese • Filipino • Japanese • Korean • Vietnamese • Other_Asian • Native Hawaiian • Guamanian_Chamorro • Samoan • Otr_Pacific_Island	• Asian • Nhpi

Key Updates: Data Dictionary (cont'd)

Field	Question Number	Description	Valid Values	Data Type	Max Field Size
Aian	65-1	What is your race? Are you American Indian or Alaska Native?	0 = Not checked 1 = Checked -1 = Refused (phone only) -2 = Don't know (phone only) -3 = Blank/Nonresponse/No answer for all race categories	Num	2
Asian_Indian	65-2	Are you Asian Indian?	0 = Not checked 1 = Checked -1 = Refused (phone only) -2 = Don't know (phone only) -3 = Blank/Nonresponse/No answer for all race categories	Num	2
Chinese	65-3	Are you Chinese?	0 = Not checked 1 = Checked -1 = Refused (phone only) -2 = Don't know (phone only) -3 = Blank/Nonresponse/No answer for all race categories	Num	2

Note. The Data Dictionary (Appendix G) includes information on the other added Race variables (i.e., Filipino, Japanese, Korean, Vietnamese, Other_Asian, Native Hawaiian, Guamanian, Chamorro, Samoan, Otr_Pacific_Island).

Key Updates: Data Dictionary (cont'd)

★Removed former Question 17 (public health emergency) and Question 47 (flu vaccination)

   ★Updated question numbers accordingly

★Revised description for Web_Entry_Flag to specify associated values for Internet_Opt_In

   ★If Web_Entry_Flag is coded as 1 = Yes for a record, the record must also have a value between 1 and **4** for Internet_Opt_In

QA Procedures

! Ongoing QA checks for data files:

– 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 for discrepancies 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 (recommend 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.

QA Procedures (cont'd)

! Question 2 QA checks:

– 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

QA Procedures (cont'd)

! Question 27 QA checks:

– Review question 27 coding for telephone records

  » Split into Q27A and Q27B for telephone only

– Report only a single value for Q27

★*Note.* Question number updated for 2024 in alignment with removal of questions from the survey (previously question 28)

27A. In the last 6 months, how many times did you visit your personal doctor to get care for yourself? Include in-person, telephone, or video appointments.

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

(IF RESPONDENT IS CONFUSED ABOUT "NOT APPLICABLE," SAY: **Not applicable because you do not have a personal doctor?**)

0 ☐ NONE	→	[IF NONE, GO TO #27B]
1 ☐ 1 TIME	→	[IF 1 TIME, GO TO #28]
2 ☐ 2	→	[IF 2, GO TO #28]
3 ☐ 3	→	[IF 3, GO TO #28]
4 ☐ 4	→	[IF 4, GO TO #28]
5 ☐ 5 TO 9 TIMES	→	[IF 5 TO 9 TIMES, GO TO #28]
6 ☐ 10 OR MORE TIMES, OR	→	[IF 10 OR MORE TIMES, GO TO #28]
-5 ☐ NOT APPLICABLE?	→	[IF NOT APPLICABLE, GO TO #40]
-1 ☐ REFUSED	→	[IF REFUSED, GO TO #40]
-2 ☐ DON'T KNOW	→	[IF DON'T KNOW, GO TO #40]

27B. 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 THEM IN THE LAST 6 MONTHS; OR	→	[GO TO #40]
-5 ☐ YOU DO NOT HAVE A PERSONAL DOCTOR?	→	[GO TO #40]
-1 ☐ REFUSED	→	[IF REFUSED, GO TO #40]
-2 ☐ DON'T KNOW	→	[IF DON'T KNOW, GO TO #40]

Calculating the Response Rate

Response Rate: Total number of completed surveys divided by the total number of sampled enrollees selected for the survey sample

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

where

- C = Completed Surveys (disposition code 10)

- E = Partially Completed Surveys (disposition code 31)

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

- O = Other Disposition (disposition codes 22 and 24)

- R = Refusal (disposition code 32 or 43)

- I = Ineligible (disposition code 20 or 40)

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

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

Note. The response rate formula is based on the standard definitions established by the American Association for Public Opinion Research, specifically the Response Rate 3 formula.

Data Submission

Data Submission Process

- Vendors submit test and final data files to CMS via the [QHP Enrollee Survey Website](#)
  - Registration required
- Data submission training: **February 29, 2024**
- Complete instructions for accessing the QHP Enrollee Survey Website and submitting test and final data files provided during the training
- Contact the Project Team for technical support: QHP_Survey@air.org
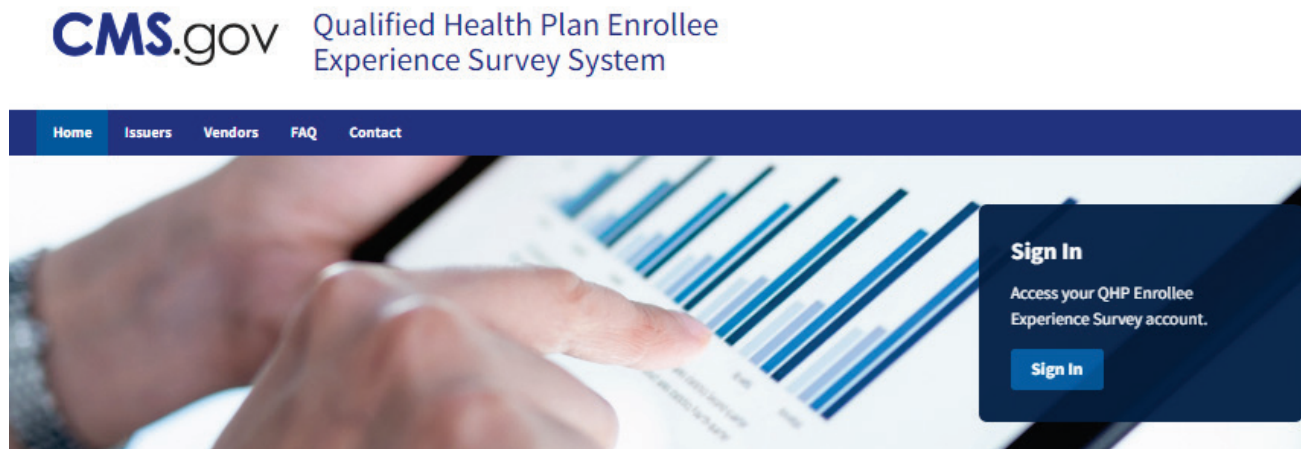
Data Submission Process (cont'd)

- Vendors produce one CSV data file for each reporting unit

★ Naming convention for data files updated for 2024:

  ★ Uploaded ZIP file may contain multiple test data files with the following naming convention: <Reporting Unit ID>.csv

  ★ ZIP file naming convention: <VendorName>.<ZIP>

- Test data submission: April 3–5, 2024
  - Submit at least one unencrypted test ZIP file containing files for two reporting units including at least 100 records across the two reporting units
  - Test files may include >100 records; may submit more than two files

- Final data submission: May 10–17, 2024
  - Files received late will be excluded from QRS and public reporting

- Data file resubmission: May 20–22, 2024
  - Revised data files must be submitted within three business days

Data Coding, Specifications, and Submission Questions?

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES

Data Analysis and Public Reporting

Data Analysis and Public Reporting Overview

- CMS analyzes data

- Vendor analysis and reporting

- QI reports

- QRS measures

Note. See Sections 18 for detailed data analysis and public reporting information.

CMS Analyzes Data

- CMS cleans vendor-submitted data using a forward-cleaning approach, meaning "screener" item responses control how subsequent items are treated

- Depending on responses to "screener" items, CMS may:
  - Retain original responses for subsequent/dependent items
  - Set responses to subsequent/dependent items to a missing value

- CMS concatenates cleaned data files into a single person-level analytic data file and calculates survey composite and individual item scores for each reporting unit using the CAHPS® macro

- Vendors **never** clean or recode survey response data

Vendor Analysis and Reporting

- Vendors may provide reporting-unit level datasets for questions 3–67 and the final disposition code breakdown to QHP issuers

  – **Must** communicate that vendor scores are **not** official CMS scores

  – **May not** provide member-level datasets to QHP issuers

- Vendors may submit deidentified member-level datasets to regulatory agencies on behalf of QHP issuer clients (e.g., states and state insurance commissioners)

  – May include person-level responses for questions 3–10, 19–23, and 26–43

  ! May include reporting unit identification number <reporting-unit-id> from sample frame

  – **May not** include person-level responses for questions 1–2, 11–18, 25, and 44–68

  ! **May not** include information from sample frame or sampled enrollee list (except for reporting unit identification number)

QI Reports

- CMS produces quality improvement (QI) reports for all reporting units that field the 2024 survey

  – Includes results for QHP Enrollee Survey global ratings, composite measures, and preventative services

  – Largely aligns with CAHPS 5.0H composite structure

- Reports available to issuers via CMS HIOS-MQM website

QRS Measures

- The QRS includes a subset of measures from the QHP Enrollee Survey

  - Includes access to care, access to information, care coordination, plan administration, rating of all health care, rating of health plan, rating of personal doctor, rating of specialist, and smoking and tobacco use cessation

    ★ Flu vaccination question removed for 2024

- See Exhibit 65 for full list of composites and questions

Data Analysis and Public Reporting Questions?
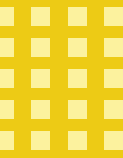
Quality Oversight

Overview

- Quality oversight activities
  - Before survey administration
  - During survey administration
  - After survey administration
  - Ongoing
- Project reporting
- Technical support

Note. See Sections 19 for detailed quality oversight requirements.

Quality Oversight Activities

- The Project Team conducts oversight of all vendors to facilitate compliance with survey protocols

- All vendors and subcontractors (if applicable) must participate

- Vendors submit all reports and materials to QHP_Survey@air.org unless otherwise specified

! Project Team activities are **<u>not</u>** a substitute for the vendor's own quality assurance activities

Before Survey Administration

Oversight Activity	Deadline
Mail material review	October 13, 2023
Report #1: Quality Assurance Plan (QAP)	October 20, 2023
Internet material review	November 3, 2023
Telephone screenshot review	November 17, 2023
Data record review*	December 2023
Telephone script review sessions	Mid to late January 2024

*Returning vendors only.

Mail Material Review

- Submit final, print-ready templates for prenotification letters, first and second survey cover letters, reminder letters, questionnaires, outbound envelop, and business reply envelope
  - English and Spanish required; Chinese if applicable
  - Submit in PDF format
  - Due **Friday, October 13**
- Common findings:
  - Incorrect font and font size
  - Incorrect formatting
  - Mismatch of customer support telephone number, hours, and local time zone across materials
- Project Team provides feedback within 10 business days
- Vendors submit revisions within 10 business days of request

Report #1: Quality Assurance Plan (QAP)

- Documents vendor compliance with survey protocols and 2024 Technical Specifications

- Only required for vendors with QHP issuer clients
  - If a vendor obtains a client after the QAP submission deadline, the vendor must prepare and submit a QAP within 10 business days of contracting

- Must follow the Model QAP template (Appendix C)
  - Clearly label each item and present information in specified order
  - Submit as Microsoft Word document
  - Returning vendors submit previously accepted QAPs in track changes

- Due **Friday, October 20**

Report #1: QAP (cont'd)

- Project Team provides feedback within 10 business days

- Vendors submit revisions within 10 business days of request

- Project Team conducts conference calls to discuss QAPs, if needed

- Common findings
  - Outdated protocols
  - Missing detail regarding additional language protocols and oversight
  - Incomplete organizational chart (e.g., missing subcontractors)

! Acceptance of QAP does not constitute CMS's approval or endorsement of vendor processes

Internet Material Review

- Submit:
  - Internet survey URL with at least 12 usernames and/or passwords that replicate how internet survey log-in credentials appear on mail letters
  - 12 unique URLs with embedded log-in credentials that replicate embedded log-in credentials that appear in email notifications
  - 12 unique QR codes (if applicable)
- English and Spanish required
- Due **Friday, November 3**
- Common findings:
  - Missing or nonworking FAQ link
  - Mismatch of customer support telephone number, hours, and local time zone across materials
- Project Team provides feedback within 15 business days
- Vendors submit revisions within 5 business days of request

Telephone Screenshot Review

- Submit screenshots of programmed telephone interviewing script

- PDF format

- One question per page preferred

- English and Spanish required; Chinese if applicable

- Due **Friday, November 17**

- Common findings:
  - Missing or incorrect instructions and/or probes
  - Missing emphasis
  - Missing screenshots of gender-specific questions

- Project Team provides feedback within 10 business days

- Vendors submit revisions within five business days of request

Data Record Review

- Conducted remotely with returning vendors

- Tracks person-level records through vendor SMS during each phase of administration (i.e., from sample file receipt through data submission) and confirms:

  - Data files and source materials are easily retrievable

  - Accurate application of disposition codes and other variables

  - Accurate response coding based on source files

- Project Team provides case IDs for review one business day prior to session

- Timeframe: **December 2023**

  - Project Team may conduct additional reviews with new or returning vendors during fielding, as needed

Telephone Script Review

- Project Team reviews telephone script programming after acceptance of telephone screenshots

- Occurs via web conferencing or independently via remote access
  - Vendors provide temporary CATI log-in credentials for independent reviews

- Review skip pattern logic and alignment with accepted materials

- English and Spanish required; Chinese if applicable

  ! Notify Project Team ahead of session if the Spanish and/or Chinese scripts are overlaid onto the English programming

- Session required with each subcontractor

- Project Team holds additional session to verify revisions, if needed

- Timeframe: **January 2024**

During Survey Administration

Oversight Activity	Timeframe
Seeded Mail and Email Review	February–April 2024
Remote Visits	March 2024
Customer Support Review	March 2024
Test Data Submission	April 3–5, 2024
Telephone Interviewer Monitoring	April 2024

Seeded Mailings

- Assess timeliness of delivery, accuracy and readability of materials, and functionality of internet survey links/log-in credentials

! Seed Project Team and at least one internal staff member directly in survey mailing database

  – Project Team address is included in the 2024 Technical Specifications

! Seed one reporting unit for each language implemented

- If using multiple print/mail facilities and/or subcontractors, seed Project Team in one reporting unit at each facility in each language administered

Seeded Emails

- Assess timeliness of delivery, accuracy of email and internet survey content, and survey link/log-in credential functionality

! Seed Project Team (QHP_Survey@air.org) directly into email protocol for one reporting unit in English and Spanish

- If "double stuffing" emails, do not send English-only or Spanish-only emails

- Ensure all fills are appropriately populated

Remote Visits

- Conducted via web conferencing

- Evaluate vendor's compliance with QHP Enrollee Survey requirements

- Review items may include:

  - Survey management system

  - Enrollment confidentiality and data security

  - Sampling protocols

  - Data collection protocol (mail, internet, and telephone) and related facilities

  - Data coding and submission

  - Customer support

  - ★ Timeframe: **March 2024**

Customer Support Review

- Project Team anonymously contacts vendor customer support telephone lines and email addresses and asks standard set of questions from FAQ (Appendix D)

- Assess responses for timeliness, accuracy, and alignment with FAQ and Telephone Customer Support Agent and Interviewer Guidance (Appendix E)

- May review systems in Spanish and Chinese (if applicable)

- Common findings:
  - Incorrect responses
  - Calls consistently not answered live
  - Email responses not provided within required 24-hour timeframe

★ Train customer support agents on revised FAQs

- Timeframe: **March 2024**

Telephone Interview Monitoring

- Silent monitoring conducted via web conference

- Assess interviewer compliance with telephone specifications

- Required for each call center, subcontractor, and language administered

★ Project Team will work with vendors to determine session frequency and duration based on call volume

! Ensure telephone interviewers are trained to:

  – Properly probe during interviews

  – Read the telephone script verbatim

  – Follow interviewer instructions

- Timeframe: **April 2024**

Test Data Submission

- Submit test data files via the [QHP Enrollee Survey Website](#)

★Website registration required

- Project Team reviews test data files for coding accuracy and notifies vendors of errors, if applicable

- Project Team hosts data submission training on February 29, 2024

- Timeframe: **April 3–5, 2024**

After Survey Administration

Oversight Activity	Timeframe
Data Submission	May 10–17, 2024
Data Resubmission	May 20–22, 2024

Data Submission and Resubmission

★Submit all data files via the [QHP Enrollee Survey Website](#)

★Website registration required

- Submitted data must pass initial website validation checks *and* Project Team QA checks

- Project Team notifies vendors of validation errors and requests data resubmission, as needed

- Vendors resubmit revised data files, as needed, within three days of request

- Data Submission Timeframe: **May 10–17, 2024**

- Data Resubmission Timeframe: **May 20–22, 2024**

Ongoing Activities

Oversight Activity	Timeframe
Exception Requests	Ongoing
Discrepancy Reports	Ongoing
Corrective Action Plans	Ongoing
Project Reports	Ongoing
Technical Support	Ongoing

Exception Requests

- Submit to QHP_Survey@air.org prior to fielding for any variations from 2024 Technical Specifications and survey requirements

  – Includes variations in operations, survey materials, and other alternative approaches

- Form available on [MQI Website](#)

  – Complete entire form with sufficient detail

- Submit one Exception Request Form for each proposed exception

! Project Team must accept Exception Request Form before implementation (acceptance valid for one year)

- Renewal/Update Exception Requests: Submit the previously accepted Exception Request Form in tracked changes

Discrepancy Reports

- Required for any survey administration errors or deviations from the 2024 Technical Specifications and survey requirements

- Template available on [MQI Website](#)

! Submit initial report to QHP_Survey@air.org within 24 hours of discrepancy discovery

! Submit a second report within two weeks of initial report if all required information is not immediately available

- Complete entire form in sufficient detail

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 of vendor activities
  - Adjustment to publicly reported scores, as needed
  - Other sanctions, as deemed appropriate by CMS

Vendor Oversight Reports

Submit all reports to QHP_Survey@air.org

- Subject Line: [VENDOR NAME] Report [#] Submission (e.g., XYZ Inc. Report #1 Submission)

Report	Activity	Content	Due Date
#1	Vendor QAP	• Addresses all required elements of survey administration	October 20, 2023
#2	Preliminary QHP Client List	• Client list for reconciliation • Oversampling requests	January 5, 2024
#3	Final QHP Client List	• Final QHP client list • Sample frame receipt status	February 9, 2024
#4	Interim Progress Report	• Fielding status for each QHP reporting unit • Summary of customer support calls and emails • Count of other additional language requests	March 29, 2024
#5	Final Report	• Discussion of survey implementation and lessons learned • Count of other foreign language requests • Recommendations for next year	May 24, 2024

Summary of Key Updates: Quality Oversight

★Specified that the Project Team will conduct remote visits only

★Clarified that CMS will work with vendors to determine the appropriate frequency and duration of telephone interviewer monitoring sessions depending on interview volume

★Advanced material review timeframe to accommodate multiple rounds of review ahead of survey fielding

Vendor Quality Oversight Questions?
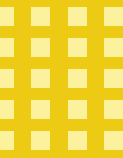
Wrap-Up and Next Steps

Next Steps

- Training Evaluation
  - Vendors will receive an email following training with instructions to complete the training evaluation
  - Designate **one** person from your organization to complete
  - Completion required to obtain final approval
  - Due: **Monday, October 2, 2023**
- Final Approval notifications will be sent **Wednesday, October 4, 2023**
- Training slides and final approved vendor list to be posted on MQI Website

Final Questions?

Thank You!