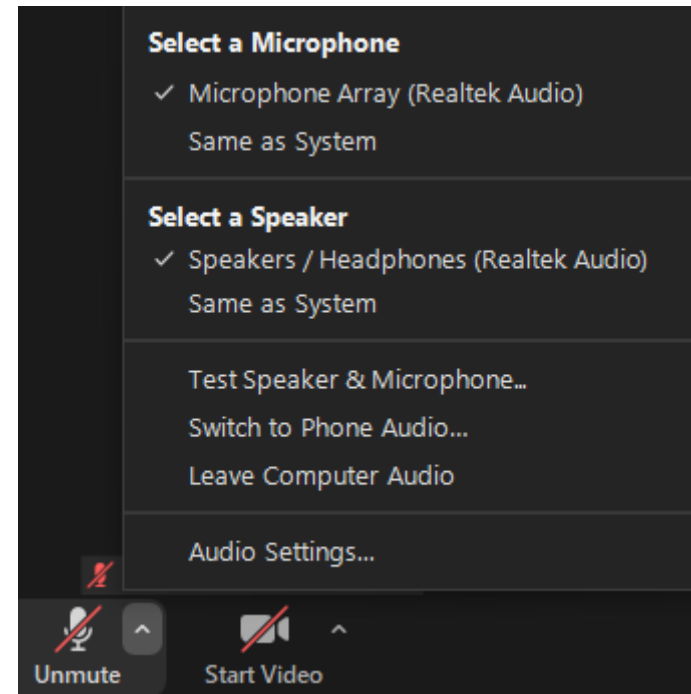# Medicare Health Outcomes Survey-Modified 2023 Survey Vendor Update Training

Welcome! Training will begin shortly.

For attendance purposes, please be sure your name appears in Zoom as your first and last name, followed by your organization name in parentheses.

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Medicare Health Outcomes Survey-Modified 2023 Survey Vendor Update Training

May 25, 2023

Welcome and Introduction

NCQA

Ruth Boansi, MPH
HOS Project Director

2023 HOS-M Survey Vendor Training Agenda

Time (p.m., ET)	Agenda Item	Presenter
1:00 – 1:05 p.m.	Welcome and Introduction	Ruth Boansi
1:05 – 1:25 p.m.	Overview of the HOS-M	Ruth Boansi
1:25 – 1:40 p.m.	PACE Sampling	Holden Selkirk
1:40 – 2:05 p.m.	The HOS-M PACE and FIDE SNP Protocols	Jacky Chon
2:05 – 2:15 p.m.	Break	
2:15 – 2:45 p.m.	Data Coding and Submission	Tochi Obioha
2:45 – 3:10 p.m.	Quality Oversight and Project Reporting	Alyssa Hart
3:10 – 3:25 p.m.	Questions and Closing	Ruth Boansi
3:25 – 3:45 p.m.	Post-Training Test	

Overview of the HOS-M

NCQA

Ruth Boansi, MPH
HOS Project Director

Overview

- HOS-M Background
- HOS-M Primary Goals
- PACE vs. FIDE SNP
- HOS-M QAG Addendum and FIDE SNP QAG Addendum
- HOS-M Questionnaire & Telephone Script
- Survey Integrity & Data Use Agreement (DUA) Process

Introduction to the HOS-M

- The Health Outcomes Survey—Modified (HOS-M) is an abbreviated version of the HOS
- Administered to vulnerable Medicare beneficiaries at greatest risk of poor health outcomes
- Administered to members of Programs of All Inclusive Care for the Elderly (PACE) and Fully Integrated Dual Eligible (FIDE) Special Needs Plans (SNP)
- Cross-sectional measure of mental and physical health

HOS-M Primary Goals

- Gather valid, reliable, and meaningful data that are used to:
  - Estimate frailty and adjust payments for PACE organizations
  - Estimate frailty and adjust payments for FIDE SNPs based on the minimum PACE plan frailty
  - Provide metrics that allow plans to monitor the health of their enrollment and to target quality improvement activities for vulnerable subgroups

HOS-M Results Disseminated to PACE Organizations

- HOS-M survey results are reported to PACE organizations in the Medicare HOS-M Report

- Beneficiary level HOS-M data files are distributed to PACE organizations after they are requested to HOS Technical Support at hos@hsag.com

- Data dissemination schedule can be found on the HOS website (www.hosonline.org)

PACE vs. FIDE SNP

	PACE	FIDE SNP
Telephone Protocol	6-12 telephone attempts; 6 telephone attempts to the member and 6 telephone attempts to the proxy	**NEW: Five** telephone attempts to **each** available telephone number • After five attempts to a single number, no further call attempts are made to that telephone number • **Must** dial each available telephone number five times
Sample	Random sample at the contract level	Random sample at the PBP level
Contact Information	Enhanced contact information of organizations with enrollment $\leq$ 1,200	No enhanced contact information protocol
Disposition Codes	• M37/T37 – Nonresponse: Refusal by proxy • M38/T38 – Nonresponse: gatekeeper refusal • M25 – Ineligible: respondent removed from sample by RTI	• M31/T31 – Nonresponse: break-off • **NEW:** M25 – Ineligible: respondent removed from sample

Quality Assurance Guidelines Addenda

- Survey vendors are required to follow the protocols and procedures in the *Medicare HOS Quality Assurance Guidelines and Technical Specifications V2.7* (QAG)

- Reference the HOS-M QAG Addendum for additional requirements that apply specifically to HOS-M administration for PACE

- Reference the FIDE SNP QAG Addendum for additional requirements for administering HOS-M for FIDE SNP

HOS-M Questionnaire

- Abbreviated version of the HOS
  - 19 total questions
- The HOS-M is comprised of
  - Veterans RAND 12-Item Health Survey questions
  - Activities of Daily Living questions
  - Proxy questions (e.g., How did you help complete the survey?)

HOS-M Telephone Script

- Telephone interviewers ascertain who is being interviewed at the beginning of the call
  - Questions 16, and if applicable, 17-19 are asked at the beginning
- Introduction language included for inbound telephone interviews
- Interviewer instructions and language included to address proxy HIPAA concerns

HOS-M Telephone Script (cont'd)

- Proxy script included for all languages
  - Survey vendors must program systems to align with language in the member and proxy scripts

Electronic Telephone Interviewing System Specifications	
Member Script	**Proxy Script**
>Q1< In general, would you say your health is: <1> Excellent, <2> Very good, <3> Good, <4> Fair, or <5> Poor? <9> NOT ASCERTAINED [Q2]	>Q1< In general, would you say [MEMBER NAME]'s health is: <1> Excellent, <2> Very good, <3> Good, <4> Fair, or <5> Poor? <9> NOT ASCERTAINED [Q2]

HOS-M Survey Integrity

- PACE organizations and HOS-M Vendors **MAY**:
  - Notify all members of a contract that they may be asked to participate in the 2023 HOS-M

- PACE organizations and HOS-M Vendors **MAY NOT**:
  - Attempt to influence beneficiaries' responses to HOS-M survey questions in any way

- Encouraging participation without biasing the results is tricky
  - Please consult with the HOS-M Project Team rather than jeopardizing your clients' results by having them labeled as biased

Permissible Staff Involvement - PACE

- **NEW:** PACE organizations received guidelines for permissible and impermissible PACE staff involvement in the HOS-M survey

- The guidelines were provided in a memo and are posted to the [HOS website](#)

- Email the HOS Project Team at hos@ncqa.org with questions, comments, requests, or concerns
  - Call to report/discuss urgent matters immediately and follow up with email
    - Alyssa Hart – (202) 517-8005
    - Ruth Boansi – (202) 315-1562

Annual DUA Process

- CMS-approved HOS-M survey vendors must execute the following steps in EPPE:
  - Verify all current staff and subcontractors are listed
  - Submit signed [DUA Addendums](#) for contract changes
  - Submit an update request to add **2023** data by **June 2, 2023**
- Submit fully-executed DUA to the HOS-M Project Team by **June 9, 2023**

Questions?

Polling Question 1

How many questions does the HOS-M questionnaire include?

PACE Sampling

RTI

Holden Selkirk, BA
Public Health Analyst

Overview

- Enrollment Criteria and Program Eligibility

- RTI Role

- Sample Selection

- Sample File Processing

- Death and Disenrollment Updates

PACE Enrollment Criteria

- To qualify for PACE, beneficiaries must be age 55 years and older, live in the community in a PACE service area, and be certified by the state to need a nursing home level of care

Program Eligibility for HOS-M

- Every year, CMS determines which PACE organizations are eligible for HOS-M
- PACE organizations required to participate in 2023 HOS-M include all organizations with:
  - Medicare contracts in effect on or before January 1, 2022
  - At least 30 beneficiaries enrolled as of February 2023

Enrollee Eligibility for HOS-M

- Frailty adjustment is applied only to Medicare members who are eligible for the survey
  - Community-residing, non-End Stage Renal Disease (ESRD) PACE enrollees, aged 55 or older
- PACE enrollees not eligible for HOS-M and not eligible for frailty adjustment:
  - Enrollees who are institutionalized
  - Enrollees who only have Medicaid, but not Medicare
  - Enrollees under age 55
  - Enrollees with ESRD
- **NEW:** PACE organizations no longer need to determine enrollee eligibility

RTI Role

- Draws PACE sample from CMS enrollment files for the HOS-M

- Receives contact files for Medicare enrollees from small PACE organizations

- Verifies the enrollment periods and eligibility and combines the Medicare enrollment data with contact information provided by the PACE organizations to develop the HOS-M sample frame

- Periodically checks CMS enrollment data, removes enrollees who disenroll or pass away

Collecting Data for Sampling

- PACE organizations follow different protocols to prepare for the HOS-M survey:
  - Small organizations generate up-to-date enrollee contact information for their Medicare enrollees to be used if proxies are needed
  - Large organizations are no longer required to provide any data

PACE Organizations Participating in the 2023 HOS-M

- 142 PACE organizations will participate in the HOS-M in 2023

  - 134 are small organizations (<1,200 Medicare members) participating in the full HOS-M protocol

  - 8 are large organizations (≥1,200 Medicare members) participating in the limited HOS-M protocol

Sample Data Elements Helpful for Survey Vendors

- Do enrollees receive their own mail?
- What is the enrollees preferred language?
- Who are their primary contacts?

Field Description	Field Position		Field Length	Valid Values
	Start	End		
Participant Primary Language	556	590	35	Primary Language
Participant Receives Own Mail	1	60	60	1 = Yes, Participant Receives Own Mail 2 = No, Participant Does Not Receive Own Mail *The field may also be left blank.*
Contact 1 First Name	*681*	*720*	*40*	*First Name*

Sample File Processing

- After collecting and cleaning data from PACE organizations, RTI conducts data quality checks:
  - After the PACE organization submits the data file, RTI will contact them if there are any errors or additional questions about specific elements in the data file, such as:
    - Incomplete or missing Medicare Beneficiary ID (MBI) numbers
    - Incomplete or missing addresses
    - Incomplete or missing phone numbers.
    - Incorrect formatting of the initial file and misalignment of data

2023 Sample File Processing Changes

- **NEW:** Removed the "Notes" Field in the HOS-M Sample File Layout

- **NEW:** No longer develop and use Supplemental and Padded Files

- **NEW:** Added Do Not Survey (DNS) Flag to the HOS-M Record File Layout to track beneficiaries who request to be removed from the mailings and never contacted again

Quality Check Process

- After RTI has processed a PACE organization's file, RTI sends a quality check (QC) document of five random enrollees to be sure the information submitted was processed properly

- This file will be sent using the PACE organization's method of encryption

- PACE organizations are asked to review the five enrollee records against the original file submitted to RTI and their medical records for accuracy

- The purpose of the quality check is NOT to update information, but to verify that the organization's information as submitted is correct

Death and Disenrollment Updates

- For deaths and disenrollments, RTI checks the Medicare database at several points in the survey cycle to remove these participants from the sample

- RTI generates a list of enrollees that are deceased or have disenrolled and sends it to NCQA

- NCQA distributes the death and disenrollment data files to the survey vendors on timeline established by the HOS-M Project Team

Questions?

The HOS-M PACE and FIDE SNP Protocols

NCQA

Jacky Chon, BS

HOS Project Analyst

Overview

- Data Collection Protocol and Timeline

- Administering the HOS-M

- HOS-M PACE Protocol

- HOS-M FIDE SNP Protocol

Data Collection Protocol

- Mixed mode data collection
- English, Spanish, Chinese, and Russian
  - Russian protocol: mail only

Standardized Data Collection

- Survey vendors must use the standardized data collection protocol outlined in the HOS-M QAG Addendum and FIDE SNP QAG Addendum

- Standardized data collection ensures survey data collected across the CMS-approved HOS-M survey vendors are comparable

- Survey vendors may not change the wording or order of the survey questions, mailing materials, or telephone script

Data Collection Timeline

Task	Date (2023)
Send sample files to vendors	June 26
Mail prenotification letters	July 17
Open survey vendor customer support telephone and email	July 17
Open inbound electronic telephone interviewing	July 17
Mail first questionnaire	July 24

Data Collection Timeline (Cont'd)

Task	Date (2023)
Mail reminder/thank-you postcard	July 31
First death and disenrollment file*	August 14
Mail second questionnaire	August 28
Second death and disenrollment file*	September 1
Mail second reminder/thank-you postcard	September 5
Conduct outbound telephone interviewing	September 18 – November 1

* PACE only

Data Collection Timeline (Cont'd)

Task	Date (2023)
Submit interim data files	October 3 – October 5
Third death and disenrollment file*	October 25
End data collection	November 1
Prepare and submit final data files	November 2 – November 15
Final data files due	**November 15**

* PACE only

Administering the HOS-M

- Sampled members are kept in the protocol until a final disposition code is achieved or the protocol is exhausted (i.e., survey vendors do not have to continue calling members until all survey questions are completed, only until a terminal disposition is reached)
  - All sampled members receive prenotification letter and first questionnaire mailing
  - Members who return a complete questionnaire are removed from the remainder of the protocol
  - Members who do not respond must remain in the protocol unless the vendor receives a refusal or identifies the member as ineligible
    - In some cases, if a member is deemed ineligible, the vendor must attempt to obtain a proxy

HOS-M PACE Protocol

Protocol Paths

- Protocol path determined by language preferences

- Survey vendors assign the Protocol Path based on the *CMS Language Code* or *CMS Language Preference* flag in the sample file

  – If both flags are blank, then vendors should review the Participant Primary Language (*BeneLanguage*) variable provided

Protocol Paths (Cont'd)

- Use of the Chinese and Russian questionnaires is optional for survey vendors
- If the survey vendor is not approved to field the survey in Chinese or Russian, then attempt to have the member or proxy complete the survey in one of the survey vendor's approved languages

Proxy Respondents

- Members are encouraged to respond
- Proxies can be family members, friends, caregivers, other responsible parties, program staff, home staff
- **Facility or program staff should only serve as proxies at the request of the participant, family member, or other caregiver**
- No PACE staff should independently contact the survey vendor to provide answers to the HOS-M survey on behalf of any beneficiary

Proxy Respondents (Cont'd)

- Multiple proxy respondents may be included in the sample file

Priority	Person to Survey
First Priority	Member or first proxy if member does not receive his/her own mail.
Second Priority	Proxy recommended by the member.
Third Priority	Proxy contained in sample frames in the order listed.
Last Priority	Proxy recommended by another proxy.

Members in a Common Facility

- If contacting a common facility where members reside, survey vendors may make calls to gatekeepers who may complete the survey at the member's request
  - Gatekeepers (i.e., a representative of an institution) are permitted to refuse to complete the survey on behalf of the member.
  - **NEW:** A gatekeeper is not permitted to request that a member be added to the Do Not Survey (DNS) list and excluded from future surveys.
- Survey vendors must document processes for contacting members in a common facility in their HOS-M QAPs

Mail Protocol

- Refer to the HOS QAG for instructions on producing mail materials and requirements
- The HOS-M questionnaire is formatted in one column
- Survey vendors may include the PACE organization logo on outgoing envelopes
- HOS-M mailing materials can be found in **Appendix C** of the HOS-M QAG Addendum
  - **NEW:** Updated HOS-M Questionnaire Cover

Mail Material Updates

- Updated the mailing material letterhead information for survey vendors to retain CMS's logo and the CMS official's signature in the mailing materials

- Survey vendors will remove CMS's address from the letterhead and replace this with the survey vendor's return address information

  - This change does not apply to the prenotification letter

Centers for Medicare & Medicaid Services
c/o Survey Processing
[SURVEY VENDOR RETURN ADDRESS]

CENTER FOR MEDICARE

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
CENTER FOR MEDICARE

Telephone Protocol

- **NEW:** For large PACE organizations, survey vendors will obtain telephone numbers by requesting full Medicare enrollment information from PACE organizations.
    - Survey vendors may NEVER send the sample files to PACE organizations
- Small PACE organizations provide a telephone contact list to RTI prior to survey administration
- Survey vendors must obtain "second source" telephone numbers and document processes in QAP

Telephone Attempts

- HOS-M PACE telephone protocol consists of **12 telephone attempts**
  - First six attempts are made to the member
  - If member does not receive his/her own mail, first six attempts are made to the first proxy
  - Up to six telephone attempts may be made to proxies
- If member refuses to participate, do not contact proxies
- If proxy refuses, contact other proxies

Telephone Specifications

- Program telephone interviewing systems using the HOS-M Telephone Specifications (**Appendix D** of the HOS-M QAG Addendum)

HOS-M FIDE SNP Protocol

Protocol Paths

- Protocol path determined by language preferences
- Survey vendors assign the Protocol Path based on the *CMS Language Code* or *CMS Language Preference* flag in the sample file

Protocol Paths (Cont'd)

- Use of the Chinese and Russian questionnaires is optional for survey vendors
- If the survey vendor is not approved to field the survey in Chinese or Russian, then attempt to have the member or proxy complete the survey in one of the survey vendor's approved languages
- Reminder/thank-you postcards continue to remain as part of the HOS-M protocol.

Proxy Respondents

- Members are encouraged to respond
- Proxies are permitted
- Must follow guidance in the HOS QAG for appropriate contact of proxies
- No proxy information is included in the sample file

Mail Protocol

- Refer to the HOS QAG for instructions on producing mail materials and requirements

- HOS-M questionnaire is formatted in one column

- HOS-M mailing materials can be found in **Appendix C** of the FIDE SNP QAG Addendum
  - **NEW:** Updated HOS-M Questionnaire Covers

Telephone Protocol

- Must follow HOS guidelines for telephone attempts
- **NEW:** Maximum of **five** telephone attempts to a single telephone number
  - After five attempts to a single number, no further attempts are made to that number
- **NEW:** If a second or third telephone number is available, survey vendors must dial these numbers
  - Each of these numbers must be attempted up to five times

Telephone Protocol (Cont'd)

- Telephone attempts must occur on
  - Different times of day
  - Different days of the week
  - Different weeks (at least three calendar weeks)
  - 9 a.m. to 9 p.m. call window (member local time)
- The first call attempt must occur within the first 10 calendar days of dialing
- The fifth attempt must occur no sooner than 21 calendar days after the first call attempt
- Interviewers may not leave voicemail messages

Telephone Specifications

- Program telephone interviewing systems using the HOS-M Telephone Specifications (**Appendix D** of the FIDE SNP QAG Addendum)

Questions?

Polling Question 2

True or False: The Do Not Survey (DNS) flag that was newly added to the HOS-M Record File Layout is meant to track deceased beneficiaries.

Break

Data Coding and Submission

NCQA

Tochi Obioha, MPH
HOS Task Lead

Overview

- Data Coding
  - Text File Specifications
  - File Layouts
  - Decision Rules
  - Disposition Codes
  - Percent Complete
- Data Submission
  - Prepare and Submit Data Files
  - Interim Data Submission
  - Final Data Submission

Text File Specifications

- Submit survey data in .txt file format that allows submission of each sampled member record in one file

- Sample file data included in data submission files must match original sample file data

Text File Specifications (Cont'd)

- Two Sections
  - **Header Record:** Vendor and submission information
  - **Member-Level Record:** Member-level information
    - Sample File Layout
    - Survey File Record Layout

File Layouts

- Provide field descriptions and specify field positions, field length, and valid values
- HOS-M PACE and HOS-M FIDE SNP use different sample file layouts
  - Review **Appendix B** of the QAG Addenda for the file layouts
- File Layouts:
  - Header Record Layout
  - Sample File Layout – PACE
  - Sample File Layout – FIDE SNP
  - Survey File Record Layout

File Layout Changes

- **NEW:** The following changes were made to the HOS-M Survey File Layout:
  - Removed the Supplement File Layout
  - Updated field positions for survey data elements
  - Removed "Notes" field*

*PACE only

File Layout Changes (cont'd)

- **NEW:** The following changes were made to the HOS-M Survey File Layout:
  - Added a Do Not Survey (DNS) field (see table below).

Field Description	Field Position		Field Length	Valid Values
	Start	End		
DNS Do Not Survey—Exclude from Future Survey Samples Flag	1576	1576	1	1 = Member specifically requested *Take me off your list and/or never contact me again* 2 = Member did not request *Take me off your list and/or never contact me again*

Decision Rules

- **NEW:** For blank surveys, survey vendors should leave missing data blank. Do not code missing survey file record layout values as 9 = Missing if a member did not respond to any survey question.

Disposition Codes

- Tracks survey status of each sampled member

- Only final disposition codes are reported in data files

- See **Table 6** (PACE) or **Table 5** (FIDE SNP) in QAG addenda for details

Disposition Codes (Cont'd)

- **NEW:** Clarified coding guidance that no further attempts to members are made after ADL items are complete

Final Disposition	Disposition Code	Definition/Explanation
Complete Survey (ADL Items Answered)	M10	• **All** six ADL items (Q4a-f*) answered. • No further attempts are made to reach the member once a survey is received with all ADL items answered.
	T10	Assign in one of the following: • **All** six ADL items (Q4a-f*) answered. • Mail survey returned with one or more ADL items unanswered. Respondent contacted during telephone protocol and all ADL items were answered. • No further attempts are made to reach the member once a survey is received with all ADL items answered.

Disposition Codes (Cont'd)

"Nonresponse" Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Partial Complete	M11/T11	• One or more ADL items (Q4a-f) unanswered.
Respondent Unavailable	M33/T33	• Member unavailable during data collection. • Survey vendor is unable to obtain a proxy.
Respondent Physically or Mentally Incapacitated	M34/T34	• Member unable to complete survey due to physical or mental disabilities. • Survey vendor is unable to obtain a proxy.
Respondent Institutionalized	M35/T35	• Member unable to complete survey due to institutionalization or residence in a group home or institution (e.g., hospice, nursing home). • Survey vendor is unable to obtain a proxy.

Disposition Codes (Cont'd)

"Nonresponse" Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Nonresponse After Maximum Attempts	M36	• No evidence to suggest bad address. • No mail questionnaire returned. • Survey vendor unable to obtain viable phone number **OR** unable to contact member by phone because on internal corporate DNC list.
Nonresponse After Maximum Attempts	T36	• No evidence to suggest bad address but no mail questionnaire returned. No evidence to suggest bad phone number. Survey vendor makes at least six phone attempts but is unable to contact member. • Evidence to suggest bad address. No evidence to suggest bad phone number. Survey vendor makes at least six phone attempts but is unable to contact member.

Disposition Codes (Cont'd)

NEW: FIDE SNP **_ONLY_** T36 "Nonresponse" Disposition Code

Final Disposition	Disposition Code	Definition/Explanation
Nonresponse After Maximum Attempts	T36	• No evidence to suggest the member's address is bad. The member has not returned a mail questionnaire. No evidence to suggest the member's telephone number is bad. The survey vendor makes at least five telephone attempts to each available telephone number but is unable to contact the member or a proxy. • There is evidence to suggest the member's address is bad. No evidence to suggest the member's telephone number is bad. The survey vendor makes five telephone attempts to each available telephone number but is unable to contact the member or a proxy.

Disposition Codes (Cont'd)

"Nonresponse: Refusal" Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Refusal by Member	M32/T32	• Incomplete survey with a note that member does not want to participate. • Verbal refusal to complete the survey. • Survey vendor may not contact proxy.*
Refusal by Proxy*	M37/T37	• All proxies verbally refuse to complete survey. • If only one proxy is provided, proxy returns questionnaire with refusal note. • Survey vendor may contact additional proxies.

Refusal by Gatekeeper*	M38/T38	• Representative of institution refuses to:
		  • Allow interview with the member.
		  • Complete survey on behalf of member.
		  • Complete survey but returns unanswered survey.
		• Survey vendor may attempt to contact proxies.

*HOS-M PACE Only

Disposition Codes (Cont'd)

"Ineligible" Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Deceased	M20/T20	• Member is deceased.
Language Barrier	M23/T23	• Member does not read or speak English, Spanish, or Chinese, and does not read Russian. • Survey vendor is unable to obtain a proxy.
Bad Address & Mail-Only Protocol	M24	• Evidence of bad address **AND** member is in a mail-only protocol (Russian Follow-Up protocol).
Bad Address & Non-working/Unlisted Number or Member is Unknown at Dialed Number	T24	• Evidence of bad address **AND** survey vendor is unable to obtain a viable phone number.

Disposition Codes (Cont'd)

"Ineligible" Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Respondent Removed from Sample by RTI (PACE)	M25/T25	• RTI's checks against EDB to identify members who died or disenrolled since sample was drawn. • Assigned when HOS-M Project Team notifies survey vendor to remove member from sample.
Respondent Removed from Sample (FIDE SNP)	M25/T25	• Assigned when HOS-M Project Team notifies survey vendor to remove member from sample. • Only assigned **with permission** from the HOS-M Project Team.

Percent Complete

- HOS-M contains 34 potential response items

- Exclude 3 skip pattern items from calculation
  - Q17, Q18, Q19

- Denominator is 31 items

$$\% \ Complete = \frac{Total \ Number \ of \ Answered \ Items \ (Exclude \ Skip \ Pattern \ Items)}{Total \ Response \ Items - Excluded \ Items} \ X \ 100$$

Data Submission

- Prepare and Submit Data Files
- Interim Data Submission
- Final Data Submission

Prepare and Submit Data Files

- Survey vendors use NCQA's secure file transfer system Accellion to submit HOS-M data to the HOS-M Project Team

- NCQA will provide survey vendors a secure file upload link prior to the opening of the interim and final data submission periods

Prepare and Submit Data Files

- Survey vendors use the following file naming conventions when submitting final HOS-M data files.
  - Use unique file names with a ".txt" extension for each data file
  - **NEW:** Begin the file name with "HOSMPACE" or "HOSMFIDESNP"
  - Follow the prefix with respective vendor name
  - For example: HOSMPACE_[Vendor Name].txt

Interim Data Submission

- Allows opportunity to test the data submission process and correct errors prior to submitting final data files

- Interim data files are due **Thursday, October 5**

- All data received up to **three business days** prior to the Interim Data Submission due date (**Monday, October 2**) must be processed and included in the interim data files

Interim Data Submission (Cont'd)

- Survey vendors review records thoroughly prior to submission to confirm all data are accurate
- Interim data files will be cleaned and analyzed
- HOS-M Project Team will provide findings to survey vendors, if applicable, prior to Final Data Submission
- Data collection issues identified during Interim Data Submission may warrant Discrepancy Reports
- Survey vendors must correct any issues identified prior to Final Data Submission

Final Data Submission

- Final data files due **Wednesday, November 15**
- Final data files will be cleaned and analyzed
  - Data collection issues identified during Final Data Submission may warrant Discrepancy Reports

Questions?

Quality Oversight and Project Reporting

NCQA

Alyssa Hart, MPH
HOS Task Lead

Overview

- HOS-M Oversight Activities
  - Before Survey Administration
  - During Survey Administration
  - After Survey Administration
  - Ongoing Activities

- Technical Support

- Accellion

Before Survey Administration

Oversight Activity	Due Date	Comments from NCQA	Finalize Materials
Mailing Material Review	Friday, June 9	Friday, June 23	Wednesday, July 5
Electronic Telephone Interviewing Material Review	Friday, June 23	Friday, July 7	Monday, July 17
Survey Vendor QAP	Friday, June 30	Survey Vendor Conference Call (Monday July 17 – Monday, July 31)	Within 5 Business Days of call

Mailing Materials

- Review final print-ready English, Spanish, Chinese and Russian HOS-M mailing materials
- Survey vendors should title their questionnaires with tracking numbers when submitting to NCQA for review
- Survey vendors must submit materials for review in the format in which they will be printed
- Due **Friday, June 9**
  - Send electronic copies to hos@ncqa.org
  - Comment/approve by Friday, June 23
  - All materials must be final by **Wednesday, July 5**

Electronic Interviewing Materials

- Review proxy and non-proxy telephone interviewing screenshots and skip pattern logic in English, Spanish and Chinese
- Due **Friday, June 23**
  - Send electronic copies to hos@ncqa.org
  - Comment/approve by Friday, July 7
  - All materials must be final by **Monday, July 17**
- Survey vendors may also send website links to functioning telephone systems for the HOS-M Project Team to review, in addition to the screenshots
- Subcontractor(s) must follow the same review schedule

Survey Vendor QAP

- Describes survey vendor compliance with the HOS-M protocols and quality oversight processes
- Survey vendors must submit separate HOS and HOS-M QAPs
- QAPs must follow the Model QAP format (Appendix B in the QAG)
  - Due **Friday, June 30**
- **NEW:** Survey vendors should document their plans for remote operations in their QAPs for review and approval prior to fielding

During Survey Administration

Oversight Activities	Dates (2023)
Survey Vendor Conference Calls	Monday, July 17 – Monday, July 31
Seeded Mailings	July – September
Customer Support Reviews	July – August
Survey Vendor Progress Reports	July – December
Site Visits	October
Data Record Review	September – October
Electronic Telephone Interviewing Monitoring	September – October
Interim Data File Submission Deadline	Thursday, October 5

Survey Vendor Conference Calls

- Held **Monday, July 17 – Monday, July 31**
- Provide feedback on QAPs
  - If QAP revisions are needed, vendors must submit revisions within **five business days**
- Review major issues from previous year and discuss updates to survey administration

Seeded Mailings

- Assess timeliness of delivery and accuracy of mailing materials
- Include designated HOS-M Project Team contacts in all survey mailings that are sent to members (including prenotification letters)
- Document seeded mailing process in detail in QAP
- Seeded mailings must be created in the member mailing database as a QA tool

Seeded Mailings (Cont'd)

- Seed information:

Laura Giordano	Alyssa Hart	Courtney Utter
3133 E Camelback Rd Ste 140 Phoenix, AZ 85016	1100 13th Street NW, Third Floor Washington, DC 20005	1100 13th Street NW, Third Floor Washington, DC 20005

Customer Support Review

- Assess customer support responses to the specifications in QAG, HOS-M QAG Addendum, FIDE SNP QAG Addendum, and FAQ

- Customer support review: *Telephone*
  - HOS-M Project Team makes at least two anonymous calls to customer support line

- Customer support review: *Email*
  - **Securely** forward all customer support emails with responses on a weekly basis
  - Survey vendors may be asked to send member contact information and/or English translations of emails to HOS-M Project Team

Survey Vendor Progress Reports

- Tracks survey vendor status for adherence to the HOS-M protocols during survey administration
  - Submit progress reports to hos@ncqa.org
- Deadlines and report requirements in QAG addenda
  - Recurring deliverables
    - Narrative Reports (Reports #2-8)
    - Summary Status Reports (Reports #3-9)
    - Telephone Attempt Reports (Reports #6-9)
    - Member Correspondence (Reports #2-10)

Narrative Reports

Survey Progress and Vendor Experience

- Overview of mail and telephone protocols
    - Verification of mail out dates
- Summary of challenges/difficulties encountered
- Experience to date
- Customer support summary statistics

Summary Status Reports

- Synthesis of data collected to date
- Monitor response rates for each protocol phase and processing of returned mail surveys
- Submit two files (PACE and FIDE SNP, if applicable) with naming conventions:
  - Survey Vendor Name_HOS-M_SSR_PACE_MM-DD-YY.xls
  - Survey Vendor Name_HOS-M_SSR_FIDESNP_MM-DD-YY.xls
- Use 2023 SSR template provided prior to fielding

Telephone Attempt Report

- Summary status report includes report on progress with telephone attempts to date
  - Submit with Progress Reports #6-9
  - Report contract name, contract number, total number of cases to receive calls, number of cases with 1-9 or more telephone attempts (FIDE SNP) or 1-12 telephone attempts (PACE), and number of closed cases

Plan Details		Total Number of Cases to Receive Calls	Number of Active Cases with No Attempts	Number of Active Cases with One Attempt	Number of Active Cases with Two Attempts
Contract Number	Contract Name				

Biweekly Progress Reports

Reporting Requirements	Due Date
REPORT #2 **Narrative Report:** • Overview of prenotification letter and first questionnaire printing, fulfillment, and mailing processes. • Verification of mail out dates of prenotification letter and first questionnaire mailing (e.g., USPS generated report). • Status of staff training and SMS development. • Confirmation of customer support functionality and testing. • Outstanding issues or concerns. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, July 28

Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
REPORT #3 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Overview of reminder/thank-you postcard mailing. • Verification of mail out date of reminder/thank-you postcard mailing (e.g., USPS generated report). • Outstanding issues or concerns. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, August 11
REPORT #4 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Overview of progress with protocol to date. • Detail problems or issues to date. • Outstanding issues or concerns. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, August 25

Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
REPORT #5 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Overview of second questionnaire mailing and second reminder/thank-you postcard mailing. • Verification of mail out dates of second questionnaire mailing and second reminder/thank-you postcard mailing (e.g., USPS generated report). • Overview of progress with protocol to date. • Detail problems or issues to date. • Provide high-level summary statistics on respondent calls to customer support line or email (summarize Frequently Asked Questions) and number of requests for Spanish, Chinese, and Russian versions of the instrument. Specify number of calls and/or emails requesting information regarding an internet version of the survey. • Describe telephone protocol and training. • Outstanding issues or concerns. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, September 8

Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
REPORT #6 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Overview of progress with protocol to date. • Detail problems or issues to date. • Describe process of converting partially completed surveys to complete, and progress. • Report on progress with electronic telephone interviewing implementation. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, September 22

Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
REPORT #7 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Outstanding issues or concerns. • Detail problems or issues to date. • Report on progress of electronic telephone interviewing implementation. • Report on experience with submitting interim data files. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, October 6

Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
REPORT #8 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Narrative Report:** • Overview of progress with protocol to date. • Detail problems or issues to date. • Report on progress of electronic telephone interviewing implementation. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, October 20
REPORT #9 **Summary Status Report** • PACE and FIDE SNP, if applicable. **Other Deliverable:** Member correspondence (white mail), if applicable.	Friday, November 3

Member Correspondence

White mail sent biweekly to HOS-M Project Team:

- Written notes/letters, notes on cover letters, prenotification letters, survey covers, or envelopes must be sent

- Forward any member correspondence that appears to be directed at CMS or the government

- Not required to forward white mail that indicates a member is ineligible (e.g., deceased, institutionalized, wrong address, language barrier)

- Not required to forward marginal comments written on the survey

Telephone Interviewer Monitoring

- Survey vendors monitor 10%, at a minimum, including subcontractors and across all survey languages

- HOS-M Project Team will conduct silent monitoring of interviewers and interviewing system
  - HOS-M Project Team will conduct separate monitoring sessions with each subcontractor and separate sessions for HOS and HOS-M telephone interviewing

Site Visits

- Evaluate survey vendor's compliance with the QAG and QAG addenda
  - Project organization
  - Survey management system
  - Staff training
  - Sample file processing
  - Oversight of staff and subcontractors
  - Mail and telephone operations
  - Data security
- Site visits may be conducted remotely
  - Survey vendors share and present all required systems, processes, and documentation using web conferencing

Data Record Review

- Review select records of varying survey dispositions and survey rounds

- Track record throughout survey timeline
  - Sample file
  - Address and telephone update
  - Mail phase
  - Data receipt and entry
  - Telephone phase
  - Data submission

- Provide documentation
  - Hard copy or scanned images
  - Telephone recording
  - Customer support logs

Data Record Review (Cont'd)

- Survey vendor systems/databases must be available to the HOS-M Project Team
- HOS-M Project Team will provide a list of requirements and records prior to the review
- Conduct reviews remotely

After Survey Administration

Oversight Activities	Dates (2023)
Survey Vendor Final Report	Friday, November 17
Report of HOS-M Records Stored	Friday, December 1

Final Detailed Status Report

- Three components:
    1. Data synthesis (required)
    2. Discussion component (required)
        - Survey implementation, issues encountered, lessons learned, recommendations
        - Continual updating of sample information with RTI
        - List any additional language translations requested by PACE organizations
        - List any additional survey modes requested by PACE organizations and/or respondents (e.g., internet, text) and number of requests
    3. Recommendations for 2024 HOS-M Administration

Ongoing Activities

- Discrepancy Reports & Corrective Action Plan

- Technical Support

Discrepancy Report & Corrective Action Plan

- **Appendix G** of QAG
- Complete and submit Discrepancy Report within **one business day**
- Provide as much information as possible
  - Discrepancy Description
  - Corrective Action Plan

Discrepancy Report Form

Instructions: Submit the Discrepancy Report Form to the HOS Project Team (hos@ncqa.org). Initial discrepancy reports must be submitted within **one business day** of discovering the discrepancy occurred, regardless of whether the organization is still determining all relevant information. Complete as many fields in this report as possible. Information not known at the time of completing the initial report should be recorded as "Pending." Any information reported as "Pending" must be included in an updated Discrepancy Report due within one week of submitting the original report. More than one updated report may be required. Do **not** include any PHI/PII in the Discrepancy Report Form or in any emails to the HOS Project Team.

I. General Information — Select one: ☐ Initial Report ☐ Updated Report — Report Submission Date: MM/DD/YY

Name:		Organization:	
Title:		Address:	
Email:		Telephone:	

II. Description of Discrepancy

Describe the discrepancy and include any additional information that may help the HOS Project Team understand what occurred. Provide as much detail as possible, including the discrepancy time frame (when the issue occurred during survey administration), how you identified the discrepancy, and causes of the discrepancy.

| Date Discrepancy Discovered: | | Discrepancy Time Frame: | |

Detailed Description of Discrepancy and How the Discrepancy Was Discovered:

III. Impact of Discrepancy

Provide a breakdown of affected surveys and impacted members by CMS Contract. Insert one row for each contract impacted. If the issue impacts your entire sample, write in "All" under each category.

Survey Languages Impacted:	☐ English ☐ Spanish ☐ Chinese ☐ Russian	
CMS Contract Number	Number of Affected Surveys	Number of Sampled Members Impacted
H#### or All		

How Was Estimation of Affected Surveys Reached?

Technical Support

- Email hos@ncqa.org
  - Reports, updates, and questions
- Contact the project team with questions, comments, requests, or concerns
  - Call to report/discuss urgent matters immediately and follow up with email
    - Alyssa Hart – (202) 517-8005
    - Ruth Boansi – (202) 315-1562

NCQA's Secure Site Accellion

- NCQA uses an Accellion account system
  - All new users must register with the system
- All materials and documents sent via Accellion
- Sample files will be sent via Accellion
- Survey vendors use Accellion to securely send member correspondence
- Survey vendors use Accellion to submit interim and final data files
- Accellion address: https://accellion.ncqa.org

NCQA's Secure Site Accellion (Cont'd)

- NCQA provides an Accellion file request to survey vendors
- The file request does not expire and should be used to send secure files to the Project Team throughout survey administration
  - Access the file request by logging in to https://accellion.ncqa.org

Other Resources

- NCQA's Customer Support
  - 1-888-275-7585
  - To verify legitimacy or for questions about NCQA
- 1-800 Medicare
  - 1-800-633-4227
  - To verify legitimacy of the survey
  - Complaints, compliments, concerns about Medicare, MAOs, physicians, or care received

Questions?

Polling Question 3

The HOS-M Project Team will make at least ____ anonymous calls to the customer support line.

Post-Training Evaluation

- Following training, survey vendors will receive an email with a link to an online training evaluation
- Intent is to collect feedback to improve future training sessions
- Designate **one** person from your organization to complete
- Required to obtain final approval
- Evaluation is due **Friday, June 2**

Post-Training Test

Post-Training Test Instructions

- Only **one** person from each survey vendor may complete the test

- The test will be administered immediately after the training

- Survey vendors have 20 minutes to complete the test

- Survey vendors must complete to obtain final approval