

# **In-Center Hemodialysis CAHPS® Survey**

## **Survey Administration and Specifications Manual**

**Version 8.0**

**February 2020**





## **COMMUNICATIONS AND TECHNICAL SUPPORT FOR THE IN-CENTER HEMODIALYSIS CAHPS SURVEY**

**In-center hemodialysis (ICH) facilities and survey vendors may use the following resources to obtain information or technical support with any aspect of the In-Center Hemodialysis CAHPS (ICH CAHPS) Survey.**

For general information, important news, updates, and all materials to support implementation of the ICH CAHPS Survey:

**<https://ichcahps.org>** 

For technical assistance, contact the ICH CAHPS Coordination Team as noted below.

By e-mail:	<a href="mailto:ichcahps@rti.org">ichcahps@rti.org</a>
By telephone:	1-866-245-8083
By FAX transmission:	1-919-541-7250

Please provide the ICH facility's name and six-digit CMS Certification Number (CCN) when contacting the ICH CAHPS Coordination Team for technical assistance.

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## LIST OF ABBREVIATIONS AND ACRONYMS

### In-Center Hemodialysis CAHPS Survey Administration and Specifications Manual

Abbreviation/ Acronym	Term/Phrase
AAPOR	American Association for Public Opinion Research
AHRQ	Agency for Healthcare Research and Quality
AV	Arteriovenous
CAHPS	Consumer Assessment of Healthcare Providers and Systems
CATI	Computer-assisted telephone interview
CCN	CMS Certification Number (formerly known as the Medicare Provider Number)
CMS	Centers for Medicare & Medicaid Services
CROWNWeb	Consolidated Renal Operations in a Web-Enabled Network
CY	Calendar year
DFC	Dialysis Facility Compare
DUA	Data Use Agreement
ESRD	End-stage renal disease
FAQs	Frequently Asked Questions
HIPAA	Health Insurance Portability and Accountability Act of 1996
ICH	In-center hemodialysis
ICH CAHPS	In-Center Hemodialysis CAHPS Survey
IRB	Institutional Review Board
NCOA	National Change of Address
CDA	Confidential Disclosure Agreement
NIH	National Institutes of Health
OHRP	Office for Human Research Protections
OMB	Office of Management and Budget
PHI	Protected health information
PII	Personally identifiable information
QAP	Quality Assurance Plan
QIP	Quality Incentive Program
SID	Sample identification (number)
XML	Extensible Markup Language

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# IN-CENTER HEMODIALYSIS CAHPS SURVEY

## SURVEY ADMINISTRATION AND SPECIFICATIONS MANUAL

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# **I. OVERVIEW OF THE CONTENTS OF THE IN-CENTER HEMODIALYSIS CAHPS SURVEY ADMINISTRATION AND SPECIFICATIONS MANUAL**

## **1.0 Overview**

The *In-Center Hemodialysis CAHPS Survey Administration and Specifications Manual* has been developed by the Centers for Medicare & Medicaid Services (CMS) to provide guidance and standard specifications for conducting the In-Center Hemodialysis Consumer Assessment of Healthcare Providers and Systems (CAHPS<sup>®1</sup>) Survey. The In-Center Hemodialysis CAHPS Survey, also referred to as the ICH CAHPS Survey, is part of a family of CAHPS surveys developed by the Agency for Healthcare Research and Quality (AHRQ) in conjunction with CMS. This chapter provides survey vendors and in-center hemodialysis (ICH) facilities with a top-level view of the contents of this manual. Each chapter is briefly described below. At the end of this chapter is a “What’s New?” section, which contains information about some of the changes that have been made to survey protocols and survey materials since the last version of this manual was released in February 2019.

### ***Introduction and Overview (Chapter II)***

Chapter II provides an overview of the national implementation of the ICH CAHPS Survey. It also includes sources for more information about the ICH CAHPS Survey.

### ***In-Center Hemodialysis CAHPS Survey Participation Requirements (Chapter III)***

Chapter III describes the roles and responsibilities of ICH facilities, approved survey vendors, and CMS on the national implementation of the ICH CAHPS Survey. It also includes information on the vendor rules of participation and business requirements for becoming an approved survey vendor. Information about how to communicate with and obtain technical assistance from the ICH CAHPS Coordination Team is also provided in this chapter.

### ***Sample Selection and Distribution (Chapter IV)***

Chapter IV provides an overview of how the samples of patients are selected for the ICH CAHPS Survey. This chapter also describes the process that survey vendors must follow to download and confirm receipt of the samples selected for their ICH facility clients.

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<sup>1</sup> CAHPS<sup>®</sup> is a registered trademark of the Agency for Healthcare Research and Quality, a U.S. Government agency.

## ***Mail-Only Administration Procedures (Chapter V)***

Chapter V contains the specifications for administering the ICH CAHPS Survey as a *mail-only* survey. The data collection schedule, production and mailing requirements, data receipt and processing requirements, and data storage guidelines for conducting a mail-only survey are covered in detail.

## ***Telephone-Only Administration Procedures (Chapter VI)***

Specifications for administering the ICH CAHPS Survey as a *telephone-only* survey are provided in Chapter VI. The data collection schedule, the computer-assisted telephone interviewing (CATI) data collection and tracking system, telephone interviewing requirements, and data storage guidelines for conducting a telephone-only survey are covered in detail.

## ***Mail With Telephone Follow-Up (Mixed-Mode) Survey Administration Procedures (Chapter VII)***

Chapter VII contains the specifications for administering the ICH CAHPS Survey as a *mixed-mode* survey—that is, a mail survey with telephone follow-up of nonrespondents. The data collection schedule, production and mailing requirements, CATI data collection and tracking system, telephone interviewing requirements, data receipt and processing requirements, and data storage guidelines for conducting a mixed-mode survey are covered in detail.

## ***Confidentiality and Data Security (Chapter VIII)***

Chapter VIII describes the requirements and guidelines for protecting the identity of patients included in the survey sample, confidentiality of respondent data, and ensuring data security. This chapter also provides information about the importance of establishing and maintaining physical and electronic data security.

## ***Data Processing and Coding (Chapter IX)***

Data processing procedures, including decision rules for assigning survey disposition codes and the definition of a completed survey, are described in Chapter IX.

## ***The ICH CAHPS Website (Chapter X)***

Chapter X provides an overview of the purpose and functions of the ICH CAHPS Survey website. It also describes the requirements for facilities to authorize their contracted vendor on the ICH CAHPS website and information for vendors on downloading sample files from the ICH CAHPS website.

## ***Data File Preparation and Data Submission (Chapter XI)***

This chapter contains the ICH CAHPS Survey data file preparation and data submission guidelines. It also describes data submission reports that will be available to survey vendors and to ICH facilities.

## ***Quality Control (Chapter XII)***

Chapter XII describes quality control procedures that survey vendors must conduct to ensure the quality of the data collected and submitted to the Data Center.

## ***Oversight Activities (Chapter XIII)***

Information about quality assurance activities that the Coordination Team will conduct to ensure that survey vendors successfully administer the ICH CAHPS Survey is provided in Chapter XIII.

## ***Exceptions Request Process and Discrepancy Notification Report (Chapter XIV)***

The process for requesting an exception to the ICH CAHPS Survey specifications is described in Chapter XIV. This section also covers the process for alerting the ICH CAHPS Coordination Team of an unplanned discrepancy when administering the ICH CAHPS Survey data collection and processing activities.

## ***Public Reporting (Chapter XV)***

Chapter XV presents an overview of the public reporting of ICH CAHPS Survey results.

## ***Appendices***

The appendices contain the ICH CAHPS Survey Questionnaire, sample mail survey cover letters, and the required Office of Management and Budget (OMB) disclosure language in English, Spanish, traditional Chinese, simplified Chinese, and Samoan. Telephone interview scripts in English and Spanish are also provided, as are general guidelines for telephone interviewer training and monitoring and a list of frequently asked questions (FAQs) and answers for telephone interviewers. The appendices also contain an ICH CAHPS Flyer/Poster Template in English and Spanish, the ICH CAHPS supplemental questions, a hardcopy version of the online Vendor Application, the Exceptions Request and Discrepancy Notification Forms, the Model Quality Assurance Plan, the XML layout and specifications, and a listing of the telephone number of the End-Stage Renal Disease (ESRD) Network in each state.

### **1.1 What's New or Different?**

**Table 1-1** contains a list of the chapters in this manual in which some of the more major changes in survey protocols and materials are described. Table 1-1 also lists the chapters in which more information about additional topics has been added, including ICH facility ICH CAHPS Survey participation requirements and information on primary and alternate CMS Certification Numbers (CCNs). Survey vendors should note that this table only highlights chapters in which the more major changes are described. The Coordination Team strongly encourages survey vendors to read this entire manual because information in some chapters changed but is not described in the table below.

**Table 1-1. New or Updated Information in This Manual**

<b>Chapter</b>	<b>Page</b>	<b>New or Additional Information</b>
Global	NA	Dates changed to reflect the 2020 surveys.
Chapter II, Section 2.3	10	Table added with information about publicly reported data, reflects most recent DFC refresh
Chapter III, Section 3.1	13	Added information regarding the use of the official ICH CAHPS poster/flyer template and the requirements for facilities to create their own poster/flyer.
Chapter III, Section 3.2.1	17	Updated the ICH CAHPS participation requirements to include an option for facilities to administer the survey themselves (if they choose not to authorize a vendor and will not be submitting their survey data to the Data Center).
Chapter III, Section 3.2.1.1	18	Added information on understanding primary and alternate CCN pairs.
Chapter III, Section 3.3	23	Protocol updated to reflect that Intro training will only be administered if interest is received from new vendors for that calendar year.
Chapter III, Section 3.3	23	Clarified that CMS will not release a sample file unless the vendor has an executed DUA with CMS and noted the new DUA submission and tracking system, EPPE.
Chapter III, Section 3.4	25	Updated the Minimum Business Requirements in Table 3-1 to indicate CMS reserves the right to request a past performance evaluation from the vendor or CAHPS contractor.
Chapter IV, Section 4.1	29	Clarified that if CROWNWeb identifies a patient's status as ineligible for ICH CAHPS, those patients are excluded during the sampling process.
Chapter IV, Section 4.2	30	Updated text to indicate that a census is conducted for facilities with 240 or fewer survey-eligible patients, while a simple random sample is selected for facilities that had more than 240 survey-eligible patients.
Chapter IV, Section 4.2	31	Updated Table 4-2 to reflect new mail-only, telephone-only, and mixed-mode expected response rates.
Chapter IV, Section 4.3	32	Added information on the two files survey vendors receive once the sample files are available for download: Sample File Summary Report and Repeat Patient Sample Identification (SID) Numbers.
Chapter IV, Section 4.3	33	Noted the need for survey vendors to alert the Coordination Team of CCNs that are missing from the Vendor Authorization Report or do not appear on the Facility Non-Participation Form report.
Chapter V, Section 5.2.3.1	44	Clarified that the OMB number must be printed in the upper right-hand corner on the cover or first page of the mail questionnaire, and that the expiration date under the OMB number must be updated prior to the 2020 Spring Survey.
Chapter VI, Section 6.1	56	Protocol updated to reflect that survey vendors must begin initial call attempts starting on the data collection start date.

<b>Chapter</b>	<b>Page</b>	<b>New or Additional Information</b>
Chapter VI, Section 6.3.1	63	Clarification on protocol for starting 10 attempts over if a new phone number is received.
Chapter VII, Section 7.1	72	Protocol updated to reflect that survey vendors must begin initial call attempts starting on the data collection start date.
Chapter VII, Section 7.2.3.1	78	Clarified that the OMB number must be printed in the upper right-hand corner on the cover or first page of the mail questionnaire, and that the expiration date under the OMB number must be updated prior to the 2020 Spring Survey.
Chapter X, Section 10.1.1.2	125	Added text to reflect that the Quick Links box on the ICH CAHPS website also includes the Average State and National ICH CAHPS Scores and Patient-Mix Coefficients and the Star Ratings for the In-Center Hemodialysis CAHPS Survey Results.
Chapter X, Section 10.1.2.3	132	Added text to reflect that the password reset messages may get filtered into a user's spam/junk email folders and that the reset link expires after 24 hours.
Chapter XII, Section 12.1.1	144	Noted the deadlines by which survey vendors must alert the Coordination Team of CCNs that are missing from the Vendor Authorization Report or do not appear on the Facility Non-Participation Form report.
Chapter XII, Section 12.2.1	145	Added new protocol that for prenotification letters and cover letters, survey vendors must check a sample of cases to make sure that the name and address printed on the outside of the envelope matches the name and address included in the sample file downloaded from the ICH CAHPS website.
Chapter XII, Section 12.3.1	147	Added new protocol that for prenotification letters and cover letters, survey vendors must check a sample of cases to make sure that the name and address printed on the outside of the envelope matches the name and address included in the sample file downloaded from the ICH CAHPS website.
Chapter XIII, Section 13.3	153	Clarified that site visits for the Spring Survey period will always take place annually during the months of May and June, and site visits for Fall Survey will always take place during the months of November and December of each year. As such, vendors are asked to provide a limited number of unavailable dates during the scheduling process.
Chapter XIII, Section 13.3	154	Added text that pre-site visit teleconferences calls with a survey vendor's staff are now optional, and per the vendor's request.
Chapter XIII, Section 13.3	155	Added information on the process for participating in ICH CAHPS offsite site visits.
Chapter XIII, Section 13.4	155	Noted that vendors who have a corrective action plan in place will have a notation added to the ICH CAHPS Approved Survey Vendors Page.
Chapter XV, Section 15.0	159	Table added with information about publicly reported data, reflects most recent and future DFC refresh periods.
Appendix A	A-1	Appendix A now includes English and Spanish versions of the ICH CAHPS Flyer/Poster Template.

<b>Chapter</b>	<b>Page</b>	<b>New or Additional Information</b>
Appendix B	B-1	Appendix B now includes the contents of the Vendor application.
Appendix C	C-3	Updated the OMB Expiration Date in the English mail survey to December 31, 2022.
Appendix C	C-13 C-14	Minor skip logic changes in telephone script: INTRO1 and INTRO3– response option 4, “GO TO Q_END” changed to “GO TO Q_REF.”
Appendix D	D-3	Updated the OMB Expiration Date in the Spanish mail survey to December 31, 2022.
Appendix D	D-14 D-15	Minor skip logic changes in telephone script: INTRO1 and INTRO3– response option 4, “GO TO Q_END” changed to “GO TO Q_REF.”
Appendix E	E-3	Updated the OMB Expiration Date in the Traditional Chinese mail survey to December 31, 2022.
Appendix F	F-3	Updated the OMB Expiration Date in the Simplified Chinese mail survey to December 31, 2022.
Appendix G	G-3	Updated the OMB Expiration Date in the Samoan mail survey to December 31, 2022.
Appendix P	P-1	Updated the names/phone numbers for some ESRD Networks.

## II. INTRODUCTION AND OVERVIEW

### 2.0 The ICH CAHPS Survey

Since 2001, CMS has been publicly reporting quality measures for kidney dialysis centers on Dialysis Facility Compare (DFC) on <https://www.medicare.gov>. Patients with ESRD can compare the services and quality of care that dialysis facilities provide. DFC also contains other resources for patients and family members who want to learn more about chronic kidney disease and dialysis. Until October 2016, a major gap in the information that was publicly reported, however, was the quality of ICH care from ESRD patients' perspective. In 2004, CMS partnered with AHRQ to develop and field test a standardized survey to measure the experiences of patients who receive ICH care from Medicare-certified ICH facilities. As a result of that effort, the ICH CAHPS Survey was developed for patients who receive ICH to assess their dialysis providers, including nephrologists and medical and nonmedical staff, and the quality of dialysis care they receive in their facility.

As part of the Quality Incentive Program (QIP), which was authorized under section 153(c) of the Medicare Improvements for Patients and Providers Act, in calendar years (CYs) 2012 and 2013 all Medicare-certified ICH facilities were required to administer the ICH CAHPS Survey with a sample of their ICH patients using an independent third-party vendor. In each of those years, the ICH facilities' survey vendor administered the survey using ICH CAHPS Survey administration specifications prepared by AHRQ. ICH facilities were *not* required to submit the data from the surveys conducted in CYs 2012 and 2013 to CMS; however, in each year they were required to attest to CMS that they had conducted the survey.

The national implementation of the ICH CAHPS Survey, which began in CY2014, is designed to meet the following three broad goals:

- Produce comparable data from the patient's perspective that will allow objective and meaningful comparisons between ICH facilities on domains that are important to consumers.
- Create incentives for ICH facilities to improve their quality of care.
- Enhance public accountability in health care by increasing the transparency of the quality of care provided in return for public investment.

The first ICH CAHPS Survey was conducted in the fall of CY2014. In CY2015 and subsequent years, the ICH CAHPS Survey is being conducted on a semiannual basis; that is, the survey sampling and data collection activities are being conducted twice annually. For each semiannual ICH CAHPS Survey, referred to as the Spring and Fall Surveys, CMS selects a sample of patients served by the facility and distributes the samples to each facility's ICH CAHPS Survey vendor. Data collection activities for Spring Surveys are conducted from April through mid-July.



The Fall Survey is conducted from October through mid-January of the following year. Because it is important that the survey be administered in the same way using the same protocols by all survey vendors, for the national implementation CMS requires that:

- ICH facilities contract with an independent third-party survey vendor that has been approved and trained by CMS; and
- All approved ICH CAHPS Survey vendors use **ICH CAHPS Survey materials and survey administration protocols and specifications** developed by CMS and described in this manual and as any updated or revised protocols that are included in announcements posted on the ICH CAHPS website at <https://ichcahps.org>.

## 2.1 The ICH CAHPS Survey Questionnaire

The ICH CAHPS Survey questionnaire that will be used in the CY2020 surveys, which is the same version implemented during the 2019 Fall Survey, contains 62 survey questions in the mail survey version and 59 questions in the telephone survey version. The questionnaire covers topics such as the patient's interactions with the ICH facility providers, the staff's professionalism, staff communication, care and emotional support, nephrologist's communication and care, coordination of care, handling complaints, patient involvement in decision making, safety and environment, patient rights, and privacy. Patients are asked to provide overall ratings of nephrologists, the medical and nonmedical staff, and the dialysis facility. The questionnaire also contains "About You" questions that ask for self-reported health status and basic demographic information.

The final version of the questionnaire differs from the original AHRQ version because some of the questions in the "About You" section have been changed to comply with the U.S. Office of Minority Health's requirements on data collection standards for race, sex, ethnicity, primary language, and disability status. In addition, other changes have been made to the questionnaire since the national implementation began; specifically, the text of Question 1 was modified and expanded, a new response option was added to Question 1, different skip instructions were added to selected response options in Questions 1 and 2, and some minor wording changes were made to some other questions.

The ICH CAHPS mail survey questionnaire is currently available in English, Spanish, traditional and simplified Chinese, and Samoan. The ICH CAHPS telephone survey questionnaire is available in English and Spanish only. Please note that survey vendors must offer the survey in English in all data collection modes for which they are approved. However, survey vendors are not required to administer the survey in any of the other approved languages. ICH facilities and their survey vendors will not be permitted to translate the ICH CAHPS Survey questionnaire into any other languages. CMS, however, may decide to translate the questionnaire into other languages if needed. ICH facilities and ICH CAHPS Survey vendors are encouraged to contact



the ICH CAHPS Coordination Team (Coordination Team) to discuss their need for questionnaires in other languages.

## 2.2 The ICH CAHPS Mode Experiment

For patients to make objective and meaningful comparisons between dialysis facilities, methods and adjustments must be put into place to account for significant sources of bias outside the control of the dialysis facilities. Known sources of bias include data collection mode and variability in patient mix and response propensity across patients within dialysis facilities. In early 2014 the ICH CAHPS Coordination Team conducted a randomized mode experiment with a sample of patients receiving care at ICH facilities to determine whether they respond differently to the survey based on data collection mode (mail, telephone, and mixed mode). In addition, data from the mode experiment were used to determine which patient characteristics, if any, affect how patients respond to the survey. During the national implementation of the ICH CAHPS Survey, the Coordination Team develop and use models to statistically adjust survey results before comparative results are publicly reported, based on the results of the mode experiment. Comparative results from the ICH CAHPS mode experiment were not publicly reported.

## 2.3 ICH CAHPS Survey Public Reporting

CMS began publicly reporting results from the national implementation of the ICH CAHPS Survey on the DFC link at <https://www.Medicare.gov> in October 2016. The results on the DFC are “refreshed” once every 6 months. After an ICH facility has completed two or more semiannual surveys, data from the oldest semiannual survey are replaced by data from the two most recent semiannual surveys. For example, the results published in April 2019 were based on combined data from the 2017 Fall and 2018 Spring ICH CAHPS Surveys, and the October 2019 results were based on combined data from the 2018 Spring and Fall Surveys. The ICH CAHPS public reporting periods for 2020, including the combined periods of survey data, are described in *Table 2-1*. The data submitted each public reporting period are reviewed, cleaned, and scored by the Coordination Team, and the survey results are statistically adjusted for mode, nonresponse, and patient-mix. Survey results will be compiled for each ICH facility; CMS’s Quality Incentive Program (QIP) will prepare and provide to each facility a “preview” report containing the facility’s ICH CAHPS Survey results prior to public reporting. For more information about the QIP program please see <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/ESRDOIP/index.html>.

**Table 2-1. ICH CAHPS 2016–2020 Public Reporting Schedule**

Survey Periods of Combined Data	Month Data Are Publicly Reported on DFC
2015 Spring and 2015 Fall	October 2016
2015 Fall and 2016 Spring	April 2017
2016 Spring and 2016 Fall	October 2017
2016 Fall and 2017 Spring	April 2018
2017 Spring and 2017 Fall	October 2018
2017 Fall and 2018 Spring	April 2019
2018 Spring and 2018 Fall	October 2019
2018 Fall and 2019 Spring	April 2020
2019 Spring and 2019 Fall	October 2020

## 2.4 Sources of Information About the ICH CAHPS Survey

More information about the ICH CAHPS Survey and ICH quality measures is available at the two websites described below.

### 2.4.1 The ICH CAHPS Survey Website (<https://ichcahps.org>)

The ICH CAHPS website, which is available at <https://ichcahps.org>, provides protocols and materials for survey implementation and updated announcements and news about the ICH CAHPS Survey. This website is one of the main vehicles for communicating information about the survey to ICH facilities and to survey vendors. The ICH CAHPS website has both public and restricted-access (secure) pages.

The **public access** pages on the ICH CAHPS website contain the following:

- General information about the ICH CAHPS Survey;
- Data collection materials, protocols, and guidelines for administration of the ICH CAHPS Survey;
- Announcements about updates or changes in the survey protocols or materials and participation requirements;
- Requirements for becoming an ICH CAHPS Survey vendor;
- A list of approved ICH CAHPS Survey vendors;
- Survey vendor quality assurance plan requirements;
- Information about vendor oversight activities;

- Data submission requirements; and
- Information about how to obtain technical assistance.

As noted above, the Coordination Team uses the ICH CAHPS website to disseminate important updates and news about the ICH CAHPS Survey. Announcements posted on the ICH CAHPS website related to survey protocols either clarify the existing protocols or may sometimes supersede an existing protocol. Therefore, survey vendors and ICH facilities must check the ICH CAHPS Survey website frequently for updates. To view announcements, go to the website at <https://ichcahps.org> and click the “Recent Announcements” link at the bottom left side of the home page. Recent announcements are listed in chronological order, with the most recent announcement listed first. Once on the Announcement Page on the website, users can search for announcements in certain categories, by date and by keywords.

The *secure or restricted-access sections* of the ICH CAHPS website are accessible only to ICH CAHPS Survey vendors and ICH facilities that have registered for credentials to access the links on the private sections of the website. The private links available to ICH facilities enable them to authorize a survey vendor to submit ICH CAHPS Survey data on their behalf and view data submission reports for data submitted by their survey vendor.

The private links available to approved survey vendors allow them to obtain the file containing the sample for each of their ICH facility clients for each semiannual survey and to access the data submission tool to submit ICH CAHPS Survey data files for each of their facility clients. Survey vendors also use the private links to access various reports, including data submission reports. More information about the ICH CAHPS website is provided in *Chapter X*.

#### **2.4.2 The Medicare Website (<https://www.medicare.gov>)**

The Medicare website is maintained by CMS and contains information on the services Medicare provides. Of particular interest to ICH CAHPS Survey users or vendors is the DFC, which can be accessed via a link on <https://www.medicare.gov>. The DFC provides information to the public on various quality measures. Viewers can obtain comparative information about ICH facilities by ZIP code, city/state, and state. ICH CAHPS Survey results are aggregated to the facility so that the public can compare ICH CAHPS results and other quality measures across facilities.

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## III. IN-CENTER HEMODIALYSIS CAHPS SURVEY PARTICIPATION REQUIREMENTS

### 3.0 Overview

This chapter describes participation requirements for administering the ICH CAHPS Survey and includes (1) rules and guidelines for communicating with hemodialysis patients about the ICH CAHPS Survey; (2) the roles and responsibilities of ICH facilities, survey vendors, and the ICH CAHPS Coordination Team; (3) the Survey Vendor Minimum Business Requirements for administering the ICH CAHPS Survey; and (4) information about obtaining technical assistance from the Coordination Team.

### 3.1 Communications With Patients About the ICH CAHPS Survey

Patients receiving ICH treatment are an especially vulnerable population, relying on an ICH facility and its staff for life-sustaining care. Some patients might be reluctant to participate in the ICH CAHPS Survey or provide feedback on the dialysis care they receive for fear of retribution by facility staff. Patients fearing retribution might not be able to switch to another facility if they are unhappy with the care they receive from their current facility because there might not be another facility close to where they live, or one that has any openings in its schedule. Patients also might be reluctant to provide survey responses that accurately reflect their experience with the care provided by their ICH facility because they might perceive that government agencies are not responsive to patients' concerns.

Because of concerns that patients might have about participating in the ICH CAHPS Survey, **both ICH facility staff and their ICH CAHPS Survey vendors must avoid influencing patients' decisions to participate in the survey and their survey responses. Staff at a dialysis facility are not allowed to help patients complete the survey.** If patients ask ICH facility personnel to help them complete the survey, facility staff should instruct them to ask a family member or friend for help. Additionally, if sample patients have any questions about the survey, facility staff should instruct them to call their ICH CAHPS Survey vendor's toll-free telephone number, which is included in the prenotification and mail survey cover letters.

ICH facility staff may tell their patients that they *could* be asked to respond to a patient experience survey. Some facilities have asked for permission to hang posters containing information about the survey, which is permitted with prior approval from CMS. CMS and the Coordination Team have created an official ICH CAHPS poster/flyer template that facilities may hang up or pass out in their facilities, should they choose to do so. A copy of the ICH CAHPS poster/flyer template in both English and Spanish is included in **Appendix A**. If a facility does

not currently use a poster or flyer at their facility, vendors are encouraged to discuss with the facility the use of this template to encourage patient participation in the ICH CAHPS Survey. Facilities do not need prior approval from CMS to use this poster/flyer template as long as they do not edit or add any new text to the existing template, other than the following personalization fields:

- The name of the facility's authorized ICH CAHPS Survey vendor,
- The vendor's toll-free telephone number, and
- The facility's logo.

If a facility would like to edit this template or create its own poster/flyer, it will need to send the proposed text/contents to be included on the poster to the Coordination Team for review and approval before use in the facility. When creating these posters/flyers, please take note of the following critical reminders:

- Because of concerns that patients might have about participating in the ICH CAHPS Survey, both ICH facility staff and their ICH CAHPS Survey vendors must:
  - Not use wording that may influence the patients' answers to survey questions or decisions to participate in the survey and their survey responses;
  - Not use wording indicating that facility staff can help the patient answer the survey questions, even if the patient asks for a facility staff member's help;
  - Not use wording promoting the facility or the services it provides; or
  - Not include words or phrases verbatim from the ICH CAHPS Survey questionnaire in their marketing or promotional materials.
- It is permissible for wording in the poster/flyer to indicate that the patients could be asked to respond to a patient experience survey, but it must not state that they will be asked to participate.

Vendors should make an effort to monitor response rates for facilities that implement the use of an ICH CAHPS Survey poster/flyer; CMS is interested in whether this strategy improves response rates.

In addition, ICH facility staff may **not** do any of the following:

- Ask patients any additional survey questions that are the same as or similar to those included in the ICH CAHPS Survey questionnaire 4 weeks prior to and during the data collection period for each semiannual survey;
- Provide a copy of the ICH CAHPS Survey questionnaire or cover letters to their patients;
- Tell patients that the facility hopes or expects their patients will give them the best or highest rating or will respond in a certain way to survey questions;
- Offer incentives of any kind to patients for participating (or not) in the ICH CAHPS Survey;
- Use the ICH CAHPS Survey to identify or ask about other patients who might need hemodialysis care;
- Include any messages or materials promoting the facility or the services it provides in survey materials, including mail survey cover letters, questionnaires, and telephone interview scripts; and
- Ask their patients if they would like to be included in the survey.

### **3.2 Roles and Responsibilities**

The Coordination Team is responsible for ensuring that the ICH CAHPS Survey is administered using standardized survey protocols and data collection and processing methods. The Coordination Team provides training, technical assistance, and oversight to approved ICH CAHPS Survey vendors. ICH facilities are responsible for contracting with an approved survey vendor to conduct the ICH CAHPS Survey on their behalf and monitoring the data submission process of their chosen vendor. Survey vendors are responsible for conducting the ICH CAHPS Survey on behalf of their facility clients using the standard protocols, guidelines, and specifications described in this manual or in any updates posted on the ICH CAHPS website.

The roles and responsibilities of each of these participating organizations are described below.

#### **3.2.1 ICH Facilities' Roles and Responsibilities**

Medicare-certified ICH facilities that served 30 or more survey-eligible ICH patients in the preceding calendar year are required to contract with an approved ICH CAHPS Survey vendor and have that vendor administer the ICH CAHPS Survey and submit data from the semiannual surveys to CMS.

Before participating in the ICH CAHPS Survey the first time, each ICH facility must:

- Designate a staff member as the ICH CAHPS Survey Administrator who will serve as the facility's main point of contact for the ICH CAHPS Survey.

- Register on the ICH CAHPS website and create user credentials to access the private links on the ICH CAHPS website.
- Contract with a CMS-approved ICH CAHPS Survey vendor to conduct its survey.
- Complete a form on the ICH CAHPS website which authorizes the contracted survey vendor to receive the sample for each survey period and to submit ICH CAHPS Survey data to the ICH CAHPS Survey Data Center (Data Center) on its behalf. CMS will not select and provide a sample to a facility's chosen ICH CAHPS Survey vendor unless the online vendor authorization form is completed (and updated if the facility switches to a different vendor).
- Review data submission reports to ensure that the survey vendor has submitted data on time and without data problems.
- Monitor the ICH CAHPS website for news and announcements about the ICH CAHPS Survey.

For the CY2020 ICH CAHPS Surveys, all ICH facilities that served 30 or more survey-eligible patients in CY2019 must administer the ICH CAHPS Survey in the spring and fall of CY2020 to comply with quality reporting requirements for the 2022 payment year.

When determining whether an ICH facility is required to participate in the ICH CAHPS Survey in CY2020, the facility should count the number of survey-eligible patients the facility served in CY2019. The count should include hemodialysis patients who:

- Were 18 years old or older as of December 31, 2019;
- Were alive as of December 31, 2019;
- Received hemodialysis on an outpatient basis from their facility for 3 consecutive months or longer at some point in CY2019;
- Are not currently receiving hospice care; and
- Were not living in a nursing home or other skilled nursing facility or other long-term facility such as a prison or jail as of December 31, 2019.

Patients who receive home or peritoneal dialysis are not eligible to participate in the ICH CAHPS Survey; therefore, ICH facilities should not include those patients in their count of survey-eligible patients.

ICH facilities should note that the Coordination Team **DOES NOT** have information about the number of survey-eligible patients a facility served in CY2019. Therefore, each ICH facility is



responsible for determining whether it is required to administer the 2020 ICH CAHPS semiannual surveys.

ICH facilities that served 29 or fewer survey-eligible patients in CY2019 are not required to participate in the ICH CAHPS Survey in CY2020. However, all such facilities can choose one of the following four options:

- **Option 1.** Administer the survey in 2020 following all of the ICH CAHPS Survey protocols and procedures described in this manual;
- **Option 2.** Administer the survey using a third-party vendor but not following the ICH CAHPS protocols and procedures;
- **Option 3.** Administer the survey themselves, instead of using a third-party vendor; however, if any changes are made to the survey, it cannot be referred to as a CAHPS Survey; or
- **Option 4.** Choose not to administer the survey at all.

If a facility that served 29 or fewer survey-eligible patients in CY2019 chooses **Option 1**, the ICH facility must be registered on the ICH CAHPS website and a vendor must be authorized. CMS will provide a patient sample to the facility's authorized ICH CAHPS Survey vendor for each of the two 2020 ICH CAHPS Surveys. The surveys must be conducted according to all ICH CAHPS Survey protocols and procedures, which include the following:

- Using a CMS-approved ICH CAHPS Survey vendor to administer the survey on its behalf;
- Administering both the 2020 ICH CAHPS Spring and Fall Surveys;
- Adhering to the ICH CAHPS survey administration procedures and protocols described in this manual and in any announcements posted on the ICH CAHPS website; and
- Submitting an ICH CAHPS Survey data file for each survey period to the ICH CAHPS Data Center.

If a facility chooses **Option 2** or **Option 3**, CMS will not provide patient samples to the facility, nor will it accept submission of any data files to the ICH CAHPS Data Center. The ICH facility will be responsible for either working with a survey vendor (if choosing Option 2) or within their own organization (if choosing Option 3) to select the samples for the survey that will be conducted and for conducting all other aspects of the survey.

*Please note: Because facilities implementing Option 2 or Option 3 will not submit an ICH CAHPS Survey data file to the ICH CAHPS Data Center, their collected survey data will not be*

*analyzed for official ICH CAHPS public reporting purposes, nor will the administration of these surveys be used to determine ESRD Quality Incentive Program (QIP) compliance.*

If an ICH facility chooses **Option 2**, **Option 3**, or **Option 4**, the facility must complete and submit the online 2020 Facility Non-Participation Form by February 28, 2020, which is available on the private side of the ICH CAHPS website under the *For Facilities* tab. The Facility Non-Participation Form is an annual form that is valid only for the year in which it was submitted. The submission of this form only alerts the ICH CAHPS Coordination Team that the facility does not wish for a sample file to be provided to its authorized vendor for the current calendar year and does not affect compliance determination, which is determined by the ESRD QIP. More information on this form can be found in **Chapter XI**.

ICH facilities that will be administering the ICH CAHPS Survey in 2020 must make sure that they have completed or updated the online vendor authorization form on the ICH CAHPS website. ICH facilities that authorized a survey vendor in the previous survey period and plan to use the same survey vendor to administer the 2020 ICH CAHPS Survey do not need to update the online vendor authorization form. If an ICH facility plans to use a *different* ICH CAHPS Survey vendor than was used for the 2019 Fall Survey, the facility must update its vendor authorization form on the ICH CAHPS website on or before 5:00 PM Eastern Time on February 28, 2020. Instructions on completing and changing the online vendor authorization form are provided in **Chapter XI** of this manual.

All ICH facilities should understand the ICH CAHPS Survey participation periods and how they correspond to the annual performance payment periods. Information about performance payment periods and Medicare certification eligibility cutoff dates will be provided in the ESRD Prospective Payment System Final Rule that is published in the *Federal Register* for each calendar year. Once published in the *Federal Register*, the Final Rule will also be posted in the “Quick Links” box on the right side of the ICH CAHPS website home page.

#### **3.2.1.1 Facilities That Have Primary/Alternate CCN Pairs**

Many ICH facilities have more than one CCN number associated with their facility, with one considered the primary CCN and the other the alternate CCN. If the Consolidated Renal Operations in a Web-Enabled Network (CROWNWeb), the CMS database that provides sampling information to the Coordination Team, includes sample patients under both CCNs, the Coordination Team samples from both CCNs; we are not permitted to consolidate the sampled patients under one CCN when there is both a primary and an alternate CCN. However, when a facility has sample and survey results from both a primary and alternate CCN, the data from both CCNs are combined and results are publicly reported under only the primary CCN, which is determined by the DFC team.

If a facility is unsure whether it has an alternate CCN, it should check with its billing department to obtain all CCNs that are associated with the facility and used for billing CMS for services provided to end-stage renal disease patients. Facilities should do this prior to the deadlines for authorizing a vendor for the ICH CAHPS Survey, which are February 28 for the Spring Survey and August 31 for the Fall Survey, each year.

***The Coordination Team can only provide samples for both the primary and alternate CCNs if both CCNs are registered and have authorized an approved survey vendor for the current survey period on the ICH CAHPS website.***

If a facility with both a primary and alternate CCN has determined that it is not required to administer the ICH CAHPS Surveys in a calendar year or chooses not to administer the survey, the facility should submit a Facility Non-Participation Form for both the primary and alternate CCNs. Doing so will ensure that if CROWNWeb indicates there are survey-eligible patients for the primary CCN or the alternate CCN, the Coordination Team will not send a sample file for either CCN to the facility's authorized survey vendor.

### ***3.2.1.2 Administering ICH CAHPS in Conjunction With Other Surveys***

Some ICH facilities might wish to conduct other patient experience of care or satisfaction surveys to support internal quality improvement activities. A formal survey, regardless of the data collection mode employed, is one in which the primary goal is to ask standardized questions of a sample of the facility's patient population. Contacting patients to assess their care at any time or calling a patient to check on services received are both considered to be routine patient contacts, not surveys.

ICH facilities should not repeat the ICH CAHPS questions or include questions that are similar to those in the ICH CAHPS Survey questionnaire when conducting their own patient surveys. Other surveys can include questions that ask for more in-depth information about ICH CAHPS issues as long as the questions are different from those included in the ICH CAHPS Survey questionnaire. More detailed information about questions included in the ICH CAHPS Survey questionnaire is provided in ***Chapters V, VI, and VII*** of this manual.

### ***3.2.2 Survey Vendor Roles and Responsibilities***

The following is a list of the roles and responsibilities of survey vendors on the ICH CAHPS Survey:

- Designate a staff member as the ICH CAHPS Survey Administrator who will serve as the vendor's main point of contact for the ICH CAHPS Survey;
- Complete the Vendor Registration Form and the Vendor Application, which are available on the ICH CAHPS Survey website;

- Participate in and successfully complete the Introduction to the ICH CAHPS Survey Webinar training session and all vendor update training sessions;
- The survey vendor's designated ICH CAHPS Survey Administrator must also complete a Training Certification Form after participating in the Introduction to the ICH CAHPS Survey Webinar training session;
- If the survey vendor is using a subcontractor and the subcontractor will be conducting a substantial component of the work on the ICH CAHPS Survey, the subcontractor's lead ICH CAHPS staff member must participate in the Introduction to the ICH CAHPS Survey Webinar training session and all vendor update training sessions;
- Ensure that all survey vendor staff and any subcontractors who work on the ICH CAHPS Survey are trained and follow the standard ICH CAHPS Survey protocols and guidelines;
- Follow the participation requirements listed in the Vendor Application and which are also repeated in the following chapters in this manual;
- Adhere to all minimum business requirements for ICH CAHPS;
- Enter into a formal contract with each client ICH facility; CMS requires that each survey vendor have a written contract with each of its facility clients;
- Verify that each client ICH facility has authorized the vendor to submit data on the facility's behalf;
- Receive sample files from the Coordination Team and attest that each sample file was successfully downloaded to the vendor's computer system;
- Administer the ICH CAHPS Survey in accordance with the protocols specified in ***Chapters V–VII*** of this manual and oversee the quality of work performed by staff and any subcontractors, if applicable;
- Prepare and submit data files to the Data Center following the guidelines specified in ***Chapters IX and XI*** of this manual;
- Review all data submission reports for ICH facility clients to ensure that data have been successfully uploaded and received in the Data Center;
- Submit a Quality Assurance Plan as specified in ***Chapter XIII*** of this manual;
- Use systems, processes, and procedures to safeguard and protect the security of ICH CAHPS Survey data; this includes not sharing data that could identify sample patients and their

survey response data with anyone, including ICH facilities, and having a disaster recovery plan in place; and

- Ensure the security and confidentiality of ICH CAHPS Survey data; ICH CAHPS Survey vendors must not share data about sample patients included in the survey or their responses to the survey with anyone, including the ICH facility in which the sample patient receives dialysis care or other dialysis facilities.

Please note that if a CMS-approved ICH CAHPS Survey vendor decides to withdraw from administering the survey, the vendor must:


- Notify the ICH CAHPS Coordination Team of its withdrawal in writing (e-mail);
- Finish data collection activities during the current survey period for each of its facility clients, process the data collected, and submit an XML data file for each facility to the Data Center; and
- Notify each of its ICH facility clients that it is withdrawing from the survey and will not be administering the survey in future survey periods.

The Coordination Team will remove the vendor's name and contact information from the list of approved vendors as soon as the vendor submits written notification of its withdrawal from the survey. However, each vendor that withdraws from the survey will continue to be considered an ICH CAHPS Survey vendor until the survey period in which the withdrawal is announced ends. The Coordination Team will continue to send all e-mails sent to all survey vendors to the vendor, and the vendor is expected to check the website on a regular basis to review new announcements that are posted. The vendor's access to the private links on the ICH CAHPS website will remain in effect until after the data submission period deadline for the survey period ends.

Vendors that do not have any ICH facility clients after 2 years from the date interim approval as an ICH CAHPS Survey vendor was granted will lose their approved vendor status. If a vendor wishes to reinstate approval after it is removed, the vendor will need to reapply and meet all vendor requirements, including participation in and successful completion of the Introduction to the ICH CAHPS Survey webinar training session.

### **3.2.3 Roles and Responsibilities of the CMS ICH CAHPS Coordination Team**

The Coordination Team is responsible for the following activities on the ICH CAHPS Survey:

- Train survey vendors on ICH CAHPS Survey protocols and requirements and provide standardized survey materials that survey vendors will use to conduct the survey;
- Translate the survey and other survey materials (prenotification letter, cover letters) into other languages as approved by CMS;
- Select a sample of patients from each ICH facility for each semiannual survey and distribute the sample file to each registered ICH facility's authorized survey vendor;
- Disseminate information about ICH CAHPS Survey administration and participation requirements;
- Monitor data integrity of ICH CAHPS Survey administration to ensure the quality and comparability of the data collected;
- Provide technical assistance to ICH facilities and CMS-approved ICH CAHPS Survey vendors via a toll-free telephone number, e-mails, and the ICH CAHPS website at <https://ichcahps.org> .
- Conduct oversight and quality assurance of survey vendors;
- Receive and conduct final processing of ICH CAHPS Survey data submitted by ICH CAHPS Survey vendors; and
- Calculate and adjust ICH CAHPS Survey results for mode and patient-mix effects, as needed, prior to publicly reporting survey results.

### **3.3 Survey Vendor Participation Requirements**

Survey organizations interested in becoming a CMS-approved survey vendor for the ICH CAHPS Survey must agree to the following requirements of participation, as specified in the Vendor Application and noted below. A copy of the Vendor Application is provided in *Appendix B*.

- ***Participate in the Introduction to the ICH CAHPS Survey Training Session and any subsequent update training sessions.*** The vendor's staff member designated as the Survey Administrator for the ICH CAHPS Survey must attend this training; we strongly advise that the vendor's data managers also attend. All training sessions will be conducted via Webinar and require that the survey vendor register in advance. The survey vendor's designated ICH



CAHPS Survey Administrator must complete a post-training certification exercise, also referred to as a Training Certification Form, after attending the Introduction to the ICH CAHPS Survey Webinar training session. Please note: The Introduction to the ICH CAHPS Survey Training Session will only be administered if the Coordination Team receives interest from new vendors wishing to become approved for ICH CAHPS for that calendar year.

- ***If a survey vendor plans to use a subcontractor that will have a significant role on the ICH CAHPS Survey, the subcontractor's ICH CAHPS project manager is also required to participate in the Introduction to the ICH CAHPS Survey training session, complete a Training Certification Form after attending the training session, and attend all subsequent update training sessions.*** Survey vendors are responsible for ensuring that their subcontractor's ICH CAHPS Survey staff register for and participate in the training sessions.
- ***Prepare a Data Use Agreement (DUA) Application and submit it to CMS.*** The executed DUA will permit the survey vendor to receive patient-level information that will be included in the ICH CAHPS sample files provided by CMS. CMS will not release a sample file to the vendor if they do not have an executed DUA with CMS. The executed DUA, completed and submitted by the vendor, restricts the use of patient-level data. Survey vendors requesting to append data to the sample must submit to CMS a specific list of patient-level data that are to be appended and an analysis plan for CMS approval. Survey vendors cannot use any additional (appended) data until CMS has reviewed the analysis plan and provided the vendor with written approval for use of the appended data. Each survey vendor must submit an updated DUA in each calendar year.

Starting in 2019, CMS began transitioning to a process where vendors submit and manage their DUAs through the DUA tracking system, EPPE. If you need assistance with the DUA submission and tracking system, EPPE, please review the EPPE FAQs at [https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/Privacy/Downloads/EPPE\\_FAQ.PDF](https://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/Privacy/Downloads/EPPE_FAQ.PDF). If you are unable to find the answer to your question, contact the EPPE Help Desk at 844-EPPE-DUA (844-377-3382) or [EPPE@cms.hhs.gov](mailto:EPPE@cms.hhs.gov). If you have questions regarding general information or DUA policies, please contact [datauseagreement@cms.hhs.gov](mailto:datauseagreement@cms.hhs.gov).

- ***Review the ICH CAHPS Survey Administration and Specifications Manual and follow the protocols and procedures described in this manual when conducting survey data collection and processing activities.*** This manual is the main resource for survey vendors to use in implementing all stages of the ICH CAHPS Survey—from data collection to file development and submission. We expect that vendors will refer to this manual frequently; they must adhere to all protocols contained within it. Protocol and policy updates will be posted on the ICH CAHPS Survey website, so vendors are expected to check the website frequently for such notifications.

- ***Check the ICH CAHPS website frequently to review announcements and updates*** and review and respond as appropriate to e-mails from the ICH CAHPS Coordination Team (e-mails will be sent from [ichcahps@rti.org](mailto:ichcahps@rti.org)).
- ***Develop and submit a Quality Assurance Plan (QAP), following guidelines described in Chapter XIII of this manual.*** Survey vendors must complete and submit a completed QAP within six weeks after the vendor's first semiannual ICH CAHPS Survey data submission. The QAP must be updated annually or as needed whenever changes are made to key personnel, survey modes being administered, or protocols. The QAP must include the following elements:
  - Organizational background and staff experience;
  - Work plan;
  - Survey administration protocols and quality assurance procedures;
  - Data security, confidentiality, and privacy protocols; and
  - Survey materials and related attachments.
- ***Participate and cooperate in all oversight activities conducted by the ICH CAHPS Coordination Team,*** including but not limited to conference calls and site visits, as deemed necessary. Vendors, and their subcontractors, if applicable, must be prepared to participate in on-site visits by the Coordination Team to ensure that correct survey procedures are being followed. Additionally, the Coordination Team may request conference calls with vendors to review file submissions or any other aspect of the data collection process. Documentation and requirements that vendors are expected to follow in light of these oversight activities are described in the Vendor Application and in ***Chapter XIII*** of this manual.

All survey vendors seeking approval to conduct the ICH CAHPS Survey must review and agree to the participation requirements listed in the Vendor Application and described in the bullets above. Vendors who fail to adhere to or comply with the participation requirements risk losing their status as an approved ICH CAHPS Survey vendor.

### **3.4 Survey Vendor Eligibility and Minimum Business Requirements**

CMS believes that an independent third party (survey vendor) will be better able to solicit unbiased responses to the ICH CAHPS Survey than ICH facilities; therefore, CMS requires that ICH facilities contract with an independent, CMS-approved ICH CAHPS Survey vendor to administer the ICH CAHPS Survey on their behalf. Survey vendors must have proven experience in conducting mail-only, telephone-only, or mixed-mode surveys.



### 3.4.1 Survey Vendor Eligibility

The following types of organizations will not be approved as an ICH CAHPS Survey vendor:

- Organizations or divisions within organizations that own, operate, or provide ICH services, even if the division is run as a separate entity to the ICH facility;
- Organizations that provide telehealth—that is, monitoring patients’ health by telephone or teleprompting services, for ICH facilities; and
- Organizations that provide staffing to ICH facilities for providing care to patients.

### 3.4.2 Minimum Business Requirements

Survey vendors seeking approval as an ICH CAHPS Survey vendor must have the capability and capacity to collect and process all survey-related data for the survey administration mode they intend to use on the ICH CAHPS Survey following standardized procedures and guidelines. The business requirements that survey vendors must meet are described in *Table 3-1*.

**Table 3-1. Minimum Business Requirements for ICH CAHPS Survey Vendors**

Criteria	Requirement
<b>Relevant Organizational Experience</b>	
Number of Years in Business	<ul style="list-style-type: none"> <li>• Minimum of 3 years.</li> </ul>
Number of Years Conducting Surveys	<ul style="list-style-type: none"> <li>• Minimum of 2 years conducting surveys with individuals.</li> <li>• Minimum of 2 years conducting surveys using mode of administration.</li> <li>• For purposes of the ICH CAHPS Survey, a “survey of individuals” is defined as the collection of data from individuals selected by statistical sampling methods and the data collected are used for statistical purposes. Polling questions, focus groups, cognitive interviews, surveys of fewer than 600 individuals, surveys that did not involve statistical sampling methods, Internet or web surveys, and interactive voice recognition surveys will not satisfy the “survey of individuals” requirement.</li> <li>• CMS reserves the right to request a past performance evaluation from the vendor or CAHPS contractor.</li> </ul>
<b>Survey Capability and Capacity</b>	
Personnel	<ul style="list-style-type: none"> <li>• Project Director (Survey Administrator) with relevant survey experience.</li> <li>• Computer programmer with experience receiving large encrypted data files in different formats/software packages electronically from an external organization; processing survey data needed for survey administration and survey response data; preparing data files for electronic submission; and submitting data files to an external organization.</li> </ul>

(continued)

**Table 3-1. Minimum Business Requirements for ICH CAHPS Survey Vendors (continued)**

<b>Criteria</b>	<b>Requirement</b>
Facilities and Systems	<p>Has the following:</p> <ul style="list-style-type: none"> <li>• A secure commercial work environment. Note that administering the ICH CAHPS Survey in a home or structure that is primarily for residential use is not permitted.</li> <li>• Physical facilities and electronic equipment and software to securely download sample data from the ICH CAHPS website, to collect and process ICH CAHPS Survey data and to upload ICH CAHPS data to the Data Center.</li> <li>• If offering telephone surveys, must have the equipment, software, and facilities to conduct CATI interviews and to monitor interviewers.</li> <li>• Systems needed to protect the security of personally identifiable information (PII) AND survey data received from patients (e.g., password protections, firewalls, data encryption software, personnel access limitation procedures, and virus and spyware protection).</li> </ul>
Mail-only Survey Administration	<ul style="list-style-type: none"> <li>• Obtain and verify addresses of sampled patients.</li> <li>• Print according to formatting guidelines professional-quality survey questionnaires and materials.</li> <li>• Merge and print sample patient name and address, and the name of his or her current dialysis facility on personalized mail survey cover letters and print unique sample identification on the survey questionnaire.</li> <li>• Mail a prenotification letter and questionnaire package to all sample patients.</li> <li>• Receive and process (key entry or scanning) completed questionnaires received.</li> <li>• Track and identify nonrespondents for follow-up mailing.</li> <li>• Provide a toll-free customer support line and respond to calls from sample members within 48 hours.</li> <li>• Assign final status codes to describe the final result of work on each sampled case.</li> </ul>
Telephone-only Survey Administration	<ul style="list-style-type: none"> <li>• Obtain and verify telephone numbers of sample patients.</li> <li>• Print according to formatting guidelines and mail a prenotification letter to all sample patients.</li> <li>• Develop computer programs for electronically administering the survey (for CATI).</li> <li>• Collect data using CATI.</li> <li>• Schedule call backs to nonrespondents at varying times of the day and week.</li> <li>• Provide a toll-free customer support line and respond to calls from sample members within 48 hours.</li> <li>• Assign final status codes to reflect the results of attempts to obtain completed interview with sampled cases.</li> </ul>
Mixed-mode Survey Administration	<ul style="list-style-type: none"> <li>• Adhere to all mail-only and telephone-only survey administration requirements (described above).</li> <li>• Track cases from mail survey through telephone follow-up activities.</li> </ul>
Data Processing and File Submission	<ul style="list-style-type: none"> <li>• Scan or key data from completed mail surveys.</li> <li>• Develop data files and edit and clean data according to standard protocols.</li> <li>• Follow all data cleaning and data submission rules, including verifying that data files are de-identified and contain no duplicate cases.</li> <li>• Export data from the electronic data collection system to an XML template, confirm that the data were exported correctly and that the XML files are formatted correctly and contain the correct data headers and data records.</li> <li>• Submit data electronically in the specified format (XML) to the ICH CAHPS secured website.</li> <li>• Work with the Coordination Team to resolve data problems and data submission problems.</li> </ul>

(continued)

Table 3-1. Minimum Business Requirements for ICH CAHPS Survey Vendors (continued)

Criteria	Requirement
<b>Adherence to Quality Assurance Guidelines and Participation in QA Activities</b>	
Demonstrated Quality Control Procedures	<ul style="list-style-type: none"> <li>• Incorporate well-documented quality control procedures (as applicable) for: <ul style="list-style-type: none"> <li>– in-house training of staff involved in survey operations</li> <li>– printing, mailing, and recording of receipt of survey questionnaires</li> <li>– telephone administration of survey</li> <li>– coding and editing of survey data and survey-related materials</li> <li>– scanning or keying in survey data</li> <li>– preparation of final person-level data files for submission</li> <li>– all other functions and processes that affect the administration of the ICH CAHPS Survey</li> </ul> </li> <li>• Participate in any conference calls and site visits requested by the Coordination Team as part of overall quality monitoring activities. Site visits will be conducted with all approved vendors, and their subcontractors, if needed.</li> <li>• Provide documentation as requested for site visits and conference calls, including but not limited to staff training records, telephone interviewer monitoring records, and file construction documentation.</li> </ul>
<b>Documentation Requirements</b>	
	<ul style="list-style-type: none"> <li>• Keep electronic or hardcopy files of individuals trained, and training dates.</li> <li>• Maintain electronic or hardcopy records of interviewers monitored (for telephone administration).</li> <li>• Maintain electronic or hardcopy records of mailing dates.</li> <li>• Maintain other documentation necessary to allow the ICH CAHPS Coordination Team to review procedures implemented during a site visit.</li> <li>• Maintain documentation of actions required (and taken) as a result of any decisions made during site visits by the Coordination Team.</li> </ul>
<b>Adhere to All Protocols and Specifications and Agree to Participate in Training Sessions and Quality Assurance Activities</b>	
Survey Training	<ul style="list-style-type: none"> <li>• Attend the Introduction and Vendor Update training sessions.</li> <li>• Ensure that appropriate subcontractor staff participate in all vendor training sessions.</li> </ul>
Administer the Survey According to All Survey Specifications	<ul style="list-style-type: none"> <li>• Review and follow all procedures described in the <i>ICH CAHPS Survey Administration and Specifications Manual</i> that are applicable to the selected survey data collection mode.</li> </ul>

### 3.5 Survey Vendor Analysis of ICH CAHPS Survey Data

A survey vendor may analyze the ICH CAHPS Survey data to provide facilities with additional information that it can use for quality improvement purposes. In any analysis reports the vendor provides to the facility, the survey vendor:

- Must not report results that are based on survey responses from 10 or fewer sample patients. When there are blank cells in a table, the vendor must not report row and column totals so that the cell value cannot be derived. Vendors may share survey responses for individual survey items as long as **both** of the following conditions are met. First, there are more than 10 sample patients who completed the survey and second, more than 10 sample patients provided valid responses to the individual item. The vendor may show the number and

percentage of sample patients who chose each response option for that item. ***Under no circumstances should the vendors identify the responses of individual patients.*** Vendors must not report demographic results in such a way that individual respondents could be identified.

- Must ensure that its client ICH facilities recognize that the analysis results provided by the vendor are not the official ICH CAHPS Survey results and should only be used for quality improvement purposes. CMS-calculated results for the ICH CAHPS Survey are the official survey results.
- Must not provide individual patient-level datasets to facilities. Survey respondents cannot give permission for their responses to be shared with the facility, even if they wish to do so.
- Must not provide any information in the reporting of facility-specific supplemental question responses that the facility could use to identify a specific patient's responses to those questions. Survey vendors can share the responses of any facility-specific question with the ICH facility, as long as the sample patient cannot be identified by the responses shared.
- Should check with the Coordination Team for additional guidance if the survey vendor is not clear as to whether to share certain types of survey response data with an ICH facility client.

## IV. SAMPLE SELECTION AND DISTRIBUTION

### 4.0 Overview

CMS will select a sample of patients for each semiannual survey for each ICH facility that has registered on the ICH CAHPS website and distribute the sample to each facility's authorized ICH CAHPS Survey vendor. This chapter describes patient survey eligibility criteria and the process that is used for selecting and distributing samples to approved ICH CAHPS Survey vendors.

### 4.1 Patient Survey Eligibility Criteria

ICH patients will be eligible to be included in the sample for the semiannual ICH CAHPS Survey if they:

- Are 18 years or older on the last day of the sampling window for the semiannual survey;
- Were alive as of the last day of the sampling window for the semiannual survey; and
- Received hemodialysis on an outpatient basis from their current facility for 3 months or longer.

CMS will include patients who fall into all of the categories above in the ICH CAHPS Survey samples. Some other patients, however, including those who are receiving hospice care and those who are institutionalized, including those residing in a residential nursing home or other long-term facility or jail or prison, will not be eligible to participate in the survey. If this type of patient status is readily identifiable in CROWNWeb, the Coordination Team will exclude these patients during the sampling process. However, CROWNWeb does not contain an explicit indicator for these status types, and as a result, these patients will most likely be identified by survey vendors during the data collection period and via administration of the ICH CAHPS Survey; vendors will assign the most applicable final disposition code to each patient identified as being ineligible for the survey.

### 4.2 Sample Selection

The sample for each Medicare-certified ICH facility for the ICH CAHPS Survey conducted in CY2020 and in subsequent calendar years will be selected using patient-level data that ICH facilities submit to CMS via CROWNWeb. The sample will be selected at the CCN level; the CCN, which sometimes is called the Medicare Provider Number, is a unique provider identification number assigned to each Medicare-certified ICH facility. For each semiannual survey, patients who received care during the sampling window who meet survey eligibility

criteria will either be chosen randomly or selected with certainty depending on the number of survey-eligible patients the ICH facility served during the preceding 12-month period.

**Exhibit 4-1** shows the sampling window, the tentative data collection period, and the data submission deadline for the CY2020 ICH CAHPS Spring and Fall Surveys. The schedule for the semiannual ICH CAHPS Surveys that will be implemented in CY2021 and subsequent years will be posted on the ICH CAHPS website and in updated versions of this manual. Any changes to the 2020 data collection periods will be announced on the ICH CAHPS website and via e-mail to survey vendors.

**Exhibit 4-1. Schedule for the CY2020 ICH CAHPS Spring and Fall Surveys**

Survey Activity	CY2020 ICH CAHPS Spring Survey
Sampling Window	October 1, 2019, to December 31, 2019
Data Collection Period	April 17, 2020, to July 10, 2020
Data Submission Deadline	July 29, 2020

Survey Activity	CY2020 ICH CAHPS Fall Survey
Sampling Window	April 1, 2020, to June 30, 2020
Data Collection Period	October 16, 2020, to January 8, 2021
Data Submission Deadline	January 27, 2021

The samples for the semiannual surveys will be selected as follows:

**Facilities with 1 to 240 unique patients.** A census of all ICH patients will be conducted for facilities with 240 or fewer survey-eligible patients at each semiannual sampling wave. Thus, patients at these smaller ICH facilities may be sampled twice in a 12-month period.

**Facilities with more than 240 patients.** For dialysis centers that had more than 240 survey-eligible ICH patients during the sampling window for the 2020 Spring Survey, a simple random sample will be selected for that sampling period with the goal of obtaining 100 completed surveys. For the 2020 Fall Survey, the goal will be to obtain an additional 100 completed surveys while attempting to minimize overlap of patients between the waves of sampling. The response rate for each ICH facility will vary based on the data collection mode used (mail-only, telephone-only, or mixed mode). Expected ICH CAHPS Survey response rates by data collection mode are shown in **Exhibit 4-2**. Note that the response rates shown are based on average response rates for all survey periods completed to date. ICH facilities and their ICH CAHPS Survey vendors should be aware that response rates can vary based on a number of factors, including the length of the survey, the saliency of the survey subject matter to sample members, regional variations, and patient characteristics.

**Exhibit 4-2. Expected Response Rates by Data Collection Mode**

Data Collection Mode	Expected Response Rate
Mail Only	28%
Telephone Only	24%
Mixed Mode	33%

### 4.3 Sample Distribution

The Coordination Team will provide a sample for each ICH facility that has completed the online vendor authorization form on the ICH CAHPS website. ICH facilities that previously completed the online vendor authorization that decide NOT to administer the ICH CAHPS Surveys in CY2020 must complete and submit a 2020 Facility Non-Participation Form, which is available on the ICH CAHPS website, by February 28, 2020. By completing and submitting the online Non-Participation Form, the facility is indicating to the Coordination Team that it should not provide a sample file for the 2020 ICH CAHPS Surveys to any ICH CAHPS Survey vendor. If a vendor learns before the sample files have been distributed that one of its ICH facilities has closed or will be closing, the vendor should submit a Facility Closing Attestation Form on the ICH CAHPS website. This form will alert the Coordination Team that a sample file should not be provided for this facility for the 2020 ICH CAHPS Surveys. More information about the online vendor authorization, Facility Non-Participation Form, and the Facility Closing Attestation Form is provided in **Chapter XI** of this manual.

For each semiannual ICH CAHPS Survey, the Coordination Team will provide a file containing the information about sampled cases for each ICH facility that authorized the vendor. The sample files will be available for download by the survey vendor approximately 3-4 weeks before the data collection period begins via a secured link on the ICH CAHPS website. An e-mail will be sent to all approved survey vendors alerting them that the sample for each of their ICH facility clients is available to be downloaded. Survey vendors will be required to **download the sample file within 2 business days** after the sample files are made available on the ICH CAHPS website. A schedule showing the sample file distribution date, the date by which survey vendors must download the sample file, and the data submission deadline for each semiannual ICH CAHPS Survey will be posted on the ICH CAHPS website well in advance of the beginning of each semiannual survey period.

Once sample files are available, survey vendors will use their credentials to log into the secure links on the ICH CAHPS website and follow the download instructions that will be posted to retrieve their sample files. As discussed in **Chapter III** of this manual, CMS will not release sample files to ICH CAHPS Survey vendors until after the survey vendor has executed a DUA with CMS. The DUA must be renewed each calendar year; CMS will contact survey vendors directly to renew their DUA. In addition, all ICH facilities participating in the ICH CAHPS



Survey must authorize their survey vendor to submit data on their behalf **before** the survey vendor can access and retrieve the facility's sample file from the website. If a vendor authorization is not in place by the vendor authorization deadline for that semiannual period (February 28 for the Spring Survey and August 31 for the Fall Survey), the facility will not be permitted to participate in that semiannual survey. Vendor authorizations must be in place by the deadline for the survey vendor to receive a sample file. More information on survey vendor authorization is included in **Chapter X** of this manual.

Once the sample files have been made available for download on the ICH CAHPS website, survey vendors will also receive the following supplemental sample files:

- **Sample File Summary Report**—a report that corresponds with each vendor's sample file, showing the number of patients sampled for each of the CCNs that authorized that vendor to collect and submit ICH CAHPS Survey data on its behalf, for that survey period.
- **Repeat Patient Sample Identification (SID) Numbers**—a report providing the last known SID, if applicable, of each patient in the current survey period's sample file. A unique SID is assigned to each sample patient included in the sample each vendor receives for the semiannual survey. Providing these SIDs allows vendors to link updated contact information that may have been obtained during a previous survey period; this information is only to be used to match updated phone numbers and addresses to sample patients, not to provide information to facility clients regarding repeat sample patients.

Before downloading the sample files for a semiannual ICH CAHPS Survey, each survey vendor will be required to attest that it is taking responsibility for the sample file, which includes patient-level information for all sampled patients for each of the vendor's ICH facility clients. Once the file is downloaded and securely saved, vendors should use the password that was sent to the Survey Administrator to open, decrypt, and review the sample file to verify that the file contains a sample for each CCN that has authorized the vendor to administer the survey on its behalf.

Survey vendors should check their Vendor Authorization Report weekly in the weeks leading up to the semiannual period vendor authorization deadline to make sure that all of their ICH facility clients, especially any new facility clients, have completed or updated the online Vendor Authorization Form. When reviewing the Vendor Authorization Report, please make sure of the following:

- The CCN for each of your facility clients appears on the report. If samples have been provided in previous survey periods for a facility under two different CCNs, make sure that both of the CCNs appear on the Vendor Authorization Report. If a CCN for one or more of your facility clients **does not** appear on the report, check the 2020 Facility Non-Participation



Form report provided by the Coordination Team. If a CCN that is missing from the Vendor Authorization Report does not appear on the Facility Non-Participation Form report, please contact the Coordination Team via e-mail before the deadline to report Vendor Authorization Report discrepancies, which is indicated in the schedule provided to vendors via email and posted on the ICH CAHPS website.

- An End Date of Fall 2019 does NOT appear on the report for each CCN listed. If it does, please contact the facility involved and ask it to update the online vendor authorization form prior to the deadline.
- You have a written contract to administer the ICH CAHPS Survey for every CCN that appears on the Vendor Authorization Report.

Remember that you must have a written contract with each of your facility clients. If there are CCNs/facilities on your Vendor Authorization Report with which you do not have a contract, please notify the Coordination Team as soon as possible to let us know that you do not have a contract with the facility. Failure to notify the Coordination Team that you do not have a contract with one or more facilities/CCNs listed on your Vendor Authorization Report may be grounds for termination of the vendor's approval as an ICH CAHPS Survey vendor. ICH CAHPS Survey vendors that encounter difficulties downloading their sample files should contact the Coordination Team by sending an e-mail to [ichcahps@rti.org](mailto:ichcahps@rti.org) or calling the ICH CAHPS toll-free telephone number at 1-866-245-8083 for technical assistance.

#### 4.4 Sample File Variables and Format

The sample file to be downloaded by the survey vendor will be a Microsoft Excel spreadsheet containing contact information (information needed to administer the survey) for each sample patient. The sample patient variables contained in each sample file are listed in **Exhibit 4-3**. If a survey vendor is authorized to submit data on behalf of multiple ICH facilities, patient information for sample patients from all of the ICH facilities that have authorized the survey vendor will be included in one Excel file.

**Exhibit 4-3. Variables Included in ICH CAHPS Survey Sample Files**

Column Name	Field Length	Valid Codes	Field Contents
VendorID	3	Numeric	Individual identification number assigned to each vendor
Facility_ID	6	Numeric	The ICH facility's 6-digit CCN, formerly known as the Medicare Provider Number
Facility_Name	64	Text	ICH Facility Name
F_Street_Address1	64	Alpha_numeric	ICH Facility Street Address 1
F_Street_Address2	64	Alpha_numeric	ICH Facility Street Address 2
F_CITY	64	Text	ICH Facility
F_STATE	2	Text	ICH Facility State
F_ZIP_Code	5	Numeric	ICH Facility ZIP Code
P_First_Name	30	Text	Sample Patient's first name
P_Middle_Name	15	Text	Sample Patient's middle name
P_Last_Name	40	Text	Sample Patient's last name
P_Street_Address_1	50	Alpha_numeric	Patient's mailing address (Line 1—street address)
P_Street_Address_2	50	Alpha_numeric	Patient's mailing address (Line 2—street address)
P_CITY	40	Text	Patient's mailing address—City
P_STATE	2	Text	Patient's mailing address—State
P_ZIP_Code	5	Numeric	Patient's mailing address—ZIP Code
P_Telephone_Number	10	Numeric	Patient's telephone number
P_DOB	8	MM/DD/YYYY	Patient's date of birth
P_Age	3	Numeric	Patient's age as of the end of the sampling window
P_Gender	1	1–2	Gender Code: 1 = Male, 2 = Female
SID	10	Alpha_numeric	The unique patient sample identification number assigned to the sample patient
Semiannual_Survey	1	1–2	Survey code: 1 = Spring Survey, 2 = Fall Survey
Survey_Year	4	Numeric	Year of survey
ESRD_Network	2	Numeric	ESRD Network that facility belongs to

Survey vendors are permitted to ask their client ICH facilities for the facility's preferred name to include in the survey cover letter, the mail survey questionnaire, and telephone script. Note that the facility name provided by the ICH facility might be different from the facility name provided on the sample file. Survey vendors should make sure that the facility name used during the data collection period is the one sample patients will recognize.

Survey vendors should note that hemodialysis patients' preferred language is not in the CROWNWeb database; therefore, the Coordination Team cannot provide that information in the sample files. However, survey vendors are permitted to ask ICH facilities to provide language

information from sampled patients. If survey vendors decide to ask for this information, they must ask the ICH facility to provide the information for all of the hemodialysis patients the facility treated during the sampling window, not just those in the sample file. ***To maintain and protect the identity of patients sampled, it is very important that survey vendors do not provide ICH facilities with any information about patients included in the ICH CAHPS Survey.***

#### 4.5 Sample Identification Number

The Coordination Team will assign a unique sample identification (SID) number to each sample patient included in the sample in each semiannual survey. Vendors must ***not*** change this number but can use an internal patient ID number. If an internal patient ID number is assigned to patients, the vendor must have a secure way to link the internal patient ID number assigned to each patient to the SID number assigned by the Coordination Team. Vendors are required to track the status of data collection efforts for each sample patient throughout the data collection period and assign pending and final disposition codes (see ***Chapter IX***) using the assigned SID number.

After data collection and processing activities for a semiannual survey have been completed, ICH CAHPS Survey vendors will submit ***de-identified*** data files to the Data Center. Because ICH CAHPS Survey data submitted to the Data Center will not contain the patient's name or any other identifying information, **the survey data submitted to the Data Center must contain the SID number originally assigned to each sample patient.** Survey vendors should develop and implement data quality checks to ensure that survey response data included in data files submitted to the Data Center match the correct SID number. Note that a SID number will never be assigned more than once. If a patient is included in multiple semiannual surveys, a new SID number will be assigned to that patient in each semiannual survey.

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## V. MAIL-ONLY ADMINISTRATION PROCEDURES

### 5.0 Overview

This chapter describes the requirements and guidelines for implementing the mail-only mode of survey administration for the ICH CAHPS Survey. The chapter begins with a discussion of the mail survey schedule, followed by a discussion of the requirements for producing all mail survey materials, including questionnaires, cover letters, and envelopes. Guidelines on how the questionnaire packages should be mailed and data processing guidelines, including optical scanning and data entry, are also provided in this chapter. Quality control guidelines related to implementing the ICH CAHPS Survey using mail-only administration data collection are described in *Chapter XII*.

### 5.1 Mail Survey Activities and Schedule

Approved ICH CAHPS Survey vendors began administering the ICH CAHPS Survey for each of their client facilities on a semiannual basis (twice each year) in CY2015. Data collection for each ICH CAHPS Survey will be conducted during a 12-week period. For ICH CAHPS Spring surveys, data collection activities will be conducted from April through mid-July. Fall surveys will be conducted from October through mid-January. For all approved survey modes, the data collection period will begin by preparing and mailing a prenotification letter to all sample patients. For the mail-only mode, a first questionnaire package will be sent to sample patients 14 days after the prenotification letter is mailed. The survey vendor will send a second questionnaire package to all sample patients who do not respond to the survey 4 weeks after the first questionnaire package is mailed. To be consistent across all facilities and vendors, all vendors are required to follow the prescribed dates for data collection. ***Please note, survey vendors must use the same data collection mode for all of a facility's sample patients during a survey period.***

***Table 5-1*** shows the sampling window and schedule, including the data submission deadline, for the CY2020 ICH CAHPS Surveys. ICH CAHPS Survey vendors must initiate the survey by mailing the prenotification letter to sample patients ***3 weeks (21 days) after downloading the sample file*** provided by CMS.

**Table 5-1. CY2020 Mail-Only Survey Administration Schedule**

Activity	2020 Spring Survey	2020 Fall Survey
Sampling window (months in which sample patients received ICH care at their current facility)	October 1–December 31, 2019	April 1–June 30, 2020
Samples provided to ICH CAHPS Survey Vendors	March 27, 2020	September 25, 2020
Survey vendors attest to receipt of sample file	March 31, 2020	September 29, 2020
Mail prenotification letter to sample patients	April 17, 2020	October 16, 2020
Mail first questionnaire with cover letter to sample patients	May 1, 2020	October 30, 2020
Mail second questionnaire with cover letter to sample patients who do not respond to first questionnaire mailing	May 29, 2020	December 2, 2020
End data collection	July 10, 2020	January 8, 2021
Data submission deadline	5:00 PM Eastern Time, July 29, 2020	5:00 PM Eastern Time, January 27, 2021

## 5.2 Production of Letters, Envelopes, and Questionnaires

The requirements for producing all materials needed for the mail-only survey mode are described below. The sample mail cover letters and mail survey questionnaire in English, Spanish, traditional Chinese, simplified Chinese, and Samoan are available on the ICH CAHPS website at <https://ichcahps.org> and in the appendices to this manual. Please note that ICH CAHPS Survey vendors must administer the survey in English in each data collection mode for which they have received CMS approval. Survey vendors are not required to offer or administer the survey in any of the other approved survey languages (Spanish, simplified Chinese, traditional Chinese, and Samoan).

- Questionnaire and sample mail survey cover letters in English, *Appendix C*;
- Questionnaire and sample mail survey cover letters in Spanish, *Appendix D*;
- Questionnaire and sample mail survey cover letters in traditional Chinese, *Appendix E*;
- Questionnaire and sample mail survey cover letters in simplified Chinese, *Appendix F*;
- Questionnaire and sample mail survey cover letters in Samoan, *Appendix G*; and
- OMB Disclosure Notice in English, Spanish, traditional Chinese, simplified Chinese, and Samoan in *Appendix H*.

Specific requirements and guidelines associated with the mail survey letters, envelopes, and questionnaire are discussed below.

### **5.2.1 Prenotification Letter**

The prenotification letter that will be sent to sample patients will provide information about the purpose of the survey and alert sample patients that they will be contacted within a few days and invited to participate in the survey. The prenotification letter also indicates that participation in the survey is voluntary and that responses to the survey will be held in confidence and are protected by the (Federal) Privacy Act (of 1974).

The prenotification letter will be printed on CMS letterhead and signed by CMS. Therefore, it will not be personalized for each sample patient. That is, the patient's name and address will not be printed on the prenotification letter. The salutation in the letter is "Dear Sir or Madam." The prenotification letter will also contain the survey vendor's name and toll-free customer service telephone number(s). ***ICH CAHPS Survey vendors cannot make any changes to the text of the prenotification letter.*** If any changes are needed to the vendor's contact information, the vendor should notify the Coordination Team.

#### **5.2.1.1 Requirements for the Prenotification Letter**

The prenotification letter that will be used on the ICH CAHPS Survey is not available on the ICH CAHPS website nor is it included in the appendices to this manual. The Coordination Team will prepare the prenotification letter that will be sent to each ICH facility's sample patients and provide the facility's contracted survey vendor with a PDF file of the letter. If a survey vendor will be offering the survey in any of the approved languages, CMS will provide a PDF file containing the prenotification letter in that language. The prenotification letter will be specific for each vendor. Each survey vendor will be responsible for using the PDF file to print and mail the prenotification letter to the patients sampled for each of its ICH facility clients. Survey vendors must prepare and provide the mailing envelopes for mailing the prenotification letter to sample patients. The survey vendor is responsible for mailing a prenotification letter to all sample patients 3 weeks (21 days) after downloading the sample file from the ICH CAHPS website.

The following are requirements for the prenotification letter and for the envelope that will be used to mail the prenotification letter.

- After the sample file is downloaded, survey vendors must verify **each** mailing address that is included in the sample file provided by the Coordination Team using a commercial address update service, such as the National Change of Address (NCOA) or the U.S. Postal Service Zip+4 software. In addition to using a commercial service, survey vendors **are** permitted to ask ICH facilities to provide updated address information for **all** of the patients they treated during the sampling window, if vendors have an appropriate agreement with the ICH

facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility when requesting updated address and telephone information.

- The CMS logo, along with the survey vendor's return address, must be printed on the envelope. The Coordination Team has already provided a copy of the CMS logo to all ICH CAHPS Survey vendors.
- The envelope must be marked "Address Service Requested," "Change Service Requested," "Return Service Requested," "Electronic Service Requested," or "First-Class Mail" for the U.S. Postal System to provide the sample patient's new address if he or she has moved (so the survey vendor can update its files with the sample patient's new address). Please note that vendors must not share updated address information with ICH facilities.
- The sample patient's full name and mailing address must be printed on the envelope. Vendors should note that the prenotification letter is not personalized—that is, the sample patient's name and address is not printed on the letter. Survey vendors are permitted to use a window envelope to mail the prenotification letter, but to do so they must print the sample patient's name and address on a separate sheet of paper and include it in the prenotification envelope so that the name and address appear in the window of the envelope.
- For privacy reasons, the name of the dialysis facility must not appear in the return address or anywhere on the mailing envelope.

#### *5.2.1.2 Recommendation for Mailing the Prenotification Letter*

- We recommend that the prenotification letter be sent with either first-class postage or indicia, to ensure timely delivery and to maximize response rates.

#### **5.2.2 Mail Survey Cover Letters (First and Second Questionnaire Mailings)**

The cover letter included with each questionnaire package explains the purpose of the survey, provides instructions on how to participate in the survey, and contains the survey vendor's toll-free telephone number(s) so that sample patients can contact the survey vendor if they have any questions about the survey. The first (initial) and second questionnaire packages that survey vendors send to sample patients will consist of a cover letter, the ICH CAHPS Survey questionnaire, and a postage-paid return envelope. Examples of cover letters in English, Spanish, traditional Chinese, simplified Chinese, and Samoan are provided in the appendices (see *Appendices C–G*) and on the ICH CAHPS website. Survey vendors can use the example cover letters, or they may choose to develop their own cover letters, provided that the following requirements are met.



### 5.2.2.1 Requirements for Cover Letters

- Cover letters must be personalized with the name and address of the sample patient;
- The sample patient's SID number must be printed on the cover letter (if the vendor would rather use an internal tracking ID on the cover letter, the vendor is required to submit an Exceptions Request Form (ERF) to the Coordination Team for review and approval);
- Cover letters must be separate from the questionnaire, so that no PII is returned with the questionnaire when the respondent sends it back to the survey vendor;
- Survey vendors must not offer sample patients the opportunity to complete the survey over the telephone if a mail-only mode is being implemented;
- The letter must describe the purpose of the survey and how the results will be used;
- The letter must state that the information sample patients provide is protected by the Federal Privacy Act of 1974; if the survey vendor so chooses, it may exclude the word "Federal" or the phrase "of 1974";
- The letter must state that sample patients should not ask ICH facility staff for help completing the survey;
- The letter must state that participation is voluntary and will not affect any dialysis care or Medicare benefits the sample patient receives or expects to receive;
- The survey vendor's name (or logo) must be included at the top of the letter;
- The letter must be from the survey vendor (not the ICH facility) and be signed by an appropriate survey vendor official;
- The name of the sample patient's ICH facility and the survey vendor's name must be inserted (printed) where indicated in the text of the example cover letter;
- If a facility would like to have its logo included on the cover letter, the facility's logo must appear only in the right top section of the letter. The facility's logo must not appear in the window of the envelope;
- A toll-free customer support telephone number, which will be staffed by the survey vendor, must be included;
- The OMB disclosure notice (see **Appendix H**), which includes the OMB number within it, must be printed either on the questionnaire or in the cover letter; and


- The letter must be printed using a font size equal to or larger than Times New Roman 11 or Arial 11 point font.

#### 5.2.2.2 Recommendations for Cover Letters

- Survey vendors offering Spanish, traditional Chinese, simplified Chinese, or Samoan versions of the questionnaire may add wording to the English cover letter indicating that a version of the questionnaire is available in those languages.
- Survey vendors should try to format the cover letter so that it is only one page.
- Survey vendors should consider using the revised versions of these letters, which were revised in 2017 to make it easier to understand by sample patients.

### 5.2.3 ICH CAHPS Survey Questionnaire

The ICH CAHPS Survey mail questionnaire contains 62 questions. The questionnaire can be administered as a standalone survey or can be combined with the ICH CAHPS supplemental questions or facility-specific questions (more information on supplemental and facility-specific questions can be found throughout this chapter). Questions 1 to 44 are considered the “core” ICH CAHPS Survey questions and must be placed at the beginning of the questionnaire. Questions 45 to 62 are the “About You” ICH CAHPS Survey questions and must be administered as a unit, although they may be placed either before or after any additional questions that the ICH facility plans to add to the ICH CAHPS Survey. If no ICH CAHPS supplemental questions or facility-specific questions are to be added to the ICH CAHPS Survey questionnaire, the “About You” questions must follow the core ICH CAHPS Survey questions.

There are 21 ICH CAHPS supplemental questions available for ICH facilities to use, if they desire. The ICH CAHPS supplemental questions have been thoroughly tested and approved by CMS. An ICH facility can choose to use one or more of these ICH CAHPS supplemental questions; they do not need to be administered as a group. More information about the ICH CAHPS supplemental questions, which are available on the ICH CAHPS Survey website at <https://ichcahps.org>  and in **Appendix I**, is provided below.

The following are formatting and content requirements and recommendations for the ICH CAHPS Survey questionnaire. Note that survey vendors cannot deviate from questionnaire requirements.

#### 5.2.3.1 ICH CAHPS Survey Questionnaire Requirements

- Every questionnaire must begin with the core ICH CAHPS Survey questions (Qs. 1 to 44).

- ICH facilities must follow the guidelines below for adding any ICH CAHPS supplemental questions or their own facility-specific questions. All facility-specific questions must be submitted to and approved by the Coordination Team.
- The “About You” questions (Qs. 45 to 62) must be administered as a unit (i.e., they must be kept together and may not be separated or placed throughout the questionnaire). The “About You” questions may be placed before or after any facility-specific or ICH CAHPS supplemental questions.
- No changes in wording are allowed to either the ICH CAHPS Survey questions (core or About You questions) or to the response (answer) choices. In addition, no changes are allowed to the ICH CAHPS supplemental questions or response choices.
- Questions and associated response choices must not be split across pages.
- Survey vendors must be consistent throughout the questionnaire in formatting response options either vertically or horizontally. If a survey vendor elects to list the response options vertically, this must be done for every question in the questionnaire. Survey vendors may not format some response options vertically and some horizontally.
- No matrix formatting of the questions is allowed. Matrix formatting means formatting a set of questions as a table, with responses listed across the top of a page and individual questions listed in a column on the left.
- The questionnaire must be printed using a font size equal to or larger than Times New Roman 11 or Arial 11 point font.
- The unique SID number assigned by the Coordination Team to each sample patient must appear on at least the first page of the questionnaire for tracking purposes. The survey vendor must not print the sample patient’s name or any other information that could identify the sample patient anywhere on the questionnaire. If the vendor would rather use an internal tracking ID on the questionnaire (or has other requests related to the placement of the SID on the questionnaire), the vendor is required to submit an ERF to the Coordination Team for review and approval.
- Only CMS-approved translations of the questionnaire are permitted; however, if facilities choose to add facility-specific supplemental questions, survey vendors will be responsible for translating those questions.
- The ICH facility’s name must appear in the cover letter and must be printed where indicated in the questionnaire.

- Survey vendors cannot include any promotional messages or materials, including indications that either the ICH facility or the survey vendor has been approved by the Better Business Bureau, on the ICH CAHPS cover letter, questionnaire, or outgoing or incoming mailing envelopes.
- The survey vendor's name and mailing address must be printed at the bottom of the last page of the ICH CAHPS Survey questionnaire, in case the respondent does not use or misplaces the business reply envelope included with the questionnaire package mailed to the sample patient.
- The OMB number shown in *Appendix H* must be printed in the upper right-hand corner of the questionnaire cover. If there is no cover, then the OMB number must be printed in the upper right-hand corner on the first page of the questionnaire. In addition, the OMB expiration date must appear under the OMB number; please note that this date must be updated prior to the 2020 Spring Survey.
- The OMB disclosure notice (see *Appendix H*), which includes the OMB number within it, must be printed either on the questionnaire or in the cover letter. If the disclosure notice is printed on the questionnaire, the OMB number must also appear separately from the OMB disclosure notice on the first page of the questionnaire. In other words, if the OMB disclosure notice is printed on the questionnaire cover, then the OMB number will appear twice on the cover—once within the OMB disclosure notice and separately somewhere else on the cover.

#### 5.2.3.2 Recommendations for Printing the ICH CAHPS Survey Questionnaire

- Survey vendors should consider printing the sample patient's SID number on every page or every other page of the questionnaire in case the respondent defaces or marks through the SID on parts of the questionnaire or returns the questionnaire without the first page attached.
- Survey vendors should consider printing the SID at the top and bottom of every page in the questionnaire or encrypting the SID number so that it is only readable by a bar code reader.
- Survey vendors should use best survey practices when formatting the questionnaire, such as maximizing the use of white space and using simple fonts like Times New Roman or Arial.
- Survey vendors should consider using a two-column format.
- Survey vendors should consider using a font size of 12 or larger.
- If data entry keying is being used as the data entry method, small coding numbers next to the response choices may be used.

- If the vendor is printing the questionnaire as a tri-fold document, we recommend including an instruction in either the cover letter or questionnaire to alert sample patients that the last page of the questionnaire is folded on top of another page and patients should make sure that they answer questions on all pages included in the questionnaire.

#### **5.2.4 Adding Supplemental and Facility-Specific Questions to the ICH CAHPS Survey**

AHRQ and its CAHPS Consortium developed and tested 21 ICH CAHPS supplemental questions about ICH care, which are included in *Appendix I* and available on the ICH CAHPS website (<https://ichcahps.org>). ICH facilities might wish to use some of these questions or add their own facility-specific questions to the ICH CAHPS Survey questionnaire.

Guidance for adding other questions to the ICH CAHPS Survey questionnaire is as follows:

##### **5.2.4.1 Requirements for Adding Supplemental Questions and Facility-Specific Questions**

- All ICH CAHPS supplemental questions and facility-specific questions must be placed **after** the core ICH CAHPS Survey questions (Qs. 1 to 44). They may be placed either before or after the ICH CAHPS Survey “About You” questions (Qs. 45 to 62).
- Use of any of the 21 ICH CAHPS supplemental questions does not require prior review and approval by the Coordination Team, because these questions have already been tested and approved.
- Facility-specific questions that the ICH facility plans to add to the ICH CAHPS Survey questionnaire must be submitted to and approved by the Coordination Team **before** they are added to the questionnaire. The survey vendor must send the facility-specific questions and their proposed placement in the ICH CAHPS Survey questionnaire to the Coordination Team at [ichcahps@rti.org](mailto:ichcahps@rti.org). For the CY2020 ICH CAHPS Spring Survey, the deadline for submitting facility-specific supplemental questions to the Coordination Team was February 7, 2020. Survey vendors can submit facility-specific questions after that date; however, those questions might not be approved in time to be included in the questionnaire for that specific survey period. Once the Coordination Team approves a facility-specific question, the vendor does not need to submit it again unless the vendor changes the wording or response options to that question.
- ICH facilities cannot add questions that repeat any of the survey questions in the core ICH CAHPS Survey, even if the response scale is different.
- Facility-specific questions cannot be used with the intention of marketing or promoting services provided by the ICH facility or any other organization.

- Facility-specific questions cannot ask sample patients why they responded a certain way to a core ICH CAHPS question.
- Facility-specific questions cannot ask sample patients to identify other individuals who might need ICH services. Such questions raise privacy and confidentiality issues if PII were shared with the ICH facility without a person's knowledge and permission.
- Survey vendors are responsible for translating any facility-specific questions added to the questionnaire.
- Survey vendors must not include responses to the ICH CAHPS supplemental questions or facility-specific questions on the ICH CAHPS Survey data files that will be uploaded to the Data Center.

#### 5.2.4.2 Recommendations for Adding Supplemental and Facility-Specific Questions

- We recommend that facilities/vendors avoid sensitive questions or lengthy additions, because these will likely reduce expected response rates.

### 5.3 Definitions

During previous training sessions, vendors asked for official definitions for some of the words and terms included in the ICH CAHPS Survey. The official definitions are as follows.

**Catheter** (KATH-uh-tur): A tube inserted through the skin into a blood vessel or cavity to draw out body fluid or infuse fluid. In *peritoneal dialysis*, a catheter is used to infuse *dialysis solution* into the abdominal cavity and drain it out again.

**Fistula** (FISS-tyoo-luh): Surgical connection of an **artery** directly to a **vein**, usually in the forearm, created in people who need **hemodialysis**. The **arteriovenous (AV) fistula** causes the vein to grow thicker, allowing the repeated needle insertions required for hemodialysis. Development of the AV fistula takes 4 to 6 months after surgery before it can be used for hemodialysis.

**Peritoneal** (PAIR-ih-toh-NEE-uhl): Filtering the blood by using the lining of the abdominal cavity, or belly, as a *semipermeable membrane*. A cleansing liquid, called *dialysis solution*, is drained from a bag into the abdomen. Fluid and wastes flow through the lining of the abdominal cavity and remain “trapped” in the dialysis solution. The solution is then drained from the abdomen, removing the extra fluid and wastes from the body.

## 5.4 Mailing Survey Questionnaire Packages

Mailing requirements and recommendations for the ICH CAHPS Survey questionnaire packages are described below. Survey vendors must follow these requirements to maximize response rates and ensure consistency in how the mail mode of administration is implemented.

### 5.4.1 Mail Survey Envelopes

Survey vendors are responsible for supplying the outgoing envelopes that will be used to mail both the prenotification letter and the questionnaire packages to sample patients. A postage-paid business reply envelope must be included with each questionnaire mailing, preaddressed to the survey vendor.

### 5.4.2 Mailing Requirements

- Mailings must follow the schedule specified for the mail-only mode of administration. The prenotification letter must be mailed 3 weeks (21 days) after downloading the sample file from the ICH CAHPS website. The first questionnaire package must be mailed 14 days after the prenotification letter is mailed; the second questionnaire to sample patients who do not respond to the first questionnaire mailing must be mailed 4 weeks after the first questionnaire mailing.
- Survey vendors must verify each mailing address that is included in the sample file provided by the ICH CAHPS Coordination Team using a commercial address update service, such as the NCOA or the U.S. Postal Service Zip+4 software. As noted previously, in addition to using a commercial service, survey vendors are permitted to ask ICH facilities to provide updated address information for all of the patients the facility treated during the sampling window, if vendors have an appropriate agreement with the facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility when requesting updated addresses and telephone numbers for sample patients.
- Survey vendors must send a questionnaire package to every sampled case that has a complete address. If no house number or street name are included for a patient in the sample file, vendors are required to try and obtain an updated address via a commercial address update service. In addition, survey vendors should ask the facility to provide a list of all patients they treated during the sampling window and their addresses/phone numbers if they have an appropriate agreement with the ICH facility. If no address can be found after the vendor attempts to obtain an address, the vendor may assign a final disposition code of Bad Address/Undeliverable Mail.
- Each questionnaire mailing must contain a personalized cover letter, questionnaire, and postage-paid business reply envelope.



- For privacy reasons, the name of the dialysis facility must not appear in the return address or anywhere on the mailing envelope.
- Data collection must end 12 weeks after the prenotification letter is mailed.

### **5.4.3 Mailing Recommendations**

- We recommend that survey vendors attempt to identify a new or updated address for any prenotification letters that are returned as undeliverable in time to send the questionnaire package to the sample patient at the correct address.
- We recommend that questionnaires be sent with either first-class postage or indicia to ensure timely delivery and to maximize response rates.
- We recommend that survey vendors “seed” each mailing. Seeding means including the name and address of designated survey vendor staff in each mailing file. The package will be mailed and delivered like all other questionnaires to the survey vendor staff, which will allow the survey vendor to assess the completeness of the questionnaire package and timeliness of package delivery.
- Survey vendors have the option of including the CMS logo on the questionnaire envelope.

## **5.5 Data Receipt and Data Capture Requirements**

The following guidelines are provided for receiving and tracking returned questionnaires. Survey vendors can choose whether to enter data via an optical scanning program or manually key data into a data entry program. Requirements for data receipt and for each type of data entry system are provided below.

### **5.5.1 Data Receipt Requirements**

- The date the questionnaire was received from each sample patient must be entered into the data record created for each case on the data file.
- Questionnaires must be visually reviewed prior to scanning for notes/comments. Survey vendors must have more than one person who can code or review comments and notes attached to or included with the returned questionnaire for proper disposition code assignment.
- Completed questionnaires received must be logged into the tracking system in a timely manner to ensure that sample patients who respond to the first mailing are excluded from the second questionnaire mailing.



- If two questionnaires are received from the same sample patient, survey vendors must keep and use the questionnaire that has the more complete data, regardless of which questionnaire is received first. If the two questionnaires received contain the same amount of data (are equally complete), the survey vendor must retain and use the first one received.
- If the survey vendor learns that a sample patient is deceased (via a telephone call from a relative or knowledgeable person, or as a note on a received completed questionnaire), the survey vendor must not process (scan or key) the data from the questionnaire for that sample patient. Instead, the vendor must make sure the final disposition code indicating that the sample patient is deceased is assigned to the case.
- If a mail survey is completed but the survey vendor learns later that the sample patient is deceased (via a letter or telephone call received after the completed mail survey is received), the survey vendor should process and include the data on the XML file if there is no indication that the survey was completed by someone else (based on the responses to Qs. 60–62) and the case meets the completeness criteria.
- Survey vendors cannot process and include on the XML file any completed mail survey questionnaires that are received after the data collection period ends for a specific survey period. The survey vendor must properly dispose of all such questionnaires. This means that the vendor should thoroughly shred the completed questionnaire so that no one can “reconstruct” the questionnaire. The vendor must make sure the final disposition code indicating there was no response after maximum attempts is assigned to the case.
- A final ICH CAHPS Survey disposition code (see *Chapter IX*) must be assigned to each case.

### 5.5.2 Optical Scanning Requirements

- The scanning program must not permit scanning of duplicate questionnaires.
- The scanning program must not permit out-of-range or invalid responses.
- A sample of questionnaires (minimum of 10 percent) must be rescanned and compared with the original scanned image of the questionnaire as a quality control measure. Any discrepancies must be reconciled by a supervisor.
- The survey responses marked in a sample of questionnaires (minimum of 10 percent) must be compared to the entries scanned for that case to make sure that the scanning program scanned the marked responses correctly.
- If a response mark falls between two answer choices but is clearly closer to one answer choice than to another, select the response that is closest to the marked response.

- If two responses are checked for the same question, select the one that appears darkest. If it is not possible to make a determination, leave the response blank and code as “missing” rather than guessing.
- If a mark is between two answer choices but is not clearly closer to one answer choice, code as “missing.”
- If a response is missing, leave the response blank and code as “missing.”
- Although they can be scanned, survey vendors must not include responses to any ICH CAHPS supplemental questions or facility-specific supplemental questions on the data files submitted to the Data Center.
- Each ICH facility can decide whether to scan the responses to the open-ended survey questions, specifically the “Other language” (response option 8) in Q57, the other relationship specified (response option 4) in Q61, and the “Helped in some other way” (response option 5) in Q62. Survey vendors must not include responses to open-ended survey questions on the data files submitted to the Data Center. CMS, however, encourages survey vendors to review the open-ended entries so that they can provide feedback to the ICH CAHPS Coordination Team about adding additional preprinted response options to these survey questions if needed.

### **5.5.3 Data Entry Requirements**

- The key entry process must not permit keying of duplicate questionnaires.
- The key entry program must not permit out-of-range or invalid responses.
- All questionnaires must be 100 percent rekeyed for quality control purposes. That is, for every questionnaire, a different key entry staff person must rekey the questionnaire to ensure that all entries are accurate. If any discrepancies are observed, a supervisor must resolve the discrepancy and ensure that the correct value is keyed.
- If a response mark falls between two answer choices but is clearly closer to one answer choice than to another, select the answer choice that is closest to the marked response.
- If two responses are checked for the same question, select the one that appears darkest. If it is not possible to make a determination, leave the response blank and code as “missing” rather than guessing.
- If a mark is between two answer choices but is not clearly closer to one answer choice, code as “missing.”
- If a response is missing, leave the response blank and code as “missing.”
- Although they can be keyed, survey vendors must not include responses to any ICH CAHPS supplemental questions or facility-specific supplemental questions in the data files submitted to the Data Center.

- Each individual ICH facility can decide whether the vendor should scan the responses to open-ended survey questions, specifically the “Other language” (response option 2) in Q57, the other relationship specified (response option 4) in Q61, and the “Helped in some other way” (response option 5) in Q62. Survey vendors must not include responses to open-ended survey questions on the data files submitted to the Data Center. CMS, however, encourages survey vendors to review the open-ended entries so that they can provide feedback to the Coordination Team about adding preprinted response options to these survey questions if needed.

## 5.6 Staff Training

All staff involved in the mail survey implementation, including support staff, must be thoroughly trained on the survey specifications and protocols. A copy of relevant chapters of this manual should be made available to all staff as needed. In particular, staff involved in questionnaire assembly and mailout, data receipt, and data entry must be trained on:

- Use of relevant equipment and software (case management systems for entering questionnaire receipts, scanning equipment, data entry programs);
- ICH CAHPS Survey protocols specific to their role (for example, contents of the questionnaire package, requirements for visually reviewing questionnaires prior to scanning for notes/comments, how to document or enter returned questionnaires into the tracking system);
- Decision rules and coding guidelines for returned questionnaires (see *Chapter IX*); and
- Proper handling of hardcopy and electronic data, including data storage requirements (see *Chapter VIII*).

Staff involved in providing customer support via the toll-free telephone number should also be trained on the accurate responses to FAQs, how to respond to questions when customer support does not know the answer, and the rights of survey respondents. A list of questions frequently asked by sample patients and suggested answers to those questions are included in *Appendix J*. Note that some patients might call the vendor’s hotline to complain about their ICH facility or the hemodialysis care they receive. Staff should have the list of the ESRD Networks that serve patients in each state (see *Appendix P*) at their station and provide the toll-free number for the ESRD Network that serves the state in which the patient resides to the patient. Staff may also provide the 1-800-MEDICARE number to patients. If the ICH CAHPS Survey is being offered in a language other than English, customer support staff should also be able to handle questions via the toll-free telephone number in that language. Please refer to *Chapter VI* for more information on training customer support staff.

### **5.6.1 Distressed Respondent Procedures**

Survey vendors must develop a “distressed respondent protocol,” to be incorporated into all help desk training. A distressed respondent protocol provides assistance if the situation indicates that the respondent’s health and safety are in jeopardy. Distressed respondent protocols balance respondents’ rights to confidentiality and privacy by keeping PII and PHI confidential with guidance about when and how to help those needing assistance.

Each approved ICH CAHPS Survey vendor must have procedures in place for handling distressed respondent situations and to follow those procedures. The ICH CAHPS Coordination Team cannot provide specific guidelines on how to evaluate or handle distressed respondents. However, survey vendors are urged to consult with their organization’s Committee for the Protection of Human Subjects Institutional Review Board (IRB) for guidance. In addition, professional associations for researchers, such as the American Association for Public Opinion Research (AAPOR), might be able to provide guidance regarding this issue. The following is an excerpt from AAPOR’s website that lists resources for the protection of human subjects. More information about protection of human subjects is available at AAPOR’s website at <https://www.aapor.org>.<sup>2</sup>

- The Belmont Report (guidelines and recommendations that gave rise to current federal regulations)
- Federal Regulations Regarding Protection of Human Research Subjects (45 CFR 46) (also known as the Common Rule)
- Federal Office for Human Research Protections (OHRP)
- National Institutes of Health (NIH) Human Participant Investigator Training (although the site appears to be for cancer researchers, it is the site for the general investigator training used by many institutions)
- University of Minnesota Web-Based Instruction on Informed Consent

## **5.7 Other Mail-Only Administration Protocols**

In addition to the printing, mailing, and data entry requirements discussed above, there are a few other protocols that ICH CAHPS Survey vendors must follow when conducting the mail-only data collection administration.

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<sup>2</sup> The AAPOR website at <https://www.aapor.org/Standards-Ethics/Institutional-Review-Boards/Additional-IRB-Resources.aspx>, February 2015.

- The use of incentives is not permitted.
- The use of proxy respondents is not permitted. However, other individuals, as long as they are not facility staff, may assist the sample patient in reading the survey, marking response options, or translating the survey.
- Homeless sample patients are eligible to participate in the ICH CAHPS Survey if they meet all other survey eligibility criteria. The survey vendor must attempt to reach the sample patient using the address given. If there is no address provided for a sample patient, and one cannot be obtained via a commercial address update services (such as the NCOA or the U.S. Postal Service Zip+4 software), or by requesting the ICH facility to provide a list containing the names and addresses of all patients treated during the sampling window, the vendor should assign the final disposition code of Bad Address/Undeliverable Mail to the case (see *Chapter IX* for more information on final disposition codes).
- Survey vendors must make sure that they differentiate between sample patients who refuse to participate during a specific survey period and those who indicate that the survey vendor should never contact them again. If a sample patient refuses to participate during the current survey period but does not indicate that the vendor should never contact him or her again, the survey vendor should attempt to survey the patient if he or she is included in the sample in subsequent survey periods.
- If an ICH CAHPS sample patient is on the survey vendor's Do Not Contact List, based on a previous contact for another survey conducted by the survey vendor, the vendor should honor that patient's request. As such, ICH CAHPS Survey vendors must determine a way by which to designate and identify sample patients who permanently refuse to participate in the current survey period and all future ICH CAHPS Survey periods. Vendors are encouraged to use their internal records to identify the sample patients included in the sample file downloaded from the ICH CAHPS website who have previously indicated that they do not wish to be recontacted concerning the ICH CAHPS survey. These sample patients should not be sent any survey materials (prenotification letter, questionnaire package) and should instead be assigned a final disposition code of Refusal.
- Sometimes sample patients inadvertently include documents that are not related to the survey with the completed questionnaire that they return to the vendor. The types of documents that sample patients might include with their returned questionnaires include payment for a medical bill, health insurance premium or some other bill, a prescription for medication, or a document that a health care provider has requested. All vendors should implement a policy to return such documents to the sample patient who sent them. Vendors are not permitted to send such items to a facility, business, or organization on behalf of a patient. Instead, vendors must send the documents back to the sample patient with a note indicating that the item was

inadvertently included in the ICH CAHPS Survey package and it is being returned to the sample patient so that he or she can send it to the intended recipient.

## **5.8 Conducting the ICH CAHPS Survey With Other ICH Facility Surveys**

Some ICH facilities might wish to conduct other patient surveys in addition to the ICH CAHPS Survey to support internal quality improvement activities. ICH facilities may include questions that ask for more in-depth information about ICH CAHPS issues but should not repeat the ICH CAHPS Survey questions or include questions that are very similar.

ICH facilities may not:

- Provide information to their patients that promotes the services provided by the ICH facility;
- Ask their patients for the names of other ESRD patients who might need dialysis care; or
- Ask their patients for consent for the ICH facility survey vendor to share their survey responses with the ICH facility.

## VI. TELEPHONE-ONLY ADMINISTRATION PROCEDURES

### 6.0 Overview

This chapter describes the requirements and guidelines for implementing the telephone-only mode of survey administration for the ICH CAHPS Survey. The chapter begins with a discussion of the telephone-only data collection activities and schedule, followed by a discussion of the requirements for producing all telephone interviewing materials and systems. It includes guidelines on how the telephone interview should be developed and administered, including general interviewing guidelines and frequently asked questions that interviewers might encounter. This chapter also provides guidance for data processing procedures for the telephone-only administration. Quality control guidelines related to implementing the ICH CAHPS Survey using telephone-only administration data collection are included in *Chapter XII*.

### 6.1 Telephone-Only Survey Activities and Schedule

Approved ICH CAHPS Survey vendors began administering the ICH CAHPS Survey for each of their client ICH facilities on a semiannual basis (twice each year) in CY2015. Data collection for each ICH CAHPS Survey will be conducted during a 12-week period. For Spring surveys, data collection activities will be conducted from April through mid-July. Fall surveys will be conducted from October through mid-January. For all approved survey modes, including telephone-only mode, the data collection period will begin by preparing and mailing a prenotification letter to all sample patients. For telephone-only mode, the prenotification letter is the only communication with sample patients that will be by mail. To be consistent across all facilities and vendors, all vendors are required to follow the prescribed dates for data collection. *Please note, survey vendors must use the same data collection mode for all of a facility's sample patients during a survey period.*

*Table 6-1* shows the sampling window and survey schedule for telephone-only mode, including the data submission deadline, for the CY2020 ICH CAHPS Surveys. Note that ICH Survey vendors must initiate the telephone survey by mailing the prenotification letter to sample patients *3 weeks (21 days) after downloading the sample file* provided by CMS.



**Table 6-1. CY2020 Telephone-Only Survey Administration Schedule**

Activity	2020 Spring Survey	2020 Fall Survey
Sampling window (months in which sample patients received ICH care at their current facility)	October 1–December 31, 2019	April 1–June 30, 2020
Samples provided to ICH CAHPS Survey vendors	March 27, 2020	September 25, 2020
Survey vendors attest to receipt of sample file	March 31, 2020	September 29, 2020
Mail prenotification letter to sample patients	April 17, 2020	October 16, 2020
Begin telephone contact with sample patients*	May 1, 2020	October 30, 2020
End telephone data collection activities	July 10, 2020	January 8, 2021
Data submission deadline	5:00 PM Eastern Time, July 29, 2020	5:00 PM Eastern Time, January 27, 2021

\* Survey vendors must begin initial call attempts starting on the data collection start date. We do not expect that all sampled patients will receive a call on the data collection start date; however, they should receive this initial call very soon after the start date (and within the first week of data collection).

### 6.1.1 Prenotification Letter

The prenotification letter that will be sent to sample patients will provide information about the purpose of the survey and alert sample patients that they will be contacted within a few days and invited to participate in the survey. The prenotification letter also indicates that participation in the survey is voluntary and that responses to the survey will be held in confidence and are protected by the Privacy Act.

The prenotification letter will be printed on CMS letterhead and signed by CMS. Therefore, it will not be personalized for each sample patient. That is, the patient's name and address will not be printed on the prenotification letter. The salutation in the letter is "Dear Sir or Madam." The prenotification letter will also contain the survey vendor's name and toll-free customer service telephone number(s). ***ICH CAHPS Survey vendors cannot make any changes to the text of the prenotification letter.*** If any changes are needed to the vendor's contact information, the vendor should notify the Coordination Team.

Survey vendors should note that although the prenotification letter is available in traditional and simplified Chinese and in Samoan (and should be sent to sample patients requesting them), ***the ICH CAHPS Survey cannot be administered by telephone in traditional Chinese, simplified Chinese, or Samoan.*** If a telephone interviewer learns during the course of a phone contact attempt that a sample patient speaks only Chinese or Samoan, the survey vendor should stop work on the case and assign the applicable final language barrier disposition code (see



*Chapter IX* for final survey disposition codes). Survey vendors must administer the telephone-only survey in English but are not required to administer the survey in Spanish.

Although a facility might indicate that a sample patient's preferred language is Chinese or Samoan, survey vendors should keep in mind that some of these patients might speak English well enough to participate in a telephone interview. If the majority of an ICH facility's sample patients speak only Chinese or Samoan, the facility should consider using the mail-only data collection mode to give all of its sample patients the opportunity to participate in the survey.

#### *6.1.1.1 Requirements for the Prenotification Letter*

The prenotification letter that will be used on the ICH CAHPS Survey is not available on the ICH CAHPS website nor is it included in the appendices to this manual. The Coordination Team will prepare the prenotification letter that will be sent to each ICH facility's sample patients and provide the facility's contracted survey vendor with a PDF file of the letter. If a survey vendor will be offering the survey in any of the approved languages, CMS will provide a PDF file containing the prenotification letter in that language. The prenotification letter will be specific for each vendor. Each survey vendor will be responsible for using the PDF file to print and mail the prenotification letter to the patients sampled for each of its ICH facility clients. Survey vendors must prepare and provide the mailing envelopes for mailing the prenotification letter to sample patients. The survey vendor is responsible for mailing a prenotification letter to all sample patients 3 weeks (21 days) after downloading the sample file from the ICH CAHPS website.

The following are requirements for the prenotification letter and for the envelope that will be used to mail the prenotification letter.

- After the sample file is downloaded, survey vendors must verify **each** mailing address that is included in the sample file provided by the Coordination Team using a commercial address update service, such as the NCOA or the U.S. Postal Service Zip+4 software. Note that in addition to using a commercial service, survey vendors are permitted to ask ICH facilities to provide updated address information for all of the patients they treated during the sampling window, if vendors have an appropriate agreement with the ICH facilities. Survey vendors cannot, however, give a list of sample patients to the ICH facility when requesting updated address and telephone information.
- The CMS logo, along with the survey vendor's return address, must be printed on the envelope. The Coordination Team has already provided a copy of the CMS logo to all ICH CAHPS Survey vendors.
- The envelope must be marked "Address Service Requested," "Change Service Requested," "Return Service Requested," "Electronic Service Requested," or "First-Class Mail" for the

U.S. Postal System to provide the sample patient's new address if he or she has moved (so the survey vendor can update its files with the sample patient's new address). Survey vendors must not share updated address information with the ICH facilities.

- The sample patient's full name and mailing address must be printed on the envelope. Vendors should note that the prenotification letter is not personalized—that is, the sample patient's name and address is not printed on the letter. Survey vendors are permitted to use a window envelope to mail the prenotification letter, but to do so they must print the sample patient's name and address on a separate sheet of paper and include it in the prenotification envelope so that the name and address appear in the window of the envelope.
- For privacy reasons, the name of the dialysis facility must not appear in the return address or anywhere on the mailing envelope.

#### 6.1.1.2 Recommendation for Mailing the Prenotification Letter

- We recommend that the prenotification letter be sent with either first-class postage or indicia to ensure timely delivery and to maximize response rates.

## 6.2 Telephone Interview Development Process

The following paragraphs describe the requirements for producing all materials and systems needed for the telephone-only survey administration. The telephone interview script in English (*Appendix C*) and Spanish (*Appendix D*) in Microsoft Word are available on the ICH CAHPS Survey website at <https://ichcahps.org>. Note that although Samoan and Chinese-language versions of the mail survey questionnaire are available, the ***ICH CAHPS Survey cannot be administered by telephone in Samoan or Chinese.*** A list of frequently asked questions by sample patients and suggested answers to those questions are included in *Appendix J*. Some general guidelines for telephone interviewer training and monitoring are provided in *Appendix K*.

Specific requirements and guidelines associated with the telephone survey administration are discussed below.

### 6.2.1 Telephone Interviewing Systems

ICH CAHPS Survey vendors must use a CATI system to administer the ICH CAHPS Survey by telephone. A CATI system means that the interviewer reads from and enters responses into a computer program. Using CATI encourages standardized interviewing and monitoring of interviewers. ***Paper-and-pencil administration is not permitted for telephone surveys.*** To ensure that sample patients are called at different times of the day and across multiple days of the week, survey vendors must also have a survey management system. The CATI system must be linked to the survey management system so that cases can be tracked, appointments set, and

follow-up calls made at appropriate times. Pending and final disposition codes must be easily accessible for all cases.

There are two additional requirements:

- Predictive or automatic dialers are permitted, as long as they are compliant with Federal Trade Commission (FTC) and Federal Communications Commission (FCC) regulations and as long as respondents can easily interact with a live interviewer. For more information about FTC and FCC regulations, please visit <https://www.ftc.gov> and <https://www.fcc.gov>.
- FCC regulations prohibit auto-dialing of cell phone numbers. Therefore, cell phone numbers need to be identified in advance to allow the vendor to treat cell phone numbers in a way that complies with FCC regulations. It is vendors' responsibility to familiarize themselves with all applicable state and federal laws and abide by those accordingly in regard to calling cell phone numbers.

### **6.2.2 Telephone Interview Script**

Survey vendors will be provided with a standardized telephone script in English and Spanish. These scripts include the interviewer introduction in addition to the survey questions. The survey can be administered as a standalone survey or can be combined with the ICH CAHPS supplemental questions or facility-specific questions (more information about supplemental and facility-specific questions are provided below). The ICH CAHPS Survey telephone interview contains 59 questions. Questions 1 to 44 are considered the “core” ICH CAHPS Survey questions and must be placed at the beginning of the interview. Questions 45 to 59 are the “About You” ICH CAHPS Survey questions. Note that the ICH CAHPS telephone interview script contains only 59 questions and the mail survey contains 62 questions. The difference in the number of questions is that the mail survey questionnaire contains questions that ask if anyone helped the sample patient to complete the survey (Questions 60, 61, and 62). These three questions are not applicable if the survey is administered by telephone.

There are 21 ICH CAHPS optional supplemental questions available for ICH facilities to use, at the facility's discretion. These ICH CAHPS supplemental questions have been fully tested and approved by CMS. An ICH facility can choose to use one or more of the ICH CAHPS supplemental questions; the supplemental questions do not need to be administered as a group. ICH CAHPS supplemental questions are available on the ICH CAHPS Survey website at <https://ichcahps.org> and in *Appendix I*.

The “About You” questions must be administered as a unit, although they may be placed either before or after ICH CAHPS supplemental questions or facility-specific questions, if any. If the ICH facility does not plan to add supplemental or facility-specific questions to the questionnaire, the questions in the “About You” section must follow the core set of questions.

The telephone scripts in English and Spanish are included in *Appendices C* and *D*, respectively, and are posted on the ICH CAHPS website at <https://ichcahps.org>. As noted in the preceding section, the ICH CAHPS Survey will not be administered by telephone in Chinese or Samoan; therefore, a telephone script in those languages is not provided.

### 6.2.3 Definitions

During previous training sessions, vendors asked for official definitions for some of the words and terms included in the ICH CAHPS Survey. The official definitions are as follows.

**Catheter** (KATH-uh-tur): A tube inserted through the skin into a blood vessel or cavity to draw out body fluid or infuse fluid. In *peritoneal dialysis*, a catheter is used to infuse *dialysis solution* into the abdominal cavity and drain it out again.

**Fistula** (FISS-tyoo-luh): Surgical connection of an **artery** directly to a **vein**, usually in the forearm, created in people who need **hemodialysis**. The **arteriovenous (AV) fistula** causes the vein to grow thicker, allowing the repeated needle insertions required for hemodialysis. Development of the AV fistula takes 4 to 6 months after surgery before it can be used for hemodialysis.

**Peritoneal** (PAIR-ih-toh-NEE-uhl): Filtering the blood by using the lining of the abdominal cavity, or belly, as a *semipermeable membrane*. A cleansing liquid, called *dialysis solution*, is drained from a bag into the abdomen. Fluid and wastes flow through the lining of the abdominal cavity and remain “trapped” in the dialysis solution. The solution is then drained from the abdomen, removing the extra fluid and wastes from the body.

ICH CAHPS Survey vendors should make sure they review the correct pronunciation of these words with their telephone interviewers when interviewers are trained and then check for correct pronunciations of these words when monitoring telephone interviews conducted by each interviewer. If telephone supervisory staff observe an interviewer mispronouncing words in the survey when monitoring telephone interviews, the supervisor should retrain the interviewer as soon as possible after the monitoring session and before the telephone interviewer is allowed to resume making telephone calls to sample patients.

### 6.2.4 ICH CAHPS Telephone Survey Questionnaire Programming Requirements

- The questionnaire must begin with the core ICH CAHPS Survey questions (Qs. 1 to 44).
- ICH facilities must follow the guidelines below for adding any ICH CAHPS supplemental questions or their own facility-specific questions. All facility-specific questions must be submitted to and approved by the ICH CAHPS Coordination Team.

- The “About You” questions (Qs. 45 to 59) must be administered as a unit (i.e., they must be kept together and may not be separated or placed throughout the survey). The “About You” questions may be placed before or after any facility-specific or ICH CAHPS supplemental questions.
- No changes in wording are allowed to either the ICH CAHPS Survey questions or to the response (answer) choices. In addition, no changes are allowed to the ICH CAHPS supplemental questions or responses.
- Only CMS-approved translations of the questionnaire are permitted; however, if facilities choose to add their facility-specific questions, survey vendors will be responsible for translating those questions.

### **6.2.5 Adding Supplemental and Facility-Specific Questions to the ICH CAHPS Survey**

AHRQ and its CAHPS Consortium developed and tested 21 ICH CAHPS supplemental questions about ICH care, which are included in *Appendix I* and available on the ICH CAHPS Survey website (<https://ichcahps.org>). ICH facilities might wish to use some of these questions or add their own facility-specific questions to the ICH CAHPS Survey.

#### **6.2.5.1 Requirements for Adding Supplemental Questions and Facility-Specific Questions**

- All ICH CAHPS supplemental questions and facility-specific questions must be placed **after** the core ICH CAHPS Survey questions (Qs. 1 to 44). They may be placed either before or after the ICH CAHPS Survey “About You” questions (Qs. 45 to 59).
- Facility-specific questions that the ICH facility plans to add to the ICH CAHPS Survey must be submitted to and approved by the Coordination Team **before** they are added to the survey. The survey vendor must send the facility-specific questions and their proposed placement in the ICH CAHPS Survey questionnaire to the Coordination Team at [ichcahps@rti.org](mailto:ichcahps@rti.org). For the CY2020 ICH CAHPS Spring Survey, the deadlines for submitting facility-specific supplemental questions to the Coordination Team was February 7, 2020. Survey vendors may submit facility-specific supplemental questions after that date; however, those questions might not be approved in time to be included in the questionnaire for that specific survey period. Note that facility-specific questions that have been previously approved do not need to be submitted to the Coordination Team prior to a survey period unless the wording or the response options in those questions change.
- Use of any of the ICH CAHPS supplemental questions does not require prior review and approval by the ICH CAHPS Coordination Team, because these questions have already been tested and approved.

- ICH facilities cannot add questions that repeat any of the survey questions in the core ICH CAHPS Survey, even if the response scale is different.
- Facility-specific questions cannot be used with the intention of marketing or promoting services provided by the ICH facility or any other organization.
- Facility-specific questions cannot ask sample patients why they responded a certain way to a core ICH CAHPS question.
- Facility-specific questions cannot ask sample patients to identify other individuals who might need ICH services. Such questions raise privacy and confidentiality issues if PII were shared with the ICH facility without a person's knowledge and permission.
- Survey vendors are responsible for translating any facility-specific questions added to the questionnaire.
- Survey vendors must not include responses to the ICH CAHPS supplemental questions or facility-specific questions on the data files that will be uploaded to the Data Center.

#### *6.2.5.2 Recommendations for Adding Supplemental and Facility-Specific Questions*

- We recommend that facilities/vendors avoid sensitive questions or lengthy additions, because these will likely reduce expected response rates.

### **6.3 Telephone Interviewing Requirements**

Telephone interviewing requirements for the ICH CAHPS Survey interview are described below. Survey vendors must follow these requirements to maximize response rates and to ensure consistency in how the telephone-only mode of administration is implemented.

#### **6.3.1 Telephone Contact**

- Survey vendors must attempt to contact every patient in the sample. Survey vendors must make a maximum of 10 telephone contact attempts for each sample patient, unless the sample patient refuses or the survey vendor learns that the sample patient is ineligible to participate in the survey. The 10 contact attempts must be made on different days of the week and different times of the day and spread over the course of the telephone data collection period.
- One telephone contact attempt is defined as one of the following:
  - the telephone rings six times with no answer;
  - the person who answers the phone indicates that the sample patient is not available to take the call;



- the interviewer reaches the sample patient and is asked to schedule a call-back at a later date; or
  - the interviewer gets a busy signal on two consecutive phone call attempts; the second call must be placed at least 20 minutes after the first call attempt.
- If a sample patient is reached but is unable to speak with the telephone interviewer at that time, if he or she requests that a telephone interviewer call back at a different date/time (for either a callback or scheduled appointment), an effort must be made to recontact the respondent on that requested date/time.
  - Survey vendors may make more than one attempt in one 7-day period but cannot make all 10 attempts in one 7-day period. Survey vendors should keep in mind that ICH patients might be sicker than some other patient populations and might be hospitalized when some of the initial calls are made. Therefore, calls must be scheduled to take place over the 12 weeks of the data collection period to reach patients who might be unavailable for long periods of time.
  - Contact with a sample patient may be continued after 10 attempts if the 10th attempt results in a scheduled appointment with the sample patient, as long as the appointment is within the data collection period.
  - If the interviewer receives a new telephone number for the sample patient, the 10 attempts should start over with the new phone number. A total of 10 call attempts must be made on the updated telephone number, if there is enough time left in the data collection period after the new number is identified. If the new number is identified later in the data collection period, survey vendors should try their best to call sample members' new telephone number the required 10 times, keeping in mind the rule that they may make more than one attempt in one 7-day period, but cannot make all 10 attempts in one 7-day period. If a vendor is unable to complete 10 attempts on a new number due to receiving the new number very late in the data collection period, the vendor should combine the old and new call attempts, ensuring that at least 10 attempts were made in total, and then code the case as a 250. Please note that this is only permissible when the new number is received late in the data collection period.
  - If the interviewer gets a fast-busy signal, the interviewer should redial the telephone number immediately after receiving the fast busy signal. If the interviewer again receives the same fast busy signal, the interviewer should call the telephone number again on a different day of the week and at a different time of day than the initial calls. If the third call attempt again results in the same fast busy signal, the vendor should apply the appropriate final disposition code to the case.
  - If the interviewer receives a recorded message indicating the telephone number is “temporarily out of service,” the interviewer should redial the telephone number 3 to 5 days

after the initial call was made. If the second call attempt again results in the same recorded message, the interviewer should call the telephone number a third time, 5 days after the second call attempt was made. If the third call attempt again results in the same recorded message, the vendor should apply the appropriate final disposition code to the case.

- Telephone calls to the sample patient must be made at different times of day (i.e., morning, afternoon, and evening) and different days of the week throughout the data collection period.
- Interviewers **may not** leave voicemail messages on answering machines **or** leave messages with the person answering the phone.
- Survey vendors must maintain a call log that keeps track of the date and time phone calls were made for each sample patient and apply the appropriate final disposition code to the case.
- If the survey vendor finds out that a sample patient is deceased, institutionalized, or physically or mentally incapable of participating in the ICH CAHPS Survey, the survey vendor must immediately stop further contact attempts with that sample patient and apply the appropriate final disposition code.
- If the telephone interviewer learns at any time that the sample patient is receiving hemodialysis while the interview is being conducted, the telephone interviewer must stop the interview and reschedule to complete it at a time when the sample patient is not at the facility.
- Telephone survey data collection must end 12 weeks after the prenotification letter is mailed.
- The use of incentives of any kind is not permitted.
- The use of proxy respondents is not permitted.
- If a respondent begins the interview but cannot complete it during the call for a reason other than a refusal, the survey vendor must follow up (recontact at a later time) with the respondent to complete the interview. The interviewer must follow up even if the respondent answered enough questions in the interview for the case to pass the completeness criteria. It is especially important to complete the questions in the “About You” section of the questionnaire because data from some of those questions will be used in patient-mix adjustment.
- If a respondent begins the interview but cannot complete it on the same call, the interviewer should resume the interview at the last unanswered question, when the respondent is recontacted. Note that the vendor must not begin the interview at Q1 (the beginning of the interview) during the recontact attempt.



- If a respondent does not feel well enough to participate in the telephone interview because of his or her medical treatment, the interviewer must be prepared to make an appointment to conduct the interview at a time that is better for the patient. Survey vendors should keep in mind that sample patients must receive dialysis treatment a minimum number of times each week (for most ESRD patients, dialysis is required a minimum of three times each week) and some patients may not feel well enough to participate in the telephone interview if they are reached within a short time after they have received dialysis.
- Survey vendors must make sure that they differentiate between sample patients who refuse to participate during a specific survey period and those who indicate that the survey vendor should never contact them again. If a sample patient refuses to participate during the current survey period but does not indicate that the vendor should never contact him or her again, the survey vendor must attempt to survey the patient if he or she is included in the sample in subsequent survey periods.
- If an ICH CAHPS sample patient is on the survey vendor's Do Not Contact List, based on a previous contact for another survey conducted by the organization which indicates that the sample patient should never be contacted again, the vendor may honor that patient's request. As such, ICH CAHPS Survey vendors must determine a way by which to designate and identify sample patients who permanently refuse to participate in the current survey period and all future ICH CAHPS Survey periods. Vendors are encouraged to use their internal records to identify the sample patients included in the sample file downloaded from the ICH CAHPS website who have previously indicated that they do not wish to be recontacted concerning the ICH CAHPS survey. These sample patients should not be sent any survey materials (i.e., the prenotification letter), should not be contacted to complete the phone interview, and should instead be assigned a final disposition code of Refusal.
- The vendor must be able to offer the interview in any of the languages for which an ICH facility has contracted, even if the language is different from the language that the ICH facility believes the sample patient will require (if language is obtained from client facilities). That is, the vendor must be able to toggle back and forth between available languages. As a reminder, the ICH CAHPS telephone interview can only be administered in English or Spanish. If a telephone interviewer learns during the course of a phone contact attempt that a sample patient speaks only Chinese or Samoan, the survey vendor should stop work on the case and assign the applicable final language barrier disposition code.
- If a sample patient hangs up immediately before or while the interviewer is reading the introductory script, the case should be called again at a later point in time. That is, on a different day of the week and at a different time of day. If the sample patient hangs up after the introductory script has been read to him or her, the interviewer should code the case as a refusal. That is, the vendor should not make any additional calls to that sample patient.

### **6.3.2 Contacting Difficult-to-Reach Sample Patients**

Some patients may be difficult to reach because of incorrect telephone numbers, illness, hospitalization, or homelessness. The requirements and recommendations for contacting difficult-to-reach sample patients follow.

#### **6.3.2.1 Requirements for Contacting Difficult-to-Reach Sample Patients**

- After a sample file is downloaded, survey vendors must verify **each** telephone number that is included in the sample file provided by the Coordination Team using a commercial address/telephone database service or directory assistance. Note that in addition to using a commercial service, survey vendors are permitted to ask ICH facilities to provide updated telephone numbers for **all** patients treated within the sampling window, if vendors have an appropriate agreement with the facilities. Survey vendors cannot, however, give a list of sample patients to the ICH facility when requesting updated address and telephone information.
- If the sample patient is ill, on vacation, or unavailable during initial contact, the interviewer must attempt to recontact the sample patient before the data collection period ends.
- Homeless sample patients are eligible to participate in the ICH CAHPS Survey if there is a telephone number in the patient information file for the patient and he or she meets all other survey eligibility criteria. The survey vendor must attempt to reach the sample patient using the telephone number provided. If there is no telephone number for a homeless sample patient, and one cannot be obtained via a commercial address/telephone database service or directory assistance, or from the ICH facility, the sample patient should be given a final disposition code of Wrong, Disconnected, or No Telephone Number (see **Chapter IX** for more information on the assignment of final disposition codes).

#### **6.3.2.2 Requirements for Contacting Sample Patients Residing in Nursing Homes**

- When selecting samples for the ICH CAHPS Survey, the Coordination Team uses patient-level information on the CROWNWeb database and excludes patients who do not meet survey-eligibility criteria, such as patients who reside in nursing homes (also known as skilled nursing facilities), if this is readily known. However, because CROWNWeb does not contain an explicit indicator that the patient lives in a nursing home, this determination is usually made by vendors during the ICH CAHPS data collection period.
- If a telephone interviewer calls the phone number provided for a sample patient and determines that the telephone number leads to a nursing home facility's front desk/receptionist, the following steps should be implemented:

- The telephone interviewer should still read INTRO1 of the ICH CAHPS telephone script: “Hello, may I please speak to [SAMPLED MEMBER’S NAME]?”
- If the nursing home staff member transfers the telephone interviewer to the sample patient’s room at the facility, the interviewer should continue with the interview once they reach the sample patient. If the sample patient truly lives in a nursing home or a skilled nursing facility and responds to Q1 by selecting response option 1 (“At home or at a skilled nursing home where I live”), the CATI program should skip the sample patient to Q45 and automatically final code the case as a 160 (Ineligible: Does Not Meet Eligibility Criteria).
- If the nursing home staff member transfers the telephone interviewer to the sampled patient, and the sampled patient is an employee at the facility (in this scenario the sampled patient is not a resident at the facility), the interviewer should continue with the interview once they reach the sample patient. However, the interviewer should be prepared to set a callback time (and possibly obtain a different number) if the sample patient prefers not to complete the interview while at work.
- If the nursing home staff member indicates they cannot or are not permitted to transfer the telephone interviewer to the sample patient’s room, the telephone interviewer should thank the staff member for their time and end the call. In this situation, if the vendor received multiple phone numbers for the sample patient (via the sample file received from the Coordination Team, the commercial address/phone number update, or a list of contact information received from the ICH facility for all patients treated during the sampling window), the vendor may want to call all numbers provided to see if any result in a direct dial to the sample patient. If the telephone interviewer is unable to obtain a new phone number for the sample patient, then a final disposition code of 160 (Ineligible: Does Not Meet Eligibility Criteria) should be assigned to the case.

#### 6.3.2.3 *Recommendations for Contacting Difficult-to-Reach Sample Patients*

- We recommend that survey vendors attempt to identify a new or updated telephone number for any sample patient whose telephone number is no longer in service when called and for any sample patients who have moved so that the sample patients can be contacted prior to the end of the data collection period.
- If the sample patient’s telephone number is incorrect, the interviewer may ask the person who answers the phone if he or she knows the sample member, and if so, ask for the sample patient’s phone number.

## 6.4 Telephone Interviewer Training

Survey vendors must provide training to all telephone interviewing and customer support staff prior to beginning telephone survey data collection activities. Telephone interviewer and customer support staff training must include training interviewers to:

- Establish rapport with the respondent;
- Effectively communicate the content and purpose of the interview to sample patients;
- Administer the interview in a standardized format, which includes reading the questions as they are worded, not providing the respondent with additional information that is not scripted, maintaining a professional manner, and adhering to all quality control standards;
- Use effective neutral probing techniques (see *Appendix K*);
- Use the list of frequently asked questions by sample patients and suggested answers to those questions (see *Appendix J*) so that they can answer questions in a standardized format; and
- Answer questions in English and the other language(s) in which the survey is being offered.

Survey vendors should also provide telephone survey supervisors with an understanding of effective quality control procedures to monitor and supervise interviewers.

Survey vendors must conduct an interviewer certification process of some kind—oral, written, or both—for each interviewer and customer service staff member prior to permitting the interviewer or staff member to make or take calls on the ICH CAHPS Survey. The certification should be designed to assess the interviewer’s level of knowledge and comfort with the ICH CAHPS Survey Questionnaire and ability to respond to sample patients’ questions about the survey. Documentation of training and certification of all telephone interviewers and customer support staff and outcomes will be subject to review during oversight visits by the Coordination Team.

Note that some patients might call the vendor’s hotline to complain about their ICH facility or the hemodialysis care they receive. If this happens, the vendor’s customer support staff should ask the sample patient to report the issue to the ESRD Network that serves the state in which the sample patient lives. The vendor’s customer service staff and telephone interviewers should have the list of ESRD Networks that serve each state (see *Appendix P*) posted at their station to provide the toll-free number to the patient. Staff may also provide the 1-800-MEDICARE number to patients.

## 6.5 Distressed Respondent Procedures

A distressed respondent protocol provides assistance if the situation indicates that the respondent’s health and safety are in jeopardy. Best interviewing practices recommend having a

protocol in place for handling distressed respondents. Survey vendors must develop a distressed respondent protocol, to be incorporated into all telephone interviewers and help desk training. Distressed respondent protocols balance respondents' rights to confidentiality and privacy by keeping PII and PHI confidential with guidance about when and how to help those needing assistance.

Each approved ICH CAHPS Survey vendor must have procedures in place for handling distressed respondent situations and to follow those procedures. The Coordination Team cannot provide specific guidelines on how to evaluate or handle distressed respondents. However, survey vendors are urged to consult with their organization's Committee for the Protection of Human Subjects IRB for guidance. In addition, professional associations for researchers, such as the American Association for Public Opinion Research (AAPOR), might be able to provide guidance regarding this issue. The following is an excerpt from AAPOR's website that lists resources for the protection of human subjects. More information about protection of human subjects is available at AAPOR's website at <https://www.aapor.org>.<sup>3</sup>

- The Belmont Report (guidelines and recommendations that gave rise to current federal regulations)
- Federal Regulations Regarding Protection of Human Research Subjects (45 CFR 46) (also known as the Common Rule)
- Federal OHRP
- NIH Human Participant Investigator Training (although the site appears to be for cancer researchers, it is the site for the general investigator training used by many institutions)
- University of Minnesota Web-Based Instruction on Informed Consent

## 6.6 Telephone Data Processing Procedures

The following guidelines are provided for ensuring that telephone interview data are properly processed and managed.

### 6.6.1 Telephone Data Processing Requirements

- The unique SID number assigned to each sample patient by the Coordination Team must be included in the case management system and on the final data file for each sample patient.
- Survey vendors must enter the date and time of each interview contact attempt with each sample patient in the survey management system or in the interview data. Survey vendors

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<sup>3</sup> The AAPOR website at <https://www.aapor.org/Standards-Ethics/Institutional-Review-Boards/Additional-IRB-Resources.aspx>, February 2015.

must be able to link each telephone interview to their survey management system, so that appropriate variables, such as the language in which the survey was conducted and the date the telephone interview was completed, can be pulled into the final data file.

- Survey vendors must de-identify all telephone interview data when the data are transferred into the final data file that will be submitted to the ICH CAHPS Data Center. Identifiable data include respondent names and contact information.
- Survey vendors must assign a final ICH CAHPS Survey disposition code to each case (see **Chapter IX** for a list of these codes) and include a final disposition code for each sampled case in the final data file. It is up to the vendor to develop and use a set of *pending* disposition codes to track actions on a case before it is finalized—pending disposition codes are not specified in the ICH CAHPS Survey protocol.

## 6.7 Conducting the ICH CAHPS Survey With Other ICH Facility Surveys

Some ICH facilities might wish to conduct other patient surveys in addition to the ICH CAHPS Survey to support internal quality improvement activities. ICH facilities may include questions that ask for more in-depth information about ICH CAHPS issues but should not repeat the ICH CAHPS Survey questions or include questions that are very similar.

ICH facilities may not:

- Provide information to their patients that promotes the services provided by the ICH facility;
- Ask their patients for the names of other ESRD patients who might need dialysis care; or
- Ask their patients for consent for the ICH facility vendor to share their survey responses with the ICH facility.

## VII. MAIL WITH TELEPHONE FOLLOW-UP (MIXED-MODE) SURVEY ADMINISTRATION PROCEDURES

### 7.0 Overview

This chapter describes the requirements and guidelines for implementing a mixed-mode survey administration for the ICH CAHPS Survey. For the ICH CAHPS Survey, “mixed mode” is defined as a mail survey followed by a telephone survey of nonrespondents.

The chapter begins with a discussion of the mixed-mode survey data collection schedule, followed by a discussion of the requirements for producing all mailing materials (including questionnaires, cover letters, and envelopes), telephone interviewing materials, and the data collection systems. The following guidelines are also provided: mailing the prenotification letters and questionnaire packages; developing and administering the telephone interview; data processing activities (such as optical scanning and data entry of the mail questionnaire); and general interviewing protocols and frequently asked questions that interviewers might encounter. Quality control guidelines related to implementing the ICH CAHPS Survey using mixed-mode administration data collection can be found in *Chapter XII*.

### 7.1 Mixed-Mode Activities and Schedule

Approved ICH CAHPS Survey vendors began administering the ICH CAHPS Survey for each of their ICH facility clients on a semiannual basis (twice each year) in CY2015. Data collection for each ICH CAHPS Survey will be conducted during a 12-week period. For the Spring Surveys, data collection activities will be conducted from April through mid-July. Fall Surveys will be conducted each year from October through mid-January. For all approved survey modes, the data collection period will begin by preparing and mailing a prenotification letter to all sample patients. For the mixed-mode administration, a first questionnaire package will be sent to sample patients 14 days after the prenotification letter is mailed. Four weeks after the first questionnaire package is mailed, the survey vendor will begin contacting nonrespondents via telephone to complete a telephone interview. To be consistent across all facilities and vendors, all vendors are required to follow the prescribed dates for data collection.

*Table 7-1* shows the sampling window and survey schedule, including the data submission deadline, for the CY2020 ICH CAHPS Surveys. Note that ICH Survey vendors using mixed mode must initiate the survey by mailing the prenotification letter to sample patients **3 weeks (21 days) after downloading the sample file** from the ICH CAHPS website.



**Table 7-1. CY2020 Mixed-Mode Survey Administration Schedule**

Activity	2020 Spring Survey	2020 Fall Survey
Sampling window (months in which sample patients received ICH care at their current facility)	October 1–December 31, 2019	April 1–June 30, 2020
Samples provided to ICH CAHPS Survey vendors	March 27, 2020	September 25, 2020
Survey vendors attest to receipt of sample file	March 31, 2020	September 29, 2020
Mail prenotification letter to sample patients	April 17, 2020	October 16, 2020
Mail questionnaire with cover letter to sample patients	May 1, 2020	October 30, 2020
Initiate telephone follow-up contact for all mail survey nonrespondents*	May 29, 2020	December 2, 2020
End data collection activities	July 10, 2020	January 8, 2021
Data submission deadline	5:00 PM Eastern Time, July 29, 2020	5:00 PM Eastern Time, January 27, 2021

\* Survey vendors must begin call attempts starting on the telephone follow-up data collection start date. We do not expect that all sampled patients will receive a call on this start date; however, they should receive a call very soon after the start date (and within the first week of telephone follow-up data collection).

### 7.1.1 Use of Other Languages in the Mixed-Mode Data Collection

ICH CAHPS Survey vendors must administer the survey in English in each data collection mode for which they have been approved by the ICH CAHPS Coordination Team, but they are not required to offer or administer the survey in any of the other approved survey languages (Spanish, simplified Chinese, traditional Chinese, and Samoan). ***Survey vendors must use the same data collection mode for all of a facility's sample patients during a survey period.*** If a facility chooses to use mixed-mode data collection and it has sample patients who speak only Chinese or Samoan, the survey vendor can send the prenotification letter and the first questionnaire package to those patients in the applicable approved language. If, however, Chinese- or Samoan-speaking sample patients do not return the mail survey questionnaire, the survey vendor must assign the case for telephone follow-up and attempt to contact those patients by phone. During telephone follow-up, if the telephone interviewer learns that the sample patient does not speak English, the case must be assigned the language barrier final disposition code.

Although the facility might indicate that a sample patient's preferred language is Chinese or Samoan, survey vendors should keep in mind that some of these patients might speak English well enough to participate in a telephone interview. If the majority of an ICH facility's sample patients speak only Chinese or Samoan, the facility should consider using the mail-only data collection mode to give all of its sample patients the opportunity to participate in the survey.



## 7.2 Production of Letters, Envelopes, and Questionnaires

The requirements for producing all materials needed for the mail phase of the mixed-mode survey administration are described below. The sample mail survey cover letters and the mail survey questionnaire in English, Spanish, traditional Chinese, simplified Chinese, and Samoan are available on the ICH CAHPS website at <https://ichcahps.org> and in the appendices to this manual.

- Questionnaire and sample mail survey cover letters in English, *Appendix C*;
- Questionnaire and sample mail survey cover letters in Spanish, *Appendix D*;
- Questionnaire and sample mail survey cover letters in traditional Chinese, *Appendix E*;
- Questionnaire and sample mail survey cover letters in simplified Chinese, *Appendix F*;
- Questionnaire and sample mail survey cover letters in Samoan, *Appendix G*; and
- OMB Disclosure Notice in English, Spanish, traditional Chinese, simplified Chinese, and Samoan in *Appendix H*.

Specific requirements and guidelines associated with the mail survey letters, envelopes, and questionnaire are discussed below.

### 7.2.1 Prenotification Letter

The prenotification letter sent to sample patients will provide information about the purpose of the survey and will alert sample patients that they will be contacted within a few days and invited to participate in the survey. The prenotification letter also indicates that responses to the survey will be held in confidence and are protected by the (Federal) Privacy Act (of 1974).

The prenotification letter will be printed on CMS letterhead and signed by CMS. Therefore, it will not be personalized for each sample patient. That is, the patient's name and address will not be printed on the prenotification letter, and it will be addressed to "Dear Sir or Madam." The prenotification letter will also contain the survey vendor's name and toll-free customer service telephone number(s). ***ICH CAHPS Survey vendors cannot make any changes to the text of the prenotification letter.*** If any changes are needed to the vendor's contact information, the vendor should notify the Coordination Team.

Survey vendors should note that although the prenotification letter is available in simplified and traditional Chinese and in Samoan (and should be sent to sample patients requesting them), ***the ICH CAHPS Survey cannot be administered by telephone in simplified Chinese, traditional Chinese, or Samoan.*** If a sample patient speaks only Chinese or Samoan during the course of a phone contact attempt, the survey vendor should stop work on the case and assign the applicable

final language barrier disposition code (see *Chapter IX* for final survey disposition codes). Survey vendors must administer the telephone survey in English but are not required to administer the survey in Spanish.

#### *7.2.1.1 Requirements for the Prenotification Letter*

The prenotification letter that will be used on the ICH CAHPS Survey is not available on the ICH CAHPS website nor is it included in the appendices to this manual. The Coordination Team will prepare the prenotification letter that will be sent to each ICH facility's sample patients and provide the facility's contracted survey vendor with a PDF file containing the prenotification letter. If a survey vendor will be offering the survey in any of the approved languages, CMS will provide a PDF file containing the prenotification letter in that language. The prenotification letter will be specific for each vendor. Each survey vendor will be responsible for using the PDF file to print and mail the prenotification letter to the patients sampled for each of its ICH facility clients. Survey vendors must prepare and provide the mailing envelopes for mailing the prenotification letter to sample patients. The survey vendor is responsible for mailing a prenotification letter to all sample patients 3 weeks (21 days) after downloading the sample file from the ICH CAHPS website.

The following are requirements for the prenotification letter and for the envelope that will be used to mail the prenotification letter.

- After the sample file is downloaded, survey vendors must verify each mailing address that is included in the sample file provided by the ICH CAHPS Coordination Team using a commercial address update service, such as the NCOA or the U.S. Postal Service Zip+4 software. In addition to using a commercial service, survey vendors are permitted to ask ICH facilities to provide updated address information for all of the patients they treated during the sampling window, if vendors have an appropriate agreement with the ICH facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility when requesting updated address and telephone information.
- The CMS logo, along with the survey vendor's return address, must be printed on the envelope. The Coordination Team has already provided a copy of the CMS logo to all ICH CAHPS Survey vendors.
- The envelope must be marked "Address Service Requested," "Change Service Requested," "Return Service Requested," "Electronic Service Requested," or "First-Class Mail" for the U.S. Postal System to provide the sample patient's new address if he or she has moved (so the survey vendor can update its files with the sample patient's new address). Vendors must not share updated address information with their facilities.
- For privacy reasons, the name of the dialysis facility must not appear in the return address or anywhere on the mailing envelope.

- The sample patient's full name and mailing address must be printed on the envelope. Vendors should note that the prenotification letter is not personalized—that is, the sample patient's name and address is not printed on the letter. Survey vendors are permitted to use a window envelope to mail the prenotification letter, but to do so they must print the sample patient's name and address on a separate sheet of paper and include it in the prenotification envelope so that the name and address appear in the window of the envelope.

#### *7.2.1.2 Recommendation for Mailing the Prenotification Letter*

- We recommend that the prenotification letter be sent with either first-class postage or indicia to ensure timely delivery and to maximize response rates.

### **7.2.2 Mail Survey Cover Letters**

The cover letter included with the questionnaire package explains the purpose of the survey, provides instructions on how to participate in the survey, and contains the survey vendor's toll-free telephone number(s) so that sample patients can contact the survey vendor if they have any questions about the survey. The questionnaire package that survey vendors send to sample patients will consist of a cover letter, the ICH CAHPS Survey questionnaire, and a postage-paid return envelope. Examples of cover letters in English, Spanish, traditional Chinese, simplified Chinese, and Samoan are provided in the appendices (see *Appendices C–G*) and on the ICH CAHPS website. Survey vendors can use the example cover letters, or they may choose to develop their own cover letters, provided that the following requirements are met:

#### *7.2.2.1 Requirements for Cover Letters*

- Cover letters must be personalized with the name and address of the sample patient.
- The sample patient's SID number must be printed on the cover letter. If the vendor would rather use an internal tracking ID on the cover letter, the vendor is required to submit an ERF to the Coordination Team for review and approval.
- Cover letters must be separate from the questionnaire so that no PII is returned with the questionnaire when the respondent sends it back to the survey vendor.
- In a mixed-mode survey, survey vendors must not offer sample patients the opportunity to complete the survey by telephone until after the survey vendor begins telephone follow-up with mail survey nonrespondents.
- The letter must describe the purpose of the survey and how the results will be used.
- The letter must state that the information sample patients provide is protected by the Federal Privacy Act of 1974. Please note, if the survey vendor so chooses, it may exclude the word "Federal" or the phrase "of 1974."

- The letter must state that sample patients should not ask ICH facility staff for help completing the survey.
- The letter must state that participation is voluntary and will not affect any dialysis care or Medicare benefits the sample patient receives or expects to receive.
- The survey vendor's name (or logo) must be included at the top of the letter.
- The letter must be from the survey vendor (not the ICH facility) and be signed by an appropriate survey vendor official.
- The name of the sample patient's ICH facility and the survey vendor's name must be inserted (printed) where indicated in the text of the example cover letter.
- If a facility would like to have its logo included on the cover letter, the facility's logo must appear only in the right top section of the letter. The facility's logo must not appear in the window of the envelope.
- A toll-free customer support telephone number, which will be staffed by the survey vendor, must be included in the letter.
- The OMB disclosure notice (see *Appendix H*), which includes the OMB number within it, must be printed either on the questionnaire or in the cover letter.
- The letter must be printed using a font size equal to or larger than Times New Roman 11 or Arial 11 point font.

#### **7.2.2.2 Recommendations for Cover Letters**

- Survey vendors offering Spanish, traditional Chinese, simplified Chinese, or Samoan versions of the questionnaire may add wording to the English cover letter indicating that a version of the questionnaire is available in those languages.
- Survey vendors should try to format the cover letter so that it is only one page.
- Survey vendors should consider using the revised versions of these letters, which were revised in 2017 to make it easier to understand by sample patients.

#### **7.2.3 ICH CAHPS Survey Questionnaire**

The ICH CAHPS Survey mail questionnaire contains 62 questions. The questionnaire can be administered as a standalone survey or can be combined with the ICH CAHPS supplemental questions or facility-specific questions (more information about supplemental and facility-specific questions is provided below). Questions 1 to 44 are considered the “core” ICH CAHPS

Survey questions and must be placed at the beginning of the questionnaire. Questions 45 to 62 are the “About You” ICH CAHPS Survey questions and must be administered as a unit, although they may be placed either before or after any additional questions that the ICH facility plans to add to the ICH CAHPS Survey. If no ICH CAHPS supplemental questions or facility-specific questions are to be added to the ICH CAHPS Survey questionnaire, the “About You” questions must follow the core ICH CAHPS Survey questions.

There are 21 ICH CAHPS supplemental questions available for ICH facilities to use if an ICH facility desires. These ICH CAHPS supplemental questions have been tested and approved by CMS. An ICH facility can choose to use one or more of these ICH CAHPS supplemental questions; they do not need to be administered as a group. The ICH CAHPS supplemental questions are available on the ICH CAHPS Survey website at <https://ichcahps.org> and in *Appendix I*.

The following are formatting and content requirements and recommendations for the ICH CAHPS Survey questionnaire. Note that survey vendors cannot deviate from questionnaire requirements.

#### *7.2.3.1 ICH CAHPS Survey Questionnaire Requirements*

- Every questionnaire must begin with the core ICH CAHPS Survey questions (Qs. 1 to 44).
- ICH facilities must follow the guidelines below for adding any ICH CAHPS supplemental questions or their own facility-specific questions. All facility-specific questions must be submitted to and approved by the Coordination Team.
- The “About You” questions (Qs. 45 to 62) must be administered as a unit (i.e., they must be kept together and may not be separated or placed throughout the questionnaire). The “About You” questions may be placed before or after any facility-specific or ICH CAHPS supplemental questions.
- No changes in wording are allowed to either the ICH CAHPS Survey questions (core or About You questions) or to the response (answer) options. In addition, no changes are allowed to the ICH CAHPS supplemental questions or response options.
- Questions and associated response options must not be split across pages.
- Survey vendors must be consistent throughout the questionnaire in formatting response options either vertically or horizontally. If a survey vendor elects to list the response options vertically, this must be done for every question in the questionnaire. Survey vendors may not format some response options vertically and some horizontally.

- No matrix formatting of the questions is allowed. Matrix formatting means formatting a set of questions as a table, with responses listed across the top of a page and individual questions listed in a column on the left.
- The questionnaire must be printed using a font size equal to or larger than Times New Roman 11 or Arial 11 point font. The unique SID number assigned by the Coordination Team to each sample patient must appear on at least the first page of the questionnaire for tracking purposes. The survey vendor must not print the sample patient's name or any other information that could identify the sample patient anywhere on the questionnaire. If the vendor would rather use an internal tracking ID on the questionnaire (or has other requests related to the placement of the SID on the questionnaire), the vendor is required to submit an ERF to the Coordination Team for review and approval.
- Only CMS-approved translations of the questionnaire are permitted; however, if facilities choose to add facility-specific supplemental questions, survey vendors will be responsible for translating those questions.
- The ICH facility's name must appear in the cover letter and must be printed where indicated in the questionnaire.
- Survey vendors cannot include any promotional messages or materials, including indications that either the ICH facility or the survey vendor has been approved by the Better Business Bureau, on the ICH CAHPS cover letter, questionnaire, or on outgoing or incoming mailing envelopes.
- The survey vendor's name and mailing address must be printed at the bottom of the last page of the ICH CAHPS Survey questionnaire in case the respondent does not use or misplaces the business reply envelope included with the questionnaire package mailed to the sample patient.
- The OMB number shown in **Appendix H** must be printed in the upper right-hand corner of the questionnaire cover. If there is no cover, then the OMB number must be printed in the upper right-hand corner of the first page of the questionnaire. In addition, the OMB expiration date must appear under the OMB number; please note that this date must be updated prior to the 2020 Spring Survey.
- The OMB disclosure notice (see **Appendix H**), which includes the OMB number within it, must be printed either on the questionnaire or in the cover letter. If the disclosure notice is printed on the questionnaire, the OMB number must also appear separately from the OMB disclosure notice on the first page of the questionnaire. In other words, if the OMB disclosure notice is printed on the questionnaire cover, then the OMB number will appear twice on the cover—once within the OMB disclosure notice and separately somewhere else on the cover.

### 7.2.3.2 Recommendations for Printing the ICH CAHPS Survey Questionnaire

- Survey vendors should consider printing the sample patient's SID number on every page or every other page of the questionnaire in case the respondent defaces or marks through the SID on parts of the questionnaire or returns the questionnaire without the first page attached.
- Survey vendors should consider printing the SID at the top and bottom of every page in the questionnaire or encrypting the SID number so that it is only readable by a bar code reader.
- Survey vendors should use best survey practices when formatting the questionnaire, such as maximizing the use of white space and using simple fonts like Times New Roman or Arial.
- Survey vendors should consider using a two-column format.
- Survey vendors should consider using a font size of 12 or larger.
- If data entry keying is being used as the data entry method, small coding numbers next to the response choices may be used.
- If the vendor is printing the questionnaire as a tri-fold document, we recommend including information in either the cover letter or questionnaire to alert sample patients that the last page of the questionnaire is folded on top of another page and that patients should make sure they answer questions on all pages included in the questionnaire.

### 7.2.4 Adding Supplemental and Facility-Specific Questions to the ICH CAHPS Survey

AHRQ and its CAHPS Consortium developed and tested 21 ICH CAHPS supplemental questions about ICH care, which are included in *Appendix I* and available on the ICH CAHPS website (<https://ichcahps.org>). ICH facilities might wish to use some of these questions or add their own facility-specific questions to the ICH CAHPS Survey questionnaire.

Guidance for adding other questions to the ICH CAHPS Survey questionnaire is as follows:

#### 7.2.4.1 Requirements for Adding Supplemental and Facility-Specific Questions

- All ICH CAHPS supplemental questions and facility-specific questions must be placed **after** the core ICH CAHPS Survey questions (Qs. 1 to 44). They may be placed either before or after the ICH CAHPS Survey “About You” questions (Qs. 45 to 62).
- Facility-specific questions that the ICH facility plans to add to the ICH CAHPS Survey must be submitted to and approved by the Coordination Team **before** they are added to the survey. The survey vendor must submit the facility-specific questions and their proposed placement to the ICH CAHPS Coordination Team via e-mail at [ichcahps@rti.org](mailto:ichcahps@rti.org). For the CY2020 ICH



CAHPS Spring Survey, the deadline for submitting facility-specific supplemental questions to the Coordination Team was February 7, 2020. Survey vendors may submit facility-specific supplemental questions after that date; however, the facility-specific questions might not be approved in time to be included in the questionnaire for that specific survey period. Once the Coordination Team approves a facility-specific question, the vendor does not need to submit that question again unless the vendor changes the question wording or response options to that question.

- Use of any of the 21 ICH CAHPS supplemental questions does not require prior review and approval by the ICH CAHPS Coordination Team, because these questions have already been tested and approved.
- ICH facilities cannot add questions that repeat any of the survey questions in the core ICH CAHPS Survey, even if the response scale is different.
- Facility-specific questions cannot be used with the intention of marketing or promoting services provided by the ICH facility or any other organization.
- Facility-specific questions cannot ask sample patients why they responded a certain way to a core ICH CAHPS question.
- Facility-specific questions cannot ask sample patients to identify other individuals who might need ICH services. Such questions raise privacy and confidentiality issues if PII were shared with the ICH facility without a person's knowledge and permission.
- Survey vendors are responsible for translating any facility-specific questions added to the questionnaire.
- Survey vendors must not include responses to the ICH CAHPS supplemental questions or facility-specific questions on the ICH CAHPS Survey data files that will be uploaded to the Data Center.

#### ***7.2.4.2 Recommendations for Adding Supplemental and Facility-Specific Questions***

- We recommend that facilities/vendors avoid sensitive questions or lengthy additions, because these will likely reduce expected response rates.

#### ***7.2.5 Definitions***

During previous training sessions, vendors asked for official definitions for some of the words and terms included in the ICH CAHPS Survey. The official definitions are as follows.



**Catheter** (KATH-uh-tur): A tube inserted through the skin into a blood vessel or cavity to draw out body fluid or infuse fluid. In *peritoneal dialysis*, a catheter is used to infuse *dialysis solution* into the abdominal cavity and drain it out again.

**Fistula** (FISS-tyoo-luh): Surgical connection of an **artery** directly to a **vein**, usually in the forearm, created in people who need **hemodialysis**. The **arteriovenous** (AV) **fistula** causes the vein to grow thicker, allowing the repeated needle insertions required for hemodialysis. Development of the AV fistula takes 4 to 6 months after surgery before it can be used for hemodialysis.

**Peritoneal** (PAIR-ih-toh-NEE-uhl): Filtering the blood by using the lining of the abdominal cavity, or belly, as a *semipermeable membrane*. A cleansing liquid, called *dialysis solution*, is drained from a bag into the abdomen. Fluid and wastes flow through the lining of the abdominal cavity and remain “trapped” in the dialysis solution. The solution is then drained from the abdomen, removing the extra fluid and wastes from the body.

Survey vendors should make sure that they train their telephone interviewers on the correct pronunciation of the words above. During silent monitoring of live telephone interviews, telephone supervisors should also make sure that all telephone interviewers are pronouncing these words correctly and offer refresher training if they are not. If telephone supervisory staff observe an interviewer mispronouncing words in the survey when monitoring telephone interviews, the supervisor should retrain the interviewer as soon as possible after the monitoring session and before the telephone interviewer is allowed to resume making telephone calls to sample patients.

### 7.3 Mailing Survey Questionnaire Packages

Mailing requirements and recommendations for the ICH CAHPS Survey questionnaire packages are described below. Survey vendors must follow these requirements to maximize response rates and ensure consistency in how the mixed mode of administration is implemented.

#### 7.3.1 Mail Survey Envelopes

Survey vendors are responsible for supplying the outgoing envelopes that will be used to mail both the prenotification letter and the questionnaire packages to sample patients. A postage-paid business reply envelope must be included with each questionnaire mailing, preaddressed to the survey vendor.

#### 7.3.2 Mailing Requirements

- Survey vendors must verify each mailing address that is included in the sample file provided by the Coordination Team using a commercial address update service, such as NCOA or the U.S. Postal Service Zip+4 software. As noted previously, in addition to using a commercial

service, survey vendors are permitted to ask ICH facilities to provide updated address information for all of the patients the facility treated during the sampling window if vendors have an appropriate agreement with the facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility when requesting updated addresses and telephone numbers for sample patients.

- Survey vendors must send a prenotification letter and questionnaire package to every sampled case that has a complete address. If no house number or street name are included for a patient in the sample file, vendors are required to try and obtain an updated address via a commercial address update service. If no address can be found after the vendor attempts to obtain an address, the vendor must assign the case for telephone follow-up.
- The prenotification letter must be mailed 3 weeks (21 days) after downloading the sample file provided by the ICH CAHPS Coordination Team.
- The questionnaire package must be mailed 14 days after the prenotification letter is mailed.
- The questionnaire mailing must contain a personalized cover letter, questionnaire, and postage-paid business reply envelope.
- The questionnaire package must be mailed to all sampled patients.
- For privacy reasons, the name of the dialysis facility must not appear in the return address or anywhere on the mailing envelope.
- Data collection must end 12 weeks after the prenotification letter is mailed.

### **7.3.3 Mailing Recommendations**

- We recommend that survey vendors attempt to identify a new or updated address for any prenotification letters returned as undeliverable in time to send the questionnaire to the sample patient's correct mailing address.
- We recommend that questionnaires be sent with either first-class postage or indicia to ensure timely delivery and to maximize response rates.
- We recommend that survey vendors "seed" each mailing. Seeding means including the name and address of designated survey vendor staff member in each mailing file. The package will be mailed and delivered like all other questionnaires to the survey vendor staff member, thereby allowing the survey vendor to assess the completeness of the questionnaire package and timeliness of package delivery.
- Survey vendors have the option of including the CMS logo on the questionnaire envelope.

## 7.4 Data Receipt and Data Capture Requirements

The following guidelines are provided for receiving and tracking returned questionnaires. Survey vendors can choose whether to enter data via an optical scanning program or manually key data into a data entry program. Requirements for data receipt and for each type of data entry system are below.

### 7.4.1 Data Receipt Requirements

- The date the questionnaire was received from each sample patient must be entered into the data record created for each case on the data file.
- Questionnaires must be visually reviewed prior to scanning for notes/comments. Survey vendors must have more than one person who can code or review comments and notes attached to or included with the returned questionnaire for proper disposition code assignment.
- Completed questionnaires received must be logged into the tracking system in a timely manner to ensure that they are taken out of the cases being rolled over to the telephone follow-up activity.
- If a completed questionnaire is received from the sample patient after telephone follow-up begins and a telephone interview with that sample patient has already been completed, retain the questionnaire/interview with the more complete data. If both surveys are equally complete, the survey vendor should use the first one received/completed.
- If the survey vendor learns that a sample patient is deceased (via a telephone call from a relative or knowledgeable person, or as a note on a received completed questionnaire), the survey vendor must not process (scan or key) the data from the questionnaire for that sample patient. Instead, the vendor must make sure the final disposition code indicating that the sample patient is deceased is assigned to the case.
- If a mail survey is completed but the survey vendor learns later that the sample patient is deceased (via a letter or telephone call received after the completed mail survey is received), the survey vendor should process and include the data on the XML file if there is no indication that the survey was completed by someone else (based on the responses to Qs. 60–62) and the case meets the completeness criteria.
- Survey vendors cannot process and include on the XML file any completed mail survey questionnaires that are received after the data collection period ends for a specific survey period. The survey vendor must properly dispose of all such questionnaires. This means that the vendor should thoroughly shred the completed questionnaire so that no one can

“reconstruct” the questionnaire. The vendor must make sure the final disposition code indicating there was no response after maximum attempts is assigned to the case.

- A final ICH CAHPS Survey disposition code (see *Chapter IX*) must be assigned to each case.

#### **7.4.2 Optical Scanning Requirements**

- The scanning program must not permit scanning of duplicate questionnaires.
- The scanning program must not permit out-of-range or invalid responses.
- A sample of questionnaires (minimum of 10 percent) must be rescanned and compared with the original scanned image of the questionnaire as a quality control measure. Any discrepancies must be reconciled by a supervisor.
- The survey responses marked in a sample of questionnaires (minimum of 10 percent) must be compared to the entries scanned for that case to make sure that the scanning program scanned the marked responses correctly.
- If a response mark falls between two answer choices but is clearly closer to one answer choice than to another, select the response that is closest to the marked response.
- If two responses are checked for the same question, select the one that appears darkest. If it is not possible to make a determination, leave the response blank and code as “missing” rather than guessing.
- If a mark is between two answer choices but is not clearly closer to one answer choice, code as “missing.”
- If a response is missing, leave the response blank and code as “missing.”
- Although they can be scanned, survey vendors must not include responses to any ICH CAHPS supplemental questions or facility-specific supplemental questions on the data files submitted to the Data Center.
- Each ICH facility can decide whether to scan the responses to the open-ended survey questions, specifically the “Other language” (response option 8) in Q57, the other relationship specified (response option 4) in Q61, and the “Helped in some other way” (response option 5) in Q62. Survey vendors must not include responses to open-ended survey questions on the data files submitted to the Data Center. CMS, however, encourages survey vendors to review the open-ended entries so that they can provide feedback to the

Coordination Team about adding preprinted response options to these survey questions if needed.

### **7.4.3 Data Entry Requirements**

- The key entry process must not permit keying of duplicate questionnaires.
- The key entry program must not permit out-of-range or invalid responses.
- All questionnaires must be 100 percent rekeyed for quality control purposes. That is, for every questionnaire, a different key entry staff person must rekey the questionnaire to ensure that all entries are accurate. If any discrepancies are observed, a supervisor must resolve the discrepancy and ensure that the correct value is keyed.
- If a response mark falls between two answer choices but is clearly closer to one answer choice than to another, select the answer choice that is closest to the marked response.
- If two responses are checked for the same question, select the one that appears darkest. If it is not possible to make a determination, leave the response blank and code as “missing” rather than guessing.
- If a mark is between two answer choices but is not clearly closer to one answer choice, code as “missing.”
- If a response is missing, leave the response blank and code as “missing.”
- Although they can be keyed, survey vendors must not include responses to any ICH CAHPS supplemental questions or facility-specific supplemental questions on the data files submitted to the Data Center.
- Each ICH facility must decide whether to key the responses to the open-ended survey questions, specifically the “Other language” (response option 8) in Q57, the other relationship specified (response option 4) in Q61, and the “Helped in some other way” (response option 5) in Q62. Survey vendors must not include responses to open-ended survey questions on the data files submitted to the Data Center. CMS, however, encourages survey vendors to review the open-ended entries so that they can provide feedback to the Coordination Team about adding additional preprinted response options to these survey questions if needed.

## **7.5 Staff Training**

All staff involved in the mail phase of survey implementation, including support staff, must be thoroughly trained on the survey specifications and protocols. A copy of relevant chapters of this

manual should be made available to all staff as needed. In particular, staff involved in questionnaire assembly and mailout, data receipt, and data entry must be trained on:

- Use of relevant equipment and software (case management systems for entering questionnaire receipts, scanning equipment, data entry programs);
- ICH CAHPS Survey protocols specific to their role (for example, contents of questionnaire package, requirements for visually reviewing questionnaires prior to scanning for notes/comments, how to document or enter returned questionnaires into the tracking system);
- Decision rules and coding guidelines for returned questionnaires (see *Chapter IX*); and
- Proper handling of hardcopy and electronic data, including data storage requirements (see *Chapter VIII*).

Staff involved in providing customer support via the toll-free telephone number should also be trained on the accurate responses to FAQs, how to respond to questions when customer support does not know the answer, and the rights of survey respondents. A list of FAQs by sample patients and suggested answers to those questions are included in *Appendix J*. Note that some patients might call the vendor's hotline to complain about their ICH facility or the hemodialysis care they receive. The vendor's customer service staff and telephone interviewers should have the list of ESRD Networks at their work station for easy reference. If a sample patient calls with a complaint about his or her ICH facility, the staff member should ask them to call the appropriate ESRD Network and provide the Network's toll-free number to the patient. The vendor's project staff can also provide the 1-800-MEDICARE number to sample patients.

If the vendor is offering the ICH CAHPS Survey in a language other than English, its customer support staff must also be able to handle questions received from sample patients via the vendor's toll-free telephone number in that language. Please refer to *Chapter VI* for more information on training customer support staff.

## **7.6 Other Mail Administration Protocols**

In addition to the printing, mailing, and data entry requirements discussed above, there are a few other protocols that ICH CAHPS Survey vendors must follow when conducting the mail portion of the mixed-mode data collection administration:

- The use of incentives is not permitted.
- The use of proxy respondents is not permitted. However, other individuals, as long as they are not facility staff, may assist the sample patient in reading the survey, marking response options, or translating the survey.

- Homeless sample patients are eligible to participate in the ICH CAHPS Survey if they meet all other survey eligibility criteria. The survey vendor must attempt to reach the sample patient using the address given. If there is no address provided for a sample patient, and one cannot be obtained via a commercial address update services (such as the NCOA or the U.S. Postal Service Zip+4 software), or by requesting the ICH facility to provide a list containing the names, addresses, and telephone numbers of all of the patients the facility treated during the sampling window, the vendor should include the sample patient in the telephone follow-up. If no telephone number is available, the survey vendor should assign the final disposition code of Wrong, Disconnected, or No Telephone Number to the sample case (see *Chapter IX* for more information on final codes).
- Survey vendors must make sure that they differentiate between sample patients who refuse to participate during a specific survey period and those who indicate that the survey vendor should never contact them again. If a sample patient refuses to participate during the current survey period but does not indicate that the vendor should never contact him or her again, the survey vendor should attempt to survey the patient if he or she is included in the sample in subsequent survey periods.
- If an ICH CAHPS sample patient is on the survey vendor's Do Not Contact List, based on a previous contact for another survey conducted by the survey vendor, the vendor should honor that patient's request. As such, ICH CAHPS Survey vendors must determine a way by which to designate and identify sample patients who permanently refuse to participate in the current survey period and all future ICH CAHPS Survey periods. Vendors are encouraged to use their internal records to identify the sample patients included in the sample file downloaded from the ICH CAHPS website who have previously indicated that they do not wish to be recontacted concerning the ICH CAHPS survey. These sample patients should not be sent any survey materials (prenotification letter, questionnaire package), should not be contacted to complete the phone interview, and should instead be assigned a final disposition code of Refusal.
- Sometimes sample patients inadvertently include documents that are not related to the survey with the completed questionnaire that they return to the vendor. The types of documents that sample patients might include with their returned questionnaires include payment for a medical bill, health insurance premium or some other bill, a prescription for medication, or a document that a health care provider has requested. All vendors should implement a policy to return such documents to the sample patient who sent them. Vendors are not permitted to send such items to a facility, business, or organization on behalf of a patient. Instead, vendors must send the documents back to the sample patient with a note indicating that the item was inadvertently included in the ICH CAHPS Survey package and it is being returned to the sample patient so that he or she can send it to the intended recipient.



## 7.7 Telephone Interview Development Process

The survey vendor must begin telephone follow-up with mail survey nonrespondents 4 weeks after the mail questionnaire is sent to all sample patients. The following paragraphs describe the requirements for producing all materials and systems needed for telephone follow-up of nonrespondents in the mixed-mode survey. The telephone interview scripts in English (*Appendix C*) and Spanish (*Appendix D*) in Microsoft Word are available on the ICH CAHPS Survey website at <https://ichcahps.org>. Note that although the mail survey questionnaire is available in simplified and traditional Chinese and Samoan, the ***ICH CAHPS Survey cannot be administered in Chinese or Samoan by telephone.*** A list of FAQs by sample patients and suggested answers to those questions are included in *Appendix J*. Some general guidelines for telephone interviewer training and monitoring are provided in *Appendix K*.

Specific requirements and guidelines associated with the telephone survey administration are provided below.

### 7.7.1 Telephone Interviewing Systems

ICH CAHPS Survey vendors must use a CATI system to administer the ICH CAHPS Survey by telephone. A CATI system means that the interviewer reads from and enters responses into a computer program. Using CATI encourages standardized interviewing and monitoring of interviewers. Survey vendors using a mixed-mode survey must use a CATI system to administer the ICH CAHPS Survey telephone follow-up. ***Paper-and-pencil administration is not permitted for telephone surveys.*** To ensure that sample patients are called at different times of day and across multiple days of the week, survey vendors must also have a survey management system. The CATI system must be linked to the survey management system so that cases can be tracked, appointments set, and follow-up calls made at appropriate times. Pending and final disposition codes must be easily accessible for all cases.

There are two additional requirements:

- Predictive or automatic dialers are permitted, as long as they are compliant with FTC and FCC regulations, and as long as respondents can easily interact with a live interviewer. For more information about FTC and FCC regulations, please visit <https://www.ftc.gov> and <https://www.fcc.gov>.
- FCC regulations prohibit auto-dialing of cell phone numbers. Therefore, cell phone numbers need to be identified in advance to allow the vendor to treat cell phone numbers in a way that complies with FCC regulations. It is vendors' responsibility to familiarize themselves with all applicable state and federal laws and abide by those accordingly in regard to calling cell phone numbers.



### 7.7.2 Telephone Interview Script

Survey vendors must use the standardized telephone script, available in English and Spanish, when administering the survey by telephone. These scripts include the interviewer introduction in addition to the survey questions. The survey can be administered as a standalone survey or can be combined with the ICH CAHPS supplemental questions or facility-specific questions (more information about the ICH CAHPS supplemental and facility-specific questions is provided below). The ICH CAHPS Survey telephone interview contains 59 questions. Questions 1 to 44 are considered the “core” ICH CAHPS Survey questions and must be placed at the beginning of the interview. Questions 45 to 59 are the “About You” ICH CAHPS Survey questions. Note that the ICH CAHPS telephone interview script contains only 59 questions and the mail survey contains 62 questions, because the mail survey questionnaire contains questions that ask if anyone helped the sample patient to complete the survey (Questions 60, 61, and 62). These three questions are not applicable if the survey is administered by telephone.

There are 21 optional ICH CAHPS supplemental questions available for ICH facilities to use, if an ICH facility desires. These ICH CAHPS supplemental questions have been tested and approved by CMS. An ICH facility can choose to use one or more of the ICH CAHPS supplemental questions; they do not need to be administered as a group. ICH CAHPS supplemental questions are available on the ICH CAHPS Survey website at <https://ichcahps.org> and in *Appendix I*.

The “About You” questions must be administered as a unit, although they may be placed either before or after any ICH CAHPS supplemental questions or facility-specific questions. If the ICH facility does not plan to add supplemental or facility-specific questions to the questionnaire, the questions in the “About You” section must follow the core set of questions.

The telephone scripts in English and Spanish are included in *Appendices C* and *D*, respectively, and are posted on the ICH CAHPS website at <https://ichcahps.org>. As noted in a preceding section in this manual, the ICH CAHPS Survey will not be administered by telephone in Chinese or Samoan; therefore, a telephone script in those languages is not provided.

Programming requirements for the ICH CAHPS Survey telephone interview are listed below.

### 7.7.3 ICH CAHPS Telephone Survey Questionnaire Programming Requirements

- Every questionnaire must begin with the core ICH CAHPS Survey questions (Qs. 1 to 44).
- ICH facilities must follow the guidelines below for adding any ICH CAHPS supplemental questions or their own facility-specific questions. All facility-specific questions must be submitted to and approved by the ICH CAHPS Coordination Team.

- The “About You” questions (Qs. 45 to 59) must be administered as a unit (i.e., they must be kept together and may not be separated or placed throughout the survey). The “About You” questions may be placed before or after any facility-specific or ICH CAHPS supplemental questions.
- No changes in wording are allowed to either the ICH CAHPS Survey questions or to the response (answer) options. In addition, no changes are allowed to the ICH CAHPS supplemental questions or response options.
- Only CMS-approved translations of the questionnaire are permitted; however, if facilities choose to add their facility-specific questions, survey vendors will be responsible for translating those questions.

#### **7.7.4 Adding Supplemental and Facility-Specific Questions to the ICH CAHPS Survey**

AHRQ and its CAHPS Consortium developed and tested 21 ICH CAHPS supplemental questions about ICH care, which are included in *Appendix I* and available on the ICH CAHPS Survey website (<https://ichcahps.org>). ICH facilities might wish to use some of these questions or add their own facility-specific questions to the ICH CAHPS Survey.

##### **7.7.4.1 Requirements for Adding Supplemental Questions and Facility-Specific Questions**

- All ICH CAHPS supplemental questions and facility-specific questions must be placed **after** the core ICH CAHPS Survey questions (Qs. 1 to 44). They may be placed either before or after the ICH CAHPS Survey “About You” questions (Qs. 45 to 59).
- Facility-specific questions that the ICH facility plans to add to the ICH CAHPS Survey must be submitted to and approved by the ICH CAHPS Coordination Team **before** they are added to the survey. The survey vendor must submit the facility-specific questions and their proposed placement to the ICH CAHPS Coordination Team via e-mail at [ichcahps@rti.org](mailto:ichcahps@rti.org). For the CY2020 ICH CAHPS Spring Survey, the deadline for submitting facility-specific supplemental questions to the Coordination Team was February 7, 2020. Survey vendors may submit facility-specific questions to the Coordination Team after that date; however, those questions might not be approved in time to be included in the questionnaire for that specific survey period. Note that facility-specific questions that have been approved previously do not need to be submitted again unless the vendor has changed the wording of the question or the response options to that question.
- Use of any of the ICH CAHPS supplemental questions does not require prior review and approval by the ICH CAHPS Coordination Team because these questions have already been tested and approved.

- ICH facilities cannot add questions that repeat any of the survey questions in the core ICH CAHPS Survey, even if the response scale is different.
- Facility-specific questions cannot be used with the intention of marketing or promoting services provided by the ICH facility or any other organization.
- Facility-specific questions cannot ask sample patients why they responded a certain way to a core ICH CAHPS question.
- Facility-specific questions cannot ask sample patients to identify other individuals who might need ICH services. Such questions raise privacy and confidentiality issues if PII were shared with the ICH facility without a person's knowledge and permission.
- Survey vendors are responsible for translating any facility-specific questions added to the questionnaire.
- Survey vendors must not include responses to the ICH CAHPS supplemental questions or facility-specific questions on the data files that will be uploaded to the Data Center.

#### *7.7.4.2 Recommendations for Adding Supplemental and Facility-Specific Questions*

- We recommend that facilities/vendors avoid sensitive questions or lengthy additions, because these will likely reduce expected response rates.

### **7.8 Telephone Interviewing Requirements**

Telephone interviewing requirements for the ICH CAHPS Survey interview are described below. Survey vendors must follow these requirements to maximize response rates and to ensure consistency in how the telephone-only mode of administration is implemented.

#### **7.8.1 Telephone Contact**

- Survey vendors must attempt to contact every patient in the sample. Survey vendors must make a maximum of 10 telephone contact attempts for each sample patient, unless the sample patient refuses or the survey vendor learns that the sample patient is ineligible to participate in the survey. The 10 contact attempts must be made on different days of the week and at different times of day and spread over the telephone follow-up data collection period.
- One telephone contact attempt is defined as one of the following:
  - the telephone rings six times with no answer;
  - the person who answers the phone indicates that the sample patient is not available to take the call;

- the interviewer reaches the sample patient and is asked to schedule a call-back at a later date; or
  - the interviewer gets a busy signal on two consecutive phone call attempts; the second call must be placed at least 20 minutes after the first call attempt.
- If a sample patient is reached but is unable to speak with the telephone interviewer at that time, if he or she requests that a telephone interviewer call back at a different date/time (for either a callback or scheduled appointment), an effort must be made to recontact the respondent on that requested date/time.
  - Survey vendors may make more than one attempt in one 7-day period but cannot make all 10 attempts in one 7-day period. Survey vendors should keep in mind that ICH patients might be sicker than some other patient populations and might be hospitalized when some of the initial calls are made. Therefore, calls must be scheduled to take place over the telephone follow-up data collection period to reach patients who might be unavailable for long periods of time.
  - Contact with a sample patient may be continued after 10 attempts if the 10th attempt results in a scheduled appointment with the sample patient, as long as the appointment is within the data collection period.
  - If the interviewer receives a new telephone number for the sample patient, the 10 attempts should start over with the new phone number. A total of 10 call attempts must be made on the updated telephone number, if there is enough time left in the data collection period after the new number is identified. If the new number is identified later in the data collection period, survey vendors should try their best to call sample members' new telephone number the required 10 times, keeping in mind the rule that they may make more than one attempt in one 7-day period, but cannot make all 10 attempts in one 7-day period. If a vendor is unable to complete 10 attempts on a new number due to receiving the new number very late in the data collection period, the vendor should combine the old and new call attempts, ensuring that at least 10 attempts were made in total, and then code the case as a 250. Please note that this is only permissible when the new number is received late in the data collection period.
  - If the interviewer gets a fast-busy signal, the interviewer should redial the telephone number immediately after receiving the fast busy signal. If the interviewer again receives the same fast busy signal, the interviewer should call the telephone number again on a different day of the week and at a different time of day than the initial calls. If the third call attempt again results in the same fast busy signal, the vendor should apply the appropriate final disposition code to the case.
  - If the interviewer receives a recorded message indicating the telephone number is “temporarily out of service,” the interviewer should redial the telephone number 3 to 5 days

after the initial call was made. If the second call attempt again results in the same recorded message, the interviewer should call the telephone number a third time, 5 days after the second call attempt was made. If the third call attempt again results in the same recorded message, the vendor should apply the appropriate final disposition code to the case.

- Telephone calls to the sample patient must be made at different times of day (i.e., morning, afternoon, and evening) and different days of the week throughout the data collection period.
- Interviewers **may not** leave voicemail messages on answering machines **or** leave messages with the person answering the phone.
- Survey vendors must maintain a call log that keeps track of the date and time phone calls were made for each sample patient and apply the appropriate final disposition code to the case.
- If the telephone interviewer learns that the sample patient is receiving hemodialysis at the facility while the interview is being conducted, the telephone interviewer must stop the interview and reschedule to complete it at a time when the sample patient is not at the facility.
- If the survey vendor finds out that a sample patient is ineligible for the ICH CAHPS Survey (i.e., deceased, institutionalized, or physically or mentally incapable of participating), the survey vendor must immediately stop further contact attempts with that sample patient and assign the appropriate final disposition code.
- Telephone survey data collection must end 12 weeks after the prenotification letter is mailed.
- The use of incentives of any kind is not permitted.
- The use of proxy respondents is not permitted.
- If a respondent begins the interview but cannot complete it during the call for a reason other than a refusal, the survey vendor must follow up (recontact at a later time) with the respondent to complete the rest of the interview. The interviewer must follow up even if the respondent answered enough questions in the interview for the case to pass the completeness criteria. It is especially important to complete the questions in the “About You” section of the questionnaire, because data from some of those questions will be used in patient-mix adjustment.
- If a respondent begins but cannot complete the interview on the same call, the interviewer should resume the interview at the last unanswered question when the respondent is recontacted. Note that the vendor must not begin the interview at Q1 (the beginning of the interview) during the recontact attempt.

- If a respondent does not feel well enough to participate in the telephone interview because of his or her medical treatment, the interviewer must be prepared to make an appointment to conduct the interview at a time that is better for the patient. Survey vendors should keep in mind that sample patients must receive dialysis treatment a minimum number of times each week (for most ESRD patients, dialysis is required a minimum of three times each week) and some patients may not feel up to participating in the telephone interview if they are reached within a short time after they have received dialysis.
- Survey vendors must make sure that they differentiate between sample patients who refuse to participate during a specific survey period and those who indicate that the survey vendor should never contact them again. If a sample patient refuses to participate during the current survey period but does not indicate that the vendor should never contact him or her again, the survey vendor should attempt to survey the patient if he or she is included in the sample in subsequent survey periods.
- If an ICH CAHPS sample patient is on the survey vendor's Do Not Contact List, based on a previous contact in another survey conducted by the survey vendor, the vendor should honor that patient's request. Such cases should be coded as a refusal. As such, ICH CAHPS Survey vendors must determine a way by which to designate and identify sample patients who permanently refuse to participate in the current survey period and all future ICH CAHPS Survey periods. Vendors are encouraged to use their internal records to identify the sample patients included in the sample file downloaded from the ICH CAHPS website who have previously indicated that they do not wish to be recontacted concerning the ICH CAHPS survey. These sample patients should not be sent any survey materials (i.e., the prenotification letter, the questionnaire package), should not be contacted to complete the phone interview, and should instead be assigned a final disposition code of Refusal.
- The vendor must be able to offer the interview in any of the languages for which an ICH facility has contracted, even if the language is different from the language that the ICH facility believes the sample patient will require (if language is obtained from client facilities). That is, the vendor must be able to toggle back and forth between available languages. As a reminder, the ICH CAHPS telephone interview can only be administered in English or Spanish. If a telephone interviewer learns during the course of a phone contact attempt that a sample patient speaks only Chinese or Samoan, the survey vendor should stop work on the case and assign the applicable final language barrier disposition code.
- If a sample patient hangs up immediately before or while the interviewer is reading the introductory script, the case should be called again at a later point in time. That is, on a different day of the week and at a different time of day. If the sample patient hangs up after the introductory script has been read to him or her, the interviewer should code the case as a refusal. That is, the vendor should not make any additional calls to that sample patient.



## 7.8.2 *Contacting Difficult-to-Reach Sample Patients*

Some patients might be difficult to reach because of incorrect telephone numbers, illness, hospitalization, or homelessness. The requirements and recommendations for contacting difficult-to-reach sample patients follow.

### 7.8.2.1 *Requirements for Contacting Difficult-to-Reach Sample Patients*

- After the sample file is downloaded, survey vendors must verify **each** telephone number that is included in the sample file provided by the Coordination Team using a commercial address/telephone database service or directory assistance. Note that in addition to using a commercial service, survey vendors **are** permitted to ask ICH facilities to provide updated telephone numbers for **all** patients treated within the sampling window, if vendors have an appropriate agreement with facilities. Survey vendors cannot, however, give a list of sample patients to the ICH facility to request this information.
- If the sample patient is ill, on vacation, or unavailable during initial contact, the interviewer must attempt to recontact the sample patient before the data collection period ends.
- Homeless sample patients are eligible to participate in the ICH CAHPS Survey if there is a telephone number in the patient information file for the patient and he or she meets all other survey eligibility criteria. The survey vendor must attempt to reach the sample patient using the telephone number provided. If there is no telephone number for a homeless sample patient, and one cannot be obtained via a commercial address/telephone database service or directory assistance, or by requesting the ICH facility to provide a list containing the telephone numbers of **all** patients treated during the sampling window, the sample patient should be given a final disposition code of Wrong, Disconnected, or No Telephone Number (see ***Chapter IX*** for more information on the assignment of final disposition codes).

### 7.8.2.2 *Recommendations for Contacting Difficult-to-Reach Sample Patients*

- We recommend that survey vendors attempt to identify a new or updated telephone number for any sample patient whose telephone number is no longer in service when called and for any sample patients who have moved so that the sample patients can be contacted prior to the end of the data collection period.
- If the sample patient's telephone number is incorrect, the interviewer may ask the person who answers the phone if he or she knows the sample patient and, if so, ask for the sample patient's phone number.

### 7.8.2.3 *Requirements for Contacting Sample Patients Residing in Nursing Homes*

- When selecting samples for the ICH CAHPS Survey, the Coordination Team uses patient-level information on the CROWNWeb database and excludes patients who do not meet

survey-eligibility criteria, such as patients who reside in nursing homes (also known as skilled nursing facilities), if this is readily known. However, because CROWNWeb does not contain an explicit indicator that the patient lives in a nursing home, this determination is usually made by vendors during the ICH CAHPS data collection period.

- If a telephone interviewer calls the phone number provided for a sample patient and determines that the telephone number leads to a nursing home facility's front desk/receptionist, the following steps should be implemented:
  - The telephone interviewer should still read INTRO1 of the ICH CAHPS telephone script: "Hello, may I please speak to [SAMPLED MEMBER'S NAME]?"
  - If the nursing home staff member transfers the telephone interviewer to the sample patient's room at the facility, the interviewer should continue with the interview once they reach the sample patient. If the sample patient truly lives in a nursing home or a skilled nursing facility and responds to Q1 by selecting response option 1 ("At home or at a skilled nursing home where I live"), the CATI program should skip the sample patient to Q45 and automatically final code the case as a 160 (Ineligible: Does Not Meet Eligibility Criteria).
  - If the nursing home staff member transfers the telephone interviewer to the sampled patient, and the sampled patient is an employee at the facility (in this scenario the sampled patient is not a resident at the facility), the interviewer should continue with the interview once they reach the sample patient. However, the interviewer should be prepared to set a callback time (and possibly obtain a different number) if the sample patient prefers not to complete the interview while at work.
  - If the nursing home staff member indicates they cannot or are not permitted to transfer the telephone interviewer to the sample patient's room, the telephone interviewer should thank the staff member for their time and end the call. In this situation, if the vendor received multiple phone numbers for the sample patient (via the sample file received from the Coordination Team, the commercial address/phone number update, or a list of contact information received from the ICH facility for all patients treated during the sampling window), the vendor may want to call all numbers provided to see if any result in a direct dial to the sample patient. If the telephone interviewer is unable to obtain a new phone number for the sample patient, then a final disposition code of 160 (Ineligible: Does Not Meet Eligibility Criteria) should be assigned to the case.



## 7.9 Telephone Interviewer Training

Survey vendors must provide training to all telephone interviewing and customer support staff prior to beginning telephone survey data collection activities. Telephone interviewer and customer support staff training must include training interviewers to:

- Establish rapport with the respondent;
- Effectively communicate the content and purpose of the interview to sample patients;
- Administer the interview in a standardized format, which includes reading the questions as they are worded, not providing the respondent with additional information that is not scripted, maintaining a professional manner, and adhering to all quality control standards;
- Use effective neutral probing techniques (see *Appendix K*);
- Use the list of questions that are frequently asked by sample patients and suggested answers to those questions that are included in the FAQs (see *Appendix J*) so that they can answer questions in a standardized format; and
- Answer questions in English and the other language(s) in which the survey is being offered.

Survey vendors should also provide telephone survey supervisors with an understanding of effective quality control procedures to monitor and supervise interviewers.

Survey vendors must conduct an interviewer certification process of some kind—oral, written, or both—for each interviewer and customer service staff member prior to permitting the interviewer to make or take calls on the ICH CAHPS Survey. The certification should be designed to assess the interviewer’s level of knowledge and comfort with the ICH CAHPS Survey Questionnaire and ability to respond to sample patients’ questions about the survey. Documentation of training and certification of all telephone interviewers and customer support staff and outcomes will be subject to review during oversight visits by the Coordination Team.

## 7.10 Distressed Respondent Procedures

Survey vendors must develop a “distressed respondent protocol,” to be incorporated into all telephone interviewer and help desk training. A distressed respondent protocol provides assistance if the situation indicates that the respondent’s health and safety are in jeopardy. Distressed respondent protocols balance respondents’ rights to confidentiality and privacy by keeping PII and PHI confidential with guidance about when and how to help those needing assistance.

Each approved ICH CAHPS Survey vendor must have procedures in place for handling distressed respondent situations and to follow those procedures. The ICH CAHPS Coordination Team cannot provide specific guidelines on how to evaluate or handle distressed respondents.

However, survey vendors are urged to consult with their organization's Committee for the Protection of Human Subjects IRB for guidance. In addition, professional associations for researchers, such as AAPOR, might be able to provide guidance regarding this issue. The following is an excerpt from AAPOR's website that lists resources for the protection of human subjects. More information about protection of human subjects is available at AAPOR's website at <http://www.aapor.org>.<sup>4</sup>

- The Belmont Report (guidelines and recommendations that gave rise to current federal regulations)
- Federal Regulations Regarding Protection of Human Research Subjects (45 CFR 46) (also known as the Common Rule)
- Federal OHRP
- NIH Human Participant Investigator Training (although the site appears to be for cancer researchers, it is the site for the general investigator training used by many institutions)
- University of Minnesota Web-Based Instruction on Informed Consent

## 7.11 Telephone Data Processing Procedures

The following guidelines are provided for ensuring that the telephone interview data are properly processed and managed.

### 7.11.1 Telephone Data Processing Requirements

- The unique SID number assigned to each sample patient by the Coordination Team must be included in the case management system and on the final data file for each sample patient.
- Survey vendors must enter the date and time of each attempt to contact each sample patient in the survey management system or in the interview data. Survey vendors must be able to link each telephone interview to their survey management system, so that appropriate variables, such as the language in which the survey was conducted and the date the telephone interview was completed, can be pulled into the final data file.
- Survey vendors must de-identify all telephone interview data when the data are transferred into the final data file that will be submitted to the ICH CAHPS Data Center. Identifiable data include respondent names and contact information.
- Survey vendors must assign a final ICH CAHPS Survey disposition code to each case (see *Chapter IX* for a list of these codes) and include a final disposition code for each sampled case in the final data file. It is up to the survey vendor to develop and use a set of *pending*

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<sup>4</sup> The AAPOR website at <https://www.aapor.org/Standards-Ethics/Institutional-Review-Boards/Additional-IRB-Resources.aspx>, February 2015.

disposition codes to track actions on a case before it is finalized—pending disposition codes are not specified in the ICH CAHPS Survey protocol.

## **7.12 Conducting the ICH CAHPS Survey With Other ICH Facility Surveys**

Some ICH facilities might wish to conduct other patient surveys in addition to the ICH CAHPS Survey to support internal quality improvement activities. ICH facilities may include questions that ask for more in-depth information about ICH CAHPS issues but should not repeat the ICH CAHPS Survey questions or include questions that are very similar.

ICH facilities may not:

- Provide information to their patients that promotes the services provided by the ICH facility;
- Ask their patients for the names of other ESRD patients who might need dialysis care; or
- Ask their patients for consent for the ICH facility vendor to share their survey responses with the ICH facility.

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## **VIII. CONFIDENTIALITY AND DATA SECURITY**

### **8.0 Overview**

This chapter describes the requirements and guidelines for ensuring sample patient and respondent confidentiality, protecting their identity, and ensuring data security. The chapter begins with a discussion of ensuring sample patient confidentiality followed by how confidential data should be handled and the importance of confidentiality agreements. The last section in this chapter provides information about the importance of establishing and maintaining physical and electronic data security.

### **8.1 Assuring Sample Patients of Confidentiality**

Concern for the confidentiality and protection of respondents' rights is critically important on any patient experience of care survey. Because dialysis patients are dependent on dialysis treatments for their survival, they are an especially vulnerable patient population. Some dialysis patients might not be willing to participate in the survey for fear of retribution from facility staff. There is also a concern that some patients might respond to the survey but in a way that does not reflect their actual experiences with dialysis care. Therefore, assurances of confidentiality are critically important with this patient population. The following assurances of confidentiality in communications, written or verbal, with ICH CAHPS sample patients are required of all survey vendors:

- The information they provide is protected by the Federal Privacy Act of 1974 (and that all ICH CAHPS project staff have signed affidavits of confidentiality and are prohibited by law from using survey information for anything other than this research study); please note, if the survey vendor so chooses, it may exclude the word "Federal" or the phrase "of 1974";
- Their survey responses will never be reported with their name or other identifying information;
- All respondents' survey responses will be reported in aggregate, no ICH facility will see their individual answers;
- They can skip or refuse to answer any question they do not feel comfortable with; and
- Their participation in the study will not affect the dialysis care or Medicare benefits they currently receive or expect to receive in the future.

## 8.2 Safeguarding Patient Data

The Health Insurance Portability and Accountability Act of 1996 (HIPAA) is legislation intended to protect private medical information and to improve the efficiency of the health care system. This law went into effect April 14, 2003.

Both PHI and PII are protected under HIPAA. PHI is defined as PII that relates to a person's past, present, or future health or medical treatment. If the health information is completely de-identified, it is no longer PHI and can be released. HIPAA also applies to electronic records, whether they are being stored or transmitted. All survey vendors approved to implement the ICH CAHPS Survey must adhere to HIPAA requirements. That is, survey vendors must safeguard any and all data collected from sample patients as required by HIPAA.

*Survey vendors must adhere to the following requirements* when conducting the ICH CAHPS Survey. Each of these is discussed in more detail in the paragraphs that follow.

- Confidential data must be kept secure as described in this chapter.
- Access to confidential data must be limited to authorized staff members.
- Survey vendors must not share any information that can identify a sample patient with any individual or organization, including their ICH facility.
- Survey vendors must develop procedures for identifying and handling breaches of confidential data.
- No data that can identify a sample patient can be included on ICH CAHPS Survey data files submitted to the Data Center. That is, all file submissions must contain de-identified data.

### 8.2.1 Confidential Data Must Be Kept Secure

Any identifying information associated with a patient should be considered private and must be protected. When the sample is received from the ICH CAHPS Coordination Team, it will contain PII, such as the name and address or telephone number of the patient. From the moment the survey vendor downloads the sample, the data must be handled in a way to ensure that the patient information is kept confidential and that only authorized personnel have access to it.

Examples of ways to keep confidential data secure include storing the data electronically in password-protected locations and limiting the number of staff with access to the password. For confidential information that is obtained on hard copy, data should be kept in a locked room or file cabinet, with access restricted to authorized staff. Confidential data should not, under any circumstances, be removed from the survey vendor's place of business, either in electronic or hardcopy form, even by survey vendor staff. Confidential data should not be stored on laptop

computers unless those laptops have data encryption software to protect the information should the laptop be lost or stolen.

### **8.2.2 *Limit Access to Confidential Data to Authorized Staff***

Survey vendors should consider carefully who needs access to confidential ICH CAHPS Survey data and then ensure that only those staff members have access to the data. Any staff members who will be working with data about ICH patients should sign a confidentiality agreement specific to the ICH CAHPS Survey implementation, unless the survey organization has a general Confidentiality Agreement that applies to all surveys that they conduct (see the paragraph on Confidentiality Agreements for more information).

### **8.2.3 *Patient Identifying Information Must Be Kept Confidential***

Survey vendors are not permitted to share any patient identifying information with any individual or organization, including their ICH facility clients. ICH facilities must never know which of their patients were included in the survey and whether their patients completed the survey. In addition, ICH CAHPS Survey vendors cannot share a sample patient's responses to the survey with the ICH facility, even if the sample patient gives his or her consent for the survey vendor to do so. The exception to this is in regard to facility-specific supplemental questions. For facility-specific supplemental questions added to the ICH CAHPS Survey, the survey vendor can share the responses with the ICH facility, but must not provide any information that the facility could use to identify a specific patient's responses to those questions.

### **8.2.4 *Develop Procedures for Identifying and Handling Breaches of Confidential Data***

Survey vendors are required to develop protocols for identifying when there has been a breach of security with ICH CAHPS Survey data, including when an unauthorized individual has gained access to confidential information and when an authorized individual has distributed confidential data in an unauthorized manner. The survey vendor's plans must include a system to notify the ICH CAHPS Coordination Team in a timely manner of a security breach, a means to detect the level of risk represented by the breach in security, a means to take corrective action against the individual who created the breach, and a means of notifying any persons affected by the breach, including sample patients, if necessary.

### **8.2.5 *Provide Only De-identified Data Files to the ICH CAHPS Survey Data Center***

Although survey vendors will have access to confidential information about ICH patients, none of the data files submitted to the Data Center may contain any confidential information (i.e., any information that would identify a sample patient). All files submitted to the Data Center must contain de-identified data only. Therefore, only the unique SID number originally assigned to

each sample patient should be included on the file for each data record. (There will be a data record for each patient sampled.)

### 8.3 Confidentiality Agreements

Survey vendors are required to obtain a signed affidavit of confidentiality from all staff, including subcontractors, who will work on the ICH CAHPS Survey. This includes individuals who will be working as telephone interviewers or staffing the toll-free customer support line and individuals working in data receipt or data entry/scanning positions. Copies of the signed agreements should be retained by the project manager as documentation of compliance with this requirement, because survey vendors will be asked to provide this documentation during site visits by the ICH CAHPS Coordination Team. Note that some survey organizations have a general Confidentiality Agreement that applies to all surveys that they conduct; survey vendors may use a general Confidentiality Agreement that applies to all surveys on which their employees work. However, the Coordination Team will request to see the signed agreement for each staff member working on the ICH CAHPS Survey during site visits.

### 8.4 Physical and Electronic Data Security

Survey vendors must take appropriate actions to safeguard both the hardcopy and electronic data obtained during the course of implementing the ICH CAHPS Survey, including data obtained from the ICH CAHPS Coordination Team and data provided by survey respondents.

The following are measures survey vendors must take to ensure physical and electronic data security:

- Paper copies of questionnaires or sample files must be stored in a secure location, such as a locked file cabinet or within a locked room. ***At no time should paper copies be removed from the survey vendor's premises, even temporarily.***
- Electronic data must be protected from confidentiality breaches. Electronic security measures may include firewalls, restricted-access levels, or password-protected access. Vendors are strongly urged to implement a password policy that requires their employees to create and use strong passwords that must be changed on a regular and frequent basis. Data stored electronically must be backed up nightly or more frequently to minimize data loss.
- Vendor must have a disaster recovery plan for the ICH CAHPS Survey data. The Coordination Team cannot provide specific guidelines on the contents of this plan. However, survey vendors are encouraged to consult with their organization's Data Security team/division for guidance, if they have questions.
- Electronic images of paper questionnaires or keyed data, including CATI data, must be retained for 3 years, also in a secure location at the survey vendor's facility.



- Paper copies of questionnaires must be stored in a secure location at the survey vendor's facility, such as a locked room or file cabinet, for 3 years. Paper copies of questionnaires do not need to be kept if electronic images of the questionnaires are being kept instead.

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## IX. DATA CODING AND PROCESSING

### 9.0 Overview

This chapter provides information about processing the data collected in the ICH CAHPS Survey, including decision rules for coding completed mail survey questionnaires, and assignment of survey disposition codes to all cases regardless of data collection mode. In addition, procedures and steps for determining whether a returned questionnaire meets the definition of a completed survey and information about how survey response rates are calculated are provided in this chapter.

### 9.1 Data Processing Coding Guidelines and Decision Rules

In mail survey questionnaires, some respondents might choose not to answer particular questions, and others might not clearly mark their answer choices. Survey vendors must use the following guidelines and procedures for handling ambiguous, missing, or inconsistent survey responses in returned mail questionnaires. Note that these guidelines should be followed regardless of whether the survey vendor is using optical scanning or data entry to enter data from completed mail survey questionnaires.

- Questions 59 and 62 are the only questions in the ICH CAHPS Survey questionnaire for which multiple responses are allowed. These questions have an instruction that asks the sample patient to check all answer choices that are applicable to him or her. For these questions, scan or key all answer choices that are marked. For all answer responses that are not chosen by the sample patient, the vendor should code as Not Applicable (Code X). If no answer choices are marked, then all answer responses should be coded as Missing (Code M).
- For all other questions, only one answer choice should be marked. If two or more answer choices are checked for single response questions, select the one that appears darkest. If it is not possible to make a determination, leave the response blank and code as “Missing” (Code M) rather than guess. *Note that Code M, which indicates that the respondent did not mark a response to the question, should be assigned to all questions that the respondent should have answered but did not or the response marked is not clear.*
- If a response is missing, leave the response blank and code it as “Missing.”

#### 9.1.1 Skip Patterns

Some of the questions included in the ICH CAHPS Survey questionnaire are “screening” questions—that is, they are designed to determine whether one or more follow-up questions about the same topic are applicable to the respondent. The respondent is directed to the next

applicable question by a “skip” instruction printed beside the answer choice that he or she marks. In mail survey questionnaires, some respondents might answer the screening question but leave applicable follow-up questions blank. In other cases, some respondents will mark an answer to follow-up questions that are not applicable to them (based on the answer to the screening question). Yet in other cases, some respondents will answer both the screening and follow-up questions with responses that contradict each other. Use the following rules related to coding skip and follow-up questions in completed mail survey questionnaires.

*9.1.1.1 Decision Rules for Coding Questions 1 and 2 If the Response Indicates the Patient is Ineligible to Participate in the Survey*

- If the response to Q1 is “At home or at a skilled nursing home where I live” (response option 1) or “I do not currently receive dialysis” (response option 3), and the sample patient correctly skips to Q45, assign Code X to Questions 2–44.
- If the response to Q1 is “At the dialysis center” (response option 2) AND the response to Question 2 is either “Less than 3 months” (response option 1) or “I do not currently receive dialysis at this dialysis center” (response option 5), and the sample patient correctly skipped to Q45, assign Code X to Questions 3–44.
- If Q1 or Q2 are left blank in a mail survey, and the sample patient skips to Q45, assign Code M to questions 2 or 3–44 and assign final disposition Code 130 to the case. If Q1 or Q2 are left blank but questions 2 or 3–44 are answered, assign final disposition Code 130 to the case and key or scan the responses provided by the respondent.
- If Q1 and Q2 both indicate ineligibility in a mail survey, and the sample patient skips to Q45, assign Code M to questions 3–44 and assign final disposition Code 130 to the case. If Q1 and Q2 both indicate ineligibility but questions 3–44 are answered, assign final disposition Code 130 to the case and key or scan the responses provided by the respondent.
- If Q1 or Q2 are answered Don’t Know or Refused in a phone interview, and the CATI program correctly skips to Q45, assign Code M to Q1 or Q2 (whichever is answered DK/REF), then assign Code X to questions 2 or 3–44.

*9.1.1.2 Decision Rules for Coding Screening Questions (20, 23, 37, 41, 42, and 60)*

- If the screener question is left blank, assign Code M to indicate that a response is missing.

### 9.1.1.3 *Decision Rules for Coding Follow-up Questions (Qs. 21, 24, 38, 42–44, 57a\*, 58a\*, 59a\*, 59b\*, 61, and 62)*

\*Please note: Qs. 57a, 58a, 59a, and 59b are included in the telephone script only.

- Key or scan the response provided by the respondent whenever one is given, regardless of whether the response agrees with the screener question. For example, if the respondent answers “No” to the screener question and then marks a response to the follow-up question instead of skipping it, that is acceptable—the response must still be keyed or scanned.
- If the follow-up question is left blank (correctly) because the respondent correctly followed the skip question in the screener question, assign Code X (Not Applicable) to the follow-up question.
- If the respondent should have answered the follow-up question (based on the answer to the screener question) but left it blank (incorrectly), enter Code M for the response to the follow-up question.
- Note that if the screener question is left blank and all of the follow-up questions related to that screener question are also blank, assign Code M to both the screener question and the related follow-up questions.

To summarize, when follow-up questions are appropriately skipped, the follow-up question response should be coded as “Not Applicable,” which is Code X. When follow-up questions should have been skipped (based on the response to the screening question) but are answered, scan or key the response that the respondent provides. If a screener or follow-up question should have been answered but was not, code the response as missing. Note that in the ICH CAHPS Survey vendors will key or scan the response to every question that the respondent answered.

### 9.1.1.4 *Decision Rules for Coding Open-Ended Questions (Qs. 57, 61, and 62)*

Some respondents will not mark a response category for a question that has an open-ended response option, but will record an answer in the open-ended field. If there is no response marked for any of the preprinted response options in a question that includes an open-ended entry, the vendor should assign Code M to indicate Missing.

Survey vendors must not include responses to open-ended questions on the ICH CAHPS data files submitted to the Data Center. However, CMS encourages survey vendors to review the open-ended entries so that they can provide feedback to the Coordination Team about adding additional preprinted response options to these survey questions if needed.

Survey vendors may share responses to the open-ended questions to ICH facilities if more than 10 of an ICH facility’s sample patients completed the question and the answers are not specific

enough that the facility can identify the patient who provided the response. Survey vendors cannot link any survey responses to a patient's name or any other identifying information.

#### 9.1.1.5 Decision Rules for Coding Survey Responses Marked Outside of the Response Box

Although ICH CAHPS Survey mail questionnaires use response boxes, survey vendors may receive surveys where a response is marked outside the response box. The Coordination Team acknowledges that there are some instances where it is acceptable to consider a response "marked," even if the response box itself is not marked. However, to minimize the opportunity for coding interpretation errors among survey vendors, the Coordination Team requests that all responses or response boxes that are not circled, checked, underlined, or in some other way *clearly designated by the respondent* (i.e., the respondent writes the **exact** wording of a response to the right of the response options) be coded as "Missing."

Although some text or marks to the right of the response options may seem to point to a particular response, many times the respondent's intent is not clear. This opens the door to nonstandardized interpretations from survey vendor to survey vendor. To provide some visual guidance on what is expected, *Exhibit 9-1* contains some examples of when it is acceptable to code a response and two examples of when it is not.

#### Exhibit 9-1. Examples of When It Is Acceptable to Code and Not Code a Response

##### When it is Acceptable to Code a Response

##### Example 1:

In this first example, the respondent has circled a response. The respondent's intention is clear.

17. In the last 3 months, did you feel comfortable asking the dialysis center staff everything you wanted about dialysis care?

- ☐ Yes  
☒ No

##### Example 2:

In this second example, the respondent has underlined a response. The respondent's intention is clear.

18. In the last 3 months, has anyone on the dialysis center staff asked you about how your kidney disease affects other parts of your life?

- ☐ Yes  
☒ No

**Exhibit 9-1. Examples of When It Is Acceptable to Code and Not Code a Response (continued)****Example 3:**

In this third example, the respondent has placed a check mark very close to a response. Again, the respondent's intention is clear.

**27. In the last 3 months, how often did dialysis center staff explain blood test results in a way that was easy to understand?**

- ☐ Never
- ☒ Sometimes ✓
- ☐ Usually
- ☐ Always

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**When it is NOT Acceptable to Code a Response**

**Example 1:**

In this example, the respondent has placed a check mark to the right of the response boxes. It is not clear which response was intended.

**34. In the last 3 months, how often was the dialysis center as clean as it could be?**

- ☐ Never
- ☐ Sometimes
- ☐ Usually
- ☒ Always ✓

**Example 2:**

In this example, the respondent has placed a check mark to the right of the response boxes. It is not clear which response was intended.

**43. In the last 12 months, how often were you satisfied with the way they handled these problems?**

- ☐ Never
- ☐ Sometimes
- ☐ Usually
- ☒ Always ✓

## 9.2 Survey Disposition Codes

Survey disposition codes are used to track the current status of a sampled case as it moves through the data collection process. For example, a disposition code is used to designate that the first questionnaire has been mailed, and another disposition code is used to indicate that the questionnaire has been received. Disposition codes can be pending (meaning that they are expected to change as the case moves through the survey process) or final (meaning that no further action will be taken on a case). Understanding and appropriately using the ICH CAHPS Survey final disposition codes are required for successful administration and completion of the ICH CAHPS Survey. This section provides a list and description of the *final* disposition codes that are to be used on the ICH CAHPS Survey, for mail-only, telephone-only, and mixed-mode surveys.

Survey vendors should apply *pending* disposition codes to ICH CAHPS cases for internal tracking purposes only—that is, to describe the result of the most recent work or action on the case that did not result in a final disposition of the case. Because survey vendors may have already developed a set of designated pending disposition codes for tracking the *pending* status of a case, survey vendors may use their own set of pending codes on the ICH CAHPS Survey. However, survey vendors must not include pending disposition codes on the data file submitted to the Data Center. Instead, survey vendors must select and assign the most applicable final code from the disposition codes shown in **Table 9-1** for each sample patient included on the data file submitted to the Data Center. Please note that if final disposition codes are automatically assigned based on pending codes, the vendor should conduct a manual spot-check on the final code assignment to ensure that its systems are assigning the correct code.

**Table 9-1. ICH CAHPS Survey Disposition Codes**

Code	Description
110	<b>Completed Mail Questionnaire</b> This code is only applicable to <u>mail-only cases and to mixed-mode cases in which the sample patient responded to the survey by mail</u> . For this code to be assigned, the respondent must have answered at least 50 percent of the questions that are applicable to all sample patients (a list of these questions is included below in the “Definition of a Completed Questionnaire” section). That is, the questionnaire must meet the completeness criteria.
120	<b>Completed Phone Interview</b> Assign this code for <u>telephone-only cases and for mixed-mode cases if the sample patient responded by phone</u> . For this code to be assigned, the respondent must have answered at least 50 percent of the questions that are applicable to all sample patients (see list below in the “Definition of a Completed Questionnaire” section).

(continued)



Table 9-1. ICH CAHPS Survey Disposition Codes (continued)

Code	Description
130	<p><b>Completed Mail Questionnaire—Survey Eligibility Unknown</b></p> <p>This code is only applicable to <u>mail-only cases</u> and to <u>mixed-mode cases in which the sample patient responded to the survey by mail</u>. Assign this code if the respondent answered one or more of Questions 2 through 44 <b>AND</b> one or more of the following applies:</p> <ul style="list-style-type: none"> <li>• Q1—The answer to Q1 is “Receive dialysis care at home or at a skilled nursing home where I live.”</li> <li>• Q1—The answer to Q1 is “I am not currently receiving dialysis.”</li> <li>• Q2—The answer to Q2 is “Less than 3 months.”</li> <li>• Q2—The answer to Q2 is “No longer receives dialysis at this facility.”</li> <li>• Q1 is blank.</li> <li>• Q2 is blank.</li> <li>• Q1 and Q2 are both blank.</li> <li>• Q1 and Q2 both indicate ineligibility.</li> </ul> <p>Also assign Code 130 if both Q1 and Q2 are blank but then skipped to Q45. Mixed-mode mail cases coded as 130 must not be sent to telephone follow-up.</p>
140	<p><b>Ineligible: Not Currently Receiving Dialysis</b></p> <p>Assign this code to sample patients who report in Q1 that they are not currently receiving dialysis and they skipped Qs. 2–44 as instructed.</p>
150	<p><b>Deceased</b></p> <p>Assign this code if the sample patient is reported as deceased during the data collection period.</p>
160	<p><b>Ineligible: Does Not Meet Eligibility Criteria</b></p> <p>Assign this code to either mail or telephone survey cases if it is determined during the data collection period that the sample patient does not meet the eligibility criteria for being included in the survey. This includes the following:</p> <ul style="list-style-type: none"> <li>• The sample patient is under age 18.</li> <li>• The sample patient is receiving hospice care.</li> <li>• The sample patient resides in a nursing home or other skilled nursing facility or other long-term facility, such as a jail or prison.</li> <li>• Q1—The answer to Q1 is “Receive dialysis care at home or at a skilled nursing home where I live.” <b>AND</b> the sample patient did not mark an answer to one or more of the <u>questions Qs. 2–44</u>.</li> <li>• Q2—The answer to Q2 is “Less than 3 months.” <b>AND</b> the sample patient did not mark an answer to one or more of the <u>questions Qs. 3–44</u>.</li> </ul>
170	<p><b>Language Barrier</b></p> <p>Assign this code to sample patients who do not speak any of the approved ICH CAHPS Survey language(s) which the vendor is administering for that facility. Note that the language barrier code only applies to the sample member and should not be assigned until a determination is made that the sample member cannot speak the language(s) being administered.</p>

(continued)

Table 9-1. ICH CAHPS Survey Disposition Codes (continued)

Code	Description
180	<b>Mentally or Physically Incapacitated</b> Assign this code if it is determined that the sample patient is unable to complete the survey because he or she is mentally or physically incapable. This includes sample patients who are visually impaired (for mail surveys only) or hearing impaired with no TTY service (for telephone surveys only). <b>Note that proxy respondents are not allowed to respond for a sample patient on the ICH CAHPS Survey.</b>
190	<b>Ineligible: No Longer Receiving Care at Sampled Facility</b> Assign this code to sample patients who report in Q2 that they no longer receive ICH care at the sampled facility and they skipped Qs. 3–44 as instructed. Please note that if Q1 is blank and the response to Q2 is 5, assign final disposition Code 190 to the case. If the case is finalized by telephone and the response to Q1 or Q2 is DK/RE, assign final disposition Code 190 to the case.
199	<b>Survey Completed by Proxy Respondent</b> This code is only applicable to <u>mail-only cases</u> and to <u>mixed-mode cases in which the sample patient responded to the survey by mail</u> . Assign this code if the response marked in Q62 is “Answered the questions for me.”
210	<b>Breakoff</b> Assign this code if the sample patient responds to some questions but not enough to meet the completeness criteria.
220	<b>Refusal</b> Assign this code if the sample patient indicates either in writing or verbally (for telephone administration) that he or she does not wish to participate in the survey.
230	<b>Bad Address/Undeliverable Mail</b> This code, which is applicable only for cases in the mail-only mode, should be assigned if it is determined that the sample patient’s address is bad (e.g., the questionnaire is returned by the Post Office as undeliverable with no forwarding address).
240	<b>Wrong, Disconnected, or No Telephone Number</b> This code, which will be used in telephone-only or mixed-mode survey administration, should be assigned if it is determined that the telephone number the survey vendor has for the sample patient is bad (disconnected, does not belong to the sample patient) and no new telephone number is available.
250	<b>No Response After Maximum Attempts</b> This code can be used in all three approved data collection modes. It should be assigned when the contact information for the sample patient is assumed to be viable, but the sample patient does not respond to the survey/cannot be reached during the data collection period.

### 9.2.1 Differentiating Between Disposition Codes 130, 140, 160, and 190

There are four final disposition codes that indicate whether a sample patient is eligible to be included in the ICH CAHPS Survey—Codes 130, 140, 160, and 190. The correct disposition code to assign depends on the response option marked in Qs. 1 and 2 and whether the respondent correctly followed the skip instruction that appears beside the response option marked, as noted below.

***Code 130, Completed Mail Survey; Eligibility Unknown***

- Assign this code only to mail survey cases in which the respondent marked a response to one or more of the questions from Qs. 2–44, but indicated in Q1 that he or she currently receives dialysis care at home or at a skilled nursing home where he or she lives, or is not currently receiving dialysis, or indicated in Q2 that he or she has received dialysis care at the sample facility for fewer than 3 months or no longer receives care at that facility.
- Assign this code if the answers to **both** Q1 and Q2 make the sample patient ineligible.
- Assign this code if either Q1 or Q2 are blank or they are both blank and one or more of the questions from Qs. 3–44 are answered.
- Assign this code if both Q1 and Q2 are blank but they skipped to Q45.
- Assign Code 160 or 190 (see below) if the respondent marked an answer in Q1 or Q2 that makes him or her ineligible for the survey, but he or she correctly skipped Qs. 2–44.

If a mixed-mode mail case is coded as 130, the case should be considered final and not be transferred to telephone follow-up.

***Code 140, Ineligible: Not Currently Receiving Dialysis***

Assign Code 140 if the sample patient indicated in Q1 that he or she is not currently receiving dialysis and correctly followed the skip instructions beside that response option.

***Code 160, Ineligible: Does Not Meet Eligibility Criteria***

Assign Code 160 if the sample patient's response to Q1 or Q2 indicates that he or she is ineligible to participate in the survey because: he or she receives dialysis at home or at a skilled nursing home where he or she lives (as indicated in Q1 AND he or she CORRECTLY skipped to Q45) or he or she has received dialysis at that facility for 3 months or fewer (as indicated in Q2 AND he or she CORRECTLY skipped to Q45). That is, the respondent did not mark a response option to any of the questions from Q3 to Q44. Also assign Code 160 to patients who are receiving hospice care, those under 18 years of age, and those who are institutionalized.

***Code 190, Ineligible: No Longer Receives Dialysis at Sample Facility***

This code is similar to Code 160 in that the sample patient marked an answer that makes him or her ineligible for the survey, and he or she correctly followed the skip instruction beside that response option. However, the difference between Code 190 and Code 160 is that Code 190 should be assigned only if the sample patient indicates in the response to Q2 that he or she no longer receives dialysis care at the sample facility. If Q1 is blank and Q2 indicates that the sample patient is no longer with the sampled facility, code such cases as a 190. In addition, for telephone interviews, if Q1 or Q2 is Don't Know/Refused, assign Code 190.

### **9.2.2 Differentiating Between Disposition Codes 230 (Nonresponse: Bad Address), 240 (Bad/No Telephone Number), and 250 (No Response After Maximum Attempts)**

Survey vendors should note the difference between some of the noninterview codes, specifically Codes 230, 240, and 250, and use the guidelines provided below when assigning these codes.

**Code 230: Nonresponse: Bad Address** should be assigned only if there is evidence that the patient's address is not viable. This code is for mail-only mode. Evidence that the address is not viable includes the following:

- The Coordination Team does not provide an address for the sample patient and the survey vendor has attempted but failed to obtain an address;
- The questionnaire is returned as “undeliverable, no forwarding address”; or
- The questionnaire is returned as “address or addressee unknown” or some other reason the mail was not delivered.

The survey vendor is required to use an outside address update service prior to mailing survey questionnaires to ensure that the most accurate mailing address is used for each sample patient included in the sample file provided by the Coordination Team. Survey vendors are also permitted to ask ICH facilities to provide updated address information for all patients treated within the sampling window, if the vendor has an appropriate agreement with the facility. Survey vendors cannot, however, give a list of the sample patients to the ICH facility to request this information. If a questionnaire is returned as undeliverable, the survey vendor is strongly encouraged to attempt to locate a new address prior to mailing the second questionnaire package to sample patients who do not respond to the first questionnaire mailing.

**Code 240: Nonresponse: Bad or No Telephone Number** should be assigned only if there is evidence that the sample patient's telephone number is not viable. This applies to both telephone-only and mixed-mode administration. Evidence that the telephone number is not viable includes the following:

- The Coordination Team does not provide a telephone number for the sample patient and the survey vendor has attempted but failed to obtain a telephone number;
- On calling, the telephone interviewer learns that the telephone number on file is disconnected, nonworking, or out of order, and no new telephone number is provided; or
- On calling, the telephone interviewer reaches a person and learns that the telephone number is the wrong number for the sample patient and no new number is provided.

To ensure that the most accurate telephone number is used, the survey vendor is required to use an outside telephone number update service prior to initiating telephone contact. Again, survey vendors are also permitted to ask ICH facilities to provide updated address information for all patients treated within the sampling window, but cannot, however, give a list of the sample patients to the ICH facility to request this information. If the survey vendor learns that a telephone number is not viable, the survey vendor is strongly encouraged to attempt to locate a new telephone number for the sample patient prior to the end of the data collection period.

**Code 250: Nonresponse: No Response After Maximum Attempts** should be assigned if there is evidence that the sample patient's address or telephone number is viable but the sample patient has not responded after all questionnaire mailings or telephone attempts appropriate for the given mode have been implemented.

### **9.2.3 Other Data Coding and Processing Protocols**

- If after a completed mail survey questionnaire is returned the survey vendor learns that the sample patient is deceased and the questionnaire was completed by someone else, the survey vendor should assign final disposition Code 150 (sample patient deceased). The survey response data for such cases should not be processed and not be included in the patient survey response section of the XML file.
- If a mail survey is completed but the survey vendor later receives a note or telephone call indicating that the patient is deceased, the survey vendor should process and include the data on the XML if there is no indication that the survey was completed by someone else (based on the response to Q62) and the case meets the completeness criteria. Assign final disposition Code 110 to the case.
- Survey vendors cannot process and include on the XML file any completed mail survey questionnaires that are received after the data collection period ends for a specific survey period. The survey vendor must properly dispose of all such questionnaires. This means that the vendor should thoroughly shred the returned questionnaire so that no one can “reconstruct” the questionnaire. The survey vendor must assign final disposition code 250 to a mail survey case that does not respond to the survey or that is received after the data collection period ends.
- Proxy respondents are not allowed on the ICH CAHPS Survey. If the survey was completed by mail and the response marked in Q62 is “Answered the questions for me,” survey vendors should assign final disposition Code 199 (Survey Completed by Proxy) to the case. The survey vendor must include the survey response data for all such cases in the XML file.
- As a reminder, survey vendors must check all mail survey questionnaires received and review all notes and comments that the respondent wrote on the questionnaire and those

included in detached notes included with the returned questionnaire. Some sample patients will include a note that might indicate whether they are eligible for the survey. For example, the marginal note might indicate that the sample patient is not currently receiving hemodialysis treatments from the sample facility. **Survey vendors must read the notes and assign the correct final disposition code to the case if the note indicates that the sample patient is ineligible to participate in the survey.** Vendors, however, must not change the respondent's answers to the questions based on the written notes.

### 9.3 Handling Blank Questionnaires

In handling questionnaires that are returned blank, survey vendors should differentiate between mail questionnaires that are returned blank because the United States Postal Service could not deliver the mail (referred to as undeliverables) and those returned blank by the sample patient or the sample patient's family or friend. The procedures described below are for questionnaires that are returned blank (in a business reply envelope) and are not marked as undeliverable.

The mail-only mode will consist of sending a prenotification letter and a first questionnaire package to all sample patients. A second questionnaire package will be sent to sample patients in the mail-only mode who do not respond to the first questionnaire mailing.

- If the first questionnaire is returned blank (and it is clearly not undeliverable mail), the survey vendor should assign a pending or internal disposition code to indicate that the first questionnaire was returned blank and then send the second questionnaire package to that sample patient.
- If the second questionnaire is also returned blank, the survey vendor should assign final survey disposition Code 220 (refusal) to the case.
- If the first questionnaire for the mail-only mode is never returned and the second questionnaire is returned blank, then that case should also be assigned final disposition Code 220 (refusal).
- If the first questionnaire for the mail-only mode is never returned or returned blank and the second questionnaire is not returned at all, the survey vendor should assign final survey disposition Code 250 (No response after maximum attempts) to the case.

Note that all cases that ***are not finalized*** as a result of the mail survey component of the mixed-mode survey must be assigned for telephone follow-up, including both cases that are returned blank and undeliverable mail. This means that unless the case was a refusal or the sample patient was determined to be ineligible for the survey during the mail survey data collection phase of the survey, survey vendors should follow up with the sample patient by telephone. This includes



cases for which the questionnaire was returned blank and those for which the questionnaire was undeliverable.

## 9.4 Definition of a Completed Questionnaire

A questionnaire is considered to be “complete” and should be assigned a survey disposition code of 110 (if completed by mail survey) or 120 (if completed by telephone) if at least 50 percent of the “core ICH CAHPS” questions that are applicable to all sample patients are answered. The core ICH CAHPS questions that are applicable to all sample patients are shown in **Table 9-2**.

**Table 9-2. Core ICH CAHPS Survey Questions Applicable to All Sample Patients**

Question Number	Question Text
Q1	Where do you get your dialysis treatments?
Q2	How long have you been getting dialysis at [SAMPLE FACILITY NAME]?
Q3	In the last 3 months, how often did your kidney doctors listen carefully to you?
Q4	In the last 3 months, how often did your kidney doctors explain things in a way that was easy for you to understand?
Q5	In the last 3 months, how often did your kidney doctors show respect for what you had to say?
Q6	In the last 3 months, how often did your kidney doctors spend enough time with you?
Q7	In the last 3 months, how often did you feel your kidney doctors really cared about you as a person?
Q8	Using any number from 0 to 10, where 0 is the worst kidney doctors possible and 10 is the best kidney doctors possible, what number would you use to rate the kidney doctors you have now?
Q9	Do your kidney doctors seem informed and up to date about the health care you receive from other doctors?
Q10	In the last 3 months, how often did the dialysis center staff listen carefully to you?
Q11	In the last 3 months, how often did the dialysis center staff explain things in a way that was easy for you to understand?
Q12	In the last 3 months, how often did the dialysis center staff show respect for what you had to say?
Q13	In the last 3 months, how often did the dialysis center staff spend enough time with you?
Q14	In the last 3 months, how often did you feel the dialysis center staff really cared about you as a person?
Q15	In the last 3 months, how often did dialysis center staff make you as comfortable as possible during dialysis?
Q16	In the last 3 months, did dialysis center staff keep information about you and your health as private as possible from other patients?
Q17	In the last 3 months, did you feel comfortable asking the dialysis center staff everything you wanted about dialysis care?
Q18	In the last 3 months, has anyone on the dialysis center staff asked you about how your kidney disease affects other parts of your life?
Q19	The dialysis center staff can connect you to the dialysis machine through a graft, fistula, or catheter. Do you know how to take care of your graft, fistula, or catheter?

(continued)

**Table 9-2. Core ICH CAHPS Survey Questions Applicable to All Sample Patients (continued)**

<b>Question Number</b>	<b>Question Text</b>
Q20	In the last 3 months, which one did they use most often to connect you to the dialysis machine?
Q22	In the last 3 months, how often did dialysis center staff check you as closely as you wanted while you were on the dialysis machine?
Q23	In the last 3 months, did any problems occur during your dialysis?
Q25	In the last 3 months, how often did dialysis center staff behave in a professional manner?
Q26	In the last 3 months, did dialysis center staff talk to you about what you should eat and drink?
Q27	In the last 3 months, how often did dialysis center staff explain blood test results in a way that was easy to understand?
Q28	As a patient you have certain rights. For example, you have the right to be treated with respect and the right to privacy. Did this dialysis center ever give you any written information about your rights as a patient?
Q29	Did dialysis center staff at this center ever review your rights as a patient with you?
Q30	Have dialysis center staff ever told you what to do if you experience a health problem at home?
Q31	Have any dialysis center staff ever told you how to get off the machine if there is an emergency at the center?
Q32	Using any number from 0 to 10, where 0 is the worst dialysis center staff possible and 10 is the best dialysis center staff possible, what number would you use to rate your dialysis center staff?
Q33	In the last 3 months, when you arrived on time, how often did you get put on the dialysis machine within 15 minutes of your appointment or shift time?
Q34	In the last 3 months, how often was the dialysis center as clean as it could be?
Q35	Using any number from 0 to 10, where 0 is the worst dialysis center possible and 10 is the best dialysis center possible, what number would you use to rate this dialysis center?
Q36	You can treat kidney disease with dialysis at a center, with a kidney transplant, or with dialysis at home. In the last 12 months, did your kidney doctors or dialysis center staff talk to you as much as you wanted about which treatment is right for you?
Q37	Are you eligible for a kidney transplant?
Q39	Peritoneal dialysis is dialysis given through the belly and is usually done at home. In the last 12 months, did either your kidney doctors or dialysis center staff talk to you about peritoneal dialysis?
Q40	In the last 12 months, were you as involved as much as you wanted in choosing the treatment for kidney disease that is right for you?
Q41	In the last 12 months, were you ever unhappy with the care you received at the dialysis center or from your kidney doctors?

If two mail questionnaires are received from the same sample patient—that is, the sample patient returned a questionnaire from both the first and second questionnaire mailings—the one that is more complete (more questions are answered) must be considered as the completed questionnaire. If both questionnaires that were returned have the same number of questions answered, the first one received must be considered the completed questionnaire. If a sample



patient completes a telephone interview and then returns a completed mail survey, the survey vendor must use the survey with the most complete data, regardless of which survey was completed first. If the two surveys are equally complete, the vendor must use the first one that was received or completed.

#### **9.4.1 Steps for Determining Whether a Questionnaire Meets Completeness Criteria**

Use the steps below to determine whether a survey can be considered “complete.”

**Step 1:** Sum the number of core ICH CAHPS questions (shown in *Table 9-2*) that the respondent answered. Note that survey vendors must recode “Don’t Know” and “Refuse” responses to missing (Code M). Do not include “Don’t Know” responses in the count of questions that the respondent answered.

**Step 2:** Divide the total number of questions answered by 38, which is the total number of core ICH CAHPS questions applicable to all sample patients, and then multiply by 100 to determine the percentage.

**Step 3:** If the percentage is  $\geq 50\%$ , assign the final disposition code to indicate a “Completed Survey” (either 110 or 120, as appropriate). If the percentage is  $< 50\%$ , assign final disposition code “210—Break-off.”

### **9.5 Computing the Response Rate for Quality Control**

Survey vendors are not **required** to compute a response rate for each semiannual survey because CMS will compute and report a response rate for each ICH facility when survey results are publicly reported. However, we recommend that survey vendors calculate and review the response rates periodically for each of their client ICH facilities.

If a sample was selected for an ICH facility but there is no response or a very low response rate, this could be an indication that incoming mail was not processed, scanned data were not exported to the XML file, or other problems occurred with the mail questionnaire (for mail surveys) or there was a data collection or data processing problem (for telephone surveys). In cases where the number of cases sampled was very small, it is possible that all of the sample patients decided not to return a completed questionnaire or not to participate in the telephone interview. For ICH facilities with larger sample sizes, no response from any of the sample patients could be indicative of a data collection or data processing problem because it is highly unlikely that 100 percent of the sample cases will refuse to participate in the survey.

For a given public reporting period (i.e., data from the last two semiannual surveys), a response rate for each ICH facility will be calculated as described below.

$$\text{Response Rate} = \frac{\text{Total Number of Completed Surveys}}{\text{Total Number of Surveys Fielded} - \text{Total Number of Ineligible Surveys}}$$

*Total Number of Completed Surveys* is the number of sample cases assigned a final disposition code of 110 and 120.

*Total Number of Surveys Fielded* is the total number of patients sampled for the ICH facility.


*Total Number of Ineligible Surveys* is the number of sample cases assigned a final disposition code of 130, 140, 150, 160, 170, 180, and 190. No other cases will be removed from the denominator by survey vendors.

## X. THE ICH CAHPS WEBSITE

### 10.0 Overview

This chapter presents an overview of the ICH CAHPS website, which serves several functions, including being the vehicle that survey vendors use to download the sample for each of their client ICH facilities and for submitting ICH CAHPS Survey data to the Data Center. ICH facilities also use the website to authorize their survey vendor to collect and submit ICH CAHPS data on their behalf and to review data submission reports.

### 10.1 The ICH CAHPS Web Portal

The Data Center is maintained by RTI International, which is assisting CMS with the ICH CAHPS Survey. RTI also developed and maintains the ICH CAHPS website, available at <https://ichcahps.org> . This website is the main vehicle for communicating and updating information about the ICH CAHPS Survey to both ICH facilities and to survey vendors. In addition, survey vendors can access specific links on the restricted-access sections of the website to submit ICH CAHPS Survey data to the Data Center. The ICH CAHPS website also allows facilities to authorize their contracted survey vendor to submit ICH CAHPS Survey data on their behalf, access their data submission reports, and review their ICH CAHPS Survey results before they are publicly reported. *Exhibit 10-1* provides an overview of both the public and private links and information available on the website.

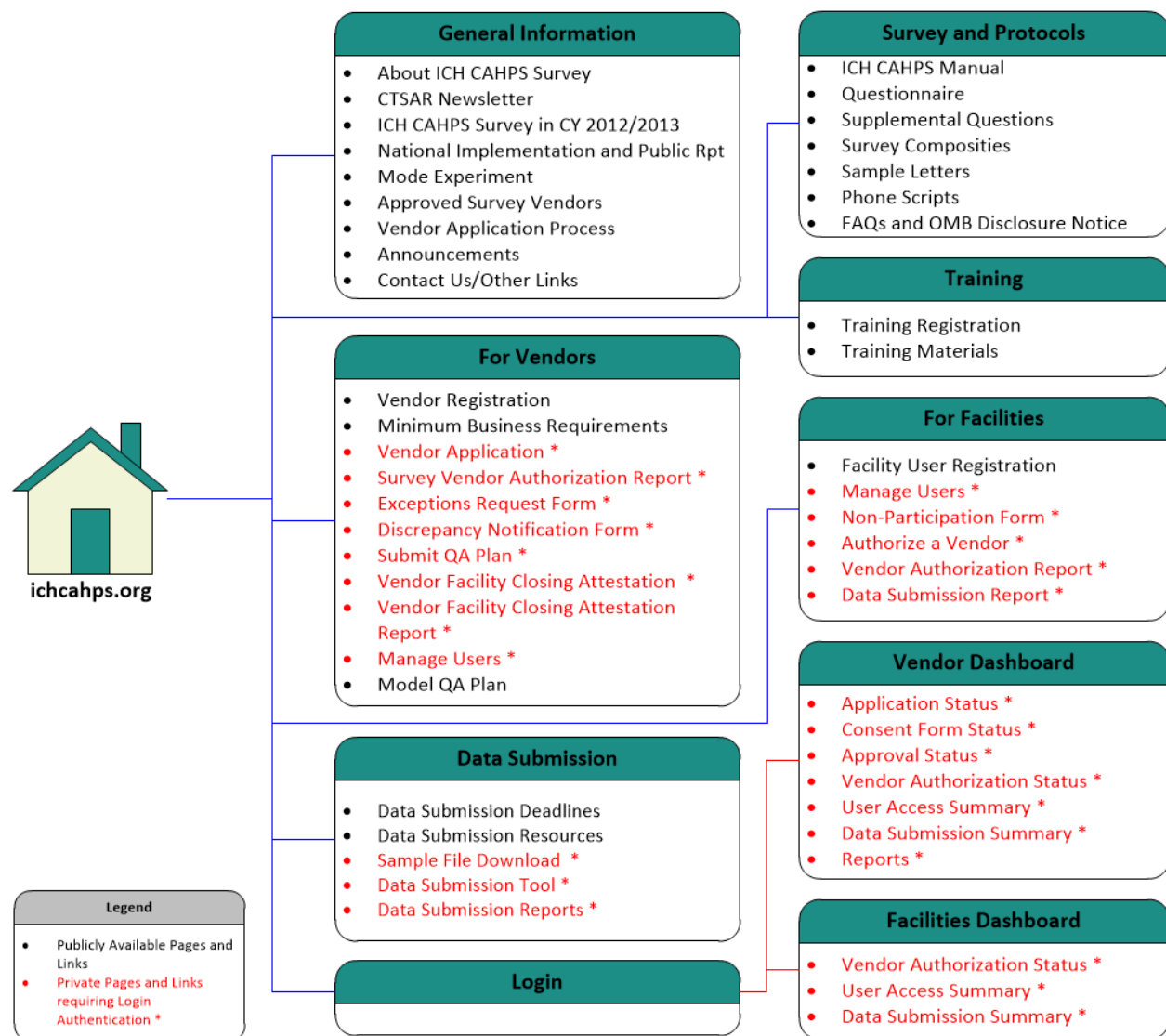
#### 10.1.1 The Public ICH CAHPS Website

The public links on the ICH CAHPS website can be accessed by anyone, including those who do not register for user credentials to access the website's private links. The public pages on the ICH CAHPS website contain numerous links and information including the following:

- Background information about the ICH CAHPS Survey;
- Contact information for the Coordination Team (e-mail address and toll-free telephone number);
- Survey questionnaires and related survey materials in English, Spanish, Samoan, and simplified and traditional Chinese;
- Survey administration procedures and protocols (including this manual);
- *Vendor Registration Form*, to be completed by the survey vendor's designated Survey Administrator; the Survey Administrator must complete this form so that he or she can access and submit a *Vendor Application* to become a CMS-approved ICH CAHPS Survey vendor;

Exhibit 10-1. ICH CAHPS Website

## ICH CAHPS Website Diagram



- *Facility User Registration Form* that the ICH facility's Survey Administrator will complete to create an account and credentials for accessing links in the secure section of the website;
- Continuous updates in *Recent Announcements* about any new policies or changes in survey administration protocols and procedures, announcements about updates to the *ICH CAHPS Survey Administration and Specifications Manual*, a data submission schedule, and reminders of upcoming data submission deadlines; training information and materials for the Introduction to the ICH CAHPS Survey Webinar Training Session and the Vendor Update training sessions; and
- Information about data submission and the data submission tool.

#### 10.1.1.1 Recent Announcements

The *ICH CAHPS Survey Administration and Specifications Manual* will be updated periodically. However, the Coordination Team will use the *Recent Announcements* field on the bottom left side of the website home page to disseminate important updates about the ICH CAHPS Survey to ICH facilities and survey vendors before the next version of the *ICH CAHPS Survey Administration and Specifications Manual* is published. Survey vendors and ICH facilities are encouraged to check the website for news and announcements in the *Recent Announcements* field on a routine basis.

#### 10.1.1.2 The Quick Links Box

The *Quick Links* box on the right side of the website home page (see **Exhibit 10-2**) includes important information for ICH facilities, such as facility participation rules, instructions and deadlines for authorizing a survey vendor, and the list of approved ICH CAHPS survey vendors. The *Quick Links* box also includes links to the following information for the most recently completed public reporting period: the Average State and National ICH CAHPS Scores and Patient-Mix Coefficients and the Star Ratings for the In-Center Hemodialysis CAHPS Survey Results.

#### 10.1.1.3 Designating an ICH CAHPS Survey Administrator

Before any participating ICH facility or survey vendor accesses the restricted portion of the website, an ICH facility or survey vendor must designate a staff member to serve as its ICH CAHPS Survey Administrator. The designated ICH CAHPS Survey Administrator's roles and responsibilities on the ICH CAHPS Survey are listed below.

- Register as the ICH CAHPS Survey Administrator for the facility or survey vendor;
- Designate another individual within the organization as the backup ICH CAHPS Survey Administrator;
- Grant individual non-Survey Administrator users access to specific website functions (ICH facilities only);

**Exhibit 10-2. Quick Links Box**

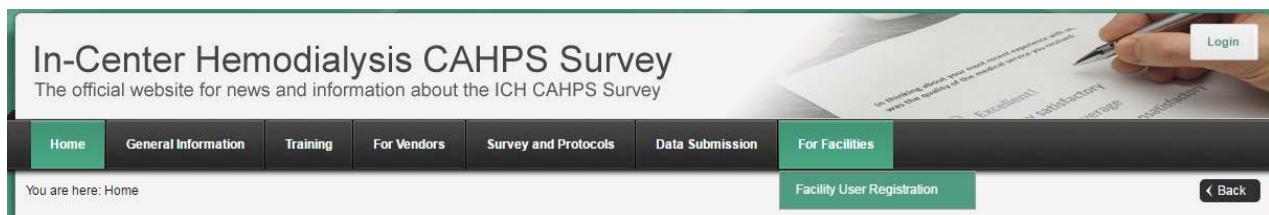
This picture shows the Quick Links box on the ICH CAHPS Website.



- Update non-ICH CAHPS Survey Administrator user information (ICH facilities only);
- Remove access or approve the removal of access for users who are no longer authorized to access the private side of the website; and
- Serve as the main point of contact with the Coordination Team and Data Center.

#### *10.1.1.4 Facility User Registration Form*

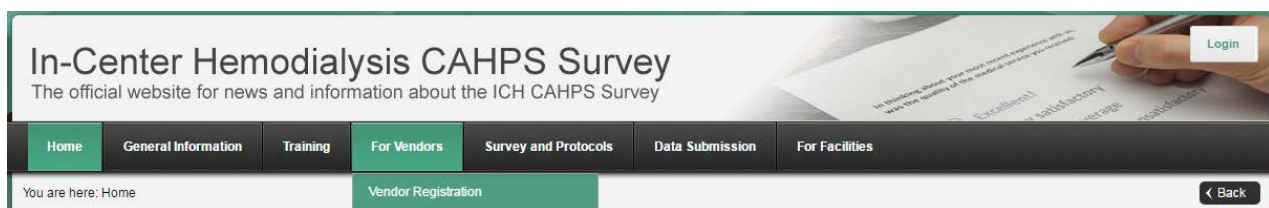
The designated facility's ICH CAHPS Survey Administrator will be responsible for completing an online *Facility User Registration Form* located on the public side of the website found under the "For Facilities" tab at the top of the home page (see **Exhibit 10-3**). The *Facility User Registration Form* collects information about the ICH facility's designated ICH CAHPS Survey Administrator, including his or her name, e-mail address, and telephone number. When completing the registration form, the ICH facility's Survey Administrator will be instructed to create a username and password that will be used to access the secured links and forms on the private side of the ICH CAHPS website.

**Exhibit 10-3. Facility User Registration Form Link**

Once the registration form is submitted, users will be routed to a dashboard created specifically for their ICH facility, where they can find the other forms required to complete the registration process. Additional links to important functions and forms, including the *Authorize a Vendor Form*, are also available on each facility's dashboard. The *Facility Dashboard* is discussed in more detail below.

**10.1.1.5 Survey Vendor Registration Form**

The individual designated as the survey vendor's ICH CAHPS Survey Administrator will be responsible for completing an online *Vendor Registration Form*, which is located on the public side of the website. When completing the *Vendor Registration Form*, the vendor's Survey Administrator will establish an account and create credentials for accessing the secure sections of the website. The *Vendor Registration Form* can be found under the *Forms for Vendors* tab at the top of the home page (see **Exhibit 10-4**). This form collects information about the survey vendor organization and the ICH CAHPS Survey Administrator's name and e-mail address. When completing the *Vendor Registration Form*, the survey vendor's ICH CAHPS Survey Administrator will be instructed to create a username and password that will be used to access the secure links and forms on the ICH CAHPS website, including the *Vendor Application*.

**Exhibit 10-4. Vendor Registration Form Link**

Once the vendor registration form is submitted, the Survey Administrator will be routed to a dashboard created specifically for that survey vendor. The *Survey Vendor Dashboard* is discussed more in a following section.

### **10.1.2 The Restricted-Access (Secure) ICH CAHPS Website**

In *Exhibit 10-1*, the items with an asterisk are accessible only on the private pages of the website and with proper login credentials and authorization. Access to the secure sections will be restricted and controlled through a user identification and password, created by the survey vendor or ICH facility Survey Administrator during the registration process. Once logged into the secure side of the website, Survey Administrators will be routed to a dashboard created specifically for their organization.

Survey vendors must access specific links in the restricted-access sections of the website to apply to become a CMS-approved survey vendor, to obtain their ICH CAHPS Survey sample files, to submit ICH CAHPS Survey data to the Data Center, and to view vendor data submission reports.

ICH facilities participating in the ICH CAHPS Survey will also access specific links on the secure side of the ICH CAHPS website to authorize their contracted survey vendor to submit ICH CAHPS Survey data on their behalf, to access and review their data submission reports, and to review their ICH CAHPS Survey results before the results are publicly reported.

#### **10.1.2.1 Facility Dashboard**

Each time the ICH Facility Survey Administrator logs into the website using the user credentials created during the registration process, he or she will be taken to the *Facility Dashboard* (see *Exhibit 10-5*). The dashboard will guide the Survey Administrator through the rest of the registration process, including registering his or her ICH facility (or facilities) by CCN and completing the online *ICH Facility Survey Administrator Consent Form*, indicating that he or she is the designated ICH CAHPS Survey Administrator for the CCN(s). Survey Administrators should note that they can register additional ICH facilities at any time using the dashboard.



**Exhibit 10-5. Facility Dashboard**

**In-Center Hemodialysis CAHPS Survey**  
The official website for news and information about the ICH CAHPS Survey

Home My Dashboard General Information Training Survey and Protocols Data Submission **For Facilities**

For Facilities / My Dashboard [Back](#)

### Required Action Items

Item	Status	Resource
✓ Facility Registration	Completed	
✓ Register one or more in-center hemodialysis facilities (by CCN)	<a href="#">1 CCN(s) already registered</a>	<a href="#">Click here to register your In-center Hemodialysis Facility (by CCN)</a>
✓ Vendor Authorization	<a href="#">1 of 1 CCNs have current authorization</a>	<a href="#">Authorize a Vendor</a>

### User Access

Administrative Users: RTI Admin, RTI Backup

Non-Administrative Users: No users found

[Manage User Console](#)

### Quick Links

- [Approved Survey Vendors](#)
- [Authorizing a Vendor](#)
- [Star Ratings Methodology \(Posted 12/2/19\)](#)
- [2020 Final Rule for ESRD Facilities \(Posted 11/13/19\)](#)
- [Changing Survey Vendors \(Updated 8/5/19\)](#)
- [Determining Whether Participation in 2019 ICH CAHPS Survey is Required \(Posted 1/3/19\)](#)
- [2018 Spring and 2018 Fall National and State Averages \(Updated 10/31/19\)](#)
- [Coefficients and Star Ratings for Results Posted on the DFC \(Updated 12/2/19\)](#)
- [Updating Survey Admin Contact Information](#)

### Recent Announcements

[2020 In-Center Hemodialysis CAHPS Survey Vendor Update Webinar Training Session](#)  
Posted on: Friday, December 6, 2019

[RTI International will be closed November 28 and 29, 2019](#)  
Posted on: Friday, November 22, 2019

[CY2020 ESRD Prospective Payment System Final Rule](#)  
Posted on: Wednesday, November 13, 2019

[Tentative Data Collection Schedule for the 2020 ICH CAHPS Spring Survey](#)  
Posted on: Friday, November 8, 2019

The *Facility Dashboard* also includes:

- An *Authorize a Vendor* link that allows the ICH facility's ICH CAHPS Survey Administrator to select a CMS-approved survey vendor to submit data on behalf of the ICH facility.
- A *Manage Users Console* link, where the Survey Administrator can add or delete authorized users for certain functions on the website.
- A *Data Submission Report* link, where the Survey Administrator can review his or her survey vendor's history of submitting data for their CCN(s) and the raw response rates for each CCN.

Facilities are responsible for checking the website announcements displayed both on their dashboard and the ICH CAHPS website homepage regularly for updates.

#### *10.1.2.2 Survey Vendor Dashboard*

Each time the survey vendor's ICH CAHPS Survey Administrator logs into the website with the user credentials created during the registration process, he or she will be taken to the *Vendor Dashboard* (see **Exhibit 10-6**). From the dashboard, survey vendors can complete and submit the *Vendor Application* and *Vendor Survey Administrator Consent Form* during periods in which the Coordination Team is accepting vendor applications. The *Vendor Application* must be completed to be considered for approval as a CMS-approved survey vendor. Survey vendors are also able to print their *Vendor Consent Form* from the dashboard. The *Vendor Consent Form* must be printed, signed, notarized, and the original copy of the notarized form mailed to the ICH CAHPS Coordination Team.

## Exhibit 10-6. Vendor Dashboard

**In-Center Hemodialysis CAHPS Survey**  
The official website for news and information about the ICH CAHPS Survey

Home My Dashboard General Information Training **For Vendors** Survey and Protocols Data Submission

For Vendors / My Dashboard Back

### Vendor Approval Process

	Item	Status	Resource
✓	Vendor Registration	Complete	
✓	Vendor Application	Complete	<a href="#">Edit/View Vendor Application</a>
✓	Consent Form	Complete	<a href="#">Consent Form</a>
	Vendor Approval Status	Not Approved	
✓	Quality Assurance Plan	Approved	<a href="#">QAP Form</a>

### Data Submission

Data collection period: 2018 Fall Survey

	Authorizations	
	1	
	Number of Facilities with Submissions	0
	Number of Facilities with Passed Submissions *	0

\* This number only includes data submissions that have passed ALL validations.

[Data Submission Reports](#)  
[Data Submission Tool](#)

### User Access

Administrative Users

RTI Test Vendor
RTI Vendor Backup

[Manage User Console](#)

### Recent Announcements

[2020 In-Center Hemodialysis CAHPS Survey Vendor Update Webinar Training Session](#)  
Posted on: Friday, December 6, 2019

[RTI International will be closed November 28 and 29, 2019](#)  
Posted on: Friday, November 22, 2019

[CY2020 ESRD Prospective Payment System Final Rule](#)  
Posted on: Wednesday, November 13, 2019

[Tentative Data Collection Schedule for the 2020 ICH CAHPS Spring Survey](#)  
Posted on: Friday, November 8, 2019

[Patient-Mix Coefficients and Star Ratings for the ICH CAHPS Survey Results Publicly Reported in October 2019](#)  
Posted on: Thursday, October 31, 2019

### Training

February 2020

Registered Sessions	Training Exam
	Not required

The *Vendor Dashboard* also includes the following tools or links:

- *Manage Users Console*, where the Survey Administrator can add or delete authorized users for certain functions on the website;
- *Sample File Download*, where the Survey Administrator can download the sample file for each semiannual survey;

- *Exceptions Request Form*, which approved ICH CAHPS Survey vendors must complete and submit to the Coordination Team to request a planned deviation from survey protocols;
- *Discrepancy Notification Report*, which approved ICH CAHPS Survey vendors must complete and submit to the Coordination Team to report any unplanned deviations from survey protocols;
- *Vendor Facility Closing Attestation*, used by survey vendors to report ICH Facilities who have or will be closing after the Coordination Team has provided a sample for that facility but before the data collection period begins;
- *Quality Assurance Plan submittal*, where the Survey Administrator can upload and submit the survey vendor's QAP;
- *XML Schema Validation Tool*, used by survey vendors when formatting their survey data for submission;
- *Data Submittal*, where the Survey Administrator can upload and submit survey data on behalf of his or her client ICH facilities; and
- *Reports*, including *Vendor Authorization Status* and *Vendor Facility Closing Attestation* reports and data submission reports.

#### 10.1.2.3 What To Do If a User Forgets the Password

If a user forgets his or her password, he or she will need to reset his or her password to access the private side of the ICH CAHPS web portal. To reset the password, simply click on the Reset Password button on the Login screen on the ICH CAHPS website. Survey vendors and ICH facilities will need to provide the registered username on the Reset Password screen, and then click on the Send Reset Link button. An e-mail with a link to reset the password will be sent to the user's registered e-mail address. If the user does not receive the password reset message in his or her inbox, he or she should check their spam/junk email folders, as sometimes the reset password emails can get filtered to these email folders. By clicking on the password reset link in the e-mail, the user will be taken to a page where he or she can then create a new password. Once sent, the reset password link will expire after 24 hours.

## **XI. FILE PREPARATION AND DATA SUBMISSION**

### **11.0 Overview**

For each ICH CAHPS Survey, survey vendors will construct and submit an ICH CAHPS Survey data file for each of their ICH facility clients. ICH CAHPS Survey data files must be submitted to the Data Center via the ICH CAHPS Survey website by a specific data submission deadline. *The data submission deadline for the ICH CAHPS Spring Surveys will always be 5:00 PM ET on the last Wednesday in July. The data submission deadline for the Fall Surveys will always be at 5:00 PM ET on the last Wednesday in January.*

This chapter describes procedures for ICH facilities to authorize a CMS-approved ICH CAHPS Survey vendor to submit ICH CAHPS Survey data on their behalf and describes the data submission process and procedures for preparing and submitting ICH CAHPS Survey data files to the Data Center. Data Submission reports for both ICH facilities and survey vendors are also described.

### **11.1 ICH Facility Survey Vendor Authorization**

Before an ICH CAHPS Survey vendor can submit ICH CAHPS Survey data to the Data Center, each ICH facility must complete the online *Authorize a Vendor Form*, which is available on a secure link on the ICH CAHPS website. To access the *Authorize a Vendor Form*, each ICH facility must log into the ICH CAHPS website. After logging in, the system will display the facility's dashboard page; the user must click the *Authorize a Vendor* link that appears on the dashboard to access and complete the *Authorize a Vendor Form*.

If a facility authorized a survey vendor in a previous survey period and does not plan to change vendors for the upcoming survey period, it does not need to authorize the vendor again. ICH facilities that have never authorized a survey vendor on the ICH CAHPS website must contract with an ICH CAHPS Survey vendor and then complete the online vendor authorization form on the website by the deadline for that survey period. The steps for completing the online vendor authorization form are provided below.

1. Contract with an ICH CAHPS Survey vendor.
2. Log onto the ICH CAHPS website.
3. At your personal dashboard, click on the *Authorize a Vendor* link to be routed to the *Authorize a Vendor* page.

4. Select the “Select a vendor for the first time” option from the “Select Action” drop down list on the Authorize a Vendor page.
5. Select your authorized vendor from the vendor drop-down list.
6. Select the correct Beginning Survey Period for your vendor from the drop-down list. This is the first survey period in which your survey vendor will begin administering the survey on your facility’s behalf and for which you are authorizing this vendor to submit data on your facility’s behalf. For example, if your contracted survey vendor will begin administering the survey during the 2020 Spring Survey, click on the 2020 Spring Survey.
7. The system will show a field for End Date, which is the final survey period for which your authorized survey vendor will administer the survey on your facility’s behalf. For example, if you add an end date of 2020 Fall, your vendor will receive a sample file (if there are survey-eligible patients) for the 2020 Fall Survey period, but they will not receive a sample file for the 2021 Spring Survey period, or subsequent survey periods. **Leave the End Date field blank unless you already know that you will be ending this vendor’s services after a specific survey period.**
8. Select the ICH facility(ies) to which the authorization applies. The vendor authorization form is designed so that ICH facilities can authorize multiple CCNs at the same time.
9. Click the “Submit” button.

ICH facilities that plan to switch from one ICH CAHPS Survey vendor to another, or facilities that entered an end date when authorizing their survey vendor prior, must update or change the online vendor authorization form prior to the beginning of the survey period in which the change will occur. To change the online vendor authorization, a facility must:

1. Access its personal dashboard on the ICH CAHPS website.
2. Click on “Authorize a Vendor.”
3. Select the “Switch to a different vendor” option from the “Select Action” drop down list on the Authorize a Vendor page.
4. Follow steps 4–8 above to authorize the new survey vendor.

It is very important that facilities that are switching from one survey vendor to a different vendor update their vendor authorization form by the deadline announced by the Coordination Team prior to each survey period; changes will not be accepted after the deadline has passed.

If a facility switches vendors or adds an end date to an existing vendor authorization record, the current survey vendor will receive an automated e-mail alerting them of the newly entered end date. Please note that the facility must still alert the vendor of any changes made to its vendor authorization record or contract with the vendor's organization.

**ICH facilities should note that CMS will not distribute an ICH facility's sample file to the facility's contracted survey vendor if the facility has not completed the online vendor authorization form.** There is a deadline for which the online vendor authorization form must be completed or updated (for facilities that will be changing to a different vendor). The deadline for the Spring Survey will always be February 28 and the deadline for the Fall Survey will always be August 31. The Coordination Team will notify all ICH facilities that are registered on the ICH CAHPS website of the deadline for completing or updating the online vendor authorization form for each survey period via an e-mail that will be sent to each ICH facility.

#### ***11.1.1 Facility Non-Participation Form***

ICH facilities that have already authorized a survey vendor on the ICH CAHPS website that decide that they WILL NOT administer the 2020 ICH CAHPS Surveys do not need to change their online vendor authorization form. All such facilities, however, must notify the Coordination Team in January/February of each year that they WILL NOT be administering the survey that year.

Each facility that will not be administering the survey in a specific calendar year must complete the online *Facility Non-Participation Form*, a link to which is available on the ICH CAHPS website. To complete the *Facility Non-Participation Form*, the facility must log on to the ICH CAHPS website, at which point the facility's dashboard will be displayed. The facility must click on the *Facility Non-Participation Form*, then highlight each CCN for which it will NOT be administering the survey during that year. The *Facility Non-Participation Form* will be available via the website in January and February of each year. If a facility needs to submit this form at any other time, please contact the Coordination Team via e-mail. Please note that submission of the NPF **only** serves to let the Coordination Team know that the facility has determined that it is not required to participate in that specific calendar year's surveys and that sample files should not be provided to an authorized vendor.

***The ICH CAHPS Coordination Team will not provide a sample to any survey vendor for each CCN for which the Facility Non-Participation Form is submitted. If a facility has authorized a survey vendor for more than one CCN and will be administering the survey for some CCNs and not others, the facility should make sure that it selects the correct CCNs when completing the Facility Non-Participation Form.***

Please note that the *Facility Non-Participation Form* is only valid for one year and includes both the Spring and Fall Surveys of that calendar year. If a facility submitted a *Facility Non-*



*Participation Form* in 2019, and is not required to participate in the 2020 ICH CAHPS Surveys or decides not to administer the survey in 2020, then that facility will need to complete a 2020 *Facility Non-Participation Form*. However, if a facility submitted the 2019 *Facility Non-Participation Form* and is now required to participate in the 2020 surveys (or chooses to participate), that facility will need to complete the *Authorize a Vendor Form* discussed above. Note that once a *Facility Non-Participation Form* is submitted, the vendor authorization is removed from ICH CAHPS website. Therefore, if a facility ever decides to participate in the survey or is required to do so, it is critical that the facility complete the *Authorize a Vendor Form* by the deadline for that survey period.

### 11.1.2 Facility Closing Attestation Form

ICH CAHPS Survey vendors must submit the online *Facility Closing Attestation Form* if they learn that one of their ICH facilities has closed or will be closing. If the ICH facility closes or will be closing ***after the Coordination Team has provided a sample for that facility but before the data collection period begins***, the survey vendor authorized to collect data on behalf of that facility must complete and submit the online *Facility Closing Attestation Form* as soon as possible after learning that the facility has closed or will be closing.

The survey vendor must not begin data collection efforts for facilities that closed or will be closing before data collection begins. Instead, the vendor should delete all of the PII provided on the sample file for the closed facility, as indicated in the vendor's DUA with CMS. If the facility closed before data collection began (therefore no data were collected) an XML file for this facility should not be submitted to the Data Center.

Vendors can access the *Facility Closing Attestation Form* by logging into the ICH CAHPS website and choosing "Facility Closing Attestation" form, which is under the *For Vendors* tab at the top of the website's home page. Once a *Facility Closing Attestation Form* is submitted by a survey vendor, an e-mail will be sent to the facility's ICH CAHPS Survey Administrator to notify the facility that the vendor has submitted the *Facility Closing Attestation Form* on the facility's behalf. The *Survey Vendor Authorization Report* (accessible via the vendor's dashboard) will also indicate whether a *Facility Closing Attestation Form* has been submitted for each CCN listed on the report.

If an ICH facility closes after data collection activities have begun, the vendor must submit an XML file for the closed facility to the ICH CAHPS Data Center. The data file must contain survey data collected and a final disposition code must be assigned to each sample patient.

## 11.2 Data File Specifications and Data Submission

ICH CAHPS Survey vendors will upload ICH CAHPS Survey data to the Data Center using XML (extensible markup language) data files. An XML data file must be submitted for each of the survey vendor's client ICH facilities for which a sample was provided. Each XML file will



consist of three sections: a Header Record, a Patient Administrative Data Record, and the Patient Response Record. Each XML file must contain a header record and a patient administrative record for every sampled patient and a patient response record for every survey in which the respondent marked or provided an answer to one or more survey questions. The only exceptions to this rule are when the following situations occur:

- The survey vendor learns that a sample patient is deceased during data collection (via a telephone call from a knowledgeable person or as a note on a completed questionnaire). In this situation, the survey vendor should not process (scan or key) the data from the questionnaire for that sample patient. Instead, the vendor must make sure the final disposition code indicating that the sample patient is deceased is assigned to the case.
- The survey vendor receives a completed mail survey questionnaire after the data collection period ends for a specific survey period. The survey vendor must not process or include the survey data on the XML file. The vendor should dispose of all such questionnaires—this means that the vendor should thoroughly shred the completed questionnaire so that no one can “reconstruct” it. Survey vendors must assign the final disposition code 250 to each mail survey case that is received after the data collection period ends.

The data file specifications and layout for the ICH CAHPS Survey XML files are shown in *Appendix L*. Each of the three sections of the XML file is described below.

### 11.2.1 Header Record

The Header Record contains the identifying information for the ICH facility for which data are included on the file, sampling information, survey administration mode, and the dates that data collection began and ended for the survey period. Information required in this section includes the name of the ICH facility and its CCN. Other information required in the Header Record is provided below:

- **Semiannual Survey.** Survey vendors will indicate whether data included on the file are for the ICH CAHPS Spring Survey or the ICH Fall Survey. For the Spring Survey, survey vendors will enter a “1” to indicate that it is the Spring Survey. For the Fall Survey, survey vendors will enter a “2.”
- **Survey Year.** This is the calendar year in which the survey is conducted.
- **Survey Mode.** The survey mode, either mail only, telephone only, or mixed mode, is the data collection mode used for all of a facility’s sample patients. It *must be the same for all of the facility’s sample patients during a survey period*. ICH facilities and their survey vendors cannot change survey administration modes for an ICH facility until a new semiannual survey begins.

- **Number of Patients Sampled.** This is the number of patients that the Coordination Team sampled and is included on the sample file provided to the survey vendor prior to the beginning of the data collection period.
- **Date Data Collection Began.** Survey vendors must enter the date the prenotification letter was mailed to sample patients.
- **Date Data Collection Ended.** Survey vendors must enter the date data collection ended for this survey period.

Note that all fields in the Header Record must have a valid entry.

### 11.2.2 Patient Administrative Data Record

The second part of the XML file contains data about each patient who was sampled, including both respondents and nonrespondents. In this section of the file, some of the information provided in the Header Record is repeated, including the ICH facility's CCN and the Semiannual Survey indicator and Survey Year. All other information included in this section of the file is about the patient. ***There must be a Patient Administrative Data Record for every patient sampled.*** The SID number assigned to each patient must be included. *Only de-identified data will be submitted to the Data Center; however, the unique SID number that was assigned to the sampled patient by the Coordination Team must be included on the file.* Files submitted with missing SID numbers or with SID numbers that do not match those assigned by the Coordination Team will be rejected.

The other information required in this section of the XML file includes the final disposition code that was assigned to the sample case, the language in which the survey was completed, and the survey mode in which the survey was completed. Survey vendors must also enter the date the completed mail survey was received for cases assigned Code 110 (completed mail survey) or the date the telephone interview was completed for assigned Code 120 (completed telephone interview). Survey vendors must also enter a date the case was finalized for all cases assigned one of the following disposition codes:

- Code 130 (survey eligibility unknown);
- Code 140 (ineligible, not currently receiving dialysis);
- Code 160 (ineligible, does not meet eligibility criteria);
- Code 190 (ineligible, no longer receives dialysis at the sample facility);
- Code 199 (survey completed by proxy respondent); or
- Code 210 (breakoff).

For each case assigned Code 130, 140, 160, or 190, the survey vendor must enter in the Date Interview Completed field on the XML file the date the vendor learned that the sample patient is ineligible for the survey or determined that eligibility is unknown. In some cases, a vendor might learn that a sample patient is ineligible for the survey when the sample patient calls the vendor's toll-free customer service line. If that is the case, the date the patient called the vendor's customer service line must be entered for the Date Completed variable. For cases assigned Code 199, enter the date the mail survey was received. For cases assigned Code 210, enter the date the mail survey questionnaire was received or the date that some of the interview was completed with the respondent.

For Survey Language, survey vendors must indicate which of the approved languages was used for survey completion. For Survey Mode, survey vendors must indicate whether the sample patient responded to the survey by mail or telephone.

Note that the Survey Mode in this section of the XML file is different from the Survey Mode included in the Batch Header Record. The Survey Mode indicator in the Batch Header Section is the mode of data collection that the ICH facility chose to use during this survey period. For mixed-mode surveys, remember that the survey can be completed by mail or telephone. The Survey Mode in the Patient Administrative Section is the survey mode by which the individual patient responded to the survey.

A valid value must be entered for each variable in the Patient Administrative Data Record. If a completed survey or interview was not obtained, the survey vendor must enter 88888888 for the Date Completed variable and the Not Applicable Code of X for the Survey Language and Survey Mode variables.

### ***11.2.3 Patient Response Record***

The third part of the XML file is the patient response record, which must contain the responses to the ICH CAHPS Survey from every patient who returned a mail survey with an answer marked for one or more questions (excluding the examples mentioned above where the survey vendor learns that a sample patient is deceased via a telephone call from a knowledgeable person or as a note on a completed questionnaire or the completed mail survey was received after the data collection period has ended) and for telephone surveys in which the respondent answered one or more questions. Note that **only** data from ICH CAHPS Survey questions should be included on the data file. Do not submit responses to the ICH CAHPS supplemental questions or facility-specific questions that the survey vendor added to the survey questionnaire. The only records that should be included are those with a final survey disposition code for a completed survey (Codes 110, 120, and 130); those with disposition codes of 140, 160, and 190 where the sample patient answered Qs. 1 and 2 and the "About You" questions; those where a proxy completed the survey (Code 199); and those assigned final disposition Code 210 (Breakoff).

For all patient response records that are included on the file, all response fields must have a legitimate value, which can include Code M for “Missing” or Code X for “Not applicable.” Survey vendors should note the difference between Codes M and X and use these codes appropriately. Assign Code M to the survey question if the respondent should have answered the question but did not. Assign Code X to the survey question if the question should have been skipped (because of the answer provided in a screening question that preceded the follow-up question) and was indeed skipped.

### 11.3 Data Submission Procedures

To submit ICH CAHPS Survey data files, survey vendors must access the secure portion of the website by logging in with their unique password and user ID. Once the secure side of the website is accessed, the system will display the survey vendor’s dashboard. The survey vendor will then click the *Submit Data* dropdown link under *Data Submission*. The web interface has standard dropdown menus that will allow survey vendors to select and enter information, including their survey vendor ID number, the CCN of the ICH facility for which data are being submitted, and the date of the upload.

The steps in data submission are summarized as follows:

1. Log on to the ICH CAHPS Survey website; when logged on, the system will display the vendor’s dashboard.
2. Click the *Submit Data* dropdown link under *Data Submission*. The data submission tool page will display.
3. Click the “Select” button to select the file to upload. The Select button permits users to locate and directly upload a file that has been saved in their own computer system. Survey vendors can select either a single XML file or a single ZIP file that contains multiple XML files.
4. After selecting the file to be uploaded, click “Upload XML” to submit the file.
5. To upload more than one file at a time, click the “Add” button on the same screen. Additional file selection rows will be added. Repeat Step 3 for each file to be uploaded.
6. To remove rows that have been added, click the “Remove” button to the right of the row to be deleted.

When survey vendors upload ICH CAHPS Survey data files to the Data Center, the XML file will undergo several validation checks. The first check will determine whether the CCN(s) in the header record and the patient administrative file are aligned for the client facility’s authorized survey vendor and the facility’s CCN. The next validation checks will determine the quality and

completeness of the data. If the file fails any of the validation checks, the survey vendor will receive an error message within seconds after a file error is detected noting that the file upload failed, giving details on why the file failed to upload. For example, the message might indicate that there is no authorization from the ICH facility for the survey vendor to submit data on its behalf or that the number of patient records listed in the Header Record does not match the number of sample patients for which data are provided in the Patient Administrative Data Record section of the file.

If a file did not pass the upload validations, none of the data on the file were accepted and stored in the Data Center. Survey vendors must review data submission reports (discussed in a following section) and correct any data errors on the XML file and resubmit the file. ***CMS will not accept data files that are submitted after the data submission deadline for each survey period***; therefore, we strongly encourage survey vendors to submit their data files well in advance of the data submission deadline for a survey period. ***Survey vendors can resubmit a data file for an ICH facility client as many times as needed prior to the data submission deadline. However, survey vendors must keep in mind that each time a data file for an ICH CAHPS facility is submitted, it overwrites any data for that same ICH facility that were previously submitted for that survey period.***

## **11.4 Assistance With Data File Preparation and Data Submissions**

Survey vendors that need assistance with the XML file should contact the ICH CAHPS Coordination Team for technical assistance at 1-866-245-8083 or by sending an e-mail to [ichcahps@rti.org](mailto:ichcahps@rti.org).

## **11.5 Data Submission Reports**

The Data Center will generate and provide via the ICH CAHPS website a number of reports to indicate the status of data submissions and the quality of the data submitted. Reports will be generated for both ICH CAHPS Survey vendors and ICH facilities. This section provides a brief overview of these reports.

### **11.5.1 Reports for Survey Vendors**

Survey vendors can access a number of reports via the secured section of the ICH CAHPS website. The most important of these is tied to the data submission and file review process—the *Data Submission Summary Report*. Another important report is the *Survey Vendor Authorization Report*, which allows the survey vendor to view all ICH facilities that have authorized the survey vendor to collect and submit data on their behalf.

### **11.5.2 Reports for ICH Facilities**

ICH facilities can access the *Data Submission Summary Report*, which provides a means by which the facility can monitor its ICH CAHPS Survey vendor's data submission activities and should be reviewed for each survey period.

## XII. QUALITY CONTROL

### 12.0 Overview

Quality control is critical to the success of the ICH CAHPS Survey, ensuring that accurate and valid data are collected and reported. This chapter describes the requirements and recommendations for incorporating quality control measures in every aspect of the ICH CAHPS Survey process. In addition to the quality control measures described in this section, survey vendors should conduct additional quality control steps as warranted, based on their individual processes and systems.

The chapter begins with a discussion of the required and recommended quality control steps regarding the sample file download process. It provides specific guidelines on quality control measures that should be conducted during survey administration and data processing for each of the three approved modes of data collection (mail, telephone, and mixed mode). Finally, the chapter ends with quality control measures that should be conducted when preparing XML data files and before the data files are submitted to the Data Center.

### 12.1 Sample File Download Quality Control Guidelines

The following section includes both required and recommended steps for incorporating quality control on the receipt and processing of sample files provided by CMS.

#### 12.1.1 Required Sample File Download Quality Control Procedures

- Survey vendors must have the appropriate electronic equipment and software to securely download their ICH facility clients' sample files from the ICH CAHPS website, in addition to ensuring controlled access to the data (e.g., password protections, firewalls, data encryption software, personnel access limitation procedures, and virus and spyware protection).
- Upon download of the sample file, survey vendors must open the file and verify that the file contains a sample for all their ICH facility clients.
- The sample file will contain the number of patients sampled for each facility. If the file does not contain a sample for one or more of a survey vendor's facility clients, the vendor should check to make sure that the ICH facility has completed and submitted the online Authorize a Vendor form, which authorizes the vendor to collect and submit ICH CAHPS Survey data on its behalf. If the facility has not done so, the vendor and facility should notify the Coordination Team immediately. ***Remember that CMS will not distribute sample files to survey vendors unless the facility has completed the vendor authorization form.***



- If a CCN is missing from the Vendor Authorization Report and does not appear on the Facility Non-Participation Form report, the survey vendor must notify the Coordination Team by March 4, 2020 of the discrepancy for the CY2020 Spring Survey and September 2, 2020 for the CY2020 Fall Survey.
- If you confirm that an ICH facility has completed the vendor authorization by the vendor authorization deadline, and it is not on the Facility Non-Participation Form report, and you did not receive a sample file for that facility, contact the ICH CAHPS Coordination Team as soon as possible.
- If you received a sample file for a facility that you will not be collecting data from because of nonpayment issues, please alert the Coordination Team immediately.
- If you received a sample file for a facility that you have learned is closed or will be closing before data collection begins, delete all of the PII provided on the sample file for the closed facility, as indicated in the vendor's DUA with CMS. The vendor should also submit the online *Facility Closing Attestation Form*, and then alert the Coordination Team immediately to confirm that the facility's data have been deleted from the sample file.
- Survey vendors must check the file to make sure that one or more patients were sampled for each of their facility clients and that the number of patients for which sample information is provided matches the number of patients indicated as having been sampled.
- Immediately report any discrepancies or problems detected with the sample file to the ICH CAHPS Coordination Team by sending an e-mail to [ichcahps@rti.org](mailto:ichcahps@rti.org) or calling the ICH CAHPS toll-free telephone number at 1-866-245-8083.

### **12.1.2 Recommended Sample File Download Quality Control Procedures**

- Once downloaded, survey vendors are advised to store the sample files in an encrypted format at all times when not in use. We highly recommend that survey vendors only use unencrypted sample files when access to the patient information is required.
- Survey vendors will be required to download the sample file within 2 business days after the sample files are made available on the ICH CAHPS website. We strongly urge survey vendors to NOT wait until the final day to download their sample file. Downloading the sample file early ensures sufficient time to address any technical issues that may arise with sample file download and the Coordination Team is notified of and can resolve any problems or discrepancies in the sample file.



## 12.2 Mail-Only Quality Control Guidelines

The following section includes both required and recommended steps for incorporating quality control into the mail-only mode survey administration and data processing and submission procedures.

### 12.2.1 Required Mail-Only Survey Administration Quality Control Measures

- Because ICH CAHPS sample patients' addresses are obtained from the CROWNWeb database, it is possible that some of the information provided in the sample file may be incomplete or invalid. To address this issue, survey vendors must verify that each sample patients' mailing address that is included in the sample file provided by the Coordination Team is correct by using a commercial address update service, such as NCOA or the U.S. Postal Service Zip+4 software. As noted previously, survey vendors are permitted to ask ICH facilities to provide updated address information for all patients they treated during the sampling window, if the vendor has an appropriate agreement with the facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility to request this information.
- Survey vendors must prepare and maintain written documentation that all staff members involved with the mail survey implementation, including support staff, were properly trained on the survey specifications and protocols.
- Check a minimum of 10 percent of all printed materials (questionnaires, prenotification letters, cover letters) to ensure the quality of the printing—that is, make sure that there is no smearing, misaligned pages, missing/duplicate pages, stray marks on pages, or bleed-throughs (which can impact or cause problems when scanning the data from completed questionnaires).
- Check a minimum of 10 percent of all outgoing questionnaire packages to ensure that all package contents are included and that the same unique SID number appears on both the cover letter and the questionnaire.
- For the prenotification letters and mail survey cover letters, check a sample of cases to make sure that the name and address printed on the outside of the envelope matches the name and address included in the sample file the vendor downloaded from the ICH CAHPS website.
- For the mail survey cover letters, check a sample of cases to make sure that the name and address printed on the outside of the envelope matches the name and address included on the letter.
- Survey vendors must check to make sure that the number of questionnaire packages to be mailed matches the number of sampled cases.

### ***12.2.2 Recommended Mail-Only Survey Administration Quality Control Measures***

- Survey vendors are advised to “seed” each mailing. That is, include the name and address of designated survey vendor staff member in each mailing file to have the survey materials sent to that staff member. Once the survey materials are received, the vendor’s ICH CAHPS Survey staff should review and assess the completeness of the questionnaire package and timeliness of package delivery.

### ***12.2.3 Required Mail-Only Data Processing Quality Control Measures***

- A sample of returned questionnaires (minimum of 10 percent) must be rescanned and compared with the original scanned image of the questionnaire as a quality control measure. Any discrepancies should be reconciled by a supervisor.
- If keying data, all questionnaires must be 100 percent rekeyed for quality control purposes. That is, for every questionnaire, a different key entry staff member must rekey the questionnaire to ensure that all entries are accurate. If any discrepancies are observed, a third person should resolve the discrepancy and ensure that the correct value is keyed.
- Survey vendors must select and review a sample of cases coded by each coder (minimum of 5 percent) to make sure that coding rules were followed correctly.

### ***12.2.4 Recommended Mail-Only Data Processing and Submission Quality Control Measures***

- Survey vendors are urged to develop a way to measure error rates for their data receipt staff (in terms of recognizing marginal notes and passing these on to someone for review), for data entry or scanning operators, and for coders. Survey vendors should then work with their staff to minimize error rates. The ICH CAHPS Coordination Team will request information about data receipt and processing error rates during site visits to survey vendors.
- Vendors are strongly urged to check all of their systems, computer programs, and equipment (including optical scanners) used to administer the ICH CAHPS Survey on a regular basis to ensure that all are working properly and as intended. Vendors should also check to make sure that the scanning parameters or settings are large enough to scan response options that are not directly inside the circle or box for the response option and that the scanner is sensitive enough to pick up marked responses that might be lighter than some others.

## **12.3 Telephone-Only Quality Control Guidelines**

The following section includes both required and recommended quality control procedures for telephone-only mode survey administration and data processing and submission procedures.

### **12.3.1 Required Telephone-Only Survey Administration Quality Control Measures**

- Because ICH CAHPS sample patients' addresses are obtained from the CROWNWeb database, it is possible that some of the information provided in the sample file may be incomplete or invalid. To address this issue, survey vendors must verify **each** telephone number that is included in the sample file provided by the ICH CAHPS Coordination Team using a commercial address/telephone database service or directory assistance. Please note that survey vendors are permitted to ask ICH facilities to provide updated telephone numbers for **all** patients they treated during the sampling window, if the vendor has an appropriate agreement with the facilities. Survey vendors cannot, however, give a list of the sample patients to the ICH facility to request this information.
- For the prenotification letters, check a sample of cases to make sure that the name and address printed on the outside of the envelope matches the name and address included in the sample file the vendor downloaded from the ICH CAHPS website.
- Survey vendors must prepare and maintain written documentation that all telephone interviewing and customer support staff members have been properly trained prior to the beginning of telephone data collection. Copies of interviewer certification exam scores must be retained as well. Documentation must be maintained for any retraining required and will be subject to review during oversight visits.
- Survey vendors must silently monitor a minimum of 10 percent of all telephone interviews to ensure that correct administration procedures are being followed. Monitoring of each interviewer should begin shortly after the start of data collection to ensure that retraining occurs as soon as possible if it is needed.
- There are federal and state laws and regulations relating to the monitoring/recording of telephone calls. In certain states, consent must be obtained from **every party** or conversation if it involves more than two people ("two-party consent"). When calling sample patients who reside in these states, survey vendors must not begin either monitoring or recording the telephone calls until *after* the interviewer has read the following statement: "This call may be monitored or recorded for quality improvement purposes."<sup>5</sup> All survey vendors must identify and adhere to all federal and state laws and regulations in those states in which they will be administering the ICH CAHPS Survey.
- Survey vendors must establish and communicate clear telephone interviewing quality control guidelines for their staff to follow. These guidelines must be used to conduct the monitoring

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<sup>5</sup> The following states currently require two-party or all-party consent when telephone calls are monitored or audiotaped: California, Connecticut, Florida, Illinois, Maryland, Massachusetts, Montana, New Hampshire, Pennsylvania, and Washington.

and feedback process and must include clear explanations of the consequences of not following protocols, including actions such as removal from the project or termination of employment.

### ***12.3.2 Recommended Telephone-Only Survey Administration Quality Control Measures***

- Supervisory staff monitoring telephone interviewers should use the CATI system to observe the interviewer conducting the interview while listening to the audio of the call at the same time.
- Monitoring staff or supervisors should provide performance feedback to interviewers as soon as possible after the monitoring session has been completed.
- Interviewers should be given the opportunity to correct deficiencies in their administration through additional practice or retraining; however, interviewers who receive consistently poor monitoring scores should be removed from the project.
- We recommend that survey vendors conduct regular quality control meetings with telephone interviewers and customer support staff to obtain feedback on issues related to telephone survey administration or handling inbound calls.

### ***12.3.3 Required Telephone-Only Data Processing Quality Control Measures***

- Vendors must conduct a review of their XML file by comparing a number of completed telephone interview responses directly from their CATI system to the values output in the XML file. Conducting this review will ensure that the responses are being accurately captured and transferred to the XML file.

### ***12.3.4 Recommended Telephone-Only Data Processing Quality Control Measures***

- We encourage survey vendors to generate and review frequencies of cases at the various pending and final disposition codes for each ICH facility and perhaps by telephone interviewer. A high percentage of cases coded as “not available” after maximum attempts could indicate that call attempts are not scheduled appropriately.

## **12.4 Mixed-Mode Quality Control Guidelines**

All mail-only and telephone-only required and recommended quality control measures described above apply to survey vendors administering a mixed-mode ICH CAHPS Survey.

## 12.5 Quality Control for ICH CAHPS Survey Data Files

The following section includes both required and recommended quality control procedures to apply on ICH CAHPS Survey XML data files.

### 12.5.1 Required XML File Quality Control Procedures

- Survey vendors must use the XML Schema Validation tool to conduct initial quality control on their XML files. The XML Schema Validation Tool is available on the ICH CAHPS website under the “Data Submission” tab.
- Survey vendors must ensure that there is information included in the Patient Administrative Section of the XML file for every sample patient who was included on the sample file that the survey vendor downloaded for the semiannual survey. For example, if 150 patients were sampled for the semiannual survey, a record for each of those 150 sample patients must be included on the data file that the survey vendor submits to the Data Center.
- Survey vendors must check to make sure that the SID numbers included on the XML file match the same set of SID numbers that were included on the sample file that they downloaded for the semiannual survey. Survey vendors must also conduct quality control checks to make sure that survey response data are matched to the correct patient.
- Survey vendors are responsible for running the completeness criteria on all completed surveys to ensure that they meet the completeness criteria discussed below. Survey vendors must assign either a completed interview code or a partial data/breakoff code based on whether the survey passes the completeness criteria. Survey vendors must check to make sure that the correct final disposition code has been assigned to each sample case.
- Survey vendors are required to check to make sure that the correct final disposition code has been assigned to each sample case. Survey vendors must check the XML file to ensure that survey response data are included for every case for which final disposition code 110 or 120 is assigned to the case.
- Survey vendors must compare a sample of cases on the XML file to the matching hardcopy questionnaire or original CATI data file, to ensure that the data on the XML file are accurate.

### 12.5.2 Recommended XML File Quality Control Procedures

- To determine whether there is a potential data problem or to identify a problem with computer programs, vendors are strongly encouraged to generate response distributions (also referred to as frequencies) and compare the survey response record with the data on the hardcopy mail questionnaire (if the survey was completed by mail) or the CATI file (for interviews completed by phone). Once the frequencies are generated, look for anomalies or outliers and for unusual patterns of missing data. When preparing XML files, survey vendors

should make sure that they are assigning the not applicable code (X) and the code for missing response (M) correctly. Assign X to a follow-up question that was correctly left blank based on the response to the preceding screening or gate question. For example, if the respondent's answer to Q20 is response option 3 (Catheter) and the respondent correctly skipped Q21, assign Code X to Q21. Assign Code M for missing if the respondent should have answered a question but did not.

## XIII. OVERSIGHT ACTIVITIES

### 13.0 Overview

This chapter describes oversight activities that are conducted by the ICH CAHPS Coordination Team to ensure that the survey is being administered according to required ICH CAHPS Survey protocols. Requirements for survey vendor Quality Assurance Plans (QAPs), data review activities to be conducted by the Coordination Team, and site visit procedures are described in the following sections. This chapter also contains information about communications between the Coordination Team and ICH CAHPS Survey vendors.

### 13.1 Quality Assurance Plan

All survey vendors seeking approval to conduct the ICH CAHPS Survey must submit a QAP, which describes how the survey vendor will implement, comply with, and provide oversight of all survey and data processing activities associated with the ICH CAHPS Survey. ***Note that the submission of a completed QAP is one of the components of the vendor approval process.*** Survey vendors who meet the minimum business requirements and successfully participate in the Introduction to the ICH CAHPS Survey Webinar training session will be given “conditional” approval as an ICH CAHPS Survey vendor. Final approval as an ICH CAHPS Survey vendor will not be granted until after the survey vendor submits the QAP and it is accepted by CMS. The first QAP must be submitted within 6 weeks of the data submission deadline date after the survey vendor’s first ICH CAHPS data submission. It must be updated and submitted annually on or before March 31 of each year thereafter and at any time changes occur in staff, survey vendor capabilities, or systems.

A model QAP outline is included in ***Appendix M*** to assist vendors in the development of their own QAP. The survey vendor’s QAP should include the following sections:

- Organization Background and Staff Experience
- Work Plan
- Survey Implementation Plan
- Data Security, Confidentiality, and Privacy Plan
- Questionnaire and Materials Attachments

Survey vendors should also organize the information in their QAPs to conform to the sections included in the model QAP and make sure that the QAP is paginated for ease of reference and review by the Coordination Team.

Within each section, the survey vendor must include the name of all key staff responsible for implementing or overseeing the activity or activities, procedures, and methods being used, and the quality assurance activities that will be implemented. Changes to key staff must be reported to the ICH CAHPS Coordination Team. There should be sufficient detail provided for all of these components so that CMS can evaluate whether the survey vendor is complying with all approved protocols. If the Coordination Team decides that the survey vendor's QAP has insufficient detail to make this determination, the Coordination Team will request that the survey vendor make additions or edits to its QAP and resubmit it. Survey vendors will also be required to submit either a copy of the mail questionnaire (for mail and mixed-mode surveys) or the screen shots of the entire questionnaire from their CATI interview (for telephone and mixed-mode surveys) as part of their QAP.

## 13.2 Data Review

The Coordination Team will conduct reviews of ICH CAHPS Survey data submitted by each survey vendor. As discussed in *Chapter XI* of this manual, data files will be reviewed immediately upon submission for proper formatting, completeness, accuracy of record count, and out-of-range and missing values. In addition, the ICH CAHPS Coordination Team will run a series of edits on submitted data to check for such issues as outlier response rate patterns or unusual data elements.

The Coordination Team will attempt to resolve any data issues detected through the use of conference calls or e-mail exchanges with the survey vendor. If the Coordination Team believes that there are any significant issues with a survey vendor's data, or if repeated discussions and contact with a survey vendor fail to result in cleaner data, a more thorough review of the survey vendor's data processing and survey implementation activities may be initiated. At that time, the Coordination Team may request copies of documentation associated with whatever the data issue is—for example, if out-of-range values are found repeatedly, the Coordination Team may request copies of documents showing the training program used to train Data Entry/optical scanning staff, training records, and documentation showing that recommended quality assurance practices associated with data entry/scanning were followed. Survey vendors are expected to comply with all such requests for documentation.

## 13.3 Site Visits to Survey Vendors

The ICH CAHPS Coordination Team will conduct a site visit to selected ICH CAHPS survey vendors, and their subcontractors, if needed, during each survey period. If a site visit to a vendor's subcontractor is deemed necessary, a representative from the vendor's organization will



be asked to attend the site visit with the subcontractor. The purpose of the site visit is to allow the Coordination Team to observe the survey vendor's ICH CAHPS Survey implementation process, from data collection through file preparation and submission.

Site visits for the Spring Survey period will always take place annually during the months of May and June, and site visits for Fall Survey will always take place during the months of November and December of each year. Because the Coordination Team will be visiting multiple survey vendors during this small window of time, during the visit scheduling period, survey vendors are asked to provide a limited number of unavailable dates. This will greatly assist CMS and the Coordination team with scheduling site visits across these months at a time that is convenient to all participating CAHPS vendors.

The Coordination Team expects at a minimum to accomplish the following on each site visit:

- A “walk through” of the systems and processes used from the point of receiving the sample patient file from the Coordination Team to preparation of a final data file, including but not limited to a review of:
  - software/programs used to download and store the sample patient file;
  - how patient contact information (name and address) and SID numbers are printed on letters accompanying questionnaire mailings or provided to a call center for telephone survey data collection;
  - questionnaire production, mailout, and receipt facilities/processes;
  - telephone survey operation facilities/processes, including listening to interviews (e.g., silent monitoring);
  - all data processing activities, including how survey vendors track the status of data collection efforts for each case and assign pending and final status codes using the SID number originally assigned to each sample patient by the Coordination Team;
  - file preparation and submission activities;
  - file storage facilities; and
  - quality control on all aspects of the survey, including how survey data are matched to the original SIDs assigned by the Coordination Team.
- A review of documentation associated with any of the above steps, as applicable. The documentation to be reviewed includes but is not limited to:

- signed confidentiality forms for all applicable staff, including subcontractors;
  - training records, such as for data entry or telephone interviewing staff;
  - monitoring logs, with dates and times telephone interviewers were monitored, and the results of those monitoring sessions;
  - telephone interview scripts, including introductory scripts and responses to FAQs;
  - documentation of quality control checks performed on questionnaire mailouts and receipt; and
  - verification records, for either data entry or scanning processes, showing the level of quality control for keyed questionnaires.
- Interviews with the survey vendor’s key ICH CAHPS Survey project staff, including the project manager and data manager.

The Coordination Team may make either scheduled or unscheduled visits to the survey vendor’s site. Scheduled visits will be planned far enough in advance to ensure that all appropriate survey vendor staff are able to participate in the site visit review process. For unscheduled visits, the Coordination Team will give the survey vendor a 3-day window during which the team may conduct the onsite review. In addition, site visits may be either a routine visit or may be scheduled because of specific areas of concern the Coordination Team needs to address (i.e., documented problems with the survey administration, data submissions, or data quality).

Generally, the site visit team will consist of two individuals, although the size of the team may vary. All discussions, observations, and materials reviewed during the site visit will remain confidential. Although the Coordination Team appreciates that certain systems or processes may be proprietary to a survey vendor, full cooperation with the site visit team is expected so that the team may adequately assess survey vendor compliance with all ICH CAHPS Survey protocols and guidelines. It is for this reason that the RTI Contracts Office requires both the site visit team and the designated survey vendor staff to sign a Confidential Disclosure Agreement (CDA). The CDA states that RTI project staff must maintain in confidence or restrict the disclosure of all proprietary information received or observed during the site visit.

Prior to the visit, the site visit team will teleconference with the survey vendor’s staff to review the site visit agenda and logistics of the visit, if requested by the vendor. RTI will also send to the survey vendor any files needed to prepare for the visit at least a week prior (for scheduled visits) to the start of the site visit.

After each site visit, the Coordination Team will prepare and submit to CMS a *Site Visit Report*, which will summarize the findings from each site visit, including any systems and data issues.

The *Site Visit Report* will also describe corrective actions that the survey vendor will be required to take to correct any deficiencies or problems noted. The Coordination Team will provide the survey vendor with the *Site Visit Report* after it has been reviewed with CMS project staff. The Coordination Team may request clarification, additional documentation, or changes to any aspect of the implementation process, if needed. The survey vendor will then be given a specified period of time in which to provide the additional information or submit documentation showing that it has implemented the requested process or system change. The Coordination Team will follow up with the survey vendor by teleconference or with additional site visits as needed.

Some vendors may be asked to participate in an offsite site “visit” during a given survey period, instead of being visited in person. This offsite site visit will focus on the following, depending on the data collection modes the survey vendor administers:

- A review of a de-identified sample of the survey vendor’s scanned images or raw CATI survey response data from both complete and non-complete returned mail surveys and telephone interviews against the data in the XML file the vendor submitted to the ICH CAHPS Data Center; and
- A review of a sample of the survey vendor’s call histories from completed telephone surveys.

The Coordination Team may request other information of vendors during these offsite site visits, as needed. Vendors should note that the Coordination Team will alternate in-person and offsite site visits, as determined by data submission quality, previous in-person site visit dates and results, and discussions with CMS.

### 13.4 Corrective Action Plans

If a survey vendor, or its subcontractor, fails to demonstrate adherence to the ICH CAHPS Survey protocols and guidelines, as evidenced by ongoing problems with its submitted data or as observed in its implementation process during a site visit, the Coordination Team may increase oversight of the survey vendor’s activities (or submitted data files) or, if necessary, put the survey vendor on a corrective action plan.

If the survey vendor is put on a corrective action plan, the Coordination Team will determine a schedule by which the survey vendor must comply with the tasks set forth in the corrective action plan. This schedule will include interim monitoring dates, when the Coordination Team and the survey vendor will meet via teleconference to discuss the status of the plan and what changes the survey vendor has made or is in the process of making. The nature of the requested changes that the survey vendor is asked to implement will dictate the kind of “deliverables” the survey vendor will be expected to provide and the dates by which the deliverable must be provided. Vendors who have a corrective action plan in place will have the following notation

added to the ICH CAHPS Approved Survey Vendors Page: (CMS is reviewing [vendor's name]'s vendor approval status).

Survey vendors that fail to comply with the corrective action plan, oversight activities, or whose implementation of the ICH CAHPS Survey is otherwise found to be unsatisfactory after the opportunity is given to correct deficiencies may be subject to having their "approved" status rescinded. Further, any ICH facility survey responses collected by the survey vendor may be withheld from public reporting. The affected ICH facility(ies) will be notified by the ICH CAHPS Coordination Team of their survey vendor's failure to comply with oversight activities or unsatisfactory implementation so that the ICH facility(ies) will have the opportunity to contract with another approved survey vendor.

### **13.5 Communication Between Survey Vendors and the Coordination Team**

The ICH CAHPS Coordination Team welcomes communication from survey vendors related to any part of the ICH CAHPS Survey implementation process. Survey vendors may communicate with the Coordination Team via telephone (toll free at 1-866-245-8083) or e-mail ([ichcahps@rti.org](mailto:ichcahps@rti.org)). The Coordination Team is also available to participate in conference calls as needed to ensure the survey vendors' successful implementation of the ICH CAHPS Survey. As noted in a preceding section of this manual, the survey vendor must provide the facility name and CCN in all communications with the ICH CAHPS Coordination Team and Data Center.

The Coordination Team expects that in addition to communication with survey vendors about technical assistance issues, it will also schedule conference calls with selected survey vendors to review vendor procedures and ensure adherence to the ICH CAHPS Survey protocols and guidelines. The Coordination Team will make periodic calls to survey vendors to assess the status of data collection and file processing issues in general. These calls will be scheduled in advance so that appropriate members of the survey vendor's project team can participate.

## **XIV. EXCEPTIONS REQUEST PROCEDURE AND DISCREPANCY NOTIFICATION REPORT**

### **14.0 Overview**

This chapter provides a brief description of the steps to be used to request an exception to the ICH CAHPS Survey protocols and the procedure for alerting the ICH CAHPS Coordination Team of an unplanned discrepancy in the collected or submitted survey data.

### **14.1 Exceptions Request Procedure**

To request an exception to the ICH CAHPS Survey protocols, a survey vendor must submit an Exceptions Request Form to the ICH CAHPS Coordination Team. The Exceptions Request Form will allow the survey vendor to request a planned deviation from the standard ICH CAHPS Survey protocols. The Exceptions Request Form allows a survey vendor to include multiple ICH facilities for which it collects data, as necessary. The Exceptions Request Form can be accessed via your vendor dashboard on the ICH CAHPS website. Specific instructions on how to complete the form are located on the form. The Exceptions Request Form is shown in *Appendix N*.

Survey vendors should be aware that the Coordination Team will not grant any requests to use a mode of data collection that is different from the modes already approved, including Internet or web survey, and interactive voice recognition data collection modes. Also, as indicated in *Chapter IV* of this manual, the Coordination Team will not allow oversampling of patients at this time.

### **14.2 Discrepancy Notification Report**

The Discrepancy Notification Report, which is shown in *Appendix O*, will allow the survey vendor to notify the Coordination Team of an unplanned deviation from the ICH CAHPS Survey protocols that requires some form of corrective action by the survey vendor. Examples of instances requiring a Discrepancy Notification Report include the following:

- The survey vendor is unable to initiate data collection within 21 days after downloading the sample file;
- The prenotification letter was not mailed to all sample patients;
- A questionnaire package was not mailed to all sample patients;

- The correct SID number or facility name/logo was not printed on the questionnaire or cover letter for a sample patient; and
- A variable was incorrectly coded and submitted on the XML file.

The survey vendor must notify the ICH CAHPS Coordination Team ***within 24 hours after the discovery of the discrepancy***. The Discrepancy Notification Report can be accessed via your vendor dashboard on the ICH CAHPS website. Instructions on how to complete the Discrepancy Notification Report are located on the online form itself.

### **14.3 Discrepancy Report Review Process**

The Coordination Team will review Discrepancy Notification Reports and evaluate the impact, if any, of any discrepancy on the publicly reported data. Depending on the type of discrepancy, a footnote may be added to publicly reported data. The Coordination Team will notify the survey vendor about any required additional information needed to either document or correct the discrepancy.

### **14.4 Notifying the ICH Facility**

Survey vendors are required to notify their ICH facility clients whenever a Discrepancy Notification Report or Exceptions Request Report is submitted on a facility's behalf. The notification will be sent to the facility via e-mail from the survey vendor and must contain:

- The date the Discrepancy Notification Report or Exceptions Request Form was filed;
- The affected CCN(s); and
- The reason for the Discrepancy Notification Report or Exceptions Request.

The e-mail will serve as documentation to the facility that a Discrepancy Notification Report or Exceptions Request Form was filed on its behalf.

## XV. PUBLIC REPORTING

### 15.0 Overview

CMS began publicly reporting ICH CAHPS Survey results on the DFC website at <https://www.medicare.gov> in October 2016. ICH CAHPS Survey results are updated or “refreshed” on the DFC in April and October of each year. The survey results that are publicly reported are based on combined data from the two most recent survey periods. The survey results for all participating ICH facilities that had 30 or more completed surveys from the two most recent semiannual surveys will be reported. For ICH facilities for which ICH CAHPS Survey results are not reported on the DFC, a footnote will appear to indicate the reason results are not reported.

The ICH CAHPS public reporting periods for 2018–2022, including the combined periods of survey data, are described in *Table 15-1*. For example, the results published in April 2019 were based on combined data from the 2017 Fall and 2018 Spring ICH CAHPS Surveys and the October 2019 results were based on combined data from the 2018 Spring and Fall Surveys, and so forth.

**Table 15-1. ICH CAHPS 2018–2022 Public Reporting Schedule**

Survey Periods of Combined Data	Month Data Are Publicly Reported on DFC
2017 Spring and 2017 Fall	October 2018
2017 Fall and 2018 Spring	April 2019
2018 Spring and 2018 Fall	October 2019
2018 Fall and 2019 Spring	April 2020
2019 Spring and 2019 Fall	October 2020
2019 Fall And 2020 Spring	April 2021
2020 Spring and 2020 Fall	October 2021
2020 Fall and 2021 Spring	April 2022
2021 Spring and 2021 Fall	October 2022

This chapter provides a general overview of the public reporting activities associated with the ICH CAHPS Survey.

## 15.1 ICH CAHPS Measures That Are Publicly Reported

ICH CAHPS Survey results are reported for three composite measures and three global items. The composite measures and the global rating items that are publicly reported are provided below.

### 15.1.1 Composite Measures

- Nephrologists' Communication and Caring (Q3, Q4, Q5, Q6, Q7, and Q9). On the DFC website, the results for this composite are shown as "Kidney Doctors' Communication and Caring."
- Quality of Dialysis Center Care and Operations (Q10, Q11, Q12, Q13, Q14, Q15, Q16, Q17, Q21, Q22, Q24, Q25, Q26, Q27, Q33, Q34, and Q43). On the DFC website, this composite measure is shown as "Dialysis Center Staff Care and Operations."
- Providing Information to Patients (Q19, Q28, Q29, Q30, Q31, Q36, Q38, Q39, and Q40).

### 15.1.2 Global Items

- Rating of kidney doctors (nephrologist) (Q8)
- Rating of dialysis center staff (Q32)
- Rating of the dialysis facility (Q35)

Each of the three composite measures consists of six or more questions from the survey that are reported as one composite score. Scores are created by first determining the proportion of answers to each response option for all questions in the composite. The final composite score averages the proportion of those responding to each answer choice in all questions. Only questions that are answered by survey respondents are included in the calculation of composite scores. For each public reporting period, the ICH CAHPS Coordination prepared and posts on the ICH CAHPS website a document that describes how ICH CAHPS results were calculated and the coefficients used to statistically adjust survey results based on survey mode and patient mix.

## 15.2 Star Ratings

Seven ICH CAHPS star ratings were reported on Dialysis Facility Compare beginning with the October 2018 refresh of the publicly reported data (showing combined data from the 2017 Spring and 2017 Fall Surveys). An ICH CAHPS star rating is generated for:

- Each of the three publicly reported ICH CAHPS global ratings (rating of the kidney doctors (nephrologists), dialysis center staff, and dialysis center);



- Each of the three composite measures (kidney doctors' communication and caring, quality of dialysis center and operations, and providing information); and
- One Overall Survey Summary Star, which is a simple average of the six ICH CAHPS star ratings.

ICH CAHPS star ratings are based on the same patient survey results publicly reported on Dialysis Facility Compare since October 2016. To receive ICH CAHPS star ratings, participating ICH facilities must have at least 30 completed ICH CAHPS surveys combined from the two most recent (and consecutive) semiannual surveys. ICH facilities with fewer than 30 completed ICH CAHPS surveys will not receive star ratings. More information on how the star ratings are calculated can be found on the ICH CAHPS website.

### **15.3 Adjustment of Results**

In early 2014, the ICH CAHPS Coordination Team conducted a mode experiment to test the effects of using three data collection modes: mail only, telephone only, and mixed mode (mail with telephone follow-up of nonrespondents).

Because some patients' assessment of the care they received from ICH facilities may be influenced by patient characteristics that are beyond the ICH facilities' control, CMS used data from the mode experiment to determine whether and to what extent characteristics of patients participating in the ICH CAHPS Survey statistically affect survey results. Statistical models were developed to adjust or control for these patient characteristics when survey results are publicly reported. Also, some patients might not respond to the survey, and this might affect the accuracy and comparability of results. Therefore, the data from the mode experiment were analyzed to detect potential nonresponse bias. The Coordination Team uses results of these analyses to apply statistical adjustments that need to be made on each semiannual submission of the ICH CAHPS Survey data during the national implementation.

### **15.4 Facility Preview Reports**

Prior to publishing the results on the DFC website at <https://www.medicare.gov>, CMS will make available a preview report so that each ICH facility can review its ICH CAHPS Survey results that will be publicly reported. The preview report is provided by CMS's Quality Incentive Program (QIP); ICH CAHPS Survey results are not posted on the ICH CAHPS website nor does the Coordination Team have access to those preview reports.

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**APPENDIX A:**  
**ICH CAHPS FLYER/POSTER TEMPLATE**

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## ICH CAHPS Flyer/Poster Template – English Version

The Centers for Medicare and Medicaid Services (CMS) wants to hear from you:

# HOW ARE WE DOING?

Our facility is participating in a national study for patients receiving in-center hemodialysis care. If you receive a survey in the mail or a phone call from [INSERT VENDOR NAME], we ask that you please take a moment to complete the survey about the care you receive from us, even if you completed the survey several months ago.

## YOUR FEEDBACK IS IMPORTANT TO US!

Your participation is voluntary. All answers are protected by the Privacy Act and no one will be able to connect your answers to your name. **Your answers will help us improve your care!**

If you have questions about this survey, please call our survey vendor, [VENDOR NAME], at [VENDOR PHONE NUMBER].

*Thank you in advance for your participation in  
this important survey!*

[INSERT  
FACILITY  
LOGO HERE]



## ICH CAHPS Flyer/Poster Template – Spanish Version

Los Centros de Servicios de Medicare y Medicaid (CMS) quieren saber de usted:

## ¿QUÉ TAL NOS VA?

Nuestra institución está participando en un estudio nacional para pacientes que reciben atención en centros de hemodiálisis. Si recibió una encuesta por correo o una llamada telefónica de [INSERT VENDOR NAME], le pedimos que tome un momento para completar la encuesta sobre la atención que recibe de nosotros, incluso si la completó hace varios meses.

### ¡SUS OPINIONES SON IMPORTANTES PARA NOSOTROS!

Su participación es voluntaria. Todas las respuestas están protegidas por la Ley de privacidad y nadie podrá asociar sus respuestas con su nombre. **¡Sus respuestas nos ayudarán a mejorar su atención!**

Si tiene preguntas sobre esta encuesta, puede llamar a nuestro proveedor de encuestas, [VENDOR NAME], al [VENDOR PHONE NUMBER].

*¡Gracias de antemano por su participación en esta importante encuesta!*

[INSERT  
FACILITY  
LOGO HERE]




**APPENDIX B:**  
**VENDOR APPLICATION**

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## In-Center Hemodialysis CAHPS Survey Vendor Application

### INTRODUCTION AND INSTRUCTIONS:

Before completing this Application, organizations interested in becoming an approved survey vendor for the In-Center Hemodialysis CAHPS® (ICH CAHPS) Survey should review the vendor participation requirements included on the ICH CAHPS website (<https://ichcahps.org> .

Please note that any organization that owns, operates, or provides staffing for an in-center hemodialysis (ICH) facility will not be permitted to administer its own ICH CAHPS Survey or administer the survey on behalf of any other ICH facility. *If your organization partly or wholly owns, operates, or provides staffing for an ICH facility or if your organization does not meet the minimum business requirements, please do not complete and submit this Application.*

### Definitions

**Vendor:** The applicant organization submitting this Application. The vendor oversees the work of any subcontractor and bears ultimate responsibility for oversight and data quality on the ICH CAHPS Survey. “You” refers to the individual completing this Application on behalf of the vendor.

**Organization:** The team composed of the Vendor and any subcontractors or consultants that will be working with the Vendor to administer the ICH CAHPS data collection and/or data processing activities.

### Instructions for Completing This Form

Please respond to the questions below by entering the information requested or checking the applicable box.

When completing this application, note the following.

- All text boxes have a limit of 2,000 characters.
- To save a section, click on the “Save” button at the top or bottom of the screen.
- When you have completed all parts of the Vendor Application and are ready to submit it, please click the “Submit” button that appears on the lower left of the screen.
- After you submit the application, you will receive a confirmation e-mail message with a link that you may use to access your application at any time.

- Each time you access and update your application, you must submit the application again.

Completion and submission of this application certifies that the Vendor, on behalf of the Organization, has read and meets the minimum business requirements and will abide by the ICH CAHPS Survey participation requirements.

## **I. APPLICANT ORGANIZATION**

### **1. Vendor and Contact Information**

Company Name [REQUIRED]:

Mailing Address 1 [REQUIRED]:

Mailing Address 2:

City [REQUIRED]:

State [REQUIRED]:

ZIP Code [REQUIRED]:

Physical Address 1 [REQUIRED]:

Physical Address 2:

City [REQUIRED]:

State [REQUIRED]:

ZIP Code [REQUIRED]:

(Area Code) Telephone number:

(Area Code) Fax number:

Web site URL:

### **2. Vendor's ICH CAHPS Survey Administrator**

Name: [PREFILLED FROM REGISTRATION]

Title:

(Area Code) Phone:

E-mail: [PREFILLED FROM REGISTRATION]

### **3. Check the survey administration mode(s) for which Vendor is applying.**

3a. Telephone Only ☐

3b. Mail Only ☐

3c. Mixed Mode (Mail with Telephone follow-up) ☐

**II. RELEVANT ORGANIZATIONAL EXPERIENCE**

4. Number of years Vendor has operated as a business: \_\_\_\_\_
5. Number of years Vendor has conducted Surveys of Individuals: \_\_\_\_\_
6. Vendor's Survey Experience For each data collection mode for which vendor is seeking CMS approval, indicate number of years of Vendor's experience conducting surveys:
- 6a. Telephone Only  
Years: \_\_\_\_\_
- 6b. Mail Only  
Years: \_\_\_\_\_
- 6c. Mixed Mode (Mail and Telephone)  
Years: \_\_\_\_\_
7. Please list any other surveys for which you have been approved or worked as a vendor or subcontractor in the past five years. Please list other CMS or patient experience surveys, including other CAHPS surveys, first.

Survey Name	Sponsoring Organization	Vendor or Subcontractor?

8. Vendor's Survey Administrator's Survey Experience (Refer to Minimum Business Requirements for experience requirements) For each data collection mode for which Vendor is seeking CMS approval, indicate number of years of Vendor's Survey Administrator's experience conducting surveys:
- 8a. Telephone Only  
Years: \_\_\_\_\_
- 8b. Mail Only  
Years: \_\_\_\_\_
- 8c. Mixed Mode (Mail and Telephone)  
Years: \_\_\_\_\_

**III. RELEVANT ORGANIZATIONAL EXPERIENCE—SUBCONTRACTORS**

☐ Check here if you are not going to use subcontractors. Go to Section III.

If you are subcontracting any part of the ICH CAHPS data collection and processing, please complete table below. *Note that a subcontractor does not have CMS approval as an ICH*

*CAHPS Vendor.* However, any subcontractor with a significant role in the ICH CAHPS Survey must attend vendor training sessions. Survey Vendors should work with subcontractors to ensure that the appropriate subcontractor staff attend the vendor training sessions.

1. Name of Subcontractor Organization:
2. Contact name and address:
3. Number of years conducting business:
4. Activity Subcontracted (for Mixed Mode code both Mail and Telephone as applicable)
  - Mail:
    - a. Verify addresses of sample patients.
    - b. Print profession quality survey questionnaires and materials
    - c. Assemble and mail survey materials
    - d. Receive and enter (key entry or scanning) completed questionnaires
    - e. Track and identify non-respondents for follow-up mailing
    - f. Provide toll-free customer support line and respond to calls from sample patients within 1-2 business days
    - g. Assign final status codes to describe the final result of work on each sampled case
    - h. All mail activities
    - i. Other, specify
  - Telephone:
    - j. Verify telephone numbers of sample patients
    - k. Develop computer programs for computer-assisted telephone interview instruments
    - l. Collect data using computer assisted interviewing (CATI) or alternative electronic system
    - m. Schedule callbacks to nonrespondents at varying times of the day/week
    - n. Provide toll-free customer support line and respond to calls from sample patients within 1-2 business days
    - o. Assign final status code to describe the final result of work on each sampled case
    - p. All telephone activities
    - q. Other, specify
5. Number of years of relevant experience:
6. Equipment and systems used to accomplish task (e.g., scanners, printing equipment, CATI or alternative electronic interviewing system, data entry system, etc.):

ADD/UPDATE SUBCONTRACTOR

#### IV. SURVEY ADMINISTRATION READINESS

The items below indicate that the Organization (Vendor and Subcontractors) can collect and process all survey-related data for the selected survey administration mode(s) following standardized procedures and guidelines. As specified, the Organization currently must have all required facilities, equipment, and systems to implement the ICH CAHPS Survey and have staff available to work on the project staff with experience (refer to Minimum Business Requirements for staff experience requirements).

For each question in this section: If yes, please describe your capabilities and/or systems. If no, please explain.

##### Personnel

9. Does the Organization have Information Systems Specialist(s) and/or Computer Programmer(s) with experience with large encrypted data files and in linking sample files, processing survey data, and preparing data files for electronic submission?

☐ Yes      ☐ No

9a. If Yes, describe. If No, explain:

##### Facilities and Systems

10. Does the Organization have a **secure commercial** work environment for receiving, processing, and storing hardcopy questionnaires or hardcopy sample files? This work environment must protect the confidentiality of patient response data and personal identifying information. For example, hardcopy documents must be stored in a locked file cabinet, room, or building.

☐ Yes      ☐ No

10a. If Yes, describe. If No, explain:

11. Does your Organization have appropriate systems in place to protect the confidentiality of electronic data received from the ICH CAHPS Survey Coordination Team AND survey data received from patients?

☐ Yes      ☐ No

11a. If Yes, describe. If No, explain:

12. Can your Organization receive electronically large encrypted data files in various software/formats (e.g., Microsoft Excel, WINZip) and securely store data files containing personally identifiable information?

☐ Yes      ☐ No

12a. If Yes, describe. If No, explain:

13. If you are applying for approval for telephone administration (including mixed-mode administration), does your Organization have computer hardware, computer software, and any other equipment needed for telephone survey implementation (e.g., computer-assisted telephone interviewing [CATI] or alternative electronic system, data entry system)?

☐ Yes      ☐ No

13a. If Yes, describe. If No, explain:

14. If you are applying for approval for telephone administration (including mixed-mode administration), does your Organization have a call center or telephone bank facilities for telephone survey implementation?

☐ Yes      ☐ No

14a. If Yes, describe. If No, explain:

15. If you are applying for mail administration (including mixed-mode administration), does your Organization have the capabilities to obtain and verify addresses of sample patients, print professional quality survey materials, merge sample patient information into survey materials, assemble and mail survey materials, track and identify nonrespondents for follow-up mailing (mail-only) or telephone follow-up (mixed-mode only), and assign final status codes to describe the final result of work on each sample patient?

☐ Yes      ☐ No

15a. If Yes, describe. If No, explain:

16. If you are applying for mail administration (including mixed-mode administration), does your Organization have an electronic survey management system to track fielded surveys throughout the data collection period?

☐ Yes      ☐ No

16a. If Yes, describe. If No, explain:

17. Can your Organization offer and staff a toll-free telephone number to receive and address calls from survey participants? (Note, this is required for ALL modes.)

☐ Yes      ☐ No

17a. If Yes, describe. If No, explain:

### **Data Processing and File Submission**

18. Can your Organization scan or key completed surveys, develop data files, and edit and clean data according to standard protocols?

☐ Yes      ☐ No

18a. If Yes, describe. If No, explain:

19. Can your Organization submit data electronically in the specified format (XML) via the ICH CAHPS Survey secured Web site?

☐ Yes ☐ No

19a. If Yes, describe. If No, explain:

20. Can your Organization follow all data cleaning and data submission rules, including:

20a. Verifying that data are de-identified and contain no duplicate cases.

☐ Yes ☐ No

20a1. If Yes, describe. If No, explain:

20b. Verifying that the XML template is correctly formatted and contains the proper data headers and data records.

☐ Yes ☐ No

20b1. If Yes, describe. If No, explain:

21c. Working with CMS's contractor to resolve data and data file submission problems.

☐ Yes ☐ No

## V. PARTICIPATION REQUIREMENTS

All Vendors who wish to become CMS-approved vendors for the In-Center Hemodialysis CAHPS Survey must adhere to the following requirements. The vendor must:

1. Agree to provide additional information if requested by CMS or RTI to determine whether to grant approval status. Additional information includes, but is not limited to: taxpayer identification number, Web site address, detailed descriptions of surveys conducted that demonstrate data collection capabilities, photographs of facilities and systems (e.g., telephone call center (for telephone-only and mixed modes) and scanning and data processing systems (for mail-only and mixed modes), resumes of key staff, and additional descriptions of processes (including treatment of confidential data, control or tracking systems, quality assurance practices, and XML file development).
2. Participate in both the Introduction to the In-Center Hemodialysis CAHPS Survey Training and any subsequent Update trainings. The Vendor's Survey Administrator must attend the training. It is strongly advised that the Vendor's Data Managers also attend.
3. Review and follow the *In-Center Hemodialysis CAHPS Survey Administration and Specifications Manual*.
4. Develop and submit a Quality Assurance Plan, following guidelines described in the *In-Center Hemodialysis CAHPS Survey Administration and Specifications Manual*. Update the plan as information contained within it changes.
5. Participate and cooperate in all oversight activities conducted by the In-Center Hemodialysis CAHPS Survey Oversight Team, including but not limited to conference calls and site visits, as deemed necessary.

6. Review and follow all procedures described in the ***ICH CAHPS Survey Administration and Specifications Manual*** as relevant for monitoring quality of subcontractor performance and implementing necessary procedures and protocols for such monitoring.
7. Verify that subcontractors have well-documented quality control procedures for the following (as applicable): in-house training of staff involved in survey operations; printing, mailing and recording of receipt of survey questionnaires; telephone administration of survey; coding and editing of survey data and survey-related materials; and scanning or keying survey data.
8. Verify that subcontractors have required space, facility and staffing in order to perform their selected subcontracted activities; including (as applicable): secure commercial work environment and physical facilities for processing and storage of all data collection materials; equipment for survey implementation; electronic survey management system to track fielded surveys; call center or telephone bank facilities; toll-free telephone numbers to receive and address calls (all modes).
9. Use well-documented quality control procedures (as applicable) for all aspects of survey operations including staff training; printing, mailing and tracking of questionnaires; data entry, coding and editing; and preparation of data files for submission.
10. Agree to documentation requirements including keeping electronic or hardcopy files of individuals trained with training dates; interviewers monitored (as applicable); mailing dates (as applicable); other documentation required for reviewing procedures during site visits; actions required and taken as a result of any decisions made by Oversight Team.
11. Acknowledge that review of and agreement with these Participation Requirements is necessary for participation and public reporting of In-Center Hemodialysis CAHPS Survey results.
12. Adhere to the Minimum Business Requirements for the ICH CAHPS survey.

## **VI. APPLICANT ORGANIZATION ACCEPTANCE**

I certify that:

- I have reviewed and agree to meet the Participation Rules for the In-Center Hemodialysis CAHPS Survey.
- The statements herein are true, complete, and accurate to the best of my knowledge, and I accept the obligation to comply with the In-Center Hemodialysis CAHPS Survey Vendor Requirements.



**AUTHORIZED REPRESENTATIVE**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

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**APPENDIX C:**

**ENGLISH: MAIL SURVEY COVER LETTERS, SURVEY QUESTIONNAIRE,  
TELEPHONE INTERVIEW SCRIPT**

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## English Cover Letter 1

# SAMPLE

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

### IMPORTANT MESSAGE FROM MEDICARE

Dear [HONORIFIC.] [LAST NAME]:

This is an important survey for dialysis patients from the Centers for Medicare & Medicaid Services (CMS). CMS is the office that runs Medicare. Please take a few minutes to read this letter. Then, please complete the survey about the care you receive at [FACILITY NAME]. After you complete the survey, please return it in the enclosed, postage-paid envelope.

### What happens to the survey results?

Medicare will share survey results on its *Dialysis Facility Compare* website at [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare). This website will help hemodialysis patients and their families find and compare Medicare-certified dialysis facilities.

All of your answers are protected by the Privacy Act. No one will be able to connect your name to your answers. You can choose to complete the survey or not. Your decision will not affect any health care or benefits you receive.

### How to complete the survey

Don't ask anyone from [FACILITY NAME] for help with this survey. Your answers should reflect your own opinions about the dialysis care you get.

- If you get dialysis **ONLY at a dialysis center**, mark the "At the dialysis center" box in Question 1. Then go to Question 2 and answer all applicable questions in the survey.
- If you get **ANY home dialysis or peritoneal dialysis, or if you get dialysis ONLY at the nursing home where you live**, mark the "At home or at a skilled nursing home where I live" box in Question 1. Then skip to Question 45.
- If you **no longer get dialysis**, mark box 3 in Question 1. Then skip to Question 45.

### Questions?

For questions about this survey, or if you need help in Spanish, please call [VENDOR NAME], at [VENDOR PHONE NUMBER]. (*Si usted tiene preguntas acerca de esta encuesta o desea recibirla en español, por favor llame al administrador de encuestas al [VENDOR PHONE NUMBER].*)

Thank you in advance for your participation in this important survey!

Sincerely,

[NAME]

[TITLE]

[PRINT SID HERE]

## English Cover Letter 2

S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

### IMPORTANT MESSAGE FROM MEDICARE

Dear [HONORIFIC.] [LAST NAME]:

This is an important survey about the dialysis care you get at [FACILITY NAME] from the Centers for Medicare & Medicaid Services (CMS).

**We recently mailed this same survey to you, but haven't received it back yet.** Learning about your experiences is very important to us. Please take a few minutes to complete the survey and return it in the enclosed, postage-paid envelope. If you already sent the survey back, thank you.

### What happens to the survey results?

Medicare will share survey results on its *Dialysis Facility Compare* website at [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare). This website will help hemodialysis patients and their families find and compare Medicare-certified dialysis facilities.

All of your answers are protected by the Privacy Act. No one will be able to connect your name to your answers. You can choose to complete the survey or not. Your decision will not affect any health care or benefits you receive.

### How to complete the survey

Don't ask anyone from [FACILITY NAME] for help with this survey. Your answers should reflect your own opinions about the dialysis care you get.

- If you get dialysis **ONLY at a dialysis center**, mark the "At the dialysis center" box in Question 1. Then go to Question 2 and answer all applicable questions in the survey.
- If you get **ANY home dialysis or peritoneal dialysis, or if you get dialysis ONLY at the nursing home where you live**, mark the "At home or at a skilled nursing home where I live" box in Question 1. Then skip to Question 45.
- If you **no longer get dialysis**, mark box 3 in Question 1. Then skip to Question 45.

### Questions

For questions about this survey, or if you need help in Spanish, please call [VENDOR NAME], at [VENDOR PHONE NUMBER]. (*Si usted tiene preguntas acerca de esta encuesta o desea recibirla en español, por favor llame al administrador de encuestas al [VENDOR PHONE NUMBER].*)

Thank you in advance for your participation in this important survey!

Sincerely,

[NAME]

[TITLE]

[PRINT SID HERE]

OMB #: 0938-0926  
Expiration Date: December 31, 2022

# **Medicare In-Center Hemodialysis Survey**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0926. The time required to complete this information collection is estimated to average 16 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Mail Stop C1-25-05, Baltimore, Maryland 21244-1850.

## SURVEY INSTRUCTIONS

This survey is about your experiences with dialysis care at [SAMPLE FACILITY NAME].

Answer each question by marking the box to the left of your answer.

You are sometimes told to skip over some questions in this survey. When this happens you will see an arrow with a note that tells you what question to answer next, like this:

<sup>1</sup> ☐ Yes

<sup>2</sup> ☒ No → **If No, Go to Question 25**



**1. Where do you get your dialysis treatments?**

- 1 ☐ At home or at a skilled nursing home where I live → **If At home or at a skilled nursing home where I live, Go to Question 45**
- 2 ☐ At the dialysis center
- 3 ☐ I do not currently receive dialysis → **If I do not currently receive dialysis, Go to Question 45**

**2. How long have you been getting dialysis at [SAMPLE FACILITY NAME]?**

- 1 ☐ Less than 3 months → **If Less than 3 months, Go to Question 45**
- 2 ☐ At least 3 months but less than 1 year
- 3 ☐ At least 1 year but less than 5 years
- 4 ☐ 5 years or more
- 5 ☐ I do not currently receive dialysis at this dialysis center → **If I do not currently receive dialysis at this dialysis center, Go to Question 45**

---

**YOUR KIDNEY DOCTORS**

Your kidney doctors are the doctor or doctors most involved in your dialysis care now. This includes kidney doctors that you see inside and outside the center.

**3. In the last 3 months, how often did your kidney doctors listen carefully to you?**

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

**4. In the last 3 months, how often did your kidney doctors explain things in a way that was easy for you to understand?**

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

**5. In the last 3 months, how often did your kidney doctors show respect for what you had to say?**

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

**6. In the last 3 months, how often did your kidney doctors spend enough time with you?**

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

7. In the last 3 months, how often did you feel your kidney doctors really cared about you as a person?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

8. Using any number from 0 to 10, where 0 is the worst kidney doctors possible and 10 is the best kidney doctors possible, what number would you use to rate the kidney doctors you have now?

0 ☐ 0 Worst kidney doctors possible  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Best kidney doctors possible

9. Do your kidney doctors seem informed and up-to-date about the health care you receive from other doctors?

1 ☐ Yes  
2 ☐ No

#### THE DIALYSIS CENTER STAFF

For the next questions, dialysis center staff does not include doctors. Dialysis center staff means nurses, technicians, dietitians, and social workers at this dialysis center.

10. In the last 3 months, how often did the dialysis center staff listen carefully to you?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

11. In the last 3 months, how often did the dialysis center staff explain things in a way that was easy for you to understand?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

12. In the last 3 months, how often did the dialysis center staff show respect for what you had to say?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

13. In the last 3 months, how often did the dialysis center staff spend enough time with you?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

14. In the last 3 months, how often did you feel the dialysis center staff really cared about you as a person?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

15. In the last 3 months, how often did dialysis center staff make you as comfortable as possible during dialysis?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

16. In the last 3 months, did dialysis center staff keep information about you and your health as private as possible from other patients?

1 ☐ Yes  
2 ☐ No

17. In the last 3 months, did you feel comfortable asking the dialysis center staff everything you wanted about dialysis care?

1 ☐ Yes  
2 ☐ No

18. In the last 3 months, has anyone on the dialysis center staff asked you about how your kidney disease affects other parts of your life?

1 ☐ Yes  
2 ☐ No

19. The dialysis center staff can connect you to the dialysis machine through a graft, fistula, or catheter. Do you know how to take care of your graft, fistula, or catheter?

1 ☐ Yes  
2 ☐ No

20. In the last 3 months, which one did they use most often to connect you to the dialysis machine?

1 ☐ Graft  
2 ☐ Fistula  
3 ☐ Catheter → If Catheter, Go to Question 22  
4 ☐ I don't know → If Don't Know, Go to Question 22

21. In the last 3 months, how often did dialysis center staff insert your needles with as little pain as possible?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always  
5 ☐ I insert my own needles

22. In the last 3 months, how often did dialysis center staff check you as closely as you wanted while you were on the dialysis machine?

1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

**23. In the last 3 months, did any problems occur during your dialysis?**

- 1 ☐ Yes  
2 ☐ No → If No, Go to  
Question 25

**24. In the last 3 months, how often was the dialysis center staff able to manage problems during your dialysis?**

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

**25. In the last 3 months, how often did dialysis center staff behave in a professional manner?**

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

**Please remember that for these questions, dialysis center staff does not include doctors. Dialysis center staff means nurses, technicians, dietitians, and social workers at this dialysis center.**

**26. In the last 3 months, did dialysis center staff talk to you about what you should eat and drink?**

- 1 ☐ Yes  
2 ☐ No

**27. In the last 3 months, how often did dialysis center staff explain blood test results in a way that was easy to understand?**

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

**28. As a patient you have certain rights. For example, you have the right to be treated with respect and the right to privacy. Did this dialysis center ever give you any written information about your rights as a patient?**

- 1 ☐ Yes  
2 ☐ No

**29. Did dialysis center staff at this center ever review your rights as a patient with you?**

- 1 ☐ Yes  
2 ☐ No

**30. Has dialysis center staff ever told you what to do if you experience a health problem at home?**

- 1 ☐ Yes  
2 ☐ No

**31. Has any dialysis center staff ever told you how to get off the machine if there is an emergency at the center?**

- 1 ☐ Yes  
2 ☐ No

32. Using any number from 0 to 10, where 0 is the worst dialysis center staff possible and 10 is the best dialysis center staff possible, what number would you use to rate your dialysis center staff?

0 ☐ 0 Worst dialysis center staff possible  
 1 ☐ 1  
 2 ☐ 2  
 3 ☐ 3  
 4 ☐ 4  
 5 ☐ 5  
 6 ☐ 6  
 7 ☐ 7  
 8 ☐ 8  
 9 ☐ 9  
 10 ☐ 10 Best dialysis center staff possible

#### THE DIALYSIS CENTER

33. In the last 3 months, when you arrived on time, how often did you get put on the dialysis machine within 15 minutes of your appointment or shift time?

1 ☐ Never  
 2 ☐ Sometimes  
 3 ☐ Usually  
 4 ☐ Always

34. In the last 3 months, how often was the dialysis center as clean as it could be?

1 ☐ Never  
 2 ☐ Sometimes  
 3 ☐ Usually  
 4 ☐ Always

35. Using any number from 0 to 10, where 0 is the worst dialysis center possible and 10 is the best dialysis center possible, what number would you use to rate this dialysis center?

0 ☐ 0 Worst dialysis center possible  
 1 ☐ 1  
 2 ☐ 2  
 3 ☐ 3  
 4 ☐ 4  
 5 ☐ 5  
 6 ☐ 6  
 7 ☐ 7  
 8 ☐ 8  
 9 ☐ 9  
 10 ☐ 10 Best dialysis center possible

#### TREATMENT

The next few questions ask about your care in the last 12 months. As you answer these questions, think only about your experience at [SAMPLE FACILITY NAME], even if you have not been receiving care there for the entire 12 months.

36. You can treat kidney disease with dialysis at a center, a kidney transplant, or with dialysis at home. In the last 12 months, did your kidney doctors or dialysis center staff talk to you as much as you wanted about which treatment is right for you?

1 ☐ Yes  
 2 ☐ No

**37. Are you eligible for a kidney transplant?**

- 1 ☐ Yes → If Yes, Go to  
Question 39  
2 ☐ No  
3 ☐ I don't know → If Don't  
Know, Go to Question 39

**38. In the last 12 months, has a doctor or dialysis center staff explained to you why you are not eligible for a kidney transplant?**

- 1 ☐ Yes  
2 ☐ No

**39. Peritoneal dialysis is dialysis given through the belly and is usually done at home. In the last 12 months, did either your kidney doctors or dialysis center staff talk to you about peritoneal dialysis?**

- 1 ☐ Yes  
2 ☐ No

**40. In the last 12 months, were you as involved as much as you wanted in choosing the treatment for kidney disease that is right for you?**

- 1 ☐ Yes  
2 ☐ No

**41. In the last 12 months, were you ever unhappy with the care you received at the dialysis center or from your kidney doctors?**

- 1 ☐ Yes  
2 ☐ No → If No, Go to  
Question 45

**42. In the last 12 months, did you ever talk to someone on the dialysis center staff about this?**

- 1 ☐ Yes  
2 ☐ No → If No, Go to  
Question 45

**43. In the last 12 months, how often were you satisfied with the way they handled these problems?**

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

**44. Medicare and your State have special agencies that check the quality of care at this dialysis center. In the last 12 months, did you make a complaint to any of these agencies?**

- 1 ☐ Yes  
2 ☐ No

---

**ABOUT YOU**

---

**45. In general, how would you rate your overall health?**

- 1 ☐ Excellent  
2 ☐ Very good  
3 ☐ Good  
4 ☐ Fair  
5 ☐ Poor

**46. In general, how would you rate your overall mental or emotional health?**

- 1 ☐ Excellent
- 2 ☐ Very good
- 3 ☐ Good
- 4 ☐ Fair
- 5 ☐ Poor

**47. Are you being treated for high blood pressure?**

- 1 ☐ Yes
- 2 ☐ No

**48. Are you being treated for diabetes or high blood sugar?**

- 1 ☐ Yes
- 2 ☐ No

**49. Are you being treated for heart disease or heart problems?**

- 1 ☐ Yes
- 2 ☐ No

**50. Are you deaf or do you have serious difficulty hearing?**

- 1 ☐ Yes
- 2 ☐ No

**51. Are you blind or do you have serious difficulty seeing, even when wearing glasses?**

- 1 ☐ Yes
- 2 ☐ No

**52. Because of a physical, mental, or emotional condition, do you have serious difficulty concentrating, remembering, or making decisions?**

- 1 ☐ Yes
- 2 ☐ No

**53. Do you have serious difficulty walking or climbing stairs?**

- 1 ☐ Yes
- 2 ☐ No

**54. Do you have difficulty dressing or bathing?**

- 1 ☐ Yes
- 2 ☐ No

**55. Because of a physical, mental, or emotional condition, do you have difficulty doing errands alone, such as visiting a doctor's office or shopping?**

- 1 ☐ Yes
- 2 ☐ No

**56. What is the highest grade or level of school that you have completed?**

- 1 ☐ No formal education
- 2 ☐ 5<sup>th</sup> grade or less
- 3 ☐ 6<sup>th</sup>, 7<sup>th</sup>, or 8<sup>th</sup> grade
- 4 ☐ Some high school, but did not graduate
- 5 ☐ High school graduate or GED
- 6 ☐ Some college or 2-year degree
- 7 ☐ 4-year college graduate
- 8 ☐ More than 4-year college degree

**57. What language do you mainly speak at home?**

- 1 ☐ English
- 2 ☐ Spanish
- 3 ☐ Chinese
- 4 ☐ Samoan
- 5 ☐ Russian
- 6 ☐ Vietnamese
- 7 ☐ Portuguese
- 8 ☐ Some other language (please identify):  
\_\_\_\_\_

**58. Are you of Spanish, Hispanic, or Latino origin or descent?**

- 1 ☐ No, not Spanish/Hispanic/Latino
- 2 ☐ Yes, Puerto Rican
- 3 ☐ Yes, Mexican, Mexican American, Chicano
- 4 ☐ Yes, Cuban
- 5 ☐ Yes, other Spanish/Hispanic/Latino

**59. What is your race? (One or more categories may be selected.)**

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

**60. Did someone help you complete this survey?**

- 1 ☐ Yes
- 2 ☐ No → **Thank you. Please return the completed survey in the postage-paid envelope.**

**61. Who helped you complete this survey?**

- 1 ☐ A family member
- 2 ☐ A friend
- 3 ☐ A staff member at the dialysis center
- 4 ☐ Someone else (please print):  
\_\_\_\_\_

**62. How did that person help you? Check all that apply.**

- 1 ☐ Read the questions to me
- 2 ☐ Wrote down the answers I gave
- 3 ☐ Answered the questions for me
- 4 ☐ Translated the questions into my language
- 5 ☐ Helped in some other way (please print):  
\_\_\_\_\_

**Thank you. Please return the survey in the enclosed envelope to:**

**VENDOR'S NAME  
STREET ADDRESS 1  
STREET ADDRESS 2  
CITY, STATE, ZIP**



## Telephone Interview Script for the In-Center Hemodialysis CAHPS Survey—English

GO TO INTRO3 IF THIS IS A FOLLOW-UP CALL TO AN INTERVIEW THAT WAS  
BEGUN IN A PRECEDING CALL. OTHERWISE GO TO INTRO1.

INTRO1      Hello, may I please speak to [SAMPLED MEMBER'S NAME]?

IF ASKED WHO IS CALLING:

This is [INTERVIEWER NAME] calling from [VENDOR]. I'd like to speak to  
[SAMPLE MEMBER'S NAME] about a study about health care.

- 1   YES → [GO TO INTRO 2]
- 2   NO, NOT AVAILABLE RIGHT NOW → [SET CALLBACK]
- 3   NO [REFUSAL] → [GO TO Q\_REF SCREEN]
- 4   MENTALLY/PHYSICALLY INCAPABLE → [GO TO Q\_REF AND CODE  
AS MENTALLY/PHYSICALLY INCAPABLE]

INTRO2      Hello, this is [INTERVIEWER NAME] calling from [VENDOR]. [ICH Facility  
Name] is taking part in a national survey to learn more about the quality of care  
patients receive from their hemodialysis center. Your name was selected at  
random from among people who receive in-center hemodialysis care by the  
Centers for Medicare & Medicaid Services to participate in this survey. The  
Medicare program and dialysis centers will use survey results to help improve the  
quality of hemodialysis care they provide.

Your participation in this survey is voluntary and will not affect your health  
benefits in any way. Your answers to the survey will be held in confidence and  
are protected by the Privacy Act. You can choose to answer any or all of the  
survey questions.

This interview will take about 16 minutes to complete. Please note that this call  
may be monitored or recorded for quality improvement purposes.

- 1   BEGIN INTERVIEW (VERBAL CONSENT) → [GO TO Q1]
- 2   NO, NOT RIGHT NOW → [SET CALLBACK]
- 3   NO [REFUSAL] → [GO TO Q\_REF SCREEN]

- INTRO3      INTRO3 AND INTRO4 USED ONLY IF CALLING SAMPLE PATIENT BACK TO COMPLETE A SURVEY THAT WAS BEGUN IN A PREVIOUS CALL. NOTE THAT THE PATIENT MUST HAVE ANSWERED AT LEAST ONE QUESTION IN THE SURVEY IN A PRECEDING CALL.
- Hello, may I please speak to [SAMPLE MEMBER'S NAME]?
- IF ASKED WHO IS CALLING:  
This is [INTERVIEWER NAME] calling from [VENDOR]. I'd like to speak to [SAMPLE MEMBER'S NAME] about a study about health care.
- 1   YES, SAMPLE PATIENT IS AVAILABLE AND ON PHONE NOW → [GO TO INTRO 4]
  - 2   NO, NOT AVAILABLE RIGHT NOW → [SET CALLBACK]
  - 3   NO [REFUSAL] → [GO TO Q\_REF SCREEN]
  - 4   MENTALLY/PHYSICALLY INCAPABLE → [GO TO Q\_REF AND CODE AS MENTALLY/PHYSICALLY INCAPABLE]
- INTRO 4      Hello, this is [INTERVIEWER NAME] calling from [VENDOR]. I am calling to continue the survey that we started in a previous call, regarding the hemodialysis care that you receive from [ICH FACILITY NAME]. I'd like to continue with that survey now.
- 1   CONTINUE WITH INTERVIEW AT FIRST UNANSWERED QUESTION
  - 2   NO, NOT RIGHT NOW → [SET CALLBACK]
  - 3   NO [REFUSAL] → [GO TO Q\_REF SCREEN]
- Q1.            Where do you get your dialysis treatments? Would you say...
- 1   At home or at a skilled nursing home where I live, or → [GO TO Q45\_INTRO2]
  - 2   At the dialysis center?
  - 3   I DO NOT CURRENTLY RECEIVE DIALYSIS → [GO TO Q45\_INTRO2]
- M   MISSING/DK → [GO TO Q45\_INTRO2]

- Q2. How long have you been getting dialysis at [SAMPLE FACILITY NAME]?  
Would you say...
- 1 Less than 3 months, → [GO TO Q45\_INTRO2]
  - 2 At least 3 months but less than 1 year,
  - 3 At least 1 year but less than 5 years, or
  - 4 5 years or more?
  - 5 I DO NOT CURRENTLY RECEIVE DIALYSIS AT THIS DIALYSIS  
CENTER → [GO TO Q45\_INTRO2]
- M MISSING/DK → [GO TO Q45\_INTRO2]
- Q3\_INTRO Your kidney doctors are the doctor or doctors most involved in your dialysis care  
now. This includes kidney doctors that you see inside and outside the center.
- Q3. In the last 3 months, how often did your kidney doctors listen carefully to you?  
Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK
- Q4. In the last 3 months, how often did your kidney doctors explain things in a way  
that was easy for you to understand? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK
- Q5. In the last 3 months, how often did your kidney doctors show respect for what you  
had to say? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK

Q6. In the last 3 months, how often did your kidney doctors spend enough time with you? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q7. In the last 3 months, how often did you feel your kidney doctors really cared about you as a person? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q8. Using any number from 0 to 10, where 0 is the worst kidney doctors possible and 10 is the best kidney doctors possible, what number would you use to rate the kidney doctors you have now?

REPEAT QUESTION IF NECESSARY

- 00 0 Worst kidney doctors possible
- 01 1
- 02 2
- 03 3
- 04 4
- 05 5
- 06 6
- 07 7
- 08 8
- 09 9
- 10 10 Best kidney doctors possible
- M MISSING/DK

- Q9. Do your kidney doctors seem informed and up-to-date about the health care you receive from other doctors?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q10\_INTRO For the next questions, dialysis center staff does **not** include doctors. Dialysis center staff means nurses, technicians, dietitians, and social workers at this dialysis center.
- Q10. In the last 3 months, how often did the dialysis center staff listen carefully to you? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK
- Q11. In the last 3 months, how often did the dialysis center staff explain things in a way that was easy for you to understand? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK
- Q12. In the last 3 months, how often did the dialysis center staff show respect for what you had to say? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK

Q13. In the last 3 months, how often did the dialysis center staff spend enough time with you? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q14. In the last 3 months, how often did you feel the dialysis center staff really cared about you as a person? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q15. In the last 3 months, how often did dialysis center staff make you as comfortable as possible during dialysis? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q16. In the last 3 months, did dialysis center staff keep information about you and your health as private as possible from other patients? Would you say...

- 1 Yes, or
- 2 No?

M MISSING/DK

Q17. In the last 3 months, did you feel comfortable asking the dialysis center staff everything you wanted about dialysis care?

- 1 YES
- 2 NO

M MISSING/DK

Q18. In the last 3 months, has anyone on the dialysis center staff asked you about how your kidney disease affects other parts of your life?

1 YES

2 NO

M MISSING/DK

Q19. The dialysis center staff can connect you to the dialysis machine through a graft, fistula, or catheter. Do you know how to take care of your graft, fistula, or catheter?

1 YES

2 NO

M MISSING/DK

(INCLUDE PRONUNCIATION GUIDE IN HELP FUNCTION FOR FISTULA (FISS-tyoo-luh) AND CATHETER (KATH-uh-tur) ON THIS QUESTION)

Q20. In the last 3 months, which one did they use most often to connect you to the dialysis machine? Would you say...

1 Graft,

2 Fistula, or

3 Catheter? → [GO TO Q22]

4 DON'T KNOW → [GO TO Q22]

M MISSING → [GO TO Q22]

Q21. In the last 3 months, how often did dialysis center staff insert your needles with as little pain as possible? Would you say...

1 Never,

2 Sometimes,

3 Usually,

4 Always, or

5 You insert your own needles?

M MISSING/DK

Q22. In the last 3 months, how often did dialysis center staff check you as closely as you wanted while you were on the dialysis machine? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q23. In the last 3 months, did any problems occur during your dialysis?

- 1 YES
- 2 NO → [GO TO Q25]

M MISSING/DK → [GO TO Q25]

Q24. In the last 3 months, how often was the dialysis center staff able to manage problems during your dialysis? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q25. In the last 3 months, how often did dialysis center staff behave in a professional manner? Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK



- Q26\_INTRO Please remember that for these questions, dialysis center staff does **not** include doctors. Dialysis center staff means nurses, technicians, dietitians, and social workers at this dialysis center.
- Q26. In the last 3 months, did dialysis center staff talk to you about what you should eat and drink?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q27. In the last 3 months, how often did dialysis center staff explain blood test results in a way that was easy to understand? Would you say...
- 1 Never,
  - 2 Sometimes,
  - 3 Usually, or
  - 4 Always?
- M MISSING/DK
- Q28. As a patient you have certain rights. For example, you have the right to be treated with respect and the right to privacy. Did this dialysis center ever give you any written information about your rights as a patient?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q29. Did dialysis center staff at this center ever review your rights as a patient with you?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q30. Has dialysis center staff ever told you what to do if you experience a health problem at home?
- 1 YES
  - 2 NO
- M MISSING/DK

Q31. Has any dialysis center staff ever told you how to get off the machine if there is an emergency at the center?

1 YES

2 NO

M MISSING/DK

Q32. Using any number from 0 to 10, where 0 is the worst dialysis center staff possible and 10 is the best dialysis center staff possible, what number would you use to rate your dialysis center staff?

REPEAT QUESTION IF NECESSARY

00 0 Worst dialysis center staff possible

01 1

02 2

03 3

04 4

05 5

06 6

07 7

08 8

09 9

10 10 Best dialysis center staff possible

M MISSING/DK

Q33. In the last 3 months, when you arrived on time, how often did you get put on the dialysis machine within 15 minutes of your appointment or shift time? Would you say...

1 Never,

2 Sometimes,

3 Usually, or

4 Always?

M MISSING/DK

Q34. In the last 3 months, how often was the dialysis center as clean as it could be?  
Would you say...

- 1 Never,
- 2 Sometimes,
- 3 Usually, or
- 4 Always?

M MISSING/DK

Q35. Using any number from 0 to 10, where 0 is the worst dialysis center possible and 10 is the best dialysis center possible, what number would you use to rate this dialysis center?

REPEAT QUESTION IF NECESSARY

00 0 Worst dialysis center possible

01 1

02 2

03 3

04 4

05 5

06 6

07 7

08 8

09 9

10 10 Best dialysis center possible

M MISSING/DK

Q36\_INTRO The next few questions ask about your care in the last 12 months. As you answer these questions, think only about your experience at [SAMPLE FACILITY NAME], even if you have not been receiving care there for the entire 12 months.

Q36. You can treat kidney disease with dialysis at a center, a kidney transplant, or with dialysis at home. In the last 12 months, did your kidney doctors or dialysis center staff talk to you as much as you wanted about which treatment is right for you?

- 1 YES
- 2 NO

M MISSING/DK

- Q37. Are you eligible for a kidney transplant?
- 1 YES → [GO TO Q39]
  - 2 NO
  - 3 DON'T KNOW → [GO TO Q39]
- M MISSING → [GO TO Q39]
- Q38. In the last 12 months, has a doctor or dialysis center staff explained to you why you are not eligible for a kidney transplant?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q39. Peritoneal dialysis is dialysis given through the belly and is usually done at home. In the last 12 months, did either your kidney doctors or dialysis center staff talk to you about peritoneal dialysis?
- 1 YES
  - 2 NO
- M MISSING/DK
- (INCLUDE PRONUNCIATION GUIDE IN HELP FUNCTION FOR PERITONEAL ON THIS QUESTION: (Per-ih-ton-EE-ul))
- Q40. In the last 12 months, were you as involved as much as you wanted in choosing the treatment for kidney disease that is right for you?
- 1 YES
  - 2 NO
- M MISSING/DK
- Q41. In the last 12 months, were you ever unhappy with the care you received at the dialysis center or from your kidney doctors?
- 1 YES
  - 2 NO → [GO TO Q45\_INTRO]
- M MISSING/DK → [GO TO Q45\_INTRO]

Q42. In the last 12 months, did you ever talk to someone on the dialysis center staff about this?

1 YES

2 NO → [GO TO Q45\_INTRO]

M MISSING/DK → [GO TO Q45\_INTRO]

Q43. In the last 12 months, how often were you satisfied with the way they handled these problems? Would you say...

1 Never,

2 Sometimes,

3 Usually, or

4 Always?

M MISSING/DK

Q44. Medicare and your State have special agencies that check the quality of care at this dialysis center. In the last 12 months, did you make a complaint to any of these agencies?

1 YES

2 NO

M MISSING/DK

Q45\_INTRO This last set of questions asks for information about you. Please listen to all response choices before you answer the following questions. [GOTO Q45]

Q45\_INTRO2 The following questions are about you and your health. This information will help the Centers for Medicare & Medicaid Services better understand how well you are doing.

Q45. In general, how would you rate your overall health? Would you say that it is...

1 Excellent,

2 Very good,

3 Good,

4 Fair, or

5 Poor?

M MISSING/DK

Q46. In general, how would you rate your overall mental or emotional health? Would you say that it is...

- 1 Excellent,
- 2 Very good,
- 3 Good,
- 4 Fair, or
- 5 Poor?

M MISSING/DK

Q47. Are you being treated for high blood pressure?

- 1 YES
- 2 NO

M MISSING/DK

Q48. Are you being treated for diabetes or high blood sugar?

- 1 YES
- 2 NO

M MISSING/DK

Q49. Are you being treated for heart disease or heart problems?

- 1 YES
- 2 NO

M MISSING/DK

Q50. Are you deaf or do you have serious difficulty hearing?

- 1 YES
- 2 NO

M MISSING/DK

Q51. Are you blind or do you have serious difficulty seeing, even when wearing glasses?

- 1 YES
- 2 NO

M MISSING/DK

Q52. Because of a physical, mental, or emotional condition, do you have serious difficulty concentrating, remembering, or making decisions?

1 YES

2 NO

M MISSING/DK

Q53. Do you have serious difficulty walking or climbing stairs?

1 YES

2 NO

M MISSING/DK

Q54. Do you have difficulty dressing or bathing?

1 YES

2 NO

M MISSING/DK

Q55. Because of a physical, mental, or emotional condition, do you have difficulty doing errands alone, such as visiting a doctor's office or shopping?

1 YES

2 NO

M MISSING/DK

Q56. What is the highest grade or level of school that you have completed? Would you say...

1 No formal education,

2 5<sup>th</sup> grade or less,

3 6<sup>th</sup>, 7<sup>th</sup>, or 8<sup>th</sup> grade,

4 Some high school, but did not graduate,

5 High school graduate or GED,

6 Some college or 2-year degree,

7 4-year college graduate, or

8 More than 4-year college degree?

M MISSING/DK

Q57. What language do you mainly speak at home? Would you say...

- 1 English
- 2 Spanish,
- 3 Chinese,
- 4 Samoan,
- 5 Russian,
- 6 Vietnamese,
- 7 Portuguese, or
- 8 Some other language? (please identify) → [GO TO Q57a]

Q57a. What is that language? (ENTER RESPONSE BELOW).

{ ALLOW UP TO 50 CHARACTERS }

M MISSING/DK

Q58. Are you of Spanish, Hispanic or Latino origin or descent?

- 1 YES
- 2 NO → [GO TO Q59]

M MISSING/DK → [GO TO Q59]

Q58a. Would you say you are...

- 1 Puerto Rican,
- 2 Mexican, Mexican American, Chicano,
- 3 Cuban, or
- 4 Other Spanish/Hispanic/Latino?

M MISSING/DK

Q59. What is your race? You may choose one or more of the following. Are you...

- 1 White,
- 2 Black or African American,
- 3 American Indian or Alaska Native,
- 4 Asian, or
- 5 Native Hawaiian or Pacific Islander?
- 6 NONE OF THE ABOVE

M MISSING/DK



PROGRAMMER INSTRUCTIONS: IF WHITE ONLY, BLACK/AFRICAN AMERICAN ONLY, OR AMERICAN INDIAN/ALASKA NATIVE ONLY, OR ANY COMBINATION OF THESE THREE OPTIONS, NONE OF THE ABOVE OR MISSING/DK, GO TO Q\_END.

IF ASIAN ONLY, GO TO Q59A. IF WHITE, BLACK/AFRICAN AMERICAN, AND/OR AMERICAN INDIAN/ALASKA NATIVE **AND** ASIAN ARE CHOSEN, GO TO Q59A. IF NATIVE HAWAIIAN/PACIFIC ISLANDER IS ALSO CHOSEN, SEE INSTRUCTION AFTER Q59A.

IF NATIVE HAWAIIAN/PACIFIC ISLANDER ONLY, GO TO 59B. IF WHITE, BLACK/AFRICAN AMERICAN, AND/OR AMERICAN INDIAN/ALASKA NATIVE **AND** NATIVE HAWAIIAN/PACIFIC ISLANDER ARE CHOSEN, GO TO Q59B.

Q59a. Which groups best describe you? You may choose one or more of the following.  
Are you...

- 1 Asian Indian,
- 2 Chinese,
- 3 Filipino,
- 4 Japanese,
- 5 Korean,
- 6 Vietnamese, or
- 7 Other Asian?
- 8 NONE OF THE ABOVE

M MISSING/DK

IF NATIVE HAWAIIAN/PACIFIC ISLANDER WAS ALSO CHOSEN IN Q59, GO TO Q59B. ELSE, GO TO Q\_END.

Q59b. Which groups best describe you? You may choose one or more of the following.  
Are you...

- 1 Native Hawaiian,
- 2 Guamanian or Chamorro,
- 3 Samoan, or
- 4 Other Pacific Islander?
- 5 NONE OF THE ABOVE

M MISSING/DK

Q\_END            These are all the questions I have for you. Please note that to help us understand how the experiences of hemodialysis patients change over time, you may be contacted again in the future to provide additional feedback about your dialysis care. Thank you for your time. Have a good (day/evening).

REFUSAL SCREEN:

Q\_REF            Thank you for your time. Have a good (day/evening).

**APPENDIX D:**

**SPANISH: MAIL SURVEY COVER LETTERS, SURVEY QUESTIONNAIRE,  
TELEPHONE INTERVIEW SCRIPT**

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## Spanish Cover Letter 1

S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

## MENSAJE IMPORTANTE DE MEDICARE

Estimado(a) señor(a) [LAST NAME]:

Esta es una encuesta importante para pacientes de diálisis de los Centros de Servicios de Medicare y Medicaid (CMS, por sus siglas en inglés). Los Centros de Servicios de Medicare y Medicaid conforman la oficina encargada de Medicare. Por favor, tome unos minutos para leer esta carta. Luego, complete la encuesta sobre la atención que recibe en [FACILITY NAME]. Después de completar la encuesta, por favor envíela de regreso en el sobre adjunto que no necesita estampillas de correo.

## ¿Qué pasa con los resultados de la encuesta?

Medicare compartirá los resultados de la encuesta en el sitio web *Dialysis Facility Compare* (*Comparación de centros de diálisis*) en [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare) (disponible solo en inglés). Este sitio web ayudará a los pacientes de hemodiálisis y a sus familias a encontrar y comparar los centros de diálisis certificados por Medicare.

Todas sus respuestas están protegidas por la Ley de Privacidad. Nadie podrá asociar su nombre con sus respuestas. Usted puede decidir completar la encuesta o no. Su decisión no afectará ninguna atención médica o beneficios que reciba.

## Cómo completar la encuesta

No le pida a nadie de [FACILITY NAME] que le ayude con esta encuesta. Sus respuestas deben reflejar sus propias opiniones sobre la atención de diálisis que usted recibe.

- Si recibe diálisis **SOLAMENTE en un centro de diálisis**, marque el cuadro "En un centro de diálisis" en la pregunta 1. Luego vaya a la pregunta 2 y responda todas las preguntas de la encuesta que le correspondan.
- Si recibe **ALGÚN tipo de diálisis en el hogar o diálisis peritoneal, o si SOLO recibe diálisis en el asilo de ancianos en donde vive**, marque el cuadro "En la casa o en un asilo de ancianos con servicio de enfermería especializada en donde vivo" en la pregunta 1. Luego salte a la pregunta 45.
- Si **ya no recibe diálisis**, marque el cuadro 3 en la pregunta 1. Luego salte a la pregunta 45.

## ¿Preguntas?

Si tiene alguna pregunta sobre esta encuesta o si necesita ayuda en español, puede llamar a [VENDOR NAME] al [VENDOR PHONE NUMBER]. (*For questions about this survey, or if you want to receive this survey in English, please call the survey manager at [VENDOR PHONE NUMBER].*)

¡Gracias de antemano por su participación en esta importante encuesta!

Atentamente,

[NAME]

[TITLE]

[PRINT SID HERE]

## Spanish Cover Letter 2

S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]  
[ADDRESS]  
[CITY, STATE AND ZIP]

### MENSAJE IMPORTANTE DE MEDICARE

Estimado(a) señor(a) [LAST NAME]:

Esta es una encuesta importante sobre la atención de diálisis que recibe en [FACILITY NAME] de los Centros de Servicios de Medicare y Medicaid (CMS).

**Hace poco le enviamos por correo esta misma encuesta, pero aún no la hemos recibido de regreso.** Es muy importante para nosotros conocer sus experiencias. Por favor, tome unos minutos para completar la encuesta y enviarla de regreso en el sobre adjunto que no necesita estampillas de correo. Si ya nos envió la encuesta, le damos las gracias.

### ¿Qué pasa con los resultados de la encuesta?

Medicare compartirá los resultados de la encuesta en el sitio web *Dialysis Facility Compare* (*Comparación de centros de diálisis*) en [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare) (disponible solo en inglés). Este sitio web ayudará a los pacientes de hemodiálisis y a sus familias a encontrar y comparar los centros de diálisis certificados por Medicare.

Todas sus respuestas están protegidas por la Ley de Privacidad. Nadie podrá asociar su nombre con sus respuestas. Usted puede decidir completar la encuesta o no. Su decisión no afectará ninguna atención médica o beneficios que reciba.

### Cómo completar la encuesta

No le pida a nadie de [FACILITY NAME] que le ayude con esta encuesta. Sus respuestas deben reflejar sus propias opiniones sobre la atención de diálisis que usted recibe.

- Si recibe diálisis **SOLAMENTE en un centro de diálisis**, marque el cuadro "En un centro de diálisis" en la pregunta 1. Luego vaya a la pregunta 2 y responda todas las preguntas de la encuesta que le correspondan.
- Si recibe **ALGÚN tipo de diálisis en el hogar o diálisis peritoneal, o si SOLO recibe diálisis en el asilo de ancianos en donde vive**, marque el cuadro "En la casa o en un asilo de ancianos con servicio de enfermería especializada en donde vivo" en la pregunta 1. Luego salte a la pregunta 45.
- Si **ya no recibe diálisis**, marque el cuadro 3 en la pregunta 1. Luego salte a la pregunta 45.

### ¿Preguntas?

Si tiene alguna pregunta sobre esta encuesta o si necesita ayuda en español, llame a [VENDOR NAME] al [VENDOR PHONE NUMBER]. (*For questions about this survey, or if you want to receive this survey in English, please call the survey manager at [VENDOR PHONE NUMBER].*)

¡Gracias de antemano por su participación en esta importante encuesta!

Atentamente,

[NAME]  
[TITLE]

[PRINT SID HERE]

OMB #: 0938-0926  
Expiration Date: December 31, 2022

# **Encuesta de Medicare de los Centros de Hemodiálisis**

De acuerdo a la Ley de Reducción de Trabajo Administrativo de 1995 (Paperwork Reduction Act of 1995), ninguna persona tiene la obligación de responder a un cuestionario que solicite información, a menos que lleve un número de control de OMB (Oficina de Administración y Presupuesto) válido. El número de control OMB válido para este cuestionario es 0938-0926. Se estima que el tiempo promedio necesario para completar este cuestionario es de 16 minutos por respuesta, incluyendo el tiempo para revisar las instrucciones, buscar en las fuentes de datos existentes, recopilar los datos necesarios, completar y revisar la información recopilada. Si tiene algún comentario sobre la exactitud del tiempo estimado o sugerencias para mejorar este formulario, por favor escriba a: CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Mail Stop C1-25-05, Baltimore, Maryland 21244-1850.

## INSTRUCCIONES PARA EL CUESTIONARIO

Esta encuesta trata de sus experiencias con el cuidado de diálisis en [SAMPLE FACILITY NAME].

Conteste cada pregunta marcando el cuadrito que aparece a la izquierda de la respuesta que usted elija.

A veces hay que saltarse alguna pregunta del cuestionario. Cuando esto ocurra, verá una flecha con una nota que le indicará cuál es la siguiente pregunta a la que tiene que pasar. Por ejemplo:

<sup>1</sup> ☐ Sí

<sup>2</sup> ☒ No → **Si contestó “No”, pase a la pregunta 25**



**1. ¿En dónde le hacen los tratamientos de diálisis?**

- 1 ☐ En la casa o en un asilo de ancianos con servicios de enfermería especializada en donde vivo → **Si contestó “En la casa o en un asilo de ancianos con servicios de enfermería especializada en donde vivo”, pase a la pregunta 45**
- 2 ☐ En un centro de diálisis
- 3 ☐ Actualmente no recibo diálisis → **Si contestó “Actualmente no recibo diálisis”, pase a la pregunta 45**

**2. ¿Cuánto tiempo ha estado recibiendo tratamiento de diálisis en [SAMPLE FACILITY NAME]?**

- 1 ☐ Menos de 3 meses → **Si contestó “Menos de 3 meses”, pase a la pregunta 45**
- 2 ☐ Al menos 3 meses pero menos de 1 año
- 3 ☐ Al menos 1 año pero menos de 5 años
- 4 ☐ 5 años o más
- 5 ☐ Actualmente no recibo diálisis en este centro de diálisis → **Si contestó “Actualmente no recibo diálisis en este centro de diálisis”, pase a la pregunta 45**

**SUS DOCTORES DE LOS RIÑONES**

**Los doctores de los riñones son el doctor o los doctores que están más involucrados en su cuidado de diálisis actual. Esto incluye a**

**doctores de los riñones dentro y fuera del centro de diálisis.**

**3. En los últimos 3 meses, ¿con qué frecuencia le escuchaban con atención sus doctores de los riñones?**

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

**4. En los últimos 3 meses, ¿con qué frecuencia sus doctores de los riñones le explicaban las cosas en una forma fácil de entender?**

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

**5. En los últimos 3 meses, ¿con qué frecuencia sus doctores de los riñones mostraban respeto por lo que usted decía?**

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

**6. En los últimos 3 meses, ¿con qué frecuencia pasaron suficiente tiempo con usted sus doctores de los riñones?**

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

7. En los últimos 3 meses, ¿con qué frecuencia sintió que sus doctores de los riñones realmente le apreciaban a usted como persona?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

8. Usando cualquier número del 0 al 10, donde 0 es los peores doctores de los riñones posibles y 10 es los mejores doctores de los riñones posibles, ¿qué número usaría para calificar a los doctores de los riñones que tiene ahora?

0 ☐ 0 Los peores doctores de los riñones posibles  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Los mejores doctores de los riñones posibles

9. ¿Sus doctores de los riñones parecen estar informados y al tanto de la atención médica que usted recibió de otros doctores?

1 ☐ Sí  
2 ☐ No

## EL PERSONAL DEL CENTRO DE DIÁLISIS

Para las siguientes preguntas, el personal del centro de diálisis no incluye a los doctores. El personal del centro de diálisis se refiere a las enfermeras, técnicos, nutricionistas y trabajadores sociales en este centro de diálisis.

10. En los últimos 3 meses, ¿con qué frecuencia le escuchaba con atención el personal del centro de diálisis?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

11. En los últimos 3 meses, ¿con qué frecuencia le explicaba las cosas a usted el personal del centro de diálisis en una forma fácil de entender?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

12. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis mostró respeto por lo que usted decía?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

**13. En los últimos 3 meses, ¿con qué frecuencia pasó suficiente tiempo con usted el personal del centro de diálisis?**

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

**14. En los últimos 3 meses, ¿con qué frecuencia sintió que el personal del centro de diálisis realmente le apreciaba a usted como persona?**

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

**15. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le hizo sentirse lo más cómodo posible durante la diálisis?**

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

**16. En los últimos 3 meses, ¿el personal del centro de diálisis mantuvo la información sobre usted y sobre su salud de la manera más privada posible para que otros pacientes no la pudieran ver o escuchar?**

- 1 ☐ Sí  
2 ☐ No

**17. En los últimos 3 meses, ¿se sintió lo suficientemente cómodo como para preguntarle al personal del centro de diálisis todo lo que quería saber acerca del tratamiento de diálisis?**

- 1 ☐ Sí  
2 ☐ No

**18. En los últimos 3 meses, ¿alguien del personal del centro de diálisis le preguntó cómo su enfermedad de los riñones afecta otros aspectos de su vida?**

- 1 ☐ Sí  
2 ☐ No

**19. El personal del centro de diálisis puede conectarle a la máquina de diálisis a través de un injerto, una fístula o un catéter o sonda. ¿Sabe como cuidar su injerto, fístula o catéter o sonda?**

- 1 ☐ Sí  
2 ☐ No

**20. En los últimos 3 meses, ¿qué fue lo que usaron con más frecuencia para conectarle a la máquina de diálisis?**

- 1 ☐ Un injerto  
2 ☐ Una fístula  
3 ☐ Un catéter o sonda → Si contestó “Un catéter o sonda”, pase a la pregunta 22  
4 ☐ No sé → Si contestó “No sé”, pase a la pregunta 22

21. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le insertó las agujas de manera que le causara el menor dolor posible?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre
- 5 ☐ Yo me coloco las agujas solo

22. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le chequeó tan de cerca como usted quería mientras estaba en la máquina de diálisis?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

23. En los últimos 3 meses, ¿ocurrió algún problema durante su diálisis?

- 1 ☐ Sí
- 2 ☐ No → Si contestó “No”, pase a la pregunta 25

24. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis pudo manejar los problemas que se presentaron durante su diálisis?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

25. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis se comportó de manera profesional?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

Recuerde que para estas preguntas, el personal del centro de diálisis no incluye a los doctores. El personal del centro de diálisis se refiere a las enfermeras, técnicos, nutricionistas y trabajadores sociales en este centro de diálisis.

26. En los últimos 3 meses, ¿el personal del centro de diálisis habló con usted acerca de lo que debería comer y beber?

- 1 ☐ Sí
- 2 ☐ No

27. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le explicó los resultados de las pruebas de sangre de una manera fácil de entender?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

28. Como paciente, usted tiene ciertos derechos. Por ejemplo, usted tiene derecho a ser tratado con respeto y tiene derecho a tener privacidad. ¿Alguna vez le dieron en este centro de diálisis información por escrito acerca de sus derechos como paciente?

1 ☐ Sí  
2 ☐ No

29. ¿Alguna vez el personal de este centro de diálisis repasó con usted sus derechos como paciente?

1 ☐ Sí  
2 ☐ No

30. ¿Alguna vez el personal del centro de diálisis le dijo qué debe hacer si tiene un problema de salud cuando está en casa?

1 ☐ Sí  
2 ☐ No

31. ¿Alguna vez un miembro del centro de diálisis le dijo cómo desconectarse de la máquina si hay una emergencia en el centro?

1 ☐ Sí  
2 ☐ No

32. Usando cualquier número del 0 al 10, donde 0 es el peor personal del centro de diálisis posible y 10 es el mejor personal del centro de diálisis posible, ¿qué número usaría para calificar al personal de su centro de diálisis?

0 ☐ 0 El peor personal posible del centro de diálisis  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 El mejor personal posible del centro de diálisis

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#### EL CENTRO DE DIÁLISIS

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33. En los últimos 3 meses, cuando usted llegó a tiempo, ¿con qué frecuencia le conectaron a la máquina de diálisis a los 15 minutos o antes de su cita o turno?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

**34. En los últimos 3 meses, ¿con qué frecuencia estaba el centro de diálisis tan limpio como podía estarlo?**

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

**35. Usando cualquier número del 0 al 10, donde 0 es el peor centro de diálisis posible y 10 es el mejor centro de diálisis posible, ¿qué número usaría para calificar a este centro de diálisis?**

- 0 ☐ 0 El peor centro de diálisis posible
- 1 ☐ 1
- 2 ☐ 2
- 3 ☐ 3
- 4 ☐ 4
- 5 ☐ 5
- 6 ☐ 6
- 7 ☐ 7
- 8 ☐ 8
- 9 ☐ 9
- 10 ☐ 10 El mejor centro de diálisis posible

### TRATAMIENTO

Las siguientes preguntas son sobre el cuidado que recibió en los últimos 12 meses. Mientras responde estas preguntas, solo piense en sus experiencias en [SAMPLE FACILITY NAME], aunque no haya recibido cuidado todos los 12 meses.

**36. La enfermedad de los riñones puede ser tratada con diálisis en un centro de diálisis, un trasplante de riñón o con diálisis que se hace en casa. En los últimos 12 meses, ¿sus doctores de los riñones o el personal del centro de diálisis hablaron con usted tanto como lo deseaba sobre cuál era el tratamiento más adecuado para usted?**

- 1 ☐ Sí
- 2 ☐ No

**37. ¿Es usted elegible para recibir un trasplante de riñón?**

- 1 ☐ Sí → Si contestó “Sí”, pase a la pregunta 39
- 2 ☐ No
- 3 ☐ No sé → Si contestó “No sé”, pase a la pregunta 39

**38. En los últimos 12 meses, ¿le ha explicado un doctor o el personal del centro de diálisis por qué usted no es elegible para un trasplante de riñón?**

- 1 ☐ Sí
- 2 ☐ No

**39. La diálisis peritoneal es la que se hace a través del estómago y la mayoría de las veces se hace en casa. En los últimos 12 meses, ¿alguno de sus doctores de los riñones o alguien del personal del centro de diálisis le habló acerca de la diálisis peritoneal?**

- 1 ☐ Sí
- 2 ☐ No

40. En los últimos 12 meses, ¿estuvo usted tan involucrado como quería en escoger el tratamiento para la enfermedad de los riñones más adecuado para usted?

1 ☐ Sí  
2 ☐ No

41. En los últimos 12 meses, ¿alguna vez estuvo descontento con el cuidado que recibió en el centro de diálisis o de sus doctores de los riñones?

1 ☐ Sí  
2 ☐ No → Si contestó “No”,  
pase a la pregunta 45

42. En los últimos 12 meses, ¿alguna vez habló con alguien del personal del centro de diálisis sobre esto?

1 ☐ Sí  
2 ☐ No → Si contestó “No”,  
pase a la pregunta 45

43. En los últimos 12 meses, ¿con qué frecuencia estuvo satisfecho con la manera en la que manejaron esos problemas?

1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

44. Medicare y su estado tienen agencias especiales que verifican la calidad del cuidado de este centro de diálisis. En los últimos 12 meses, ¿presentó alguna queja a cualquiera de estas agencias?

1 ☐ Sí  
2 ☐ No

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#### ACERCA DE USTED

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45. En general, ¿cómo calificaría su estado de salud?

1 ☐ Excelente  
2 ☐ Muy bueno  
3 ☐ Bueno  
4 ☐ Regular  
5 ☐ Malo

46. En general, ¿cómo calificaría su estado de salud mental o emocional?

1 ☐ Excelente  
2 ☐ Muy bueno  
3 ☐ Bueno  
4 ☐ Regular  
5 ☐ Malo

47. ¿Está en tratamiento por tener la presión alta?

1 ☐ Sí  
2 ☐ No

48. ¿Está en tratamiento porque tiene diabetes o el nivel de azúcar en la sangre alto?

1 ☐ Sí  
2 ☐ No

**49. ¿Está en tratamiento porque tiene una enfermedad cardíaca o problemas del corazón?**

- 1 ☐ Sí  
2 ☐ No

**50. ¿Es usted sordo o tiene mucha dificultad para oír?**

- 1 ☐ Sí  
2 ☐ No

**51. ¿Es usted ciego o tiene mucha dificultad para ver, aunque use lentes/anteojos?**

- 1 ☐ Sí  
2 ☐ No

**52. Debido a una condición física, mental o emocional, ¿tiene mucha dificultad para concentrarse, recordar o tomar decisiones?**

- 1 ☐ Sí  
2 ☐ No

**53. ¿Tiene mucha dificultad para caminar o subir escaleras?**

- 1 ☐ Sí  
2 ☐ No

**54. ¿Tiene dificultad para vestirse o bañarse?**

- 1 ☐ Sí  
2 ☐ No

**55. Debido a una condición física, mental o emocional, ¿tiene dificultad para hacer mandados por sí mismo, como ir al consultorio de un doctor o ir de compras?**

- 1 ☐ Sí  
2 ☐ No

**56. ¿Cuál es el grado o nivel escolar más alto que ha completado?**

- 1 ☐ Sin educación formal  
2 ☐ 5° grado o menos  
3 ☐ 6°, 7° u 8° grado  
4 ☐ Algo de preparatoria o 'high school' pero sin graduarse  
5 ☐ Graduado de la escuela preparatoria o 'high school' o GED  
6 ☐ Algunos cursos universitarios o un título universitario de un programa de 2 años  
7 ☐ Título universitario de 4 años  
8 ☐ Título universitario de más de 4 años

**57. ¿Qué idioma habla usted principalmente en el hogar?**

- 1 ☐ Inglés  
2 ☐ Español  
3 ☐ Chino  
4 ☐ Samoano  
5 ☐ Ruso  
6 ☐ Vietnamita  
7 ☐ Portugués  
8 ☐ Algún otro idioma (por favor, especifique):  
\_\_\_\_\_



**58. ¿Es usted de origen español, hispano o latino?**

- 1 ☐ No, no es de origen español, hispano o latino  
2 ☐ Sí, puertorriqueño  
3 ☐ Sí, mexicano, mexicano americano, chicano  
4 ☐ Sí, cubano  
5 ☐ Sí, de otro origen español, hispano o latino

**59. ¿Cuál es su raza? (Puede seleccionar una o más categorías.)**

- 1 ☐ Blanca  
2 ☐ Negra o africana americana  
3 ☐ India americana o nativa de Alaska  
4 ☐ India asiática  
5 ☐ China  
6 ☐ Filipina  
7 ☐ Japonesa  
8 ☐ Coreana  
9 ☐ Vietnamita  
10 ☐ Otra raza asiática  
11 ☐ Nativa de Hawái  
12 ☐ Guameña o Chamorro  
13 ☐ Samoana  
14 ☐ Otra de las islas del Pacífico

**60. ¿Le ayudó alguien a llenar esta encuesta?**

- 1 ☐ Sí  
2 ☐ No → **Gracias. Por favor devuelva la encuesta con sus respuestas en el sobre que no necesita estampilla de correo.**

**61. ¿Quién le ayudó a llenar la encuesta?**

- 1 ☐ Un miembro de su familia  
2 ☐ Un amigo  
3 ☐ Un miembro del personal del centro de diálisis  
4 ☐ Otra persona (Por favor, escriba en letra tipo imprenta):  
\_\_\_\_\_

**62. ¿Cómo le ayudó esa persona? Por favor, marque todas las respuestas que correspondan.**

- 1 ☐ Me leyó las preguntas  
2 ☐ Escribió las respuestas que yo le di  
3 ☐ Contestó las preguntas por mí  
4 ☐ Tradujo las preguntas a mi idioma  
5 ☐ Me ayudó de alguna otra manera (Por favor escriba en letra tipo imprenta):  
\_\_\_\_\_

**Gracias. Por favor, devuelva la encuesta en el sobre adjunto a:**

**VENDOR'S NAME  
STREET ADDRESS 1  
STREET ADDRESS 2  
CITY, STATE, ZIP**

## Telephone Interview Script for the In-Center Hemodialysis CAHPS Survey—Spanish

GO TO INTRO3 IF THIS IS A FOLLOW-UP CALL TO AN INTERVIEW THAT WAS  
BEGUN IN A PRECEDING CALL. OTHERWISE GO TO INTRO1.

INTRO1      Buenos días/Buenas tardes/Buenas noches. ¿Podría hablar con [SAMPLED  
MEMBER'S NAME]?

IF ASKED WHO IS CALLING:

Mi nombre es [INTERVIEWER NAME] y estoy llamando de [VENDOR]. Me  
gustaría hablar con [SAMPLE MEMBER'S NAME] acerca de un estudio sobre la  
atención médica.

- 1    YES → [GO TO INTRO 2]
- 2    NO, NOT AVAILABLE RIGHT NOW → [SET CALLBACK]
- 3    NO [REFUSAL] → [GO TO Q\_REF SCREEN]
- 4    MENTALLY/PHYSICALLY INCAPABLE → [GO TO Q\_REF AND CODE  
AS MENTALLY/PHYSICALLY INCAPABLE]

INTRO2      Buenos días/Buenas tardes/Buenas noches. Mi nombre es [INTERVIEWER NAME] y estoy llamando de [VENDOR]. [ICH Facility Name] está tomando parte en una encuesta nacional para saber más acerca de la calidad de la atención que reciben los pacientes de sus centros de hemodiálisis. Su nombre fue seleccionado al azar por Los Centros de Servicios de Medicare y Medicaid entre las personas que reciben atención en un centro de hemodiálisis para participar en esta encuesta. El programa de Medicare y los centros de diálisis utilizarán los resultados de la encuesta para ayudar a mejorar la calidad de la atención de hemodiálisis que proporcionan.

Su participación en esta encuesta es voluntaria y esto no afectará sus beneficios de salud de ninguna manera. Sus respuestas a la encuesta se mantendrán en forma confidencial y están protegidas por la Ley de privacidad. Usted puede decidir si desea contestar cualquiera de las preguntas o todas las preguntas de la encuesta.

Esta entrevista tomará como 16 minutos en completarse. Por favor, tenga en cuenta que esta llamada puede ser supervisada o grabada con el propósito de mejorar la calidad.

- 1 BEGIN INTERVIEW (VERBAL CONSENT) → [GO TO Q1]
- 2 NO, NOT RIGHT NOW → [SET CALLBACK]
- 3 NO [REFUSAL] → [GO TO Q\_REF SCREEN]

INTRO3      INTRO3 AND INTRO4 USED ONLY IF CALLING SAMPLE PATIENT BACK TO COMPLETE A SURVEY THAT WAS BEGUN IN A PREVIOUS CALL. NOTE THAT THE PATIENT MUST HAVE ANSWERED AT LEAST ONE QUESTION IN THE SURVEY IN A PRECEDING CALL.

Buenos días/Buenas tardes/Buenas noches. ¿Podría hablar con [SAMPLE MEMBER'S NAME]?

IF ASKED WHO IS CALLING:

Mi nombre es [INTERVIEWER NAME] y estoy llamando de [VENDOR]. Me gustaría hablar con [SAMPLE MEMBER'S NAME] acerca de un estudio sobre la atención médica.

- 1 YES, SAMPLE PATIENT IS AVAILABLE AND ON PHONE NOW → [GO TO INTRO 4]
- 2 NO, NOT AVAILABLE RIGHT NOW → [SET CALLBACK]
- 3 NO [REFUSAL] → [GO TO Q\_REF SCREEN]
- 4 MENTALLY/PHYSICALLY INCAPABLE → [GO TO Q\_REF AND CODE AS MENTALLY/PHYSICALLY INCAPABLE]

- INTRO 4      Buenos días/Buenas tardes/Buenas noches. Mi nombre es [INTERVIEWER NAME] y estoy llamando de [VENDOR]. Estoy llamando para continuar la encuesta que comenzamos en una llamada anterior, sobre la atención de hemodiálisis que recibe en [ICH FACILITY NAME]. Me gustaría continuar con esa encuesta en este momento.
- 1    CONTINUE WITH INTERVIEW AT FIRST UNANSWERED QUESTION
  - 2    NO, NOT RIGHT NOW → [SET CALLBACK]
  - 3    NO [REFUSAL] → [GO TO Q\_REF SCREEN]
- Q1.            ¿En dónde le hacen los tratamientos de diálisis? ¿Diría usted que...
- 1    En la casa o en un asilo de ancianos con servicios de enfermería especializada en donde vivo, o → [GO TO Q45\_INTRO2]
  - 2    En un centro de diálisis?
  - 3    ACTUALMENTE NO RECIBO DIÁLISIS → [GO TO Q45\_INTRO2]
- M    MISSING/DK → [GO TO Q45\_INTRO2]
- Q2.            ¿Cuánto tiempo ha estado recibiendo tratamiento de diálisis en [SAMPLE FACILITY NAME]? ¿Diría usted que...
- 1    Menos de 3 meses, → [GO TO Q45\_INTRO2]
  - 2    Al menos 3 meses pero menos de 1 año,
  - 3    Al menos 1 año pero menos de 5 años, o
  - 4    5 años o más?
  - 5    ACTUALMENTE NO RECIBO DIÁLISIS EN ESTE CENTRO DE DIÁLISIS → [GO TO Q45\_INTRO2]?
- M    MISSING/DK → [GO TO Q45\_INTRO2]
- Q3\_INTRO    Los doctores de los riñones son el doctor o los doctores que están más involucrados en su cuidado de diálisis actual. Esto incluye a doctores de los riñones dentro y fuera del centro de diálisis.
- Q3.            En los últimos 3 meses, ¿con qué frecuencia le escuchaban con atención sus doctores de los riñones? ¿Diría usted que...
- 1    Nunca,
  - 2    A veces,
  - 3    La mayoría de las veces, o
  - 4    Siempre?
- M    MISSING/DK

- Q4. En los últimos 3 meses, ¿con qué frecuencia sus doctores de los riñones le explicaban las cosas en una forma fácil de entender? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q5. En los últimos 3 meses, ¿con qué frecuencia sus doctores de los riñones mostraban respeto por lo que usted decía? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q6. En los últimos 3 meses, ¿con qué frecuencia pasaron suficiente tiempo con usted sus doctores de los riñones? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q7. En los últimos 3 meses, ¿con qué frecuencia sintió que sus doctores de los riñones realmente le apreciaban a usted como persona? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK

- Q8. Usando cualquier número del 0 al 10, donde 0 es los peores doctores de los riñones posibles y 10 es los mejores doctores de los riñones posibles, ¿qué número usaría para calificar a los doctores de los riñones que tiene ahora?

REPEAT QUESTION IF NECESSARY

- 00 0 Los peores doctores de los riñones posibles
- 01 1
- 02 2
- 03 3
- 04 4
- 05 5
- 06 6
- 07 7
- 08 8
- 09 9
- 10 10 Los mejores doctores de los riñones posibles

M MISSING/DK

- Q9. ¿Sus doctores de los riñones parecen estar informados y al tanto de la atención médica que usted recibe de otros doctores?

- 1 SÍ
- 2 NO

M MISSING/DK

- Q10\_INTRO Para las siguientes preguntas, el personal del centro de diálisis **no** incluye a los doctores. El personal del centro de diálisis se refiere a las enfermeras, técnicos, nutricionistas y trabajadores sociales en este centro de diálisis.

- Q10. En los últimos 3 meses, ¿con qué frecuencia le escuchaba con atención el personal del centro de diálisis? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q11. En los últimos 3 meses, ¿con qué frecuencia le explicaba las cosas a usted el personal del centro de diálisis en una forma fácil de entender? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q12. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis mostró respeto por lo que usted decía? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q13. En los últimos 3 meses, ¿con qué frecuencia pasó suficiente tiempo con usted el personal del centro de diálisis? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q14. En los últimos 3 meses, ¿con qué frecuencia sintió que el personal del centro de diálisis realmente le apreciaba a usted como persona? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q15. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le hizo sentirse lo más cómodo(a) posible durante la diálisis? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q16. En los últimos 3 meses, ¿el personal del centro de diálisis mantuvo la información sobre usted y sobre su salud de la manera más privada posible para que otros pacientes no la pudieran ver o escuchar? ¿Diría usted que...

- 1 Si, o
- 2 No?

M MISSING/DK

Q17. En los últimos 3 meses, ¿se sintió lo suficientemente cómodo(a) como para preguntarle al personal del centro de diálisis todo lo que quería saber acerca del tratamiento de diálisis?

- 1 SÍ
- 2 NO

M MISSING/DK

Q18. En los últimos 3 meses, ¿alguien del personal del centro de diálisis le preguntó cómo su enfermedad de los riñones afecta otros aspectos de su vida?

- 1 SÍ
- 2 NO

M MISSING/DK

Q19. El personal del centro de diálisis puede conectarle a la máquina de diálisis a través de un injerto, una fístula o un catéter o sonda. ¿Sabe como cuidar su injerto, fístula o catéter o sonda?

- 1 SÍ
- 2 NO

M MISSING/DK



- Q20. En los últimos 3 meses, ¿qué fue lo que usaron con más frecuencia para conectarle a la máquina de diálisis? ¿Diría usted que...
- 1 Un injerto o “graft”,
  - 2 Una fístula, o
  - 3 Un catéter o sonda? → [GO TO Q22]
  - 4 DON'T KNOW → [GO TO Q22]
- M MISSING → [GO TO Q22]
- Q21. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le insertó las agujas de manera que le causara el menor dolor posible? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces,
  - 4 Siempre, o
  - 5 Usted se coloca sus propias agujas?
- M MISSING/DK
- Q22. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le chequeó tan de cerca como usted quería mientras estaba en la máquina de diálisis? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q23. En los últimos 3 meses, ¿ocurrió algún problema durante su diálisis?
- 1 SÍ
  - 2 NO → [GO TO Q25]
- M MISSING/DK → [GO TO Q25]

- Q24. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis pudo manejar los problemas que se presentaron durante su diálisis? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q25. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis se comportó de manera profesional? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK
- Q26\_INTRO Recuerde que para estas preguntas, el personal del centro de diálisis **no** incluye a los doctores. El personal del centro de diálisis se refiere a las enfermeras, técnicos, nutricionistas y trabajadores sociales en este centro de diálisis.
- Q26. En los últimos 3 meses, ¿el personal del centro de diálisis habló con usted acerca de lo que debería comer y beber?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q27. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis le explicó los resultados de las pruebas de sangre de una manera fácil de entender? ¿Diría usted que...
- 1 Nunca,
  - 2 A veces,
  - 3 La mayoría de las veces, o
  - 4 Siempre?
- M MISSING/DK

- Q28. Como paciente, usted tiene ciertos derechos. Por ejemplo, usted tiene derecho a ser tratado con respeto y tiene derecho a tener privacidad. ¿Alguna vez le dieron en este centro de diálisis información por escrito acerca de sus derechos como paciente?
- 1 SÍ  
2 NO
- M MISSING/DK
- Q29. ¿Alguna vez el personal de este centro de diálisis repasó con usted sus derechos como paciente?
- 1 SÍ  
2 NO
- M MISSING/DK
- Q30. ¿Alguna vez el personal del centro de diálisis le dijo qué debe hacer si tiene un problema de salud cuando está en casa?
- 1 SÍ  
2 NO
- M MISSING/DK
- Q31. ¿Alguna vez un miembro del centro de diálisis le dijo cómo desconectarse de la máquina si hay una emergencia en el centro?
- 1 SÍ  
2 NO
- M MISSING/DK

- Q32. Usando cualquier número del 0 al 10, donde 0 es el peor personal del centro de diálisis posible y 10 es el mejor personal del centro de diálisis posible, ¿qué número usaría para calificar al personal de su centro de diálisis?

REPEAT QUESTION IF NECESSARY

- 00 0 El peor personal posible del centro de diálisis
- 01 1
- 02 2
- 03 3
- 04 4
- 05 5
- 06 6
- 07 7
- 08 8
- 09 9
- 10 10 El mejor personal posible del centro de diálisis

M MISSING/DK

- Q33. En los últimos 3 meses, cuando usted llegó a tiempo, ¿con qué frecuencia le conectaron a la máquina de diálisis a los 15 minutos o antes de su cita o turno? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

- Q34. En los últimos 3 meses, ¿con qué frecuencia estaba el centro de diálisis tan limpio como podía estarlo? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q35. Usando cualquier número del 0 al 10, donde 0 es el peor centro de diálisis posible y 10 es el mejor centro de diálisis posible, ¿qué número usaría para calificar a este centro de diálisis?

REPEAT QUESTION IF NECESSARY

- 00 0 El peor centro de diálisis posible
- 01 1
- 02 2
- 03 3
- 04 4
- 05 5
- 06 6
- 07 7
- 08 8
- 09 9
- 10 10 El mejor centro de diálisis posible

M MISSING/DK

Q36\_INTRO Las siguientes preguntas son sobre el cuidado que recibió en los últimos 12 meses. Mientras responde estas preguntas, solo piense en sus experiencias en [SAMPLE FACILITY NAME], aunque no haya recibido cuidado todos los 12 meses.

Q36. La enfermedad de los riñones puede ser tratada con diálisis en un centro, un trasplante de riñón o con diálisis que se hace en casa. En los últimos 12 meses, ¿sus doctores de los riñones o el personal del centro de diálisis hablaron con usted tanto como lo deseaba sobre cuál era el tratamiento más adecuado para usted?

- 1 SÍ
- 2 NO

M MISSING/DK

Q37. ¿Es usted elegible para recibir un trasplante de riñón?

- 1 SÍ → [GO TO Q39]
- 2 NO
- 3 DON'T KNOW → [GO TO Q39]

M MISSING → [GO TO Q39]

- Q38. En los últimos 12 meses, ¿le ha explicado un doctor o el personal del centro de diálisis por qué usted no es elegible para un trasplante de riñón?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q39. La diálisis peritoneal es la que se hace a través del estómago y la mayoría de las veces se hace en casa. En los últimos 12 meses, ¿alguno de sus doctores de los riñones o alguien del personal del centro de diálisis le habló acerca de la diálisis peritoneal?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q40. En los últimos 12 meses, ¿estuvo usted tan involucrado(a) como quería en escoger el tratamiento para la enfermedad de los riñones más adecuado para usted?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q41. En los últimos 12 meses, ¿alguna vez estuvo descontento con la atención que recibió en el centro de diálisis o de sus doctores de los riñones?
- 1 SÍ
  - 2 NO → [GO TO Q45\_INTRO]
- M MISSING/DK → [GO TO Q45\_INTRO]
- Q42. En los últimos 12 meses, ¿alguna vez habló con alguien del personal del centro de diálisis sobre esto?
- 1 SÍ
  - 2 NO → [GO TO Q45\_INTRO]
- M MISSING/DK → [GO TO Q45\_INTRO]

Q43. En los últimos 12 meses, ¿con qué frecuencia estuvo satisfecho con la manera en la que trataron esos problemas? ¿Diría usted que...

- 1 Nunca,
- 2 A veces,
- 3 La mayoría de las veces, o
- 4 Siempre?

M MISSING/DK

Q44. Medicare y el estado donde vive tienen agencias especiales que verifican la calidad de atención médica en este centro de diálisis. En los últimos 12 meses, ¿presentó alguna queja a cualquiera de estas agencias?

- 1 SÍ
- 2 NO

M MISSING/DK

Q45\_INTRO Esta última serie de preguntas le pide información acerca de usted. Por favor, escuche todas las opciones de respuestas antes de contestar las siguientes preguntas. [GOTO Q45]

Q45\_INTRO2 Las siguientes preguntas son sobre usted y su salud. Esta información ayudará a los Centros de Servicios de Medicare y Medicaid (CMS) a comprender mejor cómo se encuentra usted.

Q45. En general, ¿cómo calificaría su estado de salud? ¿Diría usted que es...

- 1 Excelente,
- 2 Muy bueno,
- 3 Bueno,
- 4 Regular, o
- 5 Malo?

M MISSING/DK

Q46. En general, ¿cómo calificaría su estado de salud mental o emocional? ¿Diría usted que es...

- 1 Excelente,
- 2 Muy bueno,
- 3 Bueno,
- 4 Regular, o
- 5 Malo?

M MISSING/DK

Q47. ¿Está en tratamiento por tener la presión alta?

- 1 SÍ
- 2 NO

M MISSING/DK

Q48. ¿Está en tratamiento por tener diabetes o nivel alto de azúcar en la sangre?

- 1 SÍ
- 2 NO

M MISSING/DK

Q49. ¿Está en tratamiento por tener una enfermedad cardíaca o problemas del corazón?

- 1 SÍ
- 2 NO

M MISSING/DK

Q50. ¿Es usted sordo o tiene mucha dificultad para oír?

- 1 SÍ
- 2 NO

M MISSING/DK

Q51. ¿Es usted ciego o tiene mucha dificultad para ver, aunque use lentes/anteojos?

- 1 SÍ
- 2 NO

M MISSING/DK



- Q52. Debido a una condición física, mental o emocional, ¿tiene mucha dificultad para concentrarse, recordar o tomar decisiones?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q53. ¿Tiene mucha dificultad para caminar o subir escaleras?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q54. ¿Tiene dificultad para vestirse o bañarse?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q55. Debido a una condición física, mental o emocional, ¿tiene dificultad para hacer mandados por sí mismo(a), como ir al consultorio de un doctor o ir de compras?
- 1 SÍ
  - 2 NO
- M MISSING/DK
- Q56. ¿Cuál es el grado o nivel escolar más avanzado que ha completado? ¿Diría usted...
- 1 Sin educación formal,
  - 2 5° grado o menos,
  - 3 6°, 7° u 8° grado,
  - 4 Algo de preparatoria o 'high school' pero sin graduarse,
  - 5 Graduado de la escuela preparatoria o 'high school' o GED,
  - 6 Algunos cursos universitarios o un título universitario de un programa de 2 años,
  - 7 Título universitario de 4 años, o
  - 8 Título universitario de más de 4 años?
- M MISSING/DK

Q57. ¿Qué idioma habla usted principalmente en el hogar? ¿Diría usted que...

- 1 Inglés,
- 2 Español,
- 3 Chino,
- 4 Samoano,
- 5 Ruso,
- 6 Vietnamita,
- 7 Portugués, o
- 8 Algún otro idioma? (por favor, especifique) ➔ [GO TO Q57a]

M MISSING/DK

Q57a. ¿Cuál es ese idioma? (ENTER RESPONSE BELOW).

{ ALLOW UP TO 50 CHARACTERS }

M MISSING/DK

Q58. ¿Es usted de origen o ascendencia hispana, latina o española?

- 1 SÍ
- 2 NO ➔ [GO TO Q59]

M MISSING/DK ➔ [GO TO Q59]

Q58a. ¿Diría que usted es...?

- 1 Puertorriqueño(a),
- 2 Mexicano(a), mexicano(a) americano(a), chicano(a),
- 3 Cubano(a), o
- 4 Otro hispano(a), latino(a) o español(a)?

M MISSING/DK

Q59. ¿Cuál es su raza? Puede seleccionar una o más de las siguientes. ¿Diría usted que...

- 1 Blanca,
- 2 Negra o africana americana,
- 3 India americana o nativa de Alaska,
- 4 Asiática, o
- 5 Nativa de Hawái o de otra isla del Pacífico?
- 6 NONE OF THE ABOVE

M MISSING/DK

PROGRAMMER INSTRUCTIONS: IF WHITE ONLY, BLACK/AFRICAN AMERICAN ONLY, OR AMERICAN INDIAN/ALASKA NATIVE ONLY, OR ANY COMBINATION OF THESE THREE OPTIONS, NONE OF THE ABOVE, OR MISSING/DK, GO TO Q\_END.

IF ASIAN ONLY, GO TO Q59A. IF WHITE, BLACK/AFRICAN AMERICAN, AND/OR AMERICAN INDIAN/ALASKA NATIVE AND ASIAN ARE CHOSEN, GO TO Q59A. IF NATIVE HAWAIIAN/PACIFIC ISLANDER IS ALSO CHOSEN, SEE INSTRUCTION AFTER Q59A.

IF NATIVE HAWAIIAN/PACIFIC ISLANDER ONLY, GO TO 59B. IF WHITE, BLACK/AFRICAN AMERICAN, AND/OR AMERICAN INDIAN/ALASKA NATIVE AND NATIVE HAWAIIAN/PACIFIC ISLANDER ARE CHOSEN, GO TO Q59B.

Q59a. ¿Cuál de los siguientes grupos lo(a) describe mejor? Puede seleccionar una o más de las siguientes. ¿Diría usted que...

- 1 Indio(a) asiático(a),
- 2 Chino(a),
- 3 Filipino(a),
- 4 Japonés(a),
- 5 Coreano(a),
- 6 Vietnamita, o
- 7 De otro grupo asiático?
- 8 NONE OF THE ABOVE

M MISSING/DK

IF NATIVE HAWAIIAN/PACIFIC ISLANDER WAS ALSO CHOSEN IN Q59, GO TO Q59B. ELSE, GO TO Q\_END.

Q59b. ¿Cuál de los siguientes grupos lo(a) describe mejor? Puede seleccionar una o más de las siguientes. ¿Diría usted que...

- 1 Nativo(a) de Hawái,
- 2 Guameño(a) o Chamorro(a),
- 3 Samoano(a), o
- 4 De otra isla del Pacífico?
- 5 NONE OF THE ABOVE

M MISSING/DK

Q\_END Estas son todas las preguntas que tengo para usted. Por favor, tenga en cuenta que para ayudarnos a entender la manera en que cambian las experiencias de los pacientes de hemodiálisis con el tiempo, puede que nos volvamos a comunicar con usted en el futuro para pedirle comentarios adicionales acerca de su atención de diálisis. Gracias por su tiempo. Espero que pase (un buen día/una buena tarde/una buena noche).

REFUSAL SCREEN:

Q\_REF Gracias por su tiempo. Espero que pase (un buen día/una buena tarde/una buena noche).

**APPENDIX E:**

**TRADITIONAL CHINESE: MAIL SURVEY COVER LETTERS,**  
**SURVEY QUESTIONNAIRE**

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## Traditional Chinese Cover Letter 1

## S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

## 來自美國聯邦醫療保險 (MEDICARE) 的重要資訊

尊敬的[LAST NAME]:

这是一份来自于美国联邦医疗保险和医疗补助服务中心 (Centers for Medicare & Medicaid Services, 也称为 CMS) 的关于透析病人的重要调查, CMS 也就是提供医疗保险的政府部門。請您花幾分鐘讀一下, 然後完成這份調查問卷, 問卷與您在 [FACILITY NAME] 得到的護理有關。完成後, 請把問卷放在已付郵資的信封中寄回來。

## 如何處理調查結果?

Medicare 保险机构将会在透析设施比较, 即 *Dialysis Facility Compare* 网站上分享调查结果:  
[www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare)。此网站上將能幫助透析病人及家庭找到并比较 Medicare 保险机构认证的透析设施。

您所有的回答都將受到隱私法的保護, 任何人都不会通過您的回答而知道您的名字。您可以參與此調查, 也可以不參與, 都不會影響到您的任何醫療福利。

## 如何填寫問卷?

請不要叫[FACILITY NAME]裏的人員幫您選擇答案, 對您的透析治療, 您應當真實反映自己的意見。

- 如果您**僅在透析中心接受透析治療**, 第 1 題請選擇“透析中心”, 然後請到第 2 題, 並回答問卷中所有適合您的問題。
- 如果您接受**任何居家透析或腹膜透析治療, 或者您僅在您住的專業養老院接受透析治療**, 第 1 題請選擇“在家或住在專業養老院”選項, 然後請轉到第 45 題。
- 如果您目前**不再接受透析治療**, 第 1 題請選擇第三個選項, 然後請轉到第 45 題。

## 有疑問嗎?

關於這份調查, 如果您有任何疑問, 或者希望收到西班牙語版本的問卷, 請致電調查管理員[VENDOR NAME], 他們的電話是[VENDOR PHONE NUMBER]。

提前感謝您參與這項重要的問卷調查!

誠摯敬意,

[NAME]

[TITLE]

[PRINT SID HERE]

## Traditional Chinese Cover Letter 2

# SAMPLE

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

### 來自美國聯邦醫療保險 (MEDICARE) 的重要資訊

尊敬的 [LAST NAME]:

這是一份來自於美國聯邦醫療保險和醫療補助服務中心 (Centers for Medicare & Medicaid Services, 也稱為 CMS) 的關於透析病人的重要調查, 問卷與您在[FACILITY NAME]得到的護理有關。

我們最近給您寄過一份同樣的問卷, 但還沒有收到您的回復。通過此問卷瞭解您的經歷非常重要。請花幾分鐘填寫, 並將問卷放在已付郵資的信封中寄回來。如果您已經寄回, 非常感謝。

### 如何處理調查結果?

Medicare 保險機構將會在這個透析設施比較, 即 *Dialysis Facility Compare* 網站上公佈調查結果:  
[www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare)。此網站上的資訊將幫助透析病人及家庭找到並比較 Medicare 保險機構認證的透析設施。

您所有的回答都將受到隱私法的保護, 任何人都不会通過您的回答而知道您的名字。您可以參與此調查, 也可以不參與, 都不會影響到您的任何醫療福利。

### 如何填寫問卷?

請不要叫[FACILITY NAME]裏的人員幫您選擇答案, 對您的透析治療, 您應當真實反映自己的意見。

- 如果您僅在透析中心接受透析治療, 第 1 題請選擇“透析中心”選項, 然後請到第 2 題, 並回答問卷中所有需要回答的問題。
- 如果您接受任何居家透析或腹膜透析治療, 或者您僅在您住的專業養老院接受透析治療, 第 1 題請選擇“在家或住在專業養老院”選項, 然後請轉到第 45 題。
- 如果您目前不再接受透析治療, 第 1 題請選擇第三個選項, 然後請轉到第 45 題。

### 有疑問嗎?

關於這份調查, 如果您有任何疑問, 或者希望收到西班牙語版本的問卷, 請致電調查管理員[VENDOR NAME], 他們的電話是[VENDOR PHONE NUMBER]。

提前感謝您參與這項重要的問卷調查!

誠摯敬意,

[NAME]

[TITLE]

[PRINT SID HERE]



OMB #: 0938-0926  
Expiration Date: December 31, 2022

# 聯邦醫療保險 (Medicare) 透析 中心 血液透析調查問卷

依據 1995 年《減少文書作業法》之規定，除非資訊收集表上標有有效的美國預算管理局 (OMB) 控制編號，否則任何人都不是必須提交表中要求的資訊。本資訊收集表的有效 OMB 控制編號為 0938-0926。估計完成本表所需的平均時間為每份 16 分鐘，這包括閱讀說明、搜尋現有資料來源、收集所需資料、完成和審閱資訊收集表所需的時間。若您對於該預估時間的準確性有任何意見，或有改善此表格的建議，請寫信至: CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Mail Stop C1-25-05, Baltimore, Maryland 21244-1850

## 調查問卷說明

此問卷中的問題和您在 **[SAMPLE FACILITY NAME]** 接受透析治療的經歷有關。

對於每個問題，請在問題左側的方塊勾選您的答案。

調查問卷有時會提示您跳過其中某些問題。需要跳過問題時，您將會看到一個箭頭，提示接下來要回答哪個問題，如下所示：

<sup>1</sup> ☐ 是

<sup>2</sup> ☒ 否 → 如果選擇「否」，請轉到第 25 題

February 2020

1. 您在哪裡接受透析治療？

- 1 ☐ 在家或住在專業養老院 → 如果在家或住在專業養老院，請轉到第 45 題
- 2 ☐ 透析中心
- 3 ☐ 我目前沒有接受治療 → 如果目前沒有接受治療，請轉到第 45 題

2. 您在[SAMPLE FACILITY NAME]接受透析治療已有多長時間？

- 1 ☐ 少於 3 個月 → 如果少於 3 個月，請轉到第 45 題
- 2 ☐ 至少 3 個月但少於 1 年
- 3 ☐ 至少 1 年但少於 5 年
- 4 ☐ 5 年或以上
- 5 ☐ 我目前不在此透析中心接受治療 → 如果目前不在此中心接受治療，請轉到第 45 題

您的腎臟醫師

您的腎臟醫師是指目前最常參與您透析治療活動的一名或多名醫師。這可能包括透析中心內部及外部的腎臟醫師。

3. 過去 3 個月內，您的腎臟醫師多經常會認真聽您說話？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

4. 過去 3 個月內，您的腎臟醫師多經常會採用容易理解的方式向您解釋事情？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

5. 過去 3 個月內，您的腎臟醫師多經常會對您說的話表示尊重？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

6. 過去 3 個月內，您的腎臟醫師多經常會在您身上花足夠的時間？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

7. 過去 3 個月內，您多經常會感到您的腎臟醫師真正關心您？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

8. 如果以數字 0 至 10 來評價您的腎臟醫師，0 代表最差，10 代表最好，您會用哪個數字來評價目前的腎臟醫師？

0 ☐ 0 最差的腎臟醫師  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 最好的腎臟醫師

9. 您的腎臟醫師是否瞭解您從其他醫師處接受的醫療護理並及時掌握最新情況？

1 ☐ 是  
2 ☐ 否

透析中心工作人員

對於接下來的問題，所提到的透析中心工作人員不包括醫師。透析中心工作人員是指這家透析中心的護士，技術人員，營養師和社工。

10. 過去 3 個月內，透析中心工作人員多經常會認真聽您說話？

1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

11. 過去 3 個月內，透析中心工作人員多經常會採用容易理解的方式向您解釋事情？

1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

12. 過去 3 個月內，透析中心工作人員多經常會對您說的話表示尊重？

1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

13. 過去 3 個月內，透析中心工作人員多經常會在您身上花足夠的時間？

1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

14. 過去 3 個月內，您多經常會感到透析中心工作人員真正關心您？

1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

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15. 過去 3 個月內，透析中心工作人員多經常會讓您在透析過程中儘量感到舒適？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

16. 過去 3 個月內，透析中心工作人員是否儘量將與您及您的健康相關的資訊視為隱私，不向其他患者透露？

- 1 ☐ 是  
2 ☐ 否

17. 過去 3 個月內，對於您在透析治療方面想知道的一切事情，您是否都能輕鬆自在地請教透析中心工作人員？

- 1 ☐ 是  
2 ☐ 否

18. 過去 3 個月內，是否有任何透析中心工作人員向您詢問您的腎臟疾病對您生活的其他方面有何影響？

- 1 ☐ 是  
2 ☐ 否

19. 透析中心工作人員會使用人工血管、瘻管或導管將您連接到透析機。您是否知道如何保管照料您的人工血管，瘻管或導管？

- 1 ☐ 是  
2 ☐ 否

20. 過去 3 個月內，工作人員最常使用哪一種方式來將您連接到透析機？

- 1 ☐ 人工血管  
2 ☐ 瘻管  
3 ☐ 導管 → 如果選擇「導管」，請轉到問題 22  
4 ☐ 不知道 → 如果選擇「不知道」，請轉到問題 22

21. 過去 3 個月內，透析中心工作人員多經常會在插入針頭時儘量讓您減少疼痛？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會  
5 ☐ 我自己插入針頭

22. 過去 3 個月內，透析中心工作人員多經常會在您透析時應您的要求對您進行密切查看？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

23. 過去 3 個月內，在您透析期間是否出現任何問題？

- 1 ☐ 是  
2 ☐ 否 → 如果選擇「否」，請轉到問題 25

24. 過去 3 個月內，透析中心工作人員多經常能夠應對在您透析期間出現的問題？

- 1 ☐ 從來不能
- 2 ☐ 有時候能
- 3 ☐ 經常能
- 4 ☐ 一直都能

25. 過去 3 個月內，透析中心工作人員多經常會表現出專業素質？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

請記住，對於這些問題，所提到的透析中心工作人員不包括醫師。透析中心工作人員是指這家透析中心的護士，技術人員，營養師和社工。

26. 過去 3 個月內，透析中心工作人員是否與您談論您應選擇的飲食？

- 1 ☐ 是
- 2 ☐ 否

27. 過去 3 個月內，透析中心工作人員多經常會採用容易理解的方式向您解釋驗血結果？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

28. 作為患者，您具有某些權利。例如，您具有受尊重的權利和隱私權。這家透析中心是否曾為您提供有關患者權利的書面資訊？

- 1 ☐ 是
- 2 ☐ 否

29. 透析中心工作人員是否曾與您回顧討論過您作為患者的權利？

- 1 ☐ 是
- 2 ☐ 否

30. 透析中心工作人員是否告訴過您，如果您在家中出現健康問題該怎么做？

- 1 ☐ 是
- 2 ☐ 否

31. 透析中心工作人員是否告訴過您，如果透析中心發生緊急情況，該如何脫離透析機？

- 1 ☐ 是
- 2 ☐ 否

32. 如果以數字 0 至 10 來評價透析中心工作人員，0 代表最差，10 代表最好，您會用哪個數字來評價透析中心工作人員？

0 ☐ 0 最差的透析中心工作人員  
 1 ☐ 1  
 2 ☐ 2  
 3 ☐ 3  
 4 ☐ 4  
 5 ☐ 5  
 6 ☐ 6  
 7 ☐ 7  
 8 ☐ 8  
 9 ☐ 9  
 10 ☐ 10 最好的透析中心工作人員

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透析中心

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33. 過去 3 個月內，在您準時到達的情況下，您多經常會在約診或輪換時間的 15 分鐘內上機進行透析治療？

1 ☐ 從來不會  
 2 ☐ 有時候會  
 3 ☐ 經常會  
 4 ☐ 一直都會

34. 過去 3 個月內，透析中心多經常會盡可能保持清潔？

1 ☐ 從來不會  
 2 ☐ 有時候會  
 3 ☐ 經常會  
 4 ☐ 一直都會

35. 如果以數字 0 至 10 來評價透析中心，0 代表最差，10 代表最好，您會用哪個數字來評價這家透析中心？

0 ☐ 0 最差的透析中心  
 1 ☐ 1  
 2 ☐ 2  
 3 ☐ 3  
 4 ☐ 4  
 5 ☐ 5  
 6 ☐ 6  
 7 ☐ 7  
 8 ☐ 8  
 9 ☐ 9  
 10 ☐ 10 最好的透析中心

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治療

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接下來的幾個問題將會詢問您在過去 12 個月內的治療情況。您回答這些問題時，請只考慮您在[SAMPLE FACILITY NAME]的治療情況，即使您過去 12 個月內不是一直在那裡接受治療，也沒有關係。

36. 您可以透過在中心透析，腎臟移植或在家透析來治療腎臟疾病。過去 12 個月內，您的腎臟醫師或透析中心工作人員是否應您要求，盡可能詳細地跟您討論哪一種治療適合您？

1 ☐ 是  
 2 ☐ 否

37. 您是否符合腎臟移植的條件？

1 ☐ 是 → 如果選擇「是」，請轉到問題 39  
 2 ☐ 否  
 3 ☐ 我不知道 → 如果選擇「不知道」，請轉到問題 39

38. 過去 12 個月內，是否有醫師或透析中心工作人員向您解釋為什麼您不符合腎臟移植的條件？

1 ☐ 是

2 ☐ 否

39. 腹膜透析是一種透過腹腔進行的透析，通常在家中進行。過去 12 個月內，您的腎臟醫師或透析中心工作人員是否跟您討論過腹膜透析？

1 ☐ 是

2 ☐ 否

40. 過去 12 個月內，您是否能夠按照您期望的程度參與選擇適合您腎病的治療？

1 ☐ 是

2 ☐ 否

41. 過去 12 個月內，您是否曾對從透析中心或您的腎臟醫師處接受的治療感到不滿？

1 ☐ 是

2 ☐ 否 → ，如果選擇「否」，請轉到問題 45

42. 過去 12 個月內，您是否跟透析中心工作人員談論過這個問題？

1 ☐ 是

2 ☐ 否 → ，如果選擇「否」，請轉到問題 45

43. 過去 12 個月內，您多經常會對他們解決問題的方法感到滿意？

1 ☐ 從來不會

2 ☐ 有時候會

3 ☐ 經常會

4 ☐ 一直都會

44. 聯邦醫療保險（Medicare）和您所在的州都設有專門機構，負責審查這家透析中心提供的治療品質。過去 12 個月內，您是否曾向任何此類機構投訴過？

1 ☐ 是

2 ☐ 否

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有關您本人的資訊

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45. 大體上，您如何評價您的總體健康狀況？

1 ☐ 極好

2 ☐ 非常好

3 ☐ 良好

4 ☐ 一般

5 ☐ 差

46. 大體上，您如何評價您的總體心理或情緒健康狀況？

1 ☐ 極好

2 ☐ 非常好

3 ☐ 良好

4 ☐ 一般

5 ☐ 差

47. 您是否正在接受高血壓治療？

1 ☐ 是

2 ☐ 否

48. 您是否正在接受糖尿病或高血糖治療？

1 ☐ 是

2 ☐ 否



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49. 您是否正在接受心臟病或心臟問題治療？

- 1 ☐ 是  
2 ☐ 否

50. 您是否失聰或有嚴重的聽力問題？

- 1 ☐ 是  
2 ☐ 否

51. 您是否失明或即使戴眼鏡也仍有嚴重的視力問題？

- 1 ☐ 是  
2 ☐ 否

52. 您是否因為生理、心理或情緒問題，而在注意力集中、記憶力或決策方面出現嚴重問題？

- 1 ☐ 是  
2 ☐ 否

53. 您在行走或爬樓梯時是否非常困難？

- 1 ☐ 是  
2 ☐ 否

54. 您穿衣或洗澡是否有困難？

- 1 ☐ 是  
2 ☐ 否

55. 您是否因為生理、心理或情緒問題，而難以獨自完成赴診或購物等事情？

- 1 ☐ 是  
2 ☐ 否

56. 您的最高教育程度是？

- 1 ☐ 沒有受過正規教育  
2 ☐ 5 年級或以下  
3 ☐ 6, 7 或 8 年級  
4 ☐ 上過中學，但沒畢業  
5 ☐ 中學畢業或同等學歷  
6 ☐ 上過大學，或 2 年制學位  
7 ☐ 4 年制大學畢業  
8 ☐ 4 年制大學學歷以上

57. 您在家主要講哪種語言？

- 1 ☐ 英文  
2 ☐ 西班牙語  
3 ☐ 中文  
4 ☐ 薩摩亞語  
5 ☐ 俄語  
6 ☐ 越南語  
7 ☐ 葡萄牙語  
8 ☐ 其他語言（請註明）：  
\_\_\_\_\_

58. 您是否是西班牙裔，拉美裔或拉丁裔？

- 1 ☐ 否，我不是西班牙裔，拉美裔或拉丁裔  
2 ☐ 是，我是波多黎各裔  
3 ☐ 是，我是墨西哥人，墨西哥裔美國人或奇卡諾人  
4 ☐ 是，我是古巴裔  
5 ☐ 是，我屬於其他西班牙裔，拉美裔或拉丁裔

59. 您的種族是什麼？（可選擇一個或多個。）

- 1 ☐ 白人
- 2 ☐ 黑人或非裔美國人
- 3 ☐ 美洲印第安人或阿拉斯加原住民
- 4 ☐ 亞裔印度人
- 5 ☐ 中國人
- 6 ☐ 菲律賓人
- 7 ☐ 日本人
- 8 ☐ 韓國人
- 9 ☐ 越南人
- 10 ☐ 其他亞洲人
- 11 ☐ 夏威夷原住民
- 12 ☐ 關島或查莫洛人
- 13 ☐ 薩摩亞人
- 14 ☐ 其他太平洋島民

60. 是否有人協助您填寫本調查問卷？

- 1 ☐ 是
- 2 ☐ 否 → 謝謝您。請使用已付郵資的信封寄回完成的調查問卷。

61. 誰協助您填寫本調查問卷？

- 1 ☐ 家人
  - 2 ☐ 朋友
  - 3 ☐ 透析中心的工作人員
  - 4 ☐ 其他人（請以正楷寫明）：
- 

62. 他/她如何協助您填寫？勾選所有適用項。

- 1 ☐ 為我讀出問題
  - 2 ☐ 寫下我提供的答案
  - 3 ☐ 替我回答問題
  - 4 ☐ 將問題翻譯成我的母語
  - 5 ☐ 其他方式的協助  
（請以正楷寫明）：
- 

謝謝您。請使用隨附的信封將本調查問卷寄回至：

VENDOR'S NAME  
STREET ADDRESS 1  
STREET ADDRESS 2  
CITY, STATE, ZIP

**APPENDIX F:**

**SIMPLIFIED CHINESE: MAIL SURVEY COVER LETTERS,**  
**SURVEY QUESTIONNAIRE**

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## Simplified Chinese Cover Letter 1

## S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

## 来自美国联邦医疗保险 (MEDICARE) 的重要信息

尊敬的[LAST NAME]:

这是一份来自于美国联邦医疗保险和医疗补助服务中心 (Centers for Medicare & Medicaid Services, 也称为 CMS) 的关于透析病人的重要调查, CMS 也就是提供医疗保险的政府部门。请您花几分钟读一下, 然后完成这份调查问卷, 问卷与您在[FACILITY NAME]得到的护理有关。完成后, 请把问卷放在已付邮资的信封中寄回来。

## 如何处理调查结果?

Medicare 保险机构将会在透析设施比较, 即 *Dialysis Facility Compare* 网站上分享调查结果: [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare)。此网站上将能帮助透析病人及家庭找到并比较 Medicare 保险机构认证的透析设施。

您所有的回答都将受到隐私法的保护, 任何人都不会通过您的回答而知道您的名字。您可以参与此调查, 也可以不参与, 都不会影响到您的任何医疗福利。

## 如何填写问卷?

请不要叫[FACILITY NAME]里的人员帮您选择答案, 对您的透析治疗, 您应当真实反映自己的意见。

- 如果您仅在透析中心接受透析治疗, 第 1 题请选择“透析中心”, 然后请到第 2 题, 并回答问卷中所有适合您的问题。
- 如果您接受任何居家透析或腹膜透析治疗, 或者您仅在您住的专业养老院接受透析治疗, 第 1 题请选择“在家或住在专业养老院”选项, 然后请转到第 45 题。
- 如果您目前不再接受透析治疗, 第 1 题请选择第三个选项, 然后请转到第 45 题。

## 有疑问吗?

关于这份调查, 如果您有任何疑问, 或者希望收到西班牙语版本的问卷, 请致电调查管理员[VENDOR NAME], 他们的电话是[VENDOR PHONE NUMBER]。

提前感谢您参与这项重要的问卷调查!

诚挚敬意,

[NAME]

[TITLE]

[PRINT SID HERE]

## Simplified Chinese Cover Letter 2

# S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

### 来自美国联邦医疗保险 (MEDICARE) 的重要信息

尊敬的[LAST NAME]:

这是一份来自于美国联邦医疗保险和医疗补助服务中心 (Centers for Medicare & Medicaid Services, 也称为 CMS) 的关于透析病人的重要调查, 问卷与您在[FACILITY NAME]得到的护理有关。

我们最近给您寄过一份同样的问卷, 但还没有收到您的回复。通过此问卷了解您的经历非常重要。请花几分钟填写, 并将问卷放在已付邮资的信封中寄回来。如果您已经寄回, 非常感谢。

### 如何处理调查结果?

Medicare 保险机构将会在这个 *透析设施比较*, 即 *Dialysis Facility Compare* 网站上公布调查结果: [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare)。此网站上的信息将帮助透析病人及家庭找到并比较 Medicare 保险机构认证的透析设施。

您所有的回答都将受到隐私法的保护, 任何人都不会通过您的回答而知道您的名字。您可以参与此调查, 也可以不参与, 都不会影响到您的任何医疗福利。

### 如何填写问卷?

请不要叫[FACILITY NAME]里的人员帮您选择答案, 对您的透析治疗, 您应当真实反映自己的意见。

- 如果您仅在透析中心接受透析治疗, 第 1 题请选择“透析中心”选项, 然后请到第 2 题, 并回答问卷中所有需要回答的问题。
- 如果您接受任何居家透析或腹膜透析治疗, 或者您仅在您住的专业养老院接受透析治疗, 第 1 题请选择“在家或住在专业养老院”选项, 然后请转到第 45 题。
- 如果您目前不再接受透析治疗, 第 1 题请选择第三个选项, 然后请转到第 45 题。

### 有疑问吗?

关于这份调查, 如果您有任何疑问, 或者希望收到西班牙语版本的问卷, 请致电调查管理员[VENDOR NAME], 他们的电话是[VENDOR PHONE NUMBER]。

提前感谢您参与这项重要的问卷调查!

诚挚敬意,

[NAME]

[TITLE]

[PRINT SID HERE]

OMB #: 0938-0926  
Expiration Date: December 31, 2022

# 联邦医疗保险 (Medicare) 透析中心血液透析调查问卷

依据 1995 年《减少文书作业法》之规定，除非信息收集表上标有有效的美国预算管理局 (OMB) 控制编号，否则任何人都不是必须提交表中要求的信息。本信息收集表的有效 OMB 控制编号为 0938-0926。估计完成本表所需的平均时间为每份 16 分钟，这包括阅读说明、搜寻现有数据源、收集所需数据、完成和审阅信息收集表所需的时间。若您对于该预估时间的准确性有任何意见，或有改善此表格的建议，请写信至：CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Mail Stop C1-25-05, Baltimore, Maryland 21244-1850

## 调查问卷说明

此问卷中的问题和您在[SAMPLE FACILITY NAME]接受透析治疗的经历有关。

对于每个问题，请在问题左侧的方块勾选您的答案。

调查问卷有时会提示您跳过其中某些问题。需要跳过问题时，您将会看到一个箭头，提示接下来要回答哪个问题，如下所示：

<sup>1</sup> ☐ 是

<sup>2</sup> ☒ 否 → 如果选择「否」，请转到第 25 题



## 1. 您在哪里接受透析治疗？

- 1 ☐ 在家或住在专业养老院 → 如果在家或住在专业养老院，请转到第 45 题
- 2 ☐ 透析中心
- 3 ☐ 我目前没有接受治疗 → 如果目前没有接受治疗，请转到第 45 题

## 2. 您在[SAMPLE FACILITY NAME]接受透析治疗已有多长时间？

- 1 ☐ 少于 3 个月 → 如果少于 3 个月，请转到第 45 题
- 2 ☐ 至少 3 个月但少于 1 年
- 3 ☐ 至少 1 年但少于 5 年
- 4 ☐ 5 年或以上
- 5 ☐ 我目前不在此透析中心接受治疗 → 如果目前不在此中心接受治疗，请转到第 45 题

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 您的肾脏医师

您的肾脏医师是指目前最常参与您透析治疗活动的一名或多名医师。这可能包括透析中心内部及外部的肾脏医师。

## 3. 过去 3 个月内，您的肾脏医师多经常会认真听您说话？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

## 4. 过去 3 个月内，您的肾脏医师多经常会采用容易理解的方式向您解释事情？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

## 5. 过去 3 个月内，您的肾脏医师多经常会对您说的话表示尊重？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

## 6. 过去 3 个月内，您的肾脏医师多经常会在您身上花足够的时间？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

## 7. 过去 3 个月内，您多经常会感到您的肾脏医师真正关心您？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

8. 如果以数字 0 至 10 来评价您的肾脏医师, 0 代表最差, 10 代表最好, 您会用哪个数字来评价目前的肾脏医师?

0 ☐ 0 最差的肾脏医师  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 最好的肾脏医师

9. 您的肾脏医师是否了解您从其他医师处接受的医疗护理并及时掌握最新情况?

1 ☐ 是  
2 ☐ 否

#### 透析中心工作人员

对于接下来的问题, 所提到的透析中心工作人员不包括医师。透析中心工作人员是指这家透析中心的护士, 技术人员, 营养师和社工。

10. 过去 3 个月内, 透析中心工作人员多经常认真听您说话?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

11. 过去 3 个月内, 透析中心工作人员多经常采用容易理解的方式向您解释事情?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

12. 过去 3 个月内, 透析中心工作人员多经常对您说的话表示尊重?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

13. 过去 3 个月内, 透析中心工作人员多经常会在您身上花足够的时间?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

14. 过去 3 个月内, 您多经常感到透析中心工作人员真正关心您?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

15. 过去 3 个月内, 透析中心工作人员多经常让您在透析过程中尽量感到舒适?

1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

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16. 过去 3 个月内, 透析中心工作人员是否**尽量**将与您及您的健康相关的信息视为隐私, 不向其他患者透露?

- 1 ☐ 是  
2 ☐ 否

17. 过去 3 个月内, 对于您在透析治疗方面想知道的一切事情, 您是否都能轻松自在地向透析中心工作人员请教?

- 1 ☐ 是  
2 ☐ 否

18. 过去 3 个月内, 是否有任何透析中心工作人员向您询问您的肾脏疾病对您生活的其他方面有何影响?

- 1 ☐ 是  
2 ☐ 否

19. 透析中心工作人员会使用人工血管、瘘管或导管将您连接到透析机。您是否知道**如何保管**您的人工血管, 瘘管或导管?

- 1 ☐ 是  
2 ☐ 否

20. 过去 3 个月内, 工作人员最常使用哪一种**方式**来将您连接到透析机?

- 1 ☐ 人工血管  
2 ☐ 瘘管  
3 ☐ 导管 → 如果选择「导管」, 请转到问题 22  
4 ☐ 不知道 → 如果选择「不知道」, 请转到问题 22

21. 过去 3 个月内, 透析中心工作人员多经常会在插入针头时尽量让您减少疼痛?

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会  
5 ☐ 我自己插入针头

22. 过去 3 个月内, 透析中心工作人员多经常会在您透析时应您的要求对您进行密切查看?

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

23. 过去 3 个月内, 在您透析期间是否出现任何问题?

- 1 ☐ 是  
2 ☐ 否 → 如果选择「否」, 请转到问题 25

24. 过去 3 个月内, 透析中心工作人员多经常能够应对在您透析期间出现的问题?

- 1 ☐ 从来不能  
2 ☐ 有时候能  
3 ☐ 经常能  
4 ☐ 一直都能

25. 过去 3 个月内, 透析中心工作人员多经常表现出专业素质?

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

请记住，对于这些问题，所提到的透析中心工作人员不包括医师。透析中心工作人员是指这家透析中心的护士，技术人员，营养师和社工。

26. 过去 3 个月内，透析中心工作人员是否与您谈论您应选择的饮食？

- 1 ☐ 是  
2 ☐ 否

27. 过去 3 个月内，透析中心工作人员多经常会采用容易理解的方式向您解释验血结果？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

28. 作为患者，您具有某些权利。例如，您具有受尊重的权利和隐私权。这家透析中心是否曾为您提供有关患者权利的书面信息？

- 1 ☐ 是  
2 ☐ 否

29. 透析中心工作人员是否曾与您回顾讨论过您作为患者的权利？

- 1 ☐ 是  
2 ☐ 否

30. 透析中心工作人员是否告诉过您，如果您在家中出现健康问题该怎么做？

- 1 ☐ 是  
2 ☐ 否

31. 透析中心工作人员是否告诉过您，如果透析中心发生紧急情况，该如何脱离透析机？

- 1 ☐ 是  
2 ☐ 否

32. 如果以数字 0 至 10 来评价透析中心工作人员，0 代表最差，10 代表最好，您会用哪个数字来评价透析中心工作人员？

- 0 ☐ 0 最差的透析中心工作人员  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 最好的透析中心工作人员

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透析中心

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33. 过去 3 个月内，在您准时到达的情况下，您多经常会在约诊或轮换时间的 15 分钟内上机进行透析治疗？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

34. 过去 3 个月内，透析中心多经常会  
尽可能保持清洁？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

35. 如果以数字 0 至 10 来评价透析中心，  
0 代表最差，10 代表最好，您会用  
哪个数字来评价这家透析中心？

- 0 ☐ 0 最差的透析中心  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 最好的透析中心

#### 治疗

接下来的几个问题将会询问您在过去  
12 个月内的治疗情况。您回答这些问题  
时，请只考虑您在 [SAMPLE FACILITY  
NAME] 的治疗情况，即使您过去 12 个  
月内不是一直在那里接受治疗，也没有  
关系。

36. 您可以透过在中心透析，肾脏移植  
或在家透析来治疗肾脏疾病。过去  
12 个月内，您的肾脏医师或透析中  
心工作人员是否应您要求，尽可能  
详细地跟您讨论哪一种治疗适合您？

- 1 ☐ 是  
2 ☐ 否

37. 您是否符合肾脏移植的条件？

- 1 ☐ 是 →，如果选择「是」，请  
转到问题 39  
2 ☐ 否  
3 ☐ 我不知道 → 如果选择「不知  
道」，请转到问题 39

38. 过去 12 个月内，是否有医师或透析  
中心工作人员向您解释为什么您不  
符合肾脏移植的条件？

- 1 ☐ 是  
2 ☐ 否

39. 腹膜透析是一种透过腹腔进行的透  
析，通常在家中进行。过去 12 个月  
内，您的肾脏医师或透析中心工作  
人员是否跟您讨论过腹膜透析？

- 1 ☐ 是  
2 ☐ 否

40. 过去 12 个月内，您是否能够按照您  
期望的程度参与选择适合您肾病的  
治疗？

- 1 ☐ 是  
2 ☐ 否

41. 过去 12 个月内，您是否曾对从透析  
中心或您的肾脏医师处接受的治疗  
感到不满？

- 1 ☐ 是  
2 ☐ 否 →，如果选择「否」，请  
转到问题 45

42. 过去 12 个月内，您是否跟透析中心工作人员谈论过这个问题？

- 1 ☐ 是  
2 ☐ 否 →，如果选择「否」，请转到问题 45

43. 过去 12 个月内，您多经常会对他们解决问题的方法感到满意？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

44. 联邦医疗保险 (Medicare) 和您所在的州都设有专门机构，负责审查这家透析中心提供的治疗质量。过去 12 个月内，您是否曾向任何此类机构投诉过？

- 1 ☐ 是  
2 ☐ 否

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有关您本人的信息

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45. 大体上，您如何评价您的总体健康状况？

- 1 ☐ 极好  
2 ☐ 非常好  
3 ☐ 良好  
4 ☐ 一般  
5 ☐ 差

46. 大体上，您如何评价您的总体心理或情绪健康状况？

- 1 ☐ 极好  
2 ☐ 非常好  
3 ☐ 良好  
4 ☐ 一般  
5 ☐ 差

47. 您是否正在接受高血压治疗？

- 1 ☐ 是  
2 ☐ 否

48. 您是否正在接受糖尿病或高血糖治疗？

- 1 ☐ 是  
2 ☐ 否

49. 您是否正在接受心脏病或心脏问题治疗？

- 1 ☐ 是  
2 ☐ 否

50. 您是否失聪或有严重的听力问题？

- 1 ☐ 是  
2 ☐ 否

51. 您是否失明或即使戴眼镜也仍有严重的视力问题？

- 1 ☐ 是  
2 ☐ 否

52. 您是否因为生理、心理或情绪问题，而在注意力集中、记忆力或决策方面出现严重问题？

- 1 ☐ 是  
2 ☐ 否

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53. 您在行走或爬楼梯时是否非常困难？

- 1 ☐ 是  
2 ☐ 否

54. 您穿衣或洗澡是否有困难？

- 1 ☐ 是  
2 ☐ 否

55. 您是否因为生理、心理或情绪问题，  
而难以独自完成赴诊或购物等事情？

- 1 ☐ 是  
2 ☐ 否

56. 您的最高教育程度是？

- 1 ☐ 没有受过正规教育  
2 ☐ 5 年级或以下  
3 ☐ 6, 7 或 8 年级  
4 ☐ 上过中学，但没毕业  
5 ☐ 中学毕业或同等学历  
6 ☐ 上过大学，或 2 年制学位  
7 ☐ 4 年制大学毕业  
8 ☐ 4 年制大学学历以上

57. 您在家主要讲哪种语言？

- 1 ☐ 英文  
2 ☐ 西班牙语  
3 ☐ 中文  
4 ☐ 萨摩亚语  
5 ☐ 俄语  
6 ☐ 越南语  
7 ☐ 葡萄牙语  
8 ☐ 其他语言（请注明）：  
\_\_\_\_\_

58. 您是否是西班牙裔，拉美裔或拉丁裔？

- 1 ☐ 否，我不是西班牙裔，拉美裔或拉丁裔  
2 ☐ 是，我是波多黎各裔  
3 ☐ 是，我是墨西哥人，墨西哥裔美国人或奇卡诺人  
4 ☐ 是，我是古巴裔  
5 ☐ 是，我属于其他西班牙裔，拉美裔或拉丁裔

59. 您的种族是什么？（可选择一个或多个。）

- 1 ☐ 白人  
2 ☐ 黑人或非裔美国人  
3 ☐ 美洲印第安人或阿拉斯加原住民  
4 ☐ 亚裔印度人  
5 ☐ 中国人  
6 ☐ 菲律宾人  
7 ☐ 日本人  
8 ☐ 韩国人  
9 ☐ 越南人  
10 ☐ 其他亚洲人  
11 ☐ 夏威夷原住民  
12 ☐ 关岛或查莫洛人  
13 ☐ 萨摩亚人  
14 ☐ 其他太平洋岛民

60. 是否有人协助您填写本调查问卷？

- 1 ☐ 是  
2 ☐ 否 → 谢谢您。请使用已付邮资的信封寄回完成的调查问卷。

61. 谁协助您填写本调查问卷？

- 1 ☐ 家人  
2 ☐ 朋友  
3 ☐ 透析中心的工作人员  
4 ☐ 其他人（请以正楷写明）：  
\_\_\_\_\_

62. 他/她如何协助您填写？ 勾选所有适用项。

- 1 ☐ 为我读出问题  
2 ☐ 写下我提供的答案  
3 ☐ 替我回答问题  
4 ☐ 将问题翻译成我的母语  
5 ☐ 其他方式的协助 (请以正楷写明):  
\_\_\_\_\_

谢谢您。请使用随附的信封将本调查问卷寄回至：

**VENDOR'S NAME**  
**STREET ADDRESS 1**  
**STREET ADDRESS 2**  
**CITY, STATE, ZIP**



## **APPENDIX G:**

### **SAMOAN: MAIL SURVEY COVER LETTERS, SURVEY QUESTIONNAIRE**

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## Samoan Cover Letter 1

S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

## FA'AALIGA TāUA MAI LE MEDICARE

Talofa [HONORIFIC.] [LAST NAME]:

O le su'ega nei mo tagata mama'i e faia a latou dialysis i le Ofisa Tautua Tu-totonu o le Medicare & Medicaid (Centers for Medicare & Medicaid Services, CMS). O le CMS o le ofisa e puleaina le Medicare. Fa'amolemole ia taga'i toto'a mo ni nai minute e faitauina ai lenei tusi. A mae'a ona faitauina le su'ega, ona soso'o lea ma le fa'atumuina le su'ega e uiga i le tausiga e te maua i le [FACILITY NAME]. A mae'a ona e fa'atumuina le su'ega, faamolemole ia toe lafo mai, i le teutusi ua uma ona saunia.

## O le a le mea e tupu i tali mai lenei su'ega?

O le a fa'aailoa i'uga o lenei su'ega i le uepesite o le *Dialysis Facility Compare* (*Faatusatusaga o Nofoga mo Dialysis*) i le [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare). O lenei uepesite e fesoasoani i tagata mama'i o le hemodialysis ma o latou aiga ina ia mafai ona latou fa'atusatusa nofoaga mo dialysis ua taliaina e le Medicare.

O au tali uma e puipuia i le Tulafono mo le Puipuiga. E leai se tasi e mafaia ona iloa lou suafa ma au tali. E mafai ona e filifili e fa'atumu le su'ega pe leai. O lau fa'ai'uga e le taofia ai penefiti o lo'o e mauaina mo le tausiga o lou soifua.

## Auala e fa'atumu ai le su'ega

'Aua le talosagaina se fesoasoani mai le [FACILITY NAME] e fa'atumu ai lenei su'ega. O au tali e tataua ona fa'aailoa mai ou lava manatu e uiga i le tausiga mo le dialysis o loo e mauaina.

- Afai o lo'o e maua le dialysis **NA O le nofoaga mo dialysis**, ia maka le pusa i le fesili 1 "I le nofoaga mo dialysis." Ona fa'agasolo i le fesili lona 2 ma tali fesili uma i le su'ega.
- Afai e te maua **SO O se tausiga mo le dialysis i le fale po o le dialysis e faia i le manava, pe e te mauaina le dialysis NA O ile nofoaga tausi tagata matua o loo e nofo iai**, pe makaina le "Ile fale po o le nofoaga mo le tausiga lea ou te nofo ai" pusa i le Fesili 1. Ona sikipi lea i le Fesili lona 45.
- Afai ua **le toe faia le dialysis**, maka le pusa lona 3 i le fesili 1. Ona sikipi lea i le Fesili lona 45.

## Fesili?

Mo fesili e uiga i lenei su'ega, pe e te manaomia se fesoasoani i le Fa'a Sipaniolo, faamolemole vili le [VENDOR NAME], ile [VENDOR PHONE NUMBER]. (*Si usted tiene preguntas acerca de esta encuesta o desea recibirla en español, por favor llame al administrador de encuestas al [VENDOR PHONE NUMBER].*)

Faafetai atu mo lou utagia mai aemaise le saunia o ni tali sa'o mo lenei su'ega taua!

Ma le ava e tataua ai,

[NAME]

[TITLE]

[PRINT SID HERE]

## Samoan Cover Letter 2

S A M P L E

[DATE]

[FIRST NAME] [LAST NAME]

[ADDRESS]

[CITY, STATE AND ZIP]

### FA'AALIGA TāUA MAI LE MEDICARE

Talofa [HONORIFIC.] [LAST NAME]:

E taua tele lenei su'ega e uiga i le tausiga o le dialysis o loo e mauaina i le [FACILITY NAME] mai le Ofisa Tautua Tu-totonu o le Medicare & Medicaid (Centers for Medicare & Medicaid Services, CMS).

**Sa matou lafoina atu muamua lenei su'ega ia te oe, ae e le'i toe maua mai se tali.** E taua ia i matou le iloa o le tulaga i lou suega. Fa'amolemole ia fa'atumuina lenei su'ega ma toe lafo mai, i le teutusi ua uma ona saunia. Afai ua uma ona lafo mai le su'ega, faafetai tele lava.

### O le a le mea e tupu mai i tali o lenei su'ega?

O le a fa'aailoa i'uga o lenei su'ega i le uesepite o le *Dialysis Facility Compare* (Fa'atusatusaga o Nofoga mo Dialysis) ile [www.medicare.gov/DialysisFacilityCompare](http://www.medicare.gov/DialysisFacilityCompare). O lenei uesepite e fesoasoani i tagata mama'i o le hemodialysis ma o latou aiga ina ia mafai ona latou fa'atusatusa nofoaga mo dialysis ua taliaina e le Medicare.

O au tali uma e puipuia i le Tulafono mo le Puipuiga. E leai se isi e mafai ona iloaina lou suafa ma au tali. E mafai ona e filifili e fa'atumu le su'ega, pe leai. O lau fa'aiuga e le taofia ai penefiti o lo'o e mauaina mo le tausiga o lou soifua.

### Auala e faatumu ai le su'ega

'Aua le talosagaina se fesoasoani mai le [FACILITY NAME] e fa'atumu ai lenei su'ega. O au tali e tataua ona fa'aailoa mai ai ou lava manatu e uiga i le tausiga mo le dialysis o loo e mauaina.

- Afai o lo'o e maua le dialysis **NA O le nofoaga mo dialysis**, ia maka le pusa i le fesili 1 "I le nofoaga mo dialysis." Ona fa'agasolo i le fesili lona 2 ma tali fesili uma i le su'ega.
- Afai e te maua **SO O se tausiga mo le dialysis i le fale po o le dialysis e faia i le manava, pe e te mauaina le dialysis NA O ile nofoaga tausi tagata matua o loo e nofo iai**, pe makaina le "Ile fale po o le nofoaga mo le tausiga lea ou te nofo ai" pusa i le Fesili 1. Ona sikipi lea i le Fesili lona 45.
- Afai ua le toe faia le dialysis, maka le pusa lona 3 i le fesili 1. Ona skipi lea i le Fesili lona 45.

### Fesili?

Mo fesili e uiga i lenei su'ega, pe e te manaomia se fesoasoani i le Fa'a Sipaniolo, faamolemole vili le [VENDOR NAME], ile [VENDOR PHONE NUMBER]. (*Si usted tiene preguntas acerca de esta encuesta o desea recibirla en español, por favor llame al administrador de encuestas al [VENDOR PHONE NUMBER].*)

Fa'afetai atu mo lou utagia mai aemaise le saunia o ni tali sa'o mo lenei su'ega taua!

Ma le ava e tataua ai,

[NAME]

[TITLE]

[PRINT SID HERE]

OMB #: 0938-0926  
Expiration Date: December 31, 2022

# **Suesuega Faamamatoto Ofisa Tutotonu a le Medicare**

E tusa ai ma le Tulafono 1995 Paper Reduction Act, e leai se tagata e faamalosia lona talia o ni faamatalaga o loo aoia, vagana o loo faaalia se numera aloaia o le OMB. O le numera aloaia OMB mo le aoia o nei faamatalagao le 0938-0926. O le taimi manaomia e faatumu ai le aoia o nei faamatalaga, e tusa ma le 16 minute i le tali, e aofia ai le taimi e faitau ai faatonuga, sue nisi faamatalaga mai punaoa, ao faamatalaga manaomia, ma fauma ma le iloiloga o faamatalaga o loo ao. A ia ni au faamatalaga e faatatau i le sa'o o le taimi fuafuaina poo ni fautuaga e faaleleia ai lenei pepa faatumu, faamolemole tusi mai: CMS, Attn (Mo): PRA Reports Clearance Officer, 7500 Security Boulevard, Mail Stop C1-25-05, Baltimore, Maryland 21244-1850.

## FAATONUGA O LE SUESUEGA

O lenei suesuega e faatatau i lou iloa masani o le tautua faamamatoto [FACILITY NAME].

Tali fesili taitasi i lou makaina o le pusa i le ituagavale o lau tali.

E iai taimi e tau atu ia te oe e sikipi nisi o fesili i totonu o lenei suesuega. A tupu lea mea, e te vaaia se au ma se ni upu e tau atu ai ia te oe le fesili e tatau ona tali, e pei o lea:

<sup>1</sup> ☐ Ioe

<sup>2</sup> ☒ Leai → **A Leai, Alu i le Fesili 25**

**1. O fea e maua mai ai au togafitiga mo le faamamatoto?**

- ☐ I lo'u fale po o se fale tausima'i o loo ou nofo i ai → **Afai o i le fale po o se fale tausima'i o loo ou nofo i ai, Alu i le Fesili 45**
- ☐ I le Fale tutotonu o le faamamatoto
- ☐ E le o faamama lo'u toto → **Afai e le o faamama lo'u toto i lenei taimi, Alu i le Fesili 45**

**2. O le a le umi o e faaaogaina le faamamatoto i le [FACILITY NAME]?**

- ☐ Lalo ifo o le 3 masina → **Afai e i lalo ifo o le 3 masina, Alu i le Fesili 45**
- ☐ Silia ma le 3 masina a'e i lalo ifo o le 1 tausaga
- ☐ Silia ma le 1 tausaga a'e i lalo ifo o le 5 tausaga
- ☐ 5 tausaga poo le sili atu
- ☐ Ou te le o mauaina se faamamatoto mai lenei falemai → **Afai ou te lē o faaaogaina lenei falemai, Alu i le Fesili 45**

---

**AU FOMAI FATUGA'O**

O au fomai fatuga'o o fomai poo fomai e aupito auai i le faatinoga o le tausiga o lau faamamatoto i le taimi nei. E aofia ai ma fomai fatuga'o e te vaai iai i totonu ma fafo atu o le Ofisa tutotonu.

**3. I le 3 masina talu ai, e faafia ona faalogologo lelei au fomai fatuga'o ia te oe?**

- ☐ To'e afe
- ☐ Nisi taimi
- ☐ Tele lava ina faalogo
- ☐ Taimi uma

**4. I le 3 masina ua talu ai, e faafia ona faamatala lelei atu e au fomai fatuga'o i se auala e faigofie ai ona e malamalama ni mea ia te oe?**

- ☐ To'e afe
- ☐ Nisi taimi
- ☐ Tele lava ina faalogo
- ☐ Taimi uma

**5. I le 3 masina talu ai, e faafia ona faaali atu ujga faaaloalo a au fomai fatuga'o i se mea o loo e talanoa mai ai?**

- ☐ To'e afe
- ☐ Nisi taimi
- ☐ Tele lava ina faalogo
- ☐ Taimi uma

**6. I le 3 masina talu ai, e faafia ona lava le taimi e auai ai au fomai fatuga'o ma oe?**

- ☐ To'e afe
- ☐ Nisi taimi
- ☐ Tele lava ina faalogo
- ☐ Taimi uma

7. I le 3 masina talu ai, e faafia ona e lagona e amanaia tele oe e au fomai fatuga'o?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

8. Faaogaina o fainumera mai le 0 i le 10, o le 0 e matua leaga fomai fatuga'o ma le 10 e matua lelei fomai fatuga'o, o le a le numera e te faatulaga ai au fomai fatuga'o o loo iai?

- 0 ☐ 0 Matua leaga nei fomai fatuga'o  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Matua lelei nei fomai fatuga'o

9. E atoatoa le silafia o au fomai fatuga'o e tusa ma le tautua tau soifua maloloina o loo e mauaina mai isi fomai?

- 1 ☐ Ioe  
2 ☐ Leai

## FAAMAMATOTO AUFALGALUEGA FALE

Mo fesili o loo sosoo mai, o le aufalgaluega a le Fale e le aofia ai ma fomai. Aufalgaluega a le Fale e aofia ai tausii soifua, tagata e faia masini, tagata fautua mo mea taumafa, faapea tagata fesoasoani mo le soifua lautele i le Fale Faamamatoto.

10. I le 3 masina talu ai, e faafia ona faalogo lelei atu le aufalgaluega a le Fale faamamatoto ia te oe?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

11. I le 3 masina talu ai, e faafia ona faamatala atu e le aufalgaluega a le Fale Faamamatoto ia te oe ni mea i se auala e faigofie ona e malamalama ai?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

12. I le 3 masina talu ai, e faafia ona faaali atu le faaaloalo a tagata faigaluega a le fale faamamatoto i le mea na e talanoa atu ai?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma



**13. I le 3 masina talu ai, e faafia ona lava le taimi e auai atu ai tagata faigaluega o le fale faamamatoto ia te oe?**

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

**14. I le 3 masina talu ai, e faafia ona e lagona le amanaia o oe e tagata faigaluega o le fale faamamatoto?**

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

**15. I le 3 masina talu ai, e faafia ona fai lelei oe le au faigaluega a le fale faamamatoto a o faamama lou toto?**

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

**16. I le 3 masina talu ai, na mafai e le au faigaluega ona malu puipuia faamatalaga o lou soifua maloloina mai isi tagata mamai?**

- 1 ☐ Ioe  
2 ☐ Leai

**17. I le 3 masina talu ai, na e lagona le to'a e fesili ai i le au faigaluega a le fale faamamatoto i soo se mea e te fiailoa e uiga i le tautua faamamatoto?**

- 1 ☐ Ioe  
2 ☐ Leai

**18. I le 3 masina talu ai, na iai se isi o le afaigaluega a le fale faamamatoto na fesili atu ia te oe pe o iai nisi aafiaga o lou soifua talu lou mai i fatuga'o?**

- 1 ☐ Ioe  
2 ☐ Leai

**19. E mafai e le afaigaluega a le fale faamamatoto ona fesoota'i atu oe i le masini e auala atu i le faagaau faapitoa e le o le graft, fistula, poo le catheter. E te iloa ona tausi au lava graft, fistula, poo le catheter?**

- 1 ☐ Ioe  
2 ☐ Leai

**20. I le 3 masina talu ai, o le a le auala na e faaogā soo e fesoota'i ai ma lau masini faamamatoto?**

- 1 ☐ Graft  
2 ☐ Fistula  
3 ☐ Catheter → Afai o le Catheter, Alu i le Fesili 22  
4 ☐ Ou te le iloa → Afai e le iloa, Alu i le Fesili 22

**21. I le 3 masina talu ai, e faafia ona tui e se tagata faigaluega a le fale faamamatoto au nila ma e itiiti le tigā?**

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma  
5 ☐ E fai e au lo'u tui

22. I le 3 masina talu ai, e faafia ona siaki oe i le mea e te manao ai a o faia lau masini faamamatoto, e se tagata faigaluega o le fale faamamatoto?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

23. I le 3 masina talu ai, na tutupu ni faalavelave a o faamama lou toto?

- 1 ☐ Ioe
- 2 ☐ Leai → Afai e Leai, Alu i le Fesili 25

24. I le 3 masina talu ai, e faafia ona mafai e le au faigaluega o le fale faamamatoto ona vaaia faafitauli a o faamama lou toto?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

25. I le 3 masina talu ai, e faafia ona taualoa amioga faaalua a le aufaigaluega a le fale faamamatoto?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

Faamolemole manatua e mo nei fesili, o le aufaigaluega a le fale faamamatoto e le aofia ai foma'i. Aufaigaluega a le Fale e aofia ai tausi soifua, tagata e faia masini, tagata fautua mo mea taumafa, faapea tagata fesoasoani mo le soifua lautele i le Fale Faamamatoto.

26. I le 3 masina talu ai, na talanoa atu le aufaigaluega o le fale faamamatoto ia te oe i taumafa ma vai mo oe?

- 1 ☐ Ioe
- 2 ☐ Leai

27. I le 3 masina talu ai, e faafia ona faamatala atu e le aufaigaluega o le fale faamamatoto le uiga o faaiuga o lou toto na sue, i le auala e faigofie ona e malamalama ai?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

28. E iai ou aiatatau o le tagata ma'i. Faataitaiga, e ia te oe le aiatatau e tausia ai oe i le tulaga faaaloalo ma le aiatatau i le puipui malu. Na avatu e le fale faamamatoto ni faamatalaga tusia o ou aiatatau faatagata ma'i?

- 1 ☐ Ioe
- 2 ☐ Leai

29. Na iloilo faatasi ma oe e se tagata faigaluega o le fale faamamatoto ou aiatatau tau tagata ma'i?

- 1 ☐ Ioe  
2 ☐ Leai

30. Na faailoa atu e se tagata faigaluega o le fale faamamatoto le mea e fai pe a tupu se faafitauli tau soifua maloloina i lou aiga?

- 1 ☐ Ioe  
2 ☐ Leai

31. Na faasino atu e se tagata faigaluega o le fale faamamatoto lou alu ese ma le masini pe tupu se faalavelave faafuase'i?

- 1 ☐ Ioe  
2 ☐ Leai

32. Faaaogaina o fainumera mai le 0 i le 10, o le 0 mo le matua leaga o le tagata faigaluega o le fale faamamatoto ma le 10 mo le matua lelei o le tagata faigaluega, o le a le numera e te faatulaga ai tagata faigaluega o le fale faamamatoto?

- 0 ☐ 0 Matua leaga tagata faigaluega o le fale faamamatoto  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Matua lelei tagata faigaluega o le fale faamamatoto

#### O LE FALE FAAMAMATOTOT

33. I le 3 masina talu ai, ina ua e taunuu i le taimi sa'o, e faafia ona tuu oe i le masini faamamatoto i totonu o le 15 minute o lau talavai poo le taimi o le sifi (shift)?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

34. I le 3 masina talu ai, e faafia ona  
mama e tatau ona iai le fale  
faamamatoto?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

35. Faaagaina o fainumera mai le 0  
i le 10, o le 0 o le matua leaga o  
le fale faamamatoto ma le 10 o le  
matua lelei o le fale  
faamamatoto, o le a le numera e  
te faatulaga ai le fale  
faamamatoto?

- 0 ☐ 0 Matua leaga fale  
faamamatoto  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Matua lelei fale  
faamamatoto

## TOGAFITIGA

O fesili e sosoo ai e fesiliga ai au  
togafitiga i le 12 masina ua tuanai. A  
o e talia nei fesili, mafaufau i lou lava  
iloa o le [FACILITY NAME] e tusa pe e  
le'i atoa ai ou togafitiga mai lea fale  
mo le 12 masina.

36. E mafai ona togafiti le faama'i o  
le fatuga'o i le faamama o le toto  
i le falemai, pe taoto mo se fatu  
ga'o poo le faamamatoto i le  
aiga. I le 12 masina talu ai, na  
talanoa atu fomai fatuga'o poo le  
aufaigaluega a le fale  
faamamatoto i mea uma e te  
fiaailoa tau le togafitia e fetauti mo  
oe?

- 1 ☐ Ioe  
2 ☐ Leai

37. E te agavaa mo se taotoga e suia  
ai fatuga'o (transplant)?

- 1 ☐ Ioe → Afai Ioe, Alu i le  
Fesili 39  
2 ☐ Leai  
3 ☐ Ou te le iloa → Afai e le iloa,  
Alu i le Fesili 39

38. I le 12 masina talu ai, na  
faamatala atu e se fomai poo se  
tagata faigaluega ale fale  
faamamatoto le mafuaga e te le  
agavaa ai i le taotoga o le  
fatuga'o (kidney transplant)?

- 1 ☐ Ioe  
2 ☐ Leai

39. Peritoneal o le faamamatoto e ala atu i le laualo ma e tele ina faia i le aiga. I le 12 masina talu ai, na talanoa atu ia te oe au fomai fatuga'o poo afaigaluega o le fale faamamatoto i le peritoneal?

- 1 ☐ Ioe  
2 ☐ Leai

40. I le 12 masina talu ai, na matua tele sou auai e pei ona e manao ai i le filifilia o se togafitiga mo le faamai o fatuga'o e fetau tonu ma oe?

- 1 ☐ Ioe  
2 ☐ Leai

41. I le 12 masina talu ai, na e lē fiafia i le tautua na tuu atu mo oe e le fale faamamatoto poo au fomai fatuga'o?

- 1 ☐ Ioe  
2 ☐ Leai → Afai Leai, Alu i le Fesili 45

42. I le 12 masina talu ai, na e talanoa i se isi o tagata faigaluega o le fale faamamatoto e uiga i lea tulaga?

- 1 ☐ Ioe  
2 ☐ Leai → Afai Leai, Alu i le Fesili 45

43. I le 12 masina talu ai, e faafia ona e malie i le ala latou te faatautai ai nei faafitauli?

- 1 ☐ To'e afe  
2 ☐ Nisi taimi  
3 ☐ Tele lava ina faalogo  
4 ☐ Taimi uma

44. Medicare ma ofisa faapitoa a lau Setete latou te siakiina le tulaga o tautua i lea fale faamamatoto. I le 12 masina talu ai, na faia sau faasea i nei ofisa faapitoa?

- 1 ☐ Ioe  
2 ☐ Leai

#### E UIGA IA TE OE

45. I le lautele, e faapefea ona e faatulaga lou soifua maloloina?

- 1 ☐ Maoa'e  
2 ☐ Lelei tele  
3 ☐ Lelei  
4 ☐ Feololo  
5 ☐ Leaga

46. I le lautele, e faapefea ona e faatulaga lou soifua tau le mafaufau poo ou faalogoga?

- 1 ☐ Maoa'e  
2 ☐ Lelei tele  
3 ☐ Lelei  
4 ☐ Feololo  
5 ☐ Leaga

47. O togafitia oe mo le toto maualuga?

- 1 ☐ Ioe  
2 ☐ Leai

48. O togafitia oe i suka poo le maualuga o le suka o le toto?

- 1 ☐ Ioe  
2 ☐ Leai

49. O togafitia oe i le faama'i o le fatu poo ni faafitauli o le fatu?

- 1 ☐ Ioe  
2 ☐ Leai

50. E te tutuli pe e matua faigata lau faalogo?

- 1 ☐ Ioe  
2 ☐ Leai

51. E te tauaso pe e matua faigata lau vaai, tusa lava pe fai sau mata tioata?

- 1 ☐ Ioe  
2 ☐ Leai

52. Talu ai ona o se tulaga tau le tino, mafaufau poo lagona, e faigata ia te oe ona e mafaufau toto'a, manatua ni mea pe fai ni faaiuga?

- 1 ☐ Ioe  
2 ☐ Leai

53. E iai se faafitauli matuia i lau savali poo le ae' i se fasitepu?

- 1 ☐ Ioe  
2 ☐ Leai

54. E iai se faigata i le faiga o ou laei poo le faamalu?

- 1 ☐ Ioe  
2 ☐ Leai

55. Talu ai ona o se tulaga o le tino, mafaufau poo lagona, e faigata ia te oe ona fai ni toatasi ni au feau e pei o le alu i le ofisa o le foma'i poo faiga o faatau?

- 1 ☐ Ioe  
2 ☐ Leai

56. O le a le maua luga o le vasega poo le tulaga o lau aoga na faaiuina?

- 1 ☐ Leai se aoga faavae  
2 ☐ Vasega 5 poo lalo ifo  
3 ☐ Vasega 6, 7, poo 8  
4 ☐ Aoga tulaga lua ae e le'i faauu  
5 ☐ Faauu i le Tulaga Lua poo le GED  
6 ☐ Nai vasega i le Kolisi poo le tikeri 2 tausaga  
7 ☐ Faauu i le Kolisi 4 tausaga  
8 ☐ Tikeri i le Kolisi Silia ma le 4 tausaga

57. O le a le gagana e te fa'aogaina i le tele o taimi i totonu o lou aiga?

- 1 ☐ Peretania  
2 ☐ Sipaniolo  
3 ☐ Saina  
4 ☐ Samoa  
5 ☐ Lusua  
6 ☐ Vitanami  
7 ☐ Potoliki  
8 ☐ Se isi gagana (faamolemole faailoa mai):

**58. O oe o se Sipaniolo, Hispanic, poo Latino i le tupuaga?**

- 1 ☐ Leai e le o au o se Sipaniolo/Hispanic/Latino
- 2 ☐ Ioe Puteriko
- 3 ☐ Ioe Mexican, Mexican American, Chicano
- 4 ☐ Ioe Cuban
- 5 ☐ Ioe, nisi Sipaniolo/Hispanic/Latino

**59. O le a lou Tupuaga? (Tasi pe tele vaega e mafai ona filifilia.)**

- 1 ☐ Paepae
- 2 ☐ Uli poo Aferika Amerika
- 3 ☐ Amerika Initia poo tagatanuu Alaska
- 4 ☐ Asia Initia
- 5 ☐ Saina
- 6 ☐ Filipino
- 7 ☐ Sapani
- 8 ☐ Kolea
- 9 ☐ Vietnamese
- 10 ☐ Isi Asia
- 11 ☐ Tagatanuu Hawaii
- 12 ☐ Guamanian poo Chamorro
- 13 ☐ Samoa
- 14 ☐ Isi Tagata Pasefika

**60. Na iai se isi na fesoasoani i le faatumuga o lenei suesuega?**

- 1 ☐ Ioe
- 2 ☐ Leai → **Faafetai.**  
**Faamolemole faafoi mai le suesuega ua maea i le teutusi ua uma ona totogi.**

**61. O ai na fesoasoani ia te oe e faauma le suesuega?**

- 1 ☐ Tagata o lou aiga
- 2 ☐ Lau uo
- 3 ☐ Tagata faigaluega i le Fale faamamatoto
- 4 ☐ Se isi tagata (faamolemole lolomi):
- 

**62. E faapefea ona fesoasoani atu lea tagata ia te oe? Maka uma tali e fetauti.**

- 1 ☐ Faitau mai fesili ia te au
- 2 ☐ Tusi i lalo tali ou te avatua
- 3 ☐ Tali fesili mo au
- 4 ☐ Faaliliu fesili i la'u gagana
- 5 ☐ Fesoasoani mai i nisi auala (faamolemole lolomi):
- 

**Faafetai. Faamolemole faafoi mai le suesuega i le teutusi o loo iai i le tuatusi o loo i lalo:**

**VENDOR'S NAME**  
**STREET ADDRESS 1**  
**STREET ADDRESS 2**  
**CITY, STATE, ZIP**

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**APPENDIX H:**

**OMB PAPERWORK REDUCTION ACT LANGUAGE (OMB DISCLOSURE  
NOTICE),  
IN ENGLISH, SPANISH, TRADITIONAL CHINESE, SIMPLIFIED CHINESE,  
AND SAMOAN**

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## **OMB Paperwork Reduction Act Language (OMB Disclosure Notice)**

The Office of Management and Budget (OMB) Paperwork Reduction Act language (i.e. OMB Disclosure Notice) below must be included in the In-Center Hemodialysis CAHPS Survey mailings. It can be included in the cover letter or on the front or back of the questionnaire. It does not need to be included in both the cover letter and the questionnaire.

### **ENGLISH**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0926. The time required to complete this information collection is estimated to average 16 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Baltimore, Mailstop c1-25-05, Maryland 21244-1850.

## **OMB Paperwork Reduction Act Language (OMB Disclosure Notice)**

The Office of Management and Budget (OMB) Paperwork Reduction Act language (i.e. OMB Disclosure Notice) below must be included in the In-Center Hemodialysis CAHPS Survey mailings. It can be included in the cover letter or on the front or back of the questionnaire. It does not need to be included in both the cover letter and the questionnaire.

### **SPANISH**

De acuerdo a la Ley de Reducción de Trabajo Administrativo de 1995 (Paperwork Reduction Act of 1995), ninguna persona tiene la obligación de responder a un cuestionario que solicite información, a menos que lleve un número de control de OMB (Oficina de Administración y Presupuesto) válido. El número de control OMB válido para este cuestionario es 0938-0926. Se estima que el tiempo promedio necesario para completar este cuestionario es de 16 minutos por respuesta, incluyendo el tiempo para revisar las instrucciones, buscar en las fuentes de datos existentes, recopilar los datos necesarios, completar y revisar la información recopilada. Si tiene algún comentario sobre la exactitud del tiempo estimado o sugerencias para mejorar este formulario, por favor escriba a: CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Baltimore, Mailstop c1-25-05, Maryland 21244-1850.

### **OMB Paperwork Reduction Act Language (OMB Disclosure Notice)**

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#### **TRADITIONAL CHINESE**

依據 1995 年《減少文書作業法》之規定，除非資訊收集表上標有有效的美國預算管理局 (OMB) 控制編號，否則任何人都不是必須提交表中要求的資訊。本資訊收集表的有效 OMB 控制編號為 0938-0926。估計完成本表所需的平均時間為每份 16 分鐘，這包括閱讀說明、搜尋現有資料來源、收集所需資料、完成和審閱資訊收集表所需的時間。若您對於該預估時間的準確性有任何意見，或有改善此表格的建議，請寫信至：CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Mailstop c1-25-05, Baltimore, Maryland 21244-1850

## **OMB Paperwork Reduction Act Language (OMB Disclosure Notice)**

The Office of Management and Budget (OMB) Paperwork Reduction Act language (i.e. OMB Disclosure Notice) below must be included in the In-Center Hemodialysis CAHPS Survey mailings. It can be included in the cover letter or on the front or back of the questionnaire. It does not need to be included in both the cover letter and the questionnaire.

### **SIMPLIFIED CHINESE**

依据 1995 年《减少文书作业法》之规定，除非信息收集表上标有有效的美国预算管理局 (OMB) 控制编号，否则任何人都不是必须提交表中要求的信息。本信息收集表的有效 OMB 控制编号为 0938-0926。估计完成本表所需的平均时间为每份 16 分钟，这包括阅读说明、搜寻现有数据源、收集所需数据、完成和审阅信息收集表所需的时间。若您对于该预估时间的准确性有任何意见，或有改善此表格的建议，请写信至：CMS, Attn: PRA Reports Clearance Officer, 7500 Security Boulevard, Baltimore, Mailstop c1-25-05, Maryland 21244-1850

### **OMB Paperwork Reduction Act Language (OMB Disclosure Notice)**

The Office of Management and Budget (OMB) Paperwork Reduction Act language (i.e. OMB Disclosure Notice) below must be included in the In-Center Hemodialysis CAHPS Survey mailings. It can be included in the cover letter or on the front or back of the questionnaire. It does not need to be included in both the cover letter and the questionnaire.

#### **SAMOAN**

E tusa ai ma le Tulafono 1995 Paper Reduction Act, e leai se tagata e faamalosi lona talia o ni faamatalaga o loo aoina, vagana o loo faaalua se numera aloaia o le OMB. O le numera aloaia OMB mo le aoina o nei faamatalagao le 0938-0926. O le taimi manaomia e faatumu ai le aoina o nei faamatalaga, e tusa ma le 16 minute i le tali, e aofia ai le taimi e faitau ai faatonuga, sue nisi faamatalaga mai punaoa, ao faamatalaga manaomia, ma fauma ma le iloiloga o faamatalaga o loo ao. A ia ni au faamatalaga e faatatau i le sa'o o le taimi fuafuaina poo ni fautuaga e faaleleia ai lenei pepa faatumu, faamolemole tusi mai: CMS, Attn (Mo): PRA Reports Clearance Officer, 7500 Security Boulevard, Mailstop c1-25-05, Baltimore, Maryland 21244-1850.

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**APPENDIX I:**  
**ICH CAHPS SUPPLEMENTAL QUESTIONS**

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# **CAHPS<sup>®</sup> In-Center Hemodialysis Survey**

## ***Supplemental Questions in English***

**CAHPS In-Center Hemodialysis Survey Supplemental Questions****I. ICH CAHPS Supplemental Questions, Quality Improvement**

*The following questions have been cognitively tested, field tested and proven to have validity and reliability. They were not included in the core instrument, but are being provided here for possible inclusion by facilities that choose to use this instrument for quality improvement purposes.*

S1. In the last 3 months, did your kidney doctors keep you informed and up-to-date about your condition?

1 ☐ Yes

2 ☐ No

S2. Sometimes dialysis center staff cover patients or use a curtain to protect a patient's privacy. In the last 3 months, did you ever need dialysis center staff to protect your privacy in this way?

1 ☐ Yes

2 ☐ No → **If No, Go to Q4**

S3. In the last 3 months, how often did dialysis center staff cover you or use a curtain to protect your privacy?

1 ☐ Never

2 ☐ Sometimes

3 ☐ Usually

4 ☐ Always

S4. In the last 3 months, how often did dialysis center staff respond to these problems as soon as you wanted?

1 ☐ Never

2 ☐ Sometimes

3 ☐ Usually

4 ☐ Always

S5. In the last 3 months, how often did dialysis center staff change their gloves between patients?

1 ☐ Never

2 ☐ Sometimes

3 ☐ Usually

4 ☐ Always

5 ☐ I don't know

- S6. Is there a family member or friend involved with your dialysis care?
- 1 ☐ Yes
- 2 ☐ No → **If No, Go to Q8**
- S7. Do dialysis center staff include your family member or friend as much as you want?
- 1 ☐ Yes
- 2 ☐ No
- S8. In the last 3 months, how often was the dialysis center as calm and quiet as it could be?
- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always
- S9. Medicare and your State have special agencies that check the quality of care at this dialysis center. Has anyone at the dialysis center ever given you information about how to make a complaint to these agencies?
- 1 ☐ Yes
- 2 ☐ No

## **II. ICH CAHPS Supplemental Questions, Other**

*These questions have not been cognitively tested or field tested. No determination has been made regarding validity or reliability. They are included here for optional use, because they deal with subjects that are of known interest to various ESRD stakeholders.*

### **A. ICH CAHPS Supplemental Questions—Physical Plant, Transportation and Access**

- S10. In the last three months, how often was the temperature at the dialysis center comfortable for you?
- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

S11. In the last three months, how often was your dialysis station kept clean?

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

S12. Some dialysis centers arrange transportation to the center for patients. This help can be a shuttle bus or van or tokens or vouchers for a bus or taxi.

In the last three months, did you call the center for help with transportation?

- 1 ☐ Yes
- 2 ☐ No

S13. In the last three months, how often did the help with transportation meet your needs?

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

S14. Do you need to park at the center where you go for treatment?

- 1 ☐ Yes
- 2 ☐ No → **If No, Go to Q16**

S15. In the last three months, how often were you able to park in a convenient location?

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

S16. In the last three months, how often were you able to get into the dialysis center or unit easily?

- 1 ☐ Never
- 2 ☐ Sometimes
- 3 ☐ Usually
- 4 ☐ Always

**B. ICH CAHPS Supplemental Questions—Interpreter Services**

S17. An interpreter is someone who helps you talk with others who don't speak the same language as you. During the last 3 months, did you ever need an interpreter to help you talk with your kidney doctors or dialysis center staff?

- 1 ☐ Yes  
2 ☐ No → **If no, go to Q22**

S18. During the last 3 months, how often did you have problems at this dialysis center because you had to wait for an interpreter?

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

S19. During the last 3 months, when you needed an interpreter to help you at this dialysis center, how often did the dialysis center provide one?

- 1 ☐ Never  
2 ☐ Sometimes  
3 ☐ Usually  
4 ☐ Always

S20. During the last 3 months, who usually acted as your interpreter when you needed to talk with your kidney doctors or dialysis center staff?

- 1 ☐ A member of the dialysis center staff  
2 ☐ A friend or family member → **SKIP Q21**  
3 ☐ Someone else → Who? \_\_\_\_\_

S21. Using any number from 0 to 10, where 0 is the worst possible interpreter and 10 is the best possible interpreter, what number would you give the interpreters that the dialysis center provided most often in the last 3 months? Do not include friends and family members.

- 0 ☐ 0 Worst possible interpreter  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Best possible interpreter



# **CAHPS<sup>®</sup> In-Center Hemodialysis Survey**

## ***Supplemental Questions in Spanish***

**CAHPS In-Center Hemodialysis Survey Supplemental Questions in Spanish****I. ICH CAHPS Supplemental Questions, Quality Improvement**

*[The following questions have been cognitively tested, field tested and proven to have validity and reliability. They were not included in the core instrument, but are being provided here for possible inclusion by facilities that choose to use this instrument for quality improvement purposes.]*

S1. En los últimos 3 meses, ¿lo mantuvieron informado y al día a usted sus doctores de los riñones sobre su condición médica?

- 1 ☐ Sí  
2 ☐ No

S2. A veces el personal del centro de diálisis cubre a los pacientes o usa una cortina para proteger la privacidad del paciente. En los últimos 3 meses, ¿alguna vez necesitó que el personal del centro de diálisis protegiera su privacidad de esta manera?

- 1 ☐ Sí  
2 ☐ No → **Si la respuesta es No, pase a la pregunta 4**

S3. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis lo cubrió o usó una cortina para proteger su privacidad?

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

S4. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis respondió a estos problemas tan pronto como usted quería?

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre

S5. En los últimos 3 meses, ¿con qué frecuencia el personal del centro de diálisis se cambió de guantes entre un paciente y otro?

- 1 ☐ Nunca  
2 ☐ A veces  
3 ☐ La mayoría de las veces  
4 ☐ Siempre  
5 ☐ No sé

- S6. ¿Hay algún miembro de la familia o amistad que esté involucrado en el cuidado que usted recibe para su diálisis?
- 1 ☐ Sí
- 2 ☐ No → **Si la respuesta es No, pase a pregunta 8**
- S7. ¿Incluye el personal del centro de diálisis a un miembro de su familia o amistad tanto como usted lo desea?
- 1 ☐ Sí
- 2 ☐ No
- S8. En los últimos 3 meses, ¿con qué frecuencia estaba el centro de diálisis tan tranquilo o en silencio como podía estarlo?
- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre
- S9. Medicare y el estado donde vive tienen agencias especiales que verifican la calidad del cuidado en este centro de diálisis. ¿Alguna vez alguien del centro de diálisis le dio información acerca de cómo presentar una queja a estas agencias?
- 1 ☐ Sí
- 2 ☐ No

## **II. ICH CAHPS Supplemental Questions, Other**

*[These questions have not been cognitively tested or field tested. No determination has been made regarding validity or reliability. They are included here for optional use, because they deal with subjects that are of known interest to various ESRD stakeholders.]*

### **A. ICH CAHPS Supplemental Questions—Physical Plant, Transportation and Access**

- S10. En los últimos tres meses, ¿con qué frecuencia la temperatura del centro de diálisis estaba cómoda para usted?
- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

S11. En los últimos tres meses, ¿con qué frecuencia mantuvieron limpia su estación en el centro de diálisis?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

S12. Algunos centros de diálisis hacen arreglos para el transporte de los pacientes al centro. Esta ayuda puede ser un autobús o una camioneta o cupones para el autobús o taxi.

En los últimos tres meses, ¿llamó al centro para obtener ayuda con el transporte?

- 1 ☐ Sí
- 2 ☐ No

S13. En los últimos tres meses, ¿con qué frecuencia la ayuda de transporte pudo satisfacer sus necesidades?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

S14. ¿Necesita estacionarse en el centro donde recibe su tratamiento?

- 1 ☐ Sí
- 2 ☐ No → **Si la respuesta es No, pase a la pregunta 16**

S15. En los últimos tres meses, ¿con qué frecuencia se pudo estacionar en lugar conveniente?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

S16. En los últimos tres meses, ¿con qué frecuencia fue fácil entrar al centro o unidad de diálisis?

- 1 ☐ Nunca
- 2 ☐ A veces
- 3 ☐ La mayoría de las veces
- 4 ☐ Siempre

**B. ICH CAHPS Supplemental Questions—Interpreter Services**

S17. Un intérprete es alguien que le ayuda a hablar con otras personas que no hablan su mismo idioma. Durante los últimos 3 meses, ¿alguna vez necesitó un intérprete para ayudarle a hablar con sus doctores de los riñones o con el personal del centro de diálisis?

1 ☐ Sí

2 ☐ No → Si la respuesta es No, pase a la pregunta 22

S18. Durante los últimos 3 meses, ¿con qué frecuencia tuvo problemas en el centro de diálisis debido a que tenía que esperar al intérprete?

1 ☐ Nunca

2 ☐ A veces

3 ☐ La mayoría de las veces

4 ☐ Siempre

S19. Durante los últimos 3 meses, cuando necesitó un intérprete para ayudarle en este centro de diálisis, ¿con qué frecuencia el centro de diálisis le proporcionó un intérprete?

1 ☐ Nunca

2 ☐ A veces

3 ☐ La mayoría de las veces

4 ☐ Siempre

S20. Durante los últimos 3 meses, ¿generalmente quién fue su intérprete cuando necesitaba hablar con los doctores de los riñones o con el personal del centro de diálisis?

1 ☐ Un miembro del personal del centro de diálisis

2 ☐ Una amistad o miembro de la familia → **Pase a la pregunta 21**

3 ☐ Alguien más → ¿Quién? \_\_\_\_\_

S21. Usando cualquier número del 0 al 10, donde 0 es el peor intérprete y 10 es el mejor intérprete posible, ¿qué número usaría para calificar a los intérpretes en el centro de diálisis en los últimos 3 meses? No incluya amistades ni a miembros de la familia.

- 0 ☐ 0 Peor intérprete posible  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Mejor intérprete posible

# **CAHPS<sup>®</sup> In-Center Hemodialysis Survey**

## ***Supplemental Questions in Traditional Chinese***

## **CAHPS In-Center Hemodialysis Survey Supplemental Questions in Traditional Chinese**

### **I. ICH CAHPS Supplemental Questions, Quality Improvement**

*[The following questions have been cognitively tested, field tested and proven to have validity and reliability. They were not included in the core instrument, but are being provided here for possible inclusion by facilities that choose to use this instrument for quality improvement purposes.]*

S1. 過去 3 個月內，您的腎臟醫師是否瞭解並及時掌握您的最新情況？

- 1 ☐ 是  
2 ☐ 否

S2. 有時透析中心的工作人員會遮蓋患者，或使用窗簾來保護患者的隱私。過去 3 個月內，你曾需要透析中心的工作人員，以這種方式來保護您的隱私嗎？

- 1 ☐ 是  
2 ☐ 否 → 如果選擇「否」，請轉到第 4 題

S3. 過去 3 個月內，透析中心的工作人員多經常會遮蓋，或使用窗簾來保護您的隱私？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

S4. 過去 3 個月內，透析中心的工作人員多經常會如您希望的那樣，儘快回復這些問題？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會

S5. 過去 3 個月內，透析中心的工作人員換下一個病人時，會多經常更換手套？

- 1 ☐ 從來不會  
2 ☐ 有時候會  
3 ☐ 經常會  
4 ☐ 一直都會  
5 ☐ 我不知道



S6. 是否有您的家庭成員或朋友參與您的透析治療？

1 ☐ 是

2 ☐ 否 → 如果選擇「否」，請轉到第 8 題

S7. 透析中心的工作人員是否如您希望的那樣，儘量包括您的家庭成員或朋友？

1 ☐ 是

2 ☐ 否

S8. 過去 3 個月內，透析中心的工作人員多經常儘量沉著安靜？

1 ☐ 從來不

2 ☐ 有時候

3 ☐ 經常

4 ☐ 一直

S9. 醫療保險和您的州有特別的機構，監督檢查此透析中心的護理品質。是否有任何透析中心工作人員曾提供給您關於如何向這些機構投訴的資訊？

1 ☐ 是

2 ☐ 否

## II. ICH CAHPS Supplemental Questions, Other

*[These questions have not been cognitively tested or field tested. No determination has been made regarding validity or reliability. They are included here for optional use, because they deal with subjects that are of known interest to various ESRD stakeholders.]*

### A. **ICH CAHPS Supplemental Questions—Physical Plant, Transportation and Access**

S10. 過去 3 個月內，透析中心多經常會保持讓您覺得適宜的溫度？

1 ☐ 從來不會

2 ☐ 有時候會

3 ☐ 經常會

4 ☐ 一直都會

S11. 過去 3 個月內，透析中心多經常會保持清潔？

- 1 ☐ 從來不會
- 2 ☐ 有時候會
- 3 ☐ 經常會
- 4 ☐ 一直都會

S12. 有些透析中心會幫患者安排到中心的交通工具，可以是巴士，麵包車，或者提供乘巴士或計程車用的代幣或憑單。

過去 3 個月內，您是否給透析中心打過電話，尋求關於交通工具方面的幫助？

- 1 ☐ 是
- 2 ☐ 否

S13. 過去 3 個月內，中心提供的幫助多經常能滿足您關於交通工具方面的需要？

- 1 ☐ 從來不
- 2 ☐ 有時候
- 3 ☐ 經常
- 4 ☐ 一直

S14. 您去治療時，是否需要在中心停車？

- 1 ☐ 是
- 2 ☐ 否 → 如果選擇「否」，請轉到第 16 題

S15. 過去 3 個月內，您多經常能把車停在一個便利的地點？

- 1 ☐ 從來不
- 2 ☐ 有時候
- 3 ☐ 經常
- 4 ☐ 一直

S16. 過去 3 個月內，您多經常能很容易到達透析中心或部門？

- 1 ☐ 從來不
- 2 ☐ 有時候
- 3 ☐ 經常
- 4 ☐ 一直

**B. ICH CAHPS Supplemental Questions—Interpreter Services**

S17. 翻譯幫助您與其他說不同語言的人之間的交流。過去 3 個月內，您曾需要翻譯幫您與腎臟科醫生或透析中心的工作人員交流嗎？

1 ☐ 是

2 ☐ 否 → 如果選擇「否」，請轉到第 22 題

S18. 過去 3 個月內，您多經常因需要等待一個翻譯而導致問題？

1 ☐ 從來不

2 ☐ 有時候

3 ☐ 經常

4 ☐ 一直

S19. 過去 3 個月內，當您在透析中心需要一個翻譯來幫您時，透析中心多經常會提供翻譯？

1 ☐ 從來不會

2 ☐ 有時候會

3 ☐ 經常會

4 ☐ 一直都會

S20. 過去 3 個月內，當您需要一個翻譯來幫您與腎臟科醫生或透析中心的工作人員交流時，通常誰當您的翻譯？

1 ☐ 透析中心的工作人員

2 ☐ 朋友或家人 → **SKIP Q21** 跳至第 21 題

3 ☐ 其他人 → 誰? \_\_\_\_\_

S21. 如果以數字 0 至 10 來評價，0 代表最差的翻譯，10 代表最好的翻譯，您會用哪個數字來評價透析中心過去 3 個月內最經常提供的翻譯？請不要包括朋友和家人。

- 0 ☐ 0 最差的翻譯  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 最好的翻譯

# **CAHPS<sup>®</sup> In-Center Hemodialysis Survey**

## ***Supplemental Questions in Simplified Chinese***

## **CAHPS In-Center Hemodialysis Survey Supplemental Questions in Simplified Chinese**

### **I. ICH CAHPS Supplemental Questions, Quality Improvement**

*[The following questions have been cognitively tested, field tested and proven to have validity and reliability. They were not included in the core instrument, but are being provided here for possible inclusion by facilities that choose to use this instrument for quality improvement purposes.]*

S1. 过去 3 个月内，您的肾脏医师是否了解并及时掌握您的最新情况？

- 1 ☐ 是  
2 ☐ 否

S2. 有时透析中心的工作人员会遮盖患者，或使用窗帘来保护患者的隐私。过去 3 个月内，你曾需要透析中心的工作人员，以这种方式来保护您的隐私吗？

- 1 ☐ 是  
2 ☐ 否 → 如果选择「否」，请转到第 4 题

S3. 过去 3 个月内，透析中心的工作人员多经常会遮盖，或使用窗帘来保护您的隐私？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

S4. 过去 3 个月内，透析中心的工作人员多经常会如您希望的那样，尽快回复这些问题？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会

S5. 过去 3 个月内，透析中心的工作人员换下一个病人时，会多经常更换手套？

- 1 ☐ 从来不会  
2 ☐ 有时候会  
3 ☐ 经常会  
4 ☐ 一直都会  
5 ☐ 我不知道

S6. 是否有您的家庭成员或朋友参与您的透析治疗？

1 ☐ 是

2 ☐ 否 → 如果选择「否」，请转到第 8 题

S7. 透析中心的工作人员是否如您希望的那样，尽量包括您的家庭成员或朋友？

1 ☐ 是

2 ☐ 否

S8. 过去 3 个月内，透析中心的工作人员多经常尽量沉着安静？

1 ☐ 从来不

2 ☐ 有时候

3 ☐ 经常

4 ☐ 一直

S9. 医疗保险和您的州有特别的机构，监督检查此透析中心的护理质量。是否有任何透析中心工作人员曾提供给您关于如何向这些机构投诉的信息？

1 ☐ 是

2 ☐ 否

## II. ICH CAHPS Supplemental Questions, Other

*[These questions have not been cognitively tested or field tested. No determination has been made regarding validity or reliability. They are included here for optional use, because they deal with subjects that are of known interest to various ESRD stakeholders.]*

### A. **ICH CAHPS Supplemental Questions—Physical Plant, Transportation and Access**

S10. 过去 3 个月内，透析中心多经常会保持让您觉得适宜的温度？

1 ☐ 从来不会

2 ☐ 有时候会

3 ☐ 经常会

4 ☐ 一直都会

S11. 过去 3 个月内，透析中心多经常会保持清洁？

- 1 ☐ 从来不会
- 2 ☐ 有时候会
- 3 ☐ 经常会
- 4 ☐ 一直都会

S12. 有些透析中心会帮患者安排到中心的交通工具，可以是巴士，面包车，或者提供乘巴士或出租车用的代币或凭单。

过去 3 个月内，您是否给透析中心打过电话，寻求关于交通工具方面的帮助？

- 1 ☐ 是
- 2 ☐ 否

S13. 过去 3 个月内，中心提供的帮助多经常能满足您关于交通工具方面的需要？

- 1 ☐ 从来不
- 2 ☐ 有时候
- 3 ☐ 经常
- 4 ☐ 一直

S14. 您去治疗时，是否需要为中心停车？

- 1 ☐ 是
- 2 ☐ 否 → 如果选择「否」，请转到第 16 题

S15. 过去 3 个月内，您多经常能把车停在一个便利的地点？

- 1 ☐ 从来不
- 2 ☐ 有时候
- 3 ☐ 经常
- 4 ☐ 一直

S16. 过去 3 个月内，您多经常能很容易到达透析中心或部门？

- 1 ☐ 从来不
- 2 ☐ 有时候
- 3 ☐ 经常
- 4 ☐ 一直



**B. ICH CAHPS Supplemental Questions—Interpreter Services**

S17. 翻译帮助您与其他说不同语言的人之间的交流。过去 3 个月内，您曾需要翻译帮您与肾脏科医生或透析中心的工作人员交流吗？

1 ☐ 是

2 ☐ 否 → 如果选择「否」，请转到第 22 题

S18. 过去 3 个月内，您多经常因需要等待一个翻译而导致问题？

1 ☐ 从来不

2 ☐ 有时候

3 ☐ 经常

4 ☐ 一直

S19. 过去 3 个月内，当您在透析中心需要一个翻译来帮您时，透析中心多经常会提供翻译？

1 ☐ 从来不会

2 ☐ 有时候会

3 ☐ 经常会

4 ☐ 一直都会

S20. 过去 3 个月内，当您需要一个翻译来帮您与肾脏科医生或透析中心的工作人员交流时，通常谁当您的翻译？

1 ☐ 透析中心的工作人员

2 ☐ 朋友或家人 → **SKIP Q21** 跳至第 21 题

3 ☐ 其他人 → 谁? \_\_\_\_\_

S21. 如果以数字 0 至 10 来评价，0 代表最差的翻译，10 代表最好的翻译，您会用哪个数字来评价透析中心过去 3 个月内最经常提供的翻译？请不要包括朋友和家人。

- 0 ☐ 0 最差的翻译
- 1 ☐ 1
- 2 ☐ 2
- 3 ☐ 3
- 4 ☐ 4
- 5 ☐ 5
- 6 ☐ 6
- 7 ☐ 7
- 8 ☐ 8
- 9 ☐ 9
- 10 ☐ 10 最好的翻译

# **CAHPS<sup>®</sup> In Center Hemodialysis Survey**

## ***Supplemental Questions in Samoan***

## CAHPS In-Center Hemodialysis Survey Supplemental Questions in Samoan

### **I. ICH CAHPS Supplemental Questions, Quality Improvement**

*[The following questions have been cognitively tested, field tested and proven to have validity and reliability. They were not included in the core instrument, but are being provided here for possible inclusion by facilities that choose to use this instrument for quality improvement purposes.]*

S1. I le 3 masina talu ai, na faailoa atu ma le atoatoa e au fomai fatuga'o ia te oe tulaga o lou gasegase?

1 ☐ Ioe

2 ☐ Leai

S2. O nisi taimi e faaaoga e le afaigaluega o le fale faamamatoto ie e ufi ai ma'i pe toso foi pupuni e puipui ai le mamalu o le ma'i. I le 3 masina talu ai, na e manaomia ai le tagata faigaluega o le fale faamamatoto e puipui lou mamalu i lea tulaga?

1 ☐ Ioe

2 ☐ Leai → **Afai Leai, Alu i le S4**

S3. I le 3 masina talu ai, e faafia ona ufiufi oe ise ie pe toso foi le pupuni e se tagata faigaluega o le fale faamamatoto?

1 ☐ To'e afe

2 ☐ Nisi taimi

3 ☐ Tele lava ina faalogo

4 ☐ Taimi uma

S4. I le 3 masina talu ai, e faafia ona tali atu le afaigaluega o le fale faamamatoto i taimi e tutupu ai nei faafitauli i le vave o lou manao?

1 ☐ To'e afe

2 ☐ Nisi taimi

3 ☐ Tele lava ina faalogo

4 ☐ Taimi uma

S5. I le 3 masina talu ai, e faafia ona sui totigi lima o le afaigaluega a le fale faamamatoto i va o ma'i taitasi?

1 ☐ To'e afe

2 ☐ Nisi taimi

3 ☐ Tele lava ina faalogo

4 ☐ Taimi uma

5 ☐ Ou te leiloa

- S6. E iai se tagata o le lou aiga poo sau uo e auai i le tautua o le faamamaina o lou toto?
- 1 ☐ Ioe
- 2 ☐ Leai → **Afai Leai, Alu i le S8**
- S7. E talia e tagata faigaluega o le fale faamamatoto le auai o le tagata o lou aiga poo lau uo e pei ona e manao ai?
- 1 ☐ Ioe
- 2 ☐ Leai
- S8. I le 3 masina talu ai, e faafia ona filemu ma toa le fale faamamatoto e pei ona tatau ai?
- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma
- S9. E iai le Medicare ma isi Ofisa faapitoa a lau Setete e siakiina le tulaga o le tautua a lenei fale faamamatoto. E iai se isi i le fale faamamatoto nai ia avatua ni faamatalaga ia te oe e uiga i le auala e mafai ona fai ai sau faaseā i nei ofisa faapitoa?
- 1 ☐ Ioe
- 2 ☐ Leai

## II. ICH CAHPS Supplemental Questions, Other

*[These questions have not been cognitively tested or field tested. No determination has been made regarding validity or reliability. They are included here for optional use, because they deal with subjects that are of known interest to various ESRD stakeholders.]*

### A. **ICH CAHPS Supplemental Questions—Physical Plant, Transportation and Access**

- S10. I le 3 masina talu ai, e faafia ona manaia mo oe le fua o le mafanafana o le fale faamamatoto?
- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

S11. I le 3 masina talu ai, e faafia ona faamama le itu o loo faia ai le faamama o lou toto?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

S12. E iai nisi fale faamamatoto latou te faatulaga le feavea'i o ma'i i le fale faamamatoto. O lenei fesoasoani e pei o le pasi, poo le veni poo pepa (vouchers) mo pasi poo taavale lau pasese.

I le 3 masina talu ai, na e valaau i le fale faamamatoto mo se fesoasoani tau femalagaiga?

- 1 ☐ Ioe
- 2 ☐ Leai

S13. I le 3 masina talu ai, e faafia ona maua mai le fesoasoani tau femalagaiga e fetaui ma ou manaoga?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

S14. E manaomia ona e paka i le fale faamamatoto pe a e alu mo lou togafitiga?

- 1 ☐ Ioe
- 2 ☐ Leai → **Afai Leai, Alu i le S16**

S15. I le 3 masina talu ai, e faafia ona e paka i se vaega e talafeagai ma oe?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

S16. I le 3 masina talu ai, e faafia ona faafaigofie lau alu i le fale faamamatoto poo sona iunite?

- 1 ☐ To'e afe
- 2 ☐ Nisi taimi
- 3 ☐ Tele lava ina faalogo
- 4 ☐ Taimi uma

**B. ICH CAHPS Supplemental Questions—Interpreter Services**

S17. O le faaliliu o se tagata e fesoasoani atu ia te oe ma talanoa i isi e le tutusa a outou gagana. I totonu o le 3 masina ua tuanai, na e manaomia se faaliliu e fesoasoani e talanoa ma ou fomai fatuga’o poo le afaigaluega o le fale faamamatoto?

1 ☐ Ioe

2 ☐ Leai → **Afai Leai, alu i le S22**

S18. I totonu o le 3 masina ua tuanai, e faafia ona iai ni au faafitauli i le fale faamamatoto ona e tatau ona e faatali mo se faaliliupu?

1 ☐ To’e afe

2 ☐ Nisi taimi

3 ☐ Tele lava ina faalogo

4 ☐ Taimi uma

S19. I totonu o le 3 masina talu ai, a e manaomia se faaliliupu e fesoasoani ia te oe i le fale faamamatoto, e faafia ona tuu atu e le fale faamamatoto se tasi?

1 ☐ To’e afe

2 ☐ Nisi taimi

3 ☐ Tele lava ina faalogo

4 ☐ Taimi uma

S20. I totonu o le 3 masina talu ai, o ai e masani ona fai ma faaliliupu pe a e manao ete talanoa i au fomai fatuga’o poo tagata faigaluega o le fale faamamatoto?

1 ☐ Totino o le afaigaluega a le Fale faamamatoto

2 ☐ O se uo poo se tagata o le aiga → **SIKIPI S21**

3 ☐ Se isi tagata → O ai? \_\_\_\_\_

S21. Faaaogaina o fainumera mai le 0 i le 10, o le 0 o le matua leaga o le faaliliu ma le 10 matua lelei le faaliliu, o le a le numera e te avea i faaliliuupu a le fale faamamatoto, i totonu o le 3 masina talu ai? Aua le aofia ai ma uo ma tagata o le aiga.

- 0 ☐ 0 Matua leaga Faaliliuupu  
1 ☐ 1  
2 ☐ 2  
3 ☐ 3  
4 ☐ 4  
5 ☐ 5  
6 ☐ 6  
7 ☐ 7  
8 ☐ 8  
9 ☐ 9  
10 ☐ 10 Matua lelei Faaliliuupu



**APPENDIX J:**  
**FREQUENTLY ASKED QUESTIONS FOR TELEPHONE INTERVIEWERS—**  
**ENGLISH AND SPANISH**

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## Frequently Asked Questions—English

### The In-Center Hemodialysis CAHPS (ICH CAHPS) Survey

#### Overview

This document provides survey customer support personnel guidance on responding to frequently asked questions from sample respondents answering the In-Center Hemodialysis CAHPS Survey (ICH CAHPS). It provides answers to general questions about the survey, concerns about participating in the survey, and questions about completing/returning the survey. Survey Vendors may amend the document to be specific to their operations, or revise individual responses for clarity.

Note: Survey vendors conducting the ICH CAHPS Survey must NOT attempt to influence or encourage patients to answer items in a particular way. For example, the Survey Vendor must NOT say, imply or persuade patients to respond to items in a particular way. In addition, Survey Vendors must NOT indicate or imply in any manner that the dialysis facility, its personnel, or its agents will appreciate or gain benefits if patients respond to the items in a particular way.

#### I. General questions about the survey

- **Who is sponsoring this survey?**

[*ICH Facility Name*] is taking part in a national survey from the Centers for Medicare & Medicaid Services, also known as CMS. The goal of the survey is to learn more about the quality of dialysis care patients receive from their in-center hemodialysis facility.

- **Who is conducting this survey?**

I'm an interviewer from [*Survey Vendor*], hired by [*ICH Facility Name*] to conduct this survey to help them get feedback from their patients.

- **What is the purpose of this survey?**

The purpose of this survey is to learn about your experiences with the dialysis care you receive. The survey results will help dialysis patients make more informed choices when choosing a dialysis facility as well as helping dialysis facilities participating in the study to improve the quality of dialysis care for their patients.

- **How can I verify this survey is legitimate?**

You can contact [*ICH Facility Name*] at [TELEPHONE NUMBER] for information about the survey.

- **How do I know this survey is legitimate? How do I know you really are an interviewer for this survey?**

You can contact my supervisor, [SUPERVISOR NAME], at [TELEPHONE NUMBER] for information about the survey.

- **Who can I contact if I have questions about the study?**

If you would like to speak to a study representative, please call [SUPERVISOR NAME], toll free at [TELEPHONE NUMBER].

- **Is there a government agency that I can contact to find out more about this survey?**

Yes, you can contact the Centers for Medicare & Medicaid Services (CMS), a federal agency within the Department of Health and Human Services through the ICH CAHPS Technical Assistance telephone number at 1-866-245-8083 or by e-mail at [ichcahps@rti.org](mailto:ichcahps@rti.org).

- **How do I know this is confidential?**

Your answers will be seen by research staff, who have signed statements of confidentiality. Everyone's answers will be combined to produce a summary report.

- **How long will this take?**

This survey takes on average about 16 minutes to complete. I'll move through the questions as quickly as possible. [NOTE: SURVEY COMPLETION TIME WILL DEPEND ON WHETHER OTHER NON-CAHPS SURVEY ITEMS ARE ADDED TO THE QUESTIONNAIRE.]

- **What kinds of questions will be asked?**

The survey asks about your opinion of your kidney doctor, the dialysis facility staff you have encountered, your experiences with the dialysis care you receive at your treatment facility, and your rating of this care. It also asks some general health and demographic questions.

- **How did you get my name? How was I chosen for the survey?**

Your name was randomly selected from all patients at [ICH Facility Name].

- **I am not happy with the care I'm getting from my facility. Who can I talk to about this?**

Please call the ESRD Network that serves your ICH facility. That is Network [GIVE APPROPRIATE ESRD NETWORK NUMBER] and their number is [GIVE APPROPRIATE ESRD NETWORK PHONE NUMBER]. You may also call Medicare at 1-800-MEDICARE (1-800-633-4227).

## II. Concerns about participating in the survey

- **How are the results from the study going to be used?**

Results from the survey will be used to help people make more informed decisions when choosing an in-center hemodialysis facility. Dialysis facilities will also use survey results to help improve the quality of care they give to their patients.

- **Where can I see the results from the study?**

Results from this survey will be publicly reported on Medicare's Dialysis Facility Compare website. You can access the results by visiting [www.medicare.gov/dialysisfacilitycompare](http://www.medicare.gov/dialysisfacilitycompare).

- **Do I have to take part in this study?**

Your participation in this survey is voluntary; all information you give in this survey will be held in confidence and is protected by the Privacy Act. No dialysis facilities, including your current dialysis facility, will see your individual answers to this survey, nor will they know whether or not you participated.

It is also important that you know that your decision to participate or not participate in this survey, and your answers to the survey questions, will not affect the dialysis care that you receive now or expect to receive in the future.

You can also skip or refuse to answer any question you don't feel comfortable with. But, we hope you will participate because the feedback you provide will help improve the quality of the dialysis care you and others like you receive.

- **What do I have to do?**

I would like to ask you some questions about your opinion of your kidney doctor, the dialysis facility staff you have encountered, and your experiences at the dialysis facility you use for treatment. This survey takes on average about 16 minutes to complete, and I will move through the questions as quickly as possible.

- **Can my (wife, husband, child, legal guardian, etc.) answer these questions for me?**

Because you were chosen at random to participate in this important study, and because you are the one receiving dialysis care, no other person can take your place. But, you may skip or refuse to answer any question you are uncomfortable with.

- **Why do you want to know all this personal stuff about me if this is a survey about my in-center hemodialysis care experiences?**

I understand your concern with the questions about your health and background. We have found that people's experiences may differ based on their current health status and other characteristics. This is a very important survey. If a question bothers you, just tell me you'd rather not answer it, and I'll move on to the next question.

- **I'm on the *Do Not Call* list. Why are you calling me?**

The Do Not Call list stops sales and telemarketing calls. We are conducting survey research on behalf of the Centers for Medicare & Medicaid Services, also known as CMS. We are not calling to sell or market a product or service.

- **I'm not going to answer a lot of questions over the phone!**

Your cooperation is very important to us. The information that you provide in this survey will help others make more informed choices about an in-center hemodialysis facility and will help your in-center hemodialysis facility to improve the care they give. All of the answers you give in this survey will be kept completely confidential and are protected by the Federal Privacy Act of 1974. Let me start and you can see what the questions are like.

- **I don't like my dialysis facility!**

I understand. Your opinions are very important and will help your dialysis facility understand how to improve its programs. Let's start now. [NOTE: DO NOT ARGUE BACK. MAKE SHORT, NEUTRAL COMMENTS TO LET THEM KNOW THAT YOU ARE LISTENING AND IMMEDIATELY ASK THE FIRST QUESTION.]

### **III. Questions about Completing/Returning the Survey**

- **Is there a deadline to fill out the survey?**

[Mail version]—Since we need to contact so many people, it would really help if you could return it within the next several days.

[Telephone version] We need to finish all the interviews as soon as possible, but since we need to contact so many people, it would really help if we could do the interview right now. If you don't have the time, maybe I could schedule an appointment for some time within the next several days.

- **Where do I put my name and address on the questionnaire?**

You should not write your name or address on the questionnaire. Each survey has been assigned an identification number that allows us to keep track of which respondents have returned a completed questionnaire.

- **Can someone else complete the survey on behalf of the patient?**

No, their responses may differ from the patient's responses. They may assist the patient with reading, writing, or translation, but only the patient may provide answers to the survey.

- **As someone with Power of Attorney may I complete the survey?**

No, the ICH CAHPS survey does not allow for proxy respondents.

## **Preguntas más frecuentes—Spanish**

### **Encuesta CAHPS de los Centros de Hemodiálisis (ICH CAHPS)**

#### **Overview**

*This document provides survey customer support personnel guidance on responding to frequently asked questions from sample respondents answering the In-Center Hemodialysis CAHPS Survey (ICH CAHPS). It provides answers to general questions about the survey, concerns about participating in the survey, and questions about completing/returning the survey. Survey Vendors may amend the document to be specific to their operations, or revise individual responses for clarity.*

*Note: Survey vendors conducting the ICH CAHPS Survey must NOT attempt to influence or encourage patients to answer items in a particular way. For example, the Survey Vendor must NOT say, imply or persuade patients to respond to items in a particular way. In addition, Survey Vendors must NOT indicate or imply in any manner that the dialysis facility, its personnel, or its agents will appreciate or gain benefits if patients respond to the items in a particular way.*

#### **I. Preguntas generales sobre la encuesta**

- **¿Quién patrocina este encuesta?**

[ICH Facility Name] está tomando parte en una encuesta nacional de los Centros de Servicios de Medicare y Medicaid, también conocidos como CMS. Esta encuesta tiene como objetivo saber más sobre la calidad de los servicios de diálisis que reciben los pacientes en su centro de hemodiálisis.

- **¿Quién realiza esta encuesta?**

Soy un(a) entrevistador(a) de [Survey Vendor], contratado(a) por [ICH Facility Name] para realizar esta encuesta y ayudarles a obtener las opiniones de sus pacientes.

- **¿Cuál es el objetivo de esta encuesta?**

El objetivo de esta encuesta es conocer sus experiencias con los servicios de diálisis que recibe. Los resultados de la encuesta ayudarán a los pacientes de diálisis a tomar decisiones más informadas al seleccionar un centro de diálisis y también ayudar a los centros de diálisis que participan en el estudio a mejorar la calidad de los servicios de sus pacientes.

- **¿Cómo puedo verificar si esta encuesta es auténtica o legítima?**

Usted se puede comunicar con [ICH Facility Name] al [TELEPHONE NUMBER] para obtener información sobre la encuesta.

- **¿Cómo puedo saber si esta encuesta es auténtica o legítima? ¿Cómo sé si usted es realmente un(a) entrevistador(a) de esta encuesta?**

Usted puede comunicarse con mi supervisor, [SUPERVISOR NAME], al [TELEPHONE NUMBER] para obtener información sobre la encuesta.

- **¿Con quién me puedo comunicar si tengo preguntas acerca del estudio?**

Si desea hablar con un representante del estudio, puede llamar a [SUPERVISOR NAME], al número de teléfono gratuito [TELEPHONE NUMBER].

- **¿Hay alguna dependencia del gobierno con la que me puedo comunicar para saber más sobre esta encuesta?**

Sí. Usted se puede comunicar con los Centros de Servicios de Medicare y Medicaid (CMS, por sus siglas en inglés), una agencia federal que es parte del Departamento de Salud y Servicios Humanos, a través de la línea de asistencia técnica de la encuesta CAHPS de los Centros de Hemodiálisis, al 1-866-245-8083 o puede enviar un mensaje de correo electrónico a [ichcahps@rti.org](mailto:ichcahps@rti.org).

- **¿Cómo puedo saber si esto es confidencial?**

Solo los miembros del personal del estudio podrán ver sus respuestas, quienes han firmado declaraciones de confidencialidad. Las respuestas de todas las personas se combinarán para generar un reporte en forma de resumen.

- **¿Cuánto tiempo tomará esto?**

En promedio, la encuesta se puede completar como en 16 minutos. Yo le haré las preguntas tan rápido como pueda. [NOTE: SURVEY COMPLETION TIME WILL DEPEND ON WHETHER OTHER NON-CAHPS SURVEY ITEMS ARE ADDED TO THE QUESTIONNAIRE.]

- **¿Qué tipos de preguntas se van a hacer?**

Esta encuesta le hará preguntas sobre lo que opina de su doctor de los riñones, el personal del centro de diálisis con el que usted ha tratado, sus experiencias con los servicios de diálisis que ha recibido en su centro de tratamiento y su calificación sobre la atención que recibe ahí. También le hacen algunas preguntas sobre su salud en general y preguntas demográficas.

- **¿Cómo obtuvo mi nombre? ¿Cómo me seleccionaron para la encuesta?**

Su nombre fue seleccionado(a) al azar de todos los pacientes de [ICH Facility Name].



- **No estoy contento(a) con los servicios que recibo en mi centro. ¿Con quién puedo hablar sobre esto?**

Puede llamar a la red de Enfermedad Renal Terminal que sirve a su centro de diálisis. El número de la red es el [GIVE APPROPRIATE ESRD NETWORK NUMBER] y el número de teléfono es [GIVE APPROPRIATE ESRD NETWORK PHONE NUMBER]. También puede llamar a Medicare al 1-800-MEDICARE (1-800-633-4227).

## **II. Preocupaciones por participar en la encuesta**

- **¿Cómo se utilizarán los resultados del estudio?**

Los resultados de la encuesta se utilizarán para ayudar a las personas a tomar decisiones más informadas al elegir un centro de hemodiálisis. Los centros de diálisis también utilizarán los resultados de la encuesta para ayudarles a mejorar la calidad de los servicios que proporcionan a sus pacientes.

- **¿Dónde puedo ver los resultados del estudio?**

Los resultados de esta encuesta serán reportados públicamente en el sitio web de Comparación de centros de diálisis de Medicare. Usted puede tener acceso a los resultados en la página web [www.medicare.gov/dialysisfacilitycompare](http://www.medicare.gov/dialysisfacilitycompare).

- **¿Tengo que tomar parte en este estudio?**

Su participación en esta encuesta es voluntaria; toda la información que proporcione en esta encuesta se mantendrá en forma confidencial y está protegida por la Ley de Privacidad. Ningún centro de diálisis, incluyendo su centro actual de diálisis, verá sus respuestas individuales a esta encuesta, ni tampoco sabrá si usted participó o no participó en la encuesta.

También es importante que sepa que su decisión de participar o no participar en esta encuesta así como las respuestas que dé a las preguntas de la encuesta, no afectarán los servicios de diálisis que usted recibe ahora o que espera recibir en el futuro.

También puede dejar de contestar o puede negarse a contestar cualquier pregunta que le haga sentirse incómodo(a). Pero esperamos que usted participe porque las opiniones que proporcione nos ayudarán a mejorar la calidad de los servicios de diálisis que reciben usted y otras personas como usted.

- **¿Qué tengo que hacer?**

Me gustaría hacerle algunas preguntas sobre sus experiencias con su doctor de los riñones, el personal que le ha atendido en el centro de diálisis y sus experiencias en el centro de diálisis que usa para recibir tratamiento. El tiempo promedio para completar esta encuesta es de 16 minutos y le haré las preguntas tan rápido como pueda.

- **¿Puede mi (esposa, esposo, hijo, tutor legal, etc.) responder estas preguntas por mí?**

Como usted fue seleccionado(a) al azar para participar en este importante estudio y debido a que usted es el/la que recibe los servicios de diálisis, nadie más puede tomar su lugar. Pero usted puede dejar de contestar o negarse a responder cualquier pregunta que le moleste o le incomode.

- **¿Por qué desea tener toda esta información personal sobre mí si esta encuesta trata sobre mis experiencias con los servicios en mi centro de hemodiálisis?**

Entiendo que le preocupen las preguntas sobre su salud y antecedentes generales. Hemos encontrado que las experiencias de las personas pueden variar de acuerdo a su situación médica actual y a otras características. Esta es una encuesta muy importante. Si le molesta alguna pregunta, solo dígame que no desea contestarla y pasaré a la siguiente pregunta.

- **Yo estoy en el registro de ‘no llamar’. ¿Por qué me están llamando?**

Las listas de ‘no llamar’ detienen las llamadas de vendedores o promotores de tele-mercadeo. Nosotros realizamos un estudio de encuestas en nombre de los Centros de Servicios de Medicare y Medicaid, también conocido como CMS. Nosotros no estamos llamando para vender o promocionar productos o servicios.

- **¡No voy a contestar muchas preguntas por teléfono!**

Su cooperación es muy importante para nosotros. La información que usted proporcione en esta encuesta ayudará a otras personas a tomar decisiones más informadas con respecto a las opciones de centros de hemodiálisis y ayudará a su centro de diálisis a mejorar la atención que proporcionan. Todas las respuestas que usted proporcione en esta encuesta se mantendrán en forma completamente confidencial y están protegidas por la Ley Federal de Privacidad de 1974. Permítame comenzar la entrevista para que usted vea cómo son las preguntas.

- **¡No me agrada mi centro de diálisis!**

Lo entiendo. Sus opiniones son muy importantes y ayudarán a su centro de diálisis a comprender la manera de mejorar sus programas. Comencemos ahora. [NOTE: DO NOT ARGUE WITH R. MAKE SHORT, NEUTRAL COMMENTS TO LET THEM KNOW THAT YOU ARE LISTENING AND IMMEDIATELY ASK THE FIRST QUESTION.]

### **III. Preguntas sobre completar/devolver la encuesta**

- **¿Hay una fecha límite para completar la encuesta?**

[Versión de correo]—Como necesitamos comunicarnos con muchas personas, sería de mucha ayuda si la pudiera devolver en un par de días.

[Versión telefónica] Necesitamos terminar todas las entrevistas lo antes posible, pero como necesitamos comunicarnos con muchas personas, sería de gran ayuda si hiciéramos la entrevista

en este momento. Si usted no tiene tiempo ahora, podemos hacer una cita para la entrevista en los próximos días.

- **¿Dónde pongo mi nombre y dirección en el cuestionario?**

Usted no debe escribir su nombre ni su dirección en el cuestionario. A cada encuesta se le asigna un número de identificación que nos permite dar un seguimiento sobre los participantes que han devuelto el cuestionario con las respuestas.

- **¿Puede alguien más completar la encuesta a nombre del paciente?**

No, porque las respuestas de otras personas pueden ser diferentes a las de los pacientes. Otras personas pueden ayudar al paciente a leer, escribir o traducir, pero solo el paciente puede proporcionar las respuestas a la encuesta.

- **Como soy el representante legal, ¿puedo responder a la encuesta?**

No. La encuesta CAHPS de los Centros de Hemodiálisis no permite que los representantes del paciente respondan las preguntas.

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**APPENDIX K:**  
**GENERAL GUIDELINES FOR TELEPHONE INTERVIEWERS**

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## In-Center Hemodialysis CAHPS Survey General Guidelines for Telephone Interviewing

### OVERVIEW

The In-Center Hemodialysis CAHPS (ICH CAHPS) Survey is administered as an electronic system telephone interview. As a telephone interviewer on the ICH CAHPS Survey, you will use the system to conduct each interview. The questions you ask are programmed into a computer. The phone number is provided by the computer for you to make the call. You will read the questions from the computer screen and enter the answer to each question into the computer. Based on the answer you enter, the computer will automatically take you to a screen with the next applicable question.

You play an extremely important role in the overall success of this study. You are the link to the hundreds of respondents who will provide valuable information to the project team. You are the person who develops rapport with the respondents, assures them that their participation is important, and obtains their full cooperation and informed consent.

As a professional interviewer, your job is to help each respondent feel at ease and comfortable with the interview. Key to accomplishing this goal is to be fully informed about the survey, the interview, and the data collection procedures.

### GENERAL INTERVIEWING TECHNIQUES

The process of asking questions, probing, and entering responses correctly is crucial to obtaining high-quality data for the ICH CAHPS Survey. General techniques and procedures you should follow when conducting the ICH CAHPS Survey interviews are provided below.

#### ***Administering Survey Questions***

- Ask the questions exactly as they are presented. Do not change the wording or condense any question when reading it to the respondent.
- Emphasize all words or phrases that appear in **bold**, are underlined, or appear in *italics*.
- Ask every question specified, even when a respondent has seemingly provided the answer as part of the response to a preceding question. The answer received in the context of one question may not be the same answer that will be received when the other question is asked.

If it becomes cumbersome to the respondent, remind him or her gently that you must ask all questions of all respondents.

- If the answer to a question indicates that the respondent did not understand the intent of the question, or if the respondent requests that any part of the question be clarified, even if it is only one word, repeat the question.
- Read the questions slowly, at a pace that allows them to be readily understood. Remember that the respondent has not heard these questions before and will not have had the exposure that you have had to the questionnaire.
- Transition statements are designed to inform the respondent of the nature of an upcoming question or a series of questions, to define a word, or to describe what is being asked for in the question. Read transition statements just as they are presented. Don't create "transition statements" of your own, because these may unintentionally introduce bias into the interview. The exception to this is when transitioning from a set of questions with a scale to yes/no questions, like Q16 and Q28. If sample respondents want to continue answering with the scale in these instances, you can add the transition statement "Would you say yes or no?" after reading the question.
- Give the respondent plenty of time to recall past events.
- Do not suggest answers to the respondent. Your job as an interviewer is to read the questions exactly as they are printed, make sure the respondent understands the question, and then enter the responses. Do not help the respondent answer the questions.
- Ask questions in the exact order in which they are presented.
- Do not read words that appear in ALL CAPITAL LETTERS to the respondent. This includes both questions and response categories. These are instructions for the interviewers or response options that should not be offered as choice, but chosen if answered as such by the respondent.
- Read all questions including those which may appear to be sensitive to the respondent in the same manner with no hesitation or change in inflection.
- Thoroughly familiarize yourself with the Frequently Asked Questions list before you conduct interviews so that you are knowledgeable about the ICH CAHPS Survey.
- At the end of the interview, tell the sample member that the survey is completed and thank him or her for taking part in the survey.



### ***Introducing the Survey***

The introduction is of the utmost importance to successfully completing a telephone interview. Most people hang up in the first few minutes of the interview, so if you can convince the respondent to remain on the line long enough to hear the purpose of the study and begin asking the questions, the chances that your respondent will complete the interview increase dramatically.

- When reading the introduction, sound confident and pronounce the words as clearly as you can.
- Respondents are typically not expecting survey research calls, so they may need your help to clarify the nature of the call.
- Practice the introduction until you can present it in such a manner that your presentation sounds **confident**, **sincere**, and **natural**.
- Deliver the introduction at a conversational pace. Rushing through the introduction gives an impression of lack of confidence and may also cause the listener to misunderstand.
- Try not to pause too long before asking the first question in the survey following the introduction. A pause tends to indicate that you are waiting for approval to continue.

### ***Providing Neutral Positive Feedback***

The use of neutral feedback can help build rapport with sample patients, particularly with ICH CAHPS sample patients, who are generally sicker than the general population. Periodically acknowledging the respondent during the interview can help gain and retain cooperation during the interview.

Acceptable neutral acknowledgment words:

- Thank you
- All right
- Okay
- I understand
- Let me repeat the question

## ***Avoiding Refusals***

The first and most critical step in avoiding refusals is your effort to establish rapport with reluctant sample members, therefore minimizing the incidence of refusals. Remember, you will not be able to call back and convert a refusal—your initial contact with the sample member is the only chance you will have to create a successful interview. The following are some tips to follow to avoid refusals.

- Make sure you are mentally prepared when you start each call, and have a positive attitude.
- Treat respondents the way you would like to be treated.
- Always use an effective/positive/friendly tone and maintain a professional outlook.
- Pay careful attention to what the respondent says during the interview.
- Listen to the respondent completely rather than assuming you know what he or she is objecting to.
- Listen before evaluating and entering a response code.
- Be accommodating to the respondents' needs.
- Always remain in control of the interaction.
- Understand the reason for reluctance/refusal at the start of the call, or figure it out as quickly as possible.
- Listen as an ally, not an adversary, and do not debate or argue with the respondent.
- Be prepared to address one (or more) reason(s) for reluctance/refusal.
- Focus your comments to sample members on why they specifically are important to the study.
- Paraphrase what you hear and repeat this back to the respondent.
- Remember that you are a professional representative of your survey organization and the ICH facility whose patients you are contacting.

## **GENERAL INTERVIEWING GUIDANCE**

The following sections provide guidance on the use of probes, avoiding bias, and entering responses accurately. By following these rules, interviewers will help ensure that the ICH CAHPS Survey interviews are conducted in a standardized manner.

## ***Probing***

At times, it will be necessary for you to probe to obtain a more complete or more specific answer from a respondent. To elicit an acceptable response, you will often need to use an appropriate neutral or nondirective probe. The important thing to remember is not to suggest answers or lead the respondent. Some general rules for probing follow.

- Repeat the question if the respondent misunderstood or misinterpreted the question. After hearing the question the second time, the respondent will probably understand what information is expected.
- Repeat the answer choices if the respondent is having difficulty selecting a response option.
- Use a silent probe, which is pausing or hesitating to indicate to the respondent that you need additional or better information. This is a good probe to use after you have determined the respondent's response pattern.
- Use neutral questions or statements to encourage a respondent to select an answer choice. Examples of neutral probes include the following where the interviewer says:
  - “Take a minute to think about it.” REPEAT QUESTION, IF APPROPRIATE
  - “Which would be closer?” REPEAT ANSWER CATEGORIES THAT ARE CLOSEST TO THE PATIENT'S RESPONSE
- Use clarification probes when the response is unclear, ambiguous, or contradictory. Be careful not to appear to challenge the respondent when clarifying a statement and always use a neutral probe. An example of a clarification probe is “So, would you say that it is...” REPEAT ANSWER CATEGORIES
- Encourage the respondent to give his or her best guess if a respondent gives a “don't know” response. Let the respondent know that this is not a test and there are no right or wrong answers. We are interested in the respondent's opinions and assessment of the dialysis care that he or she has received.
- If the respondent asks you to answer the question for him or her, let the respondent know that you cannot answer the question for him or her. Instead, ask the respondent if she or he requires clarification on the content or meaning of the question.
- Interviewers must not interpret survey questions for the patient. However, if the sample patient uses a word that clearly indicates yes/no, then the interviewer can accept those responses.

## ***Avoiding Bias***

One common pitfall of interviewing is unknowingly introducing bias into an interview. Bias occurs when an interviewer says or does something that affects the answers respondents give in an interview. An interview that has significant bias will not provide accurate data for the research being conducted; such an interview may have to be thrown out.

As a professional interviewer, remaining neutral at all times ensures that bias is not introduced into the interview. There are many things you can do or avoid to help ensure that no bias is introduced. You should

- read all statements and questions exactly as they are written,
- use neutral probes that do not suggest answers,
- not provide your own personal opinions or answers in an effort to “help” respondents, and
- not use body language, such as a cough or a yawn to influence the interview.

Taking these steps to monitor your own spoken and unspoken language will go a long way to guarantee that the interviews you conduct are completed correctly and efficiently.

## ***Entering Responses***

The majority of the questions you will ask have precoded responses. To enter a response for these types of questions, you will simply select the appropriate response option and enter the number corresponding to that response.

The conventions presented below must be followed at all times to ensure that the responses you enter accurately reflect the respondents’ answers and to ensure that questionnaire data are all collected in the same systematic manner.

- You must listen to what the respondent says and enter the appropriate answer if the response satisfies the objective of the question. If the answer does not appear to satisfy the objective, repeat the question.
- In entering answers to open-ended questions or “Other (specify)” categories, enter the response verbatim, exactly as it was given by the respondent.
- Enter the response immediately after it is given.
- If a respondent gives a range in response to a question, probe as appropriate for a more specific answer. For example, if a respondent says, “Oh, 2 or 3 times” and you can enter only one number, ask for clarification: “Would that be closer to 2 or to 3?”

### ***Rules for Successful Telephone Interviewing***

Remember, the key to successful interviewing is being prepared for every contact that you make. Have a complete set of the appropriate materials at your work station, organized in such a manner that you do not have to stop and search for required documents. Some general rules that you should follow every time you place a call are provided below.

1. ***Be prepared before you place a call.*** Be prepared to talk to the sample member. You should be able to explain the purpose of your call to the sample member or his or her family and friends. Do not rely on your memory alone to answer questions. Make sure you review and understand the Frequently Asked Questions (FAQs).
2. ***Act professionally.*** Convey to sample members that you are a professional who specializes in asking questions and conducting interviews. As a professional interviewer, you have specific tasks to accomplish for this survey.
3. ***Make the most of your contact.*** Even though you may not be able to obtain an interview on this call, it is important to make the most of the contact to aid in future attempts. For example, if you are trying to contact the sample member and he or she is not available, gain as much information as you can to help reach the sample member the next time he or she is called. Important questions to ask:
  - When is the sample member usually home?
  - What is the best time to reach the sample member?
  - Can you schedule an “appointment” to reach the sample member at a later time?
4. ***Don’t be too quick to code a sample member as incapable.*** Some sample members may be hard of hearing or appear not to fully understand you when you call. Rather than immediately coding these cases as “Incapable,” please attempt to set a call-back for a different time of day and different day of the week. It is possible that reaching the sample member at a different time may result in your being able to conduct the interview with him or her. Remember, **the use of proxy respondents is not permitted.**

For situations where the respondent is mentally or physically incapable, including those who are hearing impaired with no TTY service, you should code the case as Mentally or Physically Incapacitated.

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**APPENDIX L:**  
**ICH CAHPS DATA FILE STRUCTURE**

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An ICH CAHPS XML file is made up of 3 parts:

- 1) Header Record
- 2) Patient Data Record
- 3) Patient Response Record

There should be only one Header Record for each ICH CAHPS XML file. Each sampled patient within the ICH CAHPS XML file must have a Patient Data Record, and if survey results are being submitted for a sample patient, there must be a Patient Response Record for that patient.

This data file corresponds to the XML File Specifications Version 7.0. All elements of this file, including the header record, patient data record, and patient response data record must be submitted for each survey period.

**Data Type:**

A = Alphanumeric

N = Numeric

# XML Data File Layout In-Center Hemodialysis CAHPS Survey Version 7.0

## XML HEADER RECORD

The following section defines the format of the header record.

XML HEADER RECORD						
XML Element (NOTE: Data element names do not contain any spaces, underscores, or capital letters.)	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Facility Name <b>&lt;facility-name&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element should only occur once per file. <b>Example: &lt;facility-name&gt;Sample ICH Facility&lt;/facility-name&gt;</b>	None	Name of ICH Facility	—	Alphanumeric character	100	Yes
Facility ID <b>&lt;facility-id&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element should only occur once per file. <b>Example: &lt;facility-id&gt;123456&lt;/facility-id&gt;</b>	None	CMS Certification Number (CCN, formerly known as the Medicare Provider ID Number)	No Dashes or spaces Valid 6 digit CMS Certification Number	Alphanumeric character	6	Yes

## XML HEADER RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Semiannual Survey <b>&lt;sem-survey&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element will occur again as an administration data element in the patient level data record. <b>Example: &lt;sem-survey&gt;1&lt;/sem-survey&gt;</b>	None	ICH CAHPS Survey Period	1 = Spring Survey 2 = Fall Survey	Numeric	1	Yes
Survey Year <b>&lt;survey-yr&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element will occur again as an administration data element in the patient level data record. <b>Example: &lt;survey-yr&gt;2014&lt;/survey-yr&gt;</b>	None	ICH CAHPS Survey Year	YYYY (2014 or greater)	Numeric	4	Yes
Survey Mode <b>&lt;survey-mode&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element will occur again as an administration data element in the patient level data record. <b>Example: &lt;survey-mode&gt;1&lt;/survey-mode&gt;</b>	None	Mode of Survey Administration	1 = Mail only 2 = Telephone only 3 = Mixed mode Note: the Survey Mode must be the same for all patients for each ICH facility	Numeric	1	Yes

## XML HEADER RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Number of Patients Sampled <b>&lt;number-sampled&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element should only occur once per file. <b>Example:&lt;number-sampled&gt;450&lt;/number-sampled&gt;</b>	None	Number of patients sampled during this semiannual survey for this CCN	1-999	Numeric	3	Yes
Date Data Collection Period Began <b>&lt;dcstart-date&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element should only occur once per file. <b>Example:&lt;dcstart-date&gt;20141007&lt;/dcstart-date&gt;</b>	None	Date the data collection period began for this semiannual survey	YYYYMMDD (2014 or greater)	Numeric	8	Yes
Date Data Collection Period Ended <b>&lt;dcend-date&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element should only occur once per file. <b>Example: &lt;dcend-date&gt;20141215&lt;/dcend-date&gt;</b>	None	Date the data collection period ended for this semiannual survey	YYYYMMDD (2014 or greater)	Numeric	8	Yes

## PATIENT ADMINISTRATIVE DATA RECORD

The following section defines the format of the patient administrative record.

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Facility ID <b>&lt;facility-id&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This administration element also occurs in the header record. <b>Example: &lt;facility-id&gt;123456&lt;/facility-id&gt;</b>	None	CMS Certification Number (CCN, formerly known as the Medicare Provider ID Number)	No Dashes or spaces. Valid 6 digit CMS Certification Number	Alphanumeric character	6	Yes
Semiannual Survey <b>&lt;sem-survey&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element will occur again as an administration data element in the patient level data record. <b>Example: &lt;sem-survey&gt;1&lt;/sem-survey&gt;</b>	None	ICH CAHPS Survey Period	1 = Spring Survey 2 = Fall Survey	Numeric	1	Yes
Survey Year <b>&lt;survey-yr&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This header element will occur again as an administration data element in the patient level data record. <b>Example: &lt;survey-yr&gt;/2014&lt;/survey-yr&gt;</b>	None	ICH CAHPS Survey Year	YYYY (2014 or greater)	Numeric	4	Yes

## PATIENT ADMINISTRATIVE DATA RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
<p>Sample ID No.</p> <p><b>&lt;sample-id&gt;</b></p> <p>Each element must have a closing tag that is the same as the opening tag but with a forward slash.</p> <p><b>Example: &lt;sample-id&gt;S012345678&lt;/sample-id&gt;</b></p>	None	The ICH CAHPS Coordination Team will assign a unique de-identified sample identification number (SID) to each patient. The SID number will be used to track the data collection status for the patient throughout the survey administration process and to designate sample patients on the data file submitted to the Data Center.	<p>For Spring Survey: S200000001- S209999999</p> <p>For Fall Survey: F200000001- F209999999</p>	Alphanumeric character	10	Yes

## PATIENT ADMINISTRATIVE DATA RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Final Survey Status <b>&lt;final-status&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This administration data element should only occur once per patient. <b>Example: &lt;final-status&gt;110&lt;/final-status&gt;</b>	None	Final disposition of survey	110 = Completed Mail Survey 120 = Completed Phone Survey 130 = Completed Mail Survey, Eligibility Unknown 140 = Ineligible: Not Currently Receiving Dialysis 150 = Ineligible: Deceased 160 = Ineligible: Does Not Meet Eligibility Criteria 170 = Ineligible: Language Barrier 180 = Ineligible: Mentally or Physically Incapacitated 190 = Ineligible: No Longer Receiving Care at Sample ICH Facility 199 = Ineligible: Proxy Completed Survey 210 = Breakoff 220 = Refusal 230 = Bad Address/ Undeliverable Mail 240 = Wrong/Disc/No Telephone Number 250 = No Response After Maximum Attempts	Numeric	3	Yes

## PATIENT ADMINISTRATIVE DATA RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Date Completed <b>&lt;date-completed&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This administration data element should only occur once per patient. <b>Example: &lt;date-completed&gt;20141007&lt;/date-completed&gt;</b>	None	Date the completed mail survey was received or the telephone interview was completed.	YYYYMMDD. Enter 88888888 if the survey was not completed. Year cannot be earlier than 2014.	Numeric	8	Yes
Survey Language <b>&lt;language&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This administration data element should only occur once per patient. <b>Example: &lt;language&gt;1&lt;/language&gt;</b>	None	Language in which survey was completed	1 = English 2 = Spanish 3 = Traditional Chinese 4 = Simplified Chinese 5 = Samoan 6 = FUTURE LANG X = NOT APPLICABLE	Alphanumeric character	1	Yes
Survey Mode <b>&lt;survey-mode&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This administration data element should only occur once per patient. <b>Example: &lt;survey-mode&gt;1&lt;/survey-mode&gt;</b>	None	Survey completion mode	1 = mail 2 = phone interview X = NOT APPLICABLE	Alphanumeric character	1	Yes



## PATIENT RESPONSE RECORD

Note: A Survey results record is required if the final <final-status> is “110-Completed Mail survey,” “120-Completed Phone survey,” “130-Completed Mail survey, Eligibility unknown,” “140-Ineligible: Not Currently Receiving Dialysis,” “160-Ineligible: Does not meet eligibility criteria,” “190-Ineligible: No longer receiving care at sample facility,” “199-Ineligible: Proxy Completed Survey,” or “210-Break-off”). Survey results records are not required for a valid data submission but if survey results are included then there must be an entry for every survey item in the ICH CAHPS Survey.

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
<b>Q1</b> <b>&lt;where-dialysis&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;where-dialysis&gt;1&lt;/where-dialysis&gt;</b>	None	Where do you get your dialysis treatments?	At home or at a skilled nursing home where I live ..... 1 At the dialysis center ..... 2 Not currently receiving dialysis ..... 3 MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q2</b> <b>&lt;how-long-care&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;how-long-care&gt;1&lt;/how-long-care&gt;</b>	None	How long have you been getting dialysis at [SAMPLE FACILITY NAME]?	Less than 3 months ..... 1 At least 3 months but less than 1 year ..... 2 At least 1 year but less than 5 years ..... 3 5 years or more ..... 4 No longer at this center ..... 5 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
<b>Q3</b> <b>&lt;dr-listen&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-listen&gt;1&lt;/dr-listen&gt;</b>	None	In the last 3 months, how often did your kidney doctors listen carefully to you?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q4</b> <b>&lt;dr-explain&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-explain&gt;1&lt;/dr-explain&gt;</b>	None	In the last 3 months, how often did your kidney doctors explain things in a way that was easy for you to understand?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q5</b> <b>&lt;dr-respect&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-respect&gt;1&lt;/dr-respect&gt;</b>	None	In the last 3 months, how often did your kidney doctors show respect for what you had to say?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
<b>Q6</b> <b>&lt;dr-time&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-time&gt;1&lt;/dr-time&gt;</b>	None	In the last 3 months, how often did your kidney doctors spend enough time with you?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q7</b> <b>&lt;dr-care&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-care&gt;1&lt;/dr-care&gt;</b>	None	In the last 3 months, how often did you feel your kidney doctors really cared about you as a person?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q8 <b>&lt;rate-dr&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;rate-dr&gt;1&lt;/rate-dr&gt;</b>	None	Using any number from 0 to 10, where 0 is the worst kidney doctors possible and 10 is the best kidney doctors possible, what number would you use to rate the kidney doctors you have now?	Worst kidney doctors possible ..... 0 1 ..... 1 2 ..... 2 3 ..... 3 4 ..... 4 5 ..... 5 6 ..... 6 7 ..... 7 8 ..... 8 9 ..... 9 Best kidney doctors possible ..... 10 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	2	Yes
Q9 <b>&lt;dr-informed&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;dr-informed&gt;1&lt;/dr-informed&gt;</b>	—	Do your kidney doctors seem informed and up-to-date about the health care you receive from other doctors?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q10 <b>&lt;staff-listen&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;staff-listen&gt;1&lt;/staff-listen&gt;</b>	None	In the last 3 months, how often did the dialysis center staff listen carefully to you?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q11 <b>&lt;staff-explain&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;staff-explain&gt;1&lt;/staff-explain&gt;</b>	None	In the last 3 months, how often did the dialysis center staff explain things in a way that was easy for you to understand?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q12 <b>&lt;staff-respect&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;staff-respect&gt;1&lt;/staff-respect&gt;</b>	None	In the last 3 months, how often did the dialysis center staff show respect for what you had to say?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
<b>Q13</b> <b>&lt;staff-time&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;staff-time&gt;1&lt;/staff-time&gt;</b>	None	In the last 3 months, how often did the dialysis center staff spend enough time with you?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q14</b> <b>&lt;staff-care&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;staff-care&gt;1&lt;/staff-care&gt;</b>	None	In the last 3 months, how often did you feel the dialysis center staff really cared about you as a person?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
<b>Q15</b> <b>&lt;make-comfortable&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;make-comfortable&gt;1&lt;/make-comfortable&gt;</b>	None	In the last 3 months, how often did dialysis center staff make you as comfortable as possible during dialysis?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q16 <b>&lt;info-private&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;info-private&gt;1&lt;/info-private&gt;</b>	None	In the last 3 months, did dialysis center staff keep information about you and your health as private as possible from other patients?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q17 <b>&lt;ask-staff&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;ask-staff&gt;1&lt;/ask-staff&gt;</b>	None	In the last 3 months, did you feel comfortable asking the dialysis center staff everything you wanted about dialysis care?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q18 <b>&lt;ask-affects&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;ask-affects&gt;1&lt;/ask-affects&gt;</b>	None	In the last 3 months, has anyone on the dialysis center staff asked you about how your kidney disease affects other parts of your life?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q19 <b>&lt;take-care&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;take-care&gt;1&lt;/take-care&gt;</b>	None	The dialysis center staff can connect you to the dialysis machine through a graft, fistula, or catheter. Do you know how to take care of your graft, fistula, or catheter?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q20 <b>&lt;connect-machine&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;connect-machine&gt;1&lt;/connect-machine&gt;</b>	None	In the last 3 months, which one did they use most often to connect you to the dialysis machine?	Graft ..... 1 Fistula ..... 2 Catheter ..... 3 I don't know ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q21 <b>&lt;little-pain&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;little-pain&gt;1&lt;/little-pain&gt;</b>	None	In the last 3 months, how often did dialysis center staff insert your needles with as little pain as possible?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 I/You insert my/ your own needles ..... 5 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes



## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q22 <b>&lt;check-closely&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;check-closely&gt;1&lt;/check-closely&gt;</b>	None	In the last 3 months, how often did dialysis center staff check you as closely as you wanted while you were on the dialysis machine?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q23 <b>&lt;problems&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;problems&gt;1&lt;/problems&gt;</b>	None	In the last 3 months, did any problems occur during your dialysis?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q24 <b>&lt;manage-problems&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;manage-problems&gt;1&lt;/manage-problems&gt;</b>	None	In the last 3 months, how often was the dialysis center staff able to manage problems during your dialysis?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q25 <b>&lt;behave-professionally&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;behave-professionally&gt;1&lt;/behave-professionally&gt;</b>	None	In the last 3 months, how often did dialysis center staff behave in a professional manner?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q26 <b>&lt;talk-about-eat&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;talk-about-eat&gt;1&lt;/talk-about-eat&gt;</b>	None	In the last 3 months, did dialysis center staff talk to you about what you should eat and drink?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q27 <b>&lt;explain-bloodtest&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;explain-bloodtest&gt;1&lt;/explain-bloodtest&gt;</b>	None	In the last 3 months, how often did dialysis center staff explain blood test results in a way that was easy to understand?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q28 <b>&lt;your-rights&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;your-rights&gt;1&lt;/your-rights&gt;</b>	None	As a patient you have certain rights. For example, you have the right to be treated with respect and the right to privacy. Did this dialysis center ever give you any written information about your rights as a patient?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q29 <b>&lt;review-rights&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;review-rights&gt;1&lt;/review-rights&gt;</b>	None	Did dialysis center staff at this center ever review your rights as a patient with you?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q30 <b>&lt;what-dohome&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;what-dohome&gt;1&lt;/what-dohome&gt;</b>	None	Has dialysis center staff ever told you what to do if you experience a health problem at home?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q31 <b>&lt;getoff-machine&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;getoff-machine&gt;1&lt;/getoff-machine&gt;</b>	None	Has any dialysis center staff ever told you how to get off the machine if there is an emergency at the center?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q32 <b>&lt;rate-staff&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;rate-staff&gt;2&lt;/rate-staff&gt;</b>	None	Using any number from 0 to 10, where 0 is the worst dialysis center staff possible and 10 is the best dialysis center staff possible, what number would you use to rate your dialysis center staff?	Worst dialysis center staff possible ..... 0 1 ..... 1 2 ..... 2 3 ..... 3 4 ..... 4 5 ..... 5 6 ..... 6 7 ..... 7 8 ..... 8 9 ..... 9 Best dialysis center staff possible ..... 10 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	2	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q33 <b>&lt;onmachine-15min&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;onmachine-15min&gt;1&lt;/onmachine-15min&gt;</b>	None	In the last 3 months, when you arrived on time, how often did you get put on the dialysis machine within 15 minutes of your appointment or shift time?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q34 <b>&lt;center-clean&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;center-clean&gt;1&lt;/center-clean&gt;</b>	None	In the last 3 months, how often was the dialysis center as clean as it could be?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q35 <b>&lt;rate-center&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;rate-center&gt;1&lt;/rate-center&gt;</b>	None	Using any number from 0 to 10, where 0 is the worst dialysis center possible and 10 is the best dialysis center possible, what number would you use to rate this dialysis center?	Worst dialysis center possible ..... 0 1 ..... 1 2 ..... 2 3 ..... 3 4 ..... 4 5 ..... 5 6 ..... 6 7 ..... 7 8 ..... 8 9 ..... 9 Best dialysis center possible ..... 10 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	2	Yes
Q36 <b>&lt;talk-treatment&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;talk-treatment&gt;1&lt;/talk-treatment&gt;</b>	None	You can treat kidney disease with dialysis at a center, a kidney transplant, or with dialysis at home. In the last 12 months, did your kidney doctors or dialysis center staff talk to you as much as you wanted about which treatment is right for you?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q37 <b>&lt;eligible-transplant&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;eligible-transplant&gt;1&lt;/eligible-transplant&gt;</b>	None	Are you eligible for a kidney transplant?	Yes ..... 1 No ..... 2 I don't know ..... 3 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q38 <b>&lt;explain-ineligible&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;explain-ineligible&gt;1&lt;/explain-ineligible&gt;</b>	None	In the last 12 months, has a doctor or dialysis center staff explained to you why you are not eligible for a kidney transplant?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q39 <b>&lt;talk-peritoneal&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;talk-peritoneal&gt;1&lt;/talk-peritoneal&gt;</b>	None	Peritoneal dialysis is dialysis given through the belly and is usually done at home. In the last 12 months, did either your kidney doctors or dialysis center staff talk to you about peritoneal dialysis?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q40 <b>&lt;choose-treatment&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;choose-treatment&gt;1&lt;/choose-treatment&gt;</b>	None	In the last 12 months, were you as involved as much as you wanted in choosing the treatment for kidney disease that is right for you?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q41 <b>&lt;unhappy-care&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;unhappy-care&gt;1&lt;/unhappy-care&gt;</b>	None	In the last 12 months, were you ever unhappy with the care you received at the dialysis center or from your kidney doctors?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q42 <b>&lt;talk-withstaff&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;talk-withstaff&gt;1&lt;/talk-withstaff&gt;</b>	None	In the last 12 months, did you ever talk to someone on the dialysis center staff about this?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes



## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q43 <b>&lt;satisfied-problems&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;satisfied-problems&gt;1&lt;/satisfied-problems&gt;</b>	None	In the last 12 months, how often were you satisfied with the way they handled these problems?	Never ..... 1 Sometimes ..... 2 Usually ..... 3 Always ..... 4 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q44 <b>&lt;make-complaint&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;make-complaint&gt;1&lt;/make-complaint&gt;</b>	None	Medicare and your State have special agencies that check the quality of care at this dialysis center. In the last 12 months, did you make a complaint to any of these agencies?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK ..... M	Alphanumeric character	1	Yes
Q45 <b>&lt;overall-health&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;overall-health&gt;1&lt;/overall-health&gt;</b>	None	In general, how would you rate your overall health?	Excellent ..... 1 Very good ..... 2 Good ..... 3 Fair ..... 4 Poor ..... 5 MISSING/DK ..... M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q46 <b>&lt;mental-health&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;mental-health&gt;1&lt;/mental-health&gt;</b>	None	In general, how would you rate your overall mental or emotional health?	Excellent ..... 1 Very good ..... 2 Good ..... 3 Fair ..... 4 Poor ..... 5 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q47 <b>&lt;high-bloodpressure&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;high-bloodpressure&gt;1&lt;/high-bloodpressure&gt;</b>	None	Are you being treated for high blood pressure?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q48 <b>&lt;diabetes&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;diabetes&gt;1&lt;/diabetes&gt;</b>	None	Are you being treated for diabetes or high blood sugar?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q49 <b>&lt;heart-disease&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;heart-disease&gt;1&lt;/heart-disease&gt;</b>	None	Are you being treated for heart disease or heart problems?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q50 <b>&lt;deaf&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;deaf&gt;1&lt;/deaf&gt;</b>	None	Are you deaf or do you have serious difficulty hearing?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q51 <b>&lt;blind&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;blind&gt;1&lt;/blind&gt;</b>	None	Are you blind or do you have serious difficulty seeing, even when wearing glasses?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q52 <b>&lt;difficulty-concentrating&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;difficulty-concentrating&gt;1&lt;/difficulty-concentrating&gt;</b>	None	Because of a physical, mental, or emotional condition, do you have serious difficulty concentrating, remembering, or making decisions?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q53 <b>&lt;difficulty-walking&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;difficulty-walking&gt;1&lt;/difficulty-walking&gt;</b>	None	Do you have serious difficulty walking or climbing stairs?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q54 <b>&lt;difficulty-dressing&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;difficulty-dressing&gt;1&lt;/difficulty-dressing&gt;</b>	None	Do you have difficulty dressing or bathing?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q55 <b>&lt;difficulty-errands&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;difficulty-errands&gt;1&lt;/difficulty-errands&gt;</b>	None	Because of a physical, mental, or emotional condition, do you have difficulty doing errands alone, such as visiting a doctor's office or shopping?	Yes ..... 1 No ..... 2 MISSING/DK ..... M	Alphanumeric character	1	Yes
Q56 <b>&lt;education&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;education&gt;1&lt;/education&gt;</b>	None	What is the highest grade or level of school that you have completed?	No formal education ... 1 5 <sup>th</sup> grade or less ..... 2 6 <sup>th</sup> , 7 <sup>th</sup> or 8 <sup>th</sup> grade ..... 3 Some high school, but did not graduate .... 4 High school graduate or GED ..... 5 Some college or 2-year degree ..... 6 4-year college graduate ..... 7 More than 4-year college degree ..... 8 MISSING/DK ..... M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q57 <b>&lt;language-spoken&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;language-spoken&gt;1&lt;/language-spoken&gt;</b>	None	What language do you mainly speak at home?	English..... 1 Spanish ..... 2 Chinese ..... 3 Samoan ..... 4 Russian ..... 5 Vietnamese ..... 6 Portuguese ..... 7 Some other language .. 8 MISSING/DK.....M	Alphanumeric character	1	Yes
Q58-phone <b>&lt;not-hispanic-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;not-hispanic-phone&gt;1&lt;/not-hispanic-phone&gt;</b>	None	Are you of Spanish, Hispanic, or Latino origin or descent?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q58a-phone <b>&lt;hispanic-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;hispanic-phone&gt;1&lt;/hispanic-phone&gt;</b>	None	Would you say you are...	Puerto Rican ..... 1 Mexican, Mexican American, Chicano ..... 2 Cuban..... 3 Other Spanish/Hispanic/Latino ..... 4 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q58-mail <b>&lt;not-hispanic-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;not-hispanic-mail&gt;1&lt;/not-hispanic-mail&gt;</b>	None	Are you of Spanish, Hispanic, or Latino origin or descent?	No, not Spanish/Hispanic/Latino ..... 1 Puerto Rican ..... 2 Mexican, Mexican American, Chicano ..... 3 Cuban..... 4 Other Spanish/Hispanic/Latino ..... 5 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-phone <b>&lt;race-white-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-white-phone&gt;1&lt;/race-white-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	White ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-phone <b>&lt;race-african-amer-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-african-amer-phone&gt;1&lt;/race-african-amer-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	Black or African American ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-phone <b>&lt;race-amer-indian-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-amer-indian-phone&gt;1&lt;/race-amer-indian-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	American Indian or Alaska Native ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-phone <b>&lt;race-asian-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-asian-phone&gt;1&lt;/race-asian-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	Asian..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes



## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-phone <b>&lt;race-nativehawaiian-pacific-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-nativehawaiian-pacific-phone&gt;1&lt;/race-nativehawaiian-pacific-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	Native Hawaiian or Pacific Islander ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-phone <b>&lt;race-noneofabove-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-noneofabove-phone&gt;1&lt;/race-noneofabove-phone&gt;</b>	None	What is your race? You may choose one or more of the following. Are you...	NONE OF ABOVE .... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59a-phone <b>&lt;race-asian-indian-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-asian-indian-phone&gt;1&lt;/race-asian-indian-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Asian Indian..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59a-phone <race-chinese-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-chinese-phone>1</race-chinese-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Chinese ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59a-phone <race-filipino-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-filipino-phone>1</race-filipino-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Filipino ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59a-phone <race-japanese-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-japanese-phone>1</race-japanese-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Japanese..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59a-phone <race-korean-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-korean-phone&gt;1&lt;/race-korean-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Korean ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59a-phone <race-vietnamese-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-vietnamese-phone&gt;1&lt;/race-vietnamese-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Vietnamese ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59a-phone <race-otherasian-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-otherasian-phone&gt;1&lt;/race-otherasian-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Other Asian..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59a-phone <race-noneofabove-asian-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-noneofabove-asian-phone>1</race-noneofabove-asian-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	NONE OF ABOVE .... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59b-phone <race-nativehawaiian-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-nativehawaiian-phone>1</race-nativehawaiian-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Native Hawaiian ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59b-phone <race-guam-chamarro-phone> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <race-guam-chamarro-phone>1</race-guam-chamarro-phone>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Guamanian or Chamorro ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59b-phone <b>&lt;race-samoan-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-samoan-phone&gt;1&lt;/race-samoan-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Samoan ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59b-phone <b>&lt;race-otherpacificislander-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-otherpacificislander-phone&gt;1&lt;/race-otherpacificislander-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	Other Pacific Islander ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59b-phone <b>&lt;race-noneofabove-pacific-phone&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-noneofabove-pacific-phone&gt;1&lt;/race-noneofabove-pacific-phone&gt;</b>	None	Which groups best describes you? You may choose one or more of the following. Are you...	NONE OF ABOVE .... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-mail <b>&lt;race-white-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-white-mail&gt;1&lt;/race-white-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	White ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-african-amer-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-african-amer-mail&gt;1&lt;/race-african-amer-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Black or African American ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-amer-indian-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-amer-indian-mail&gt;1&lt;/race-amer-indian-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	American Indian or Alaska Native ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-mail <b>&lt;race-asian-indian-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-asian-indian-mail&gt;1&lt;/race-asian-indian-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Asian Indian..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-chinese-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-chinese-mail&gt;1&lt;/race-chinese-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Chinese ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-filipino-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-filipino-mail&gt;1&lt;/race-filipino-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Filipino ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-mail <b>&lt;race-japanese-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-japanese-mail&gt;1&lt;/race-japanese-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Japanese..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-korean-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-korean-mail&gt;1&lt;/race-korean-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Korean ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-vietnamese-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-vietnamese-mail&gt;1&lt;/race-vietnamese-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Vietnamese ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes



## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-mail <b>&lt;race-otherasian-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-otherasian-mail&gt;1&lt;/race-otherasian-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Other Asian..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-nativehawaiian-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-nativehawaiian-mail&gt;1&lt;/race-nativehawaiian-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Native Hawaiian ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-guamanian-chamorro-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-guamanian-chamorro-mail&gt;1&lt;/race-guamanian-chamorro-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Guamanian or Chamorro ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q59-mail <b>&lt;race-samoan-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-samoan-mail&gt;1&lt;/race-samoan-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Samoan ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q59-mail <b>&lt;race-other-pacificislander-mail&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;race-other-pacificislander-mail&gt;1&lt;/race-other-pacificislander-mail&gt;</b>	None	What is your race? (One or more categories may be selected.)	Other Pacific Islander ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q60-mail <b>&lt;help-you&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;help-you&gt;1&lt;/help-you&gt;</b>	None	Did someone help you complete this survey?	Yes ..... 1 No ..... 2 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

## PATIENT RESPONSE RECORD (continued)

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q61-mail <b>&lt;who-helped&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;who-helped&gt;1&lt;/who-helped&gt;</b>	None	Who helped you complete this survey?	A family member..... 1 A friend..... 2 A staff member at the dialysis center ..... 3 Someone else ..... 4 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q62-mail <b>&lt;help-read&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;help-read&gt;1&lt;/help-read&gt;</b>	None	How did that person help you? Check all that apply.	Read the questions to me ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q62-mail <b>&lt;help-wrote&gt;</b> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example: &lt;help-wrote&gt;1&lt;/help-wrote&gt;</b>	None	How did that person help you? Check all that apply.	Wrote down the answers I gave ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

**PATIENT RESPONSE RECORD (continued)**

XML Element	Attributes	Description	Valid Values	Data Type	Field Size	Data Element Required
Q62-mail <help-answer> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <help-answer>1</help-answer>	None	How did that person help you? Check all that apply.	Answered the questions for me..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q62-mail <help-translate> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <help-translate>1</help-translate>	None	How did that person help you? Check all that apply.	Translated the questions into my language..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes
Q62-mail <help-other> Each element must have a closing tag that is the same as the opening tag but with a forward slash. This patient response data element should only occur once per patient. <b>Example:</b> <help-other>1</help-other>	None	How did that person help you? Check all that apply.	Helped in some other way ..... 1 NOT APPLICABLE.. X MISSING/DK.....M	Alphanumeric character	1	Yes

**APPENDIX M:**  
**MODEL QUALITY ASSURANCE PLAN**

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## **Model Quality Assurance Plan In-Center Hemodialysis CAHPS Survey**

Survey vendors that meet the necessary business requirements to become a CMS-approved In-Center Hemodialysis (ICH) CAHPS Survey vendor and have participated in the ICH CAHPS Survey training session will receive conditional approval as an ICH CAHPS Survey vendor. Survey vendors will receive final approval after they have submitted an acceptable Quality Assurance Plan (QAP). This model QAP serves as a guide for survey vendors as they develop their procedures and materials for implementing and complying with the ICH CAHPS Survey *Administration and Specifications Manual*.

Each vendor must complete and submit a QAP to the ICH CAHPS Survey Coordination Team within 6 weeks after the vendor's first semiannual submission of ICH CAHPS Survey data. The ICH CAHPS Survey Coordination Team will notify each vendor of its final approval status within 4 weeks after the QAP is submitted. In addition, each vendor will be required to update and resubmit its QAP annually on or before March 31 of each year thereafter, and whenever it makes key personnel or protocol changes.

The vendor's QAP should include the sections listed below. The specific requirements for these sections are described in the pages that follow.

- Organization Background and Staff Experience
- Work Plan
- Survey Implementation Plan
- Data Security, Confidentiality, and Privacy Plan
- Questionnaire and Materials Attachments

Each vendor will receive final approval as an ICH CAHPS Survey vendor after its QAP has been reviewed and approved by the ICH CAHPS Survey Coordination Team.

### **Organization Background and Staff Experience**

1. Provide your organization's name and address. If your organization has multiple locations, include the address of both the main location and the address of the locations at which the primary operations, including data collection and data processing activities, are being conducted.
2. Describe the history and affiliation with any other organization (e.g., other company or university affiliation). Include the scope of business, number of years in business, and number of years of survey experience.

3. Provide an organizational chart that shows the names and titles of staff members, including subcontractors, who are responsible for each of the following tasks:
  - a. Overall project management, including tracking and supervision of all tasks below.
  - b. Obtaining the sample file.
  - c. Data collection, including overseeing implementation of the data collection mode for which your organization has been approved.
  - d. Data receipt and data entry/scanning procedures.
  - e. File development and submission processes.

The organizational chart must specify all staff reporting relationships, including those managing subcontractors. It must designate any individuals who have quality assurance oversight responsibility and indicate for which tasks they are responsible.

4. Summarize the background and experience of the individuals responsible for the tasks listed in Item 3 above, including a description of any subcontractors serving in these roles. The narrative of each individual's experience must include a discussion of how the person's qualifications are relevant to the ICH CAHPS Survey tasks that he or she is expected to perform. Resumes must be available upon request.

## Work Plan

1. Describe how your organization is implementing the ICH CAHPS Survey for each mode for which your organization has been approved. This section of your QAP must describe the entire process that your organization is following to implement the survey, including your procedures for:
  - a. obtaining the sample file from the ICH CAHPS website;
  - b. fielding the survey, receiving and processing all data;
  - c. preparing and submitting final files;
  - d. ensuring that the final survey data match the SID assigned by the ICH CAHPS Survey Coordination Team; and
  - e. implementing quality control at each stage to ensure the quality and security of the data.

For each step above, describe who is responsible for overseeing the activity, and when that activity is completed (for example, x weeks after mailing the first questionnaire).

2. Include a copy of your schedule or timeline for conducting all activities within the timeframes specified in the ICH CAHPS Survey *Administration and Specifications Manual*. The timeline must include receipt of files from the ICH CAHPS website/Survey Coordination Team, each step of the mail or telephone implementation, data file cleaning, and data file preparation and submission.



## Survey Implementation Plan

1. Describe your process for receiving and tracking sample files from the ICH CAHPS website.
2. Describe your process for implementing your approved survey mode(s). This includes a description of the relevant hardware or software. For example, describe your electronic interviewing and case management systems and your mailing, scanning, or data entry equipment.
3. Describe the training for all ICH CAHPS Survey project staff, including telephone interviewers (if applicable), mail survey production, data receipt/data processing/data entry, and customer support staff. Subcontractors with significant roles will be required to attend the vendor training session. If you are using subcontractors for any roles, describe how the subcontractor's staff are being trained.
4. Describe your training-related quality control procedures to ensure compliance with ICH CAHPS Survey protocols and procedures established in the ICH CAHPS Survey *Administration and Specifications Manual*. Describe your documentation showing appropriate quality control of data collection and processing.
5. Describe your toll-free customer support telephone line, including the actual telephone number and who responds to questions from callers. Also include information on the days of the week and times of the day that you are staffing the customer support line and how you are handling after-hours contacts, and include text of any audio-recordings that are being used. Include a discussion of your quality control procedures to ensure compliance with ICH CAHPS Survey protocols and describe your documentation of this quality control.
6. Describe the production and posting process for mail surveys, if applicable, including indicating the name of the staff member responsible for the process, and quality control checks implemented at each stage (for example, monitoring the quality and content of mail survey packages, use of seeded mailings, and frequency of checks). Describe your quality control procedures to ensure compliance with ICH CAHPS Survey protocols and describe your documentation of this quality control.
7. Describe the receipt and data entry or scanning process for mail surveys, if applicable, including who is responsible for the process and what quality control checks are being implemented at the questionnaire receipt, data entry, and scanning phases, and how frequently those checks are conducted. Describe your quality control procedures to ensure compliance with ICH CAHPS Survey protocols and describe your documentation of this quality control.
8. Describe the process for implementing the telephone survey, if applicable, including who is responsible for training and monitoring interviewer performance, how training and monitoring are being documented, and your systems and procedures to ensure that all interviewing is conducted according to the ICH CAHPS Survey protocols (for example, varying times of day that calls are attempted and tracking the status of call attempts).
9. If you are approved for mixed-mode administration, you must address all of the paragraphs above regarding both mail and telephone processes. In addition, you must

- include a discussion of the control system used to monitor case status as the case transitions from the mail phase of the survey to the telephone follow-up phase. Describe your survey receipt process to track surveys that are returned while the telephone follow-up phase is in effect. Describe the processes that you have in place to ensure that sample members who have returned a completed survey are not called after the completed survey is received. How do you determine which completed survey to retain (mail or telephone interview data) if the sample member returns a completed survey and participates in a telephone interview?
10. Describe your processes to submit data files to the ICH CAHPS Data Center through the ICH CAHPS Survey website. Discuss your quality control during file creation, including documentation of quality control. Describe the process that will be used to ensure that final survey data are linked to the original SID assigned by the Coordination Team.

### **Data Security, Confidentiality, and Privacy Plan**

1. Describe your process to ensure data security, including passwords, file encryption, backup systems, etc. For both hardcopy questionnaires and electronic data files, describe how and for how long these materials will be stored and when and how they will be destroyed.
2. Describe your vendor and subcontractor staff confidentiality agreements, including how affidavits of confidentiality are being stored and tracked. Include a copy of the confidentiality agreement that is being used.
3. Describe your measures to protect respondent privacy. Include your telephone survey script regarding privacy or confidentiality of the data collected. Vendors must ensure compliance with Health Insurance Portability and Accountability Act (HIPAA) requirements. Describe the required HIPAA training of staff working on the ICH CAHPS Survey project. If you are using any subcontractors for any roles, describe how the subcontractor's staff are being trained on HIPAA.
4. If you are approved for telephone surveys, include a screenshot or text indicating the voluntary nature of the sample member's participation.
5. Please include a statement in your QAP confirming that you have a disaster recovery plan for ICH CAHPS Survey data.

### **Questionnaire and Materials Attachments**

1. Attach a copy of your formatted mail survey questionnaire if you are approved for mail only or mixed mode administration. Be sure to include the cover page and back page.
2. If you are approved for telephone only or mixed mode administration, attach all screen shots from your telephone interview program—beginning with the introductory screens and ending with the last question in the interview.
3. If you are approved for mail only or mixed mode administration, include a copy of your cover letter(s).

**APPENDIX N:**  
**EXCEPTIONS REQUEST FORM**

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## In-Center hemodialysis CAHPS Survey Exceptions Request Form Specs

Date Submitted: <Today's Date>

### I. EXCEPTION REQUEST INFORMATION

Please complete Items 1 and 2 below.

#### 1. Exception Request

1a. Exception Request Classification (Radio Button)

- New Exception
- Update List of Applicable In-Center Hemodialysis Facilities
- Appeal of Exception Denial

1b. Specify Reason for Exception Request:

Open ended text box

#### 2. Description of Exception Request

2a. Purpose of requested exception (e.g., data issues).

Open ended text box

2b. How will the exception be implemented?

Open ended text box

2c. Provide evidence that exception will not affect survey results.

Open ended text box

## II. LIST OF IN-CENTER HEMODIALYSIS FACILITIES IMPACTED BY THIS EXCEPTION REQUEST

Vendor should revise the Exception Request if additional facilities (CCNs) need to be added after the initial Exception Request was submitted.

If you have multiple CCN #s, please enter them as a comma separated list, as shown in the example below. After entering your CCN number(s), click on the "Lookup Facility Names" button. Do not include dashes in the CCN number.

Example: 111111,222222,333333

CCN #s



The screenshot shows a web form with a large text input field for entering CCN numbers. Below the input field is a button labeled "Lookup Facility Names".

The following validation checks are run and corresponding messages displayed to the user:

- If no CCN number(s) have been entered, display the error message: "Please enter the CCN number(s)."
- If any CCN numbers are not numeric, display the error message: "CCN numbers must consist of numbers only."
- If any CCN numbers are not six digits, display the error message: "CCNs must consist of exactly six digits. One or more of the CCNs you entered is either too short or too long."
- If any CCNs do not match the master CMS list, display the error message: The following CCN number(s) do not match the master CMS database. Please correct your CCN number(s) and click the Lookup button again. If you believe that you received this message in error, please contact CMS to verify that your CCN number is correct, or contact the ICH CAHPS Coordination team to discuss the issue."

This lookup button should take the comma separated list of CCNs entered and check them against the table [rti\\_CMS\\_Facility\\_List](#), in order to resolve the Facility Name. Any names that successfully resolve should be shown in the list. Any CCN numbers that do not exist in the master table should show an error, and request the user check the number and try again.

### Lookup Results:

The following CCN number(s) will be registered when you click the "Submit" button below. Please verify that the list is correct. If it is not correct, please edit your CCN number(s) above and click the Lookup button again.

CCN #	Facility Name
017141	NORTHWEST HOME HEALTH WINFIELD
017142	ATMORE COMMUNITY HOME CARE, LLC

**Submit**

**APPENDIX O:**  
**DISCREPANCY NOTIFICATION FORM**

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## In-Center Hemodialysis CAHPS Survey Discrepancy notification report

To submit this form online, please go to <https://ichcahps.org>.

Date Submitted:

### I. Discrepancy Notification Report

One DNR is required for each discrepancy reason. If you have multiple CCNs with the same discrepancy reason, please include all CCNs on one DNR. If you have more than one discrepancy reason, you will need to submit a DNR for each discrepancy reason. To complete this form, please complete the following sections:

- Section I—Select the affected Survey Period and the reason for the discrepancy from the drop down boxes.
- Section II—Enter all CCNs that are impacted by the discrepancy reason.
- Section III—Provide a detailed description of the discrepancy being reported for each CCN and include the number of affected patients. If you do not know the number of affected patients, please enter UNK. If the number of affected patients is not applicable, enter NA.
- Section IV—Include a description of the corrective action your organization has taken to address the discrepancy.
- Section V—Provide any additional information about the discrepancy that you feel the ICH CAHPS Coordination Team will need.

SURVEY PERIOD:  DISCREPANCY REASON:

## II. Lookup Facilities

Please enter your CCN number(s) for which you are filing the discrepancy. If you have multiple CCN numbers, please enter them as a comma separated list, as shown in the example below. After entering your CCN number(s), click on the “Lookup Facility Names” button. Do not include dashes in the CCN number.

Example: 111111, 222222, 333333




CCN #s



The image shows a large, empty text input box with a vertical scrollbar on the right and a horizontal scrollbar at the bottom. Below the input box is a button labeled "Lookup Facility Names".

## III. Discrepancy Information

Please complete the items below in detail for each facility listed.

CCN	Facility Name	# of Patients Affected (If not known/not applicable, enter UNK or NA)	If Late Start, dates data collection began and ended (Format 11/1/2014–12/2/2014)	Detailed Description of Discrepancy for the Affected CCN
XXXXXX	ABC Test Dialysis Center			

- IV Description of corrective action to be taken to address discrepancy, along with proposed timeline.**
- V. Additional information not provided above which will help the ICH CAHPS Survey Coordination Team understand the discrepancy.**

A Discrepancy form will be submitted for the CCN number(s) listed above when you click the "Submit" button below. Please verify that the list is correct. If it is not correct, please edit your CCN number(s) above and click the Lookup button again.

***To submit this form, visit the In-Center Hemodialysis CAHPS Survey website at <https://ichcahps.org> . If you have any problems completing the online Discrepancy Notification form, please e-mail the ICH CAHPS Coordination Team at [ichcahps@rti.org](mailto:ichcahps@rti.org) for assistance.***

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**APPENDIX P:**  
**2020 END-STAGE RENAL DISEASE (ESRD) NETWORK**  
**PHONE NUMBERS BY STATE**

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**2020 End-Stage Renal Disease (ESRD) Network  
Phone Numbers by State****Alabama:**

NETWORK 8, INC.  
NETWORK 8  
1-877-936-9260

**Alaska:**

HEALTHINSIGHT NORTHWEST RENAL  
NETWORK  
NETWORK 16  
1-800-262-1514

**American Samoa:**

HSAG: ESRD NETWORK 17  
NETWORK 17  
1-800-232-3773

**Arizona:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**Arkansas:**

HSAG: ESRD NETWORK 13  
NETWORK 13  
1-800-472-8664

**California (Northern):**

HSAG: ESRD NETWORK 17  
NETWORK 17  
1-800-232-3773

**California (Southern):**

HEALTHINSIGHT ESRD NETWORK 18  
NETWORK 18  
1-800-637-4767

**Colorado:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**Connecticut:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**Delaware:**

QUALITY INSIGHTS RENAL NETWORK 4  
NETWORK 4  
1-800-548-9205

**Florida:**

THE FLORIDA ESRD NETWORK  
NETWORK 7  
1-800-826-3773

**Georgia:**

IPRO ESRD NETWORK OF THE SOUTH  
ATLANTIC  
NETWORK 6  
1-800-524-7139

**Guam:**

HSAG: ESRD NETWORK 17  
NETWORK 17  
1-800-232-3773

**Hawaii:**

HSAG: ESRD NETWORK 17  
NETWORK 17  
1-800-232-3773

**Idaho:**

HEALTHINSIGHT NORTHWEST RENAL  
NETWORK  
NETWORK 16  
1-800-262-1514

**Illinois:**

QSOURCE ESRD NETWORK 10  
NETWORK 10  
1-800-456-6919

**Indiana:**

IPRO ESRD NETWORK OF THE OHIO RIVER  
VALLEY  
NETWORK 9  
1-844-819-3010

**Iowa:**

HEARTLAND KIDNEY NETWORK  
NETWORK 12  
1-800-444-9965

**Kansas:**

HEARTLAND KIDNEY NETWORK  
NETWORK 12  
1-800-444-9965

**Kentucky:**

IPRO ESRD NETWORK OF THE OHIO RIVER  
VALLEY  
NETWORK 9  
1-844-819-3010

**Louisiana:**

HSAG: ESRD NETWORK 13  
NETWORK 13  
1-800-472-8664

**Maine:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**Mariana Islands (Northern):**

HSAG: ESRD NETWORK 17  
NETWORK 17  
1-800-232-3773

**Maryland:**

QUALITY INSIGHTS RENAL NETWORK 5  
NETWORK 5  
1-866-651-6272

**Massachusetts:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**Michigan:**

MIDWEST KIDNEY NETWORK  
NETWORK 11  
1-800-973-3773

**Minnesota:**

MIDWEST KIDNEY NETWORK  
NETWORK 11  
1-800-973-3773

**Mississippi:**

NETWORK 8, INC.  
NETWORK 8  
1-877-936-9260

**Missouri:**

HEARTLAND KIDNEY NETWORK  
NETWORK 12  
1-800-444-9965

**Montana:**

HEALTHINSIGHT NORTHWEST RENAL  
NETWORK  
NETWORK 16  
1-800-262-1514

**Nebraska:**

HEARTLAND KIDNEY NETWORK  
NETWORK 12  
1-800-444-9965

**Nevada:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**New Hampshire:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**New Jersey:**

QUALITY INSIGHTS RENAL NETWORK 3  
NETWORK 3  
1-888-877-8400

**New Mexico:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**New York:**

IPRO ESRD NETWORK OF NEW YORK  
NETWORK 2  
1-800-238-3773

**North Carolina:**

IPRO ESRD NETWORK OF THE SOUTH  
ATLANTIC  
NETWORK 6  
1-800-524-7139



February 2020

**North Dakota:**

MIDWEST KIDNEY NETWORK  
NETWORK 11  
1-800-973-3773

**Ohio:**

IPRO ESRD NETWORK OF THE OHIO RIVER  
VALLEY  
NETWORK 9  
1-844-819-3010

**Oklahoma:**

HSAG: ESRD NETWORK 13  
NETWORK 13  
1-800-472-8664

**Oregon:**

HEALTHINSIGHT NORTHWEST RENAL  
NETWORK  
NETWORK 16  
1-800-262-1514

**Pennsylvania:**

QUALITY INSIGHTS RENAL NETWORK 4  
NETWORK 4  
1-800-548-9205

**Puerto Rico:**

QUALITY INSIGHTS RENAL NETWORK 3  
NETWORK 3  
1-888-877-8400

**Rhode Island:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**South Carolina:**

IPRO ESRD NETWORK OF THE SOUTH  
ATLANTIC  
NETWORK 6  
1-800-524-7139

**South Dakota:**

MIDWEST KIDNEY NETWORK  
NETWORK 11  
1-800-973-3773

**Tennessee:**

NETWORK 8, INC.  
NETWORK 8  
1-877-936-9260

**Texas:**

ESRD NETWORK OF TEXAS, INC.  
NETWORK 14  
1-877-886-4435

**Utah:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**Vermont:**

IPRO ESRD NETWORK OF NEW ENGLAND  
NETWORK 1  
1-866-286-3773

**Virgin Islands:**

QUALITY INSIGHTS RENAL NETWORK 3  
NETWORK 3  
1-888-877-8400

**Virginia:**

QUALITY INSIGHTS RENAL NETWORK 5  
NETWORK 5  
1-866-651-6272

**Washington (state):**

HEALTHINSIGHT NORTHWEST RENAL  
NETWORK  
NETWORK 16  
1-800-262-1514

**West Virginia:**

QUALITY INSIGHTS RENAL NETWORK 5  
NETWORK 5  
1-866-651-6272

**Wisconsin:**

MIDWEST KIDNEY NETWORK  
NETWORK 11  
1-800-973-3773

**Wyoming:**

HSAG: ESRD NETWORK 15  
NETWORK 15  
1-800-783-8818

**Washington, DC:**

QUALITY INSIGHTS RENAL NETWORK 5  
NETWORK 5  
1-866-651-6272

**THE OFFICE OF MEDICARE:**

1-800-MEDICARE OR 1-800-633-4227