Welcome! Training will begin shortly.

Please make sure to link your audio to the Zoom webinar.

If you have trouble connecting audio, click the arrow to next to microphone icon labeled “Unmute” in the bottom left of the Zoom window.
May 23, 2023

Medicare Health Outcomes Survey
2023 Survey Vendor Update Training

May 23, 2023
Welcome and Introduction

NCQA

Ruth Boansi, MPH
HOS Project Director
## 2023 Survey Vendor Update Training Agenda

<table>
<thead>
<tr>
<th>Time (p.m., ET)</th>
<th>Agenda Item</th>
<th>Presenter</th>
</tr>
</thead>
<tbody>
<tr>
<td>1:00 – 1:10 p.m.</td>
<td>Welcome and Introduction</td>
<td>Ruth Boansi</td>
</tr>
<tr>
<td>1:10 – 1:25 p.m.</td>
<td>HOS CMS Update</td>
<td>Kim DeMichele</td>
</tr>
<tr>
<td>1:25 – 1:45 p.m.</td>
<td>HOS 2023 Administration Updates</td>
<td>Ruth Boansi</td>
</tr>
<tr>
<td>1:45 – 2:00 p.m.</td>
<td>HOS 2022 Survey Results</td>
<td>Alana Berrett, Jael Rodriguez</td>
</tr>
<tr>
<td>2:00 – 2:25 p.m.</td>
<td>Survey Material Updates</td>
<td>Courtney Utter</td>
</tr>
<tr>
<td>2:25 – 2:50 p.m.</td>
<td>Data Coding and Data Submission</td>
<td>Tochi Obioha</td>
</tr>
<tr>
<td>2:50 – 3:00 p.m.</td>
<td>Break</td>
<td></td>
</tr>
<tr>
<td>3:00 – 3:35 p.m.</td>
<td>Data Management</td>
<td>Alana Berrett, Jael Rodriguez</td>
</tr>
<tr>
<td>3:35 – 4:00 p.m.</td>
<td>Quality Oversight and Project Reporting</td>
<td>Alyssa Hart</td>
</tr>
<tr>
<td>4:00 – 4:10 p.m.</td>
<td>Questions and Closing</td>
<td>Ruth Boansi</td>
</tr>
<tr>
<td>4:10 – 4:30 p.m.</td>
<td>Post-Training Test</td>
<td></td>
</tr>
</tbody>
</table>
Polling Question 1

Where are you joining us from?
HOS CMS Update

CMS

Kim DeMichele, PhD
Contracting Officer’s Representative (COR)
Overview

• Introduction to the HOS
• HOS Primary Goals
• Public Reporting of HOS
• Data Integrity
• HOS and Star Ratings
• Future HOS Enhancements
• Mailing Material Updates
• Data Use Agreements (DUA)
Introduction to the HOS

• Monitors quality of care provided to Medicare beneficiaries enrolled in Medicare Advantage Organizations (MAOs) at the contract-level by measuring self-reported health status, physical and mental functioning, and outcomes of care.

• Participants: Medicare beneficiaries aged 18 or older who are currently enrolled in a Medicare Advantage (MA) contract and reside in the U.S. or its territories.
  - Baseline: No continuous enrollment requirement.
  - Follow-Up: Members resurveyed after two years.
HOS Primary Goals

- Provide Medicare enrollees and the general public with information to help them to make more informed choices
- Provide MAOs with metrics that allow them to identify problems and improve quality of care at the contract level
- Enhance CMS’s ability to monitor health plan performance
- Measure quality of care from the enrollee’s perspective for use in calculating MA Quality Bonus Payments (QBPs)
- Estimate frailty for use in payment adjustment for Fully Integrated Dual Eligible (FIDE) Special Needs Plans (SNP) and Programs of All-Inclusive Care for the Elderly (PACE)
HOS results are publicly reported by CMS for each participating contract

- Medicare Plan Finder is a consumer-friendly online tool that allows users to compare coverage options ([www.medicare.gov](http://www.medicare.gov))

- HOS data are also included in the Part C and D Star Ratings and used to calculate QPBs ([http://go.cms.gov/partcanddstarratings](http://go.cms.gov/partcanddstarratings))
Data Integrity

• Data integrity is critical to Star Ratings
• CMS continues to monitor and identify risks for inaccurate or unreliable Star Ratings data
  – A contract’s rating is reduced to 1 star if biased or erroneous data are identified
• Survey vendors must attest to:
  – Validity of HOS data submitted
  – Conformance with HOS protocols
  – Prompt reporting of any discrepancies
Data Integrity (Cont’d)

• MAOs and HOS Vendors **MAY NOT:**
  – Attempt to influence responses to HOS survey questions
  – Imply that positive feedback will reward or benefit the MAO
  – Offer incentives of any kind
  – Show the HOS questionnaire and cover letter to members

• MAOs and HOS Vendors **MAY:**
  – Notify all members of a contract that they may be asked to participate in the 2023 HOS

• Encouraging participation without biasing results can be tricky. To avoid jeopardizing a client’s results, consult the HOS Project Team if you have questions or concerns.
Star Ratings: Measures

- Five HOS measures for the 2024 Star Ratings
  - Functional Health (Outcome) measures
    - Improving or Maintaining Physical Health
    - Improving or Maintaining Mental Health
      - Data Source: 2020-2022 Cohort 23 Performance Measurement Results (2020 HOS Baseline and 2022 HOS Follow-Up data)
  - HEDIS® Effectiveness of Care measures
    - Monitoring Physical Activity
    - Improving Bladder Control
    - Reducing the Risk of Falling
      - Data Source: Cohort 23 Follow-Up (2022) and Cohort 25 Baseline data (2022)

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Star Ratings: Display Measures

• Both current HOS longitudinal (outcome) measures are temporarily on public display
  – Improving or Maintaining Physical Health
  – Improving or Maintaining Mental Health

• A potential new measure is also on display
  – Physical Functioning Activities of Daily Living (PFADL) (under development and on display since 2021)

• Display measures are publicly available for informational purposes but are not used in the Star Ratings calculations
Future HOS Enhancements

• CMS continues to explore ways to enhance HOS and provide MAOs with actionable feedback about their enrollee populations

• Present work includes efforts to:
  – Develop and test new measures
  – Update the current HOS 3.0 instrument and remove some items
  – Test adding a web mode to the current mail-phone protocol

• Additional information can be found in the 2024 Medicare Advantage Rate Announcement
Mailing Material Updates

- **NEW**: Updated the prenotification letter and cover letters using plain language principles and other research conducted by CMS
- **NEW**: Removed survey vendor names and logos from mailing materials and questionnaire
- Consumer research testing by CMS found:
  - CMS logo and “Medicare” were more recognized
  - Enrollees were less likely to open and return a survey that displayed a survey company name or logo
  - Some enrollees were confused when both the CMS name or logo and the survey company’s name or logo were used in the mailing materials
Data Use Agreement (DUA) Terms and Restrictions

• Each HOS survey vendor must maintain a current, updated, and fully-executed DUA.

• By signing the DUA Addendum, the vendor’s subcontractors and all personnel agree to ensure integrity, security, and confidentiality of CMS and HOS data.

• Survey vendors and subcontractors may not release CMS or HOS data to any entity not listed on the CMS DUA, including MAO clients and MA members.

• Survey vendors are prohibited from using HOS sample files for any other purpose, including de-duplicating samples for other client surveys.
CMS-approved HOS vendors must complete the following steps in Enterprise Privacy Policy Engine (EPPE):

- Verify only current staff and subcontractors are listed; update if needed
- Submit signed Addendum to add individuals or organizations to DUA
- Update DUA to add 2023 HOS data by June 5, 2023

Submit updated DUA to HOS Project Team by June 9, 2023

Notify HOS Project Team immediately of any changes in key personnel or subcontractors that occur after initial submission

- Update DUA to add or remove individuals or organizations within three (3) business days of a change and send updated DUA to Project Team

Extend DUA when prompted and submit an extended DUA to the HOS Project Team by September 28, 2023
Questions?
HOS 2023 Administration Updates

NCQA

Ruth Boansi, MPH
HOS Project Director
Overview

• HOS Instrument Updates
• Data Collection Overview
• Data Collection Timeline
• HEDIS Volume 6 Updates
• Fielding Non-CMS Surveys
HOS Instrument Updates

- **NEW:** CMS implemented the following changes to the HOS instructions page for 2023
  - Added instructions for proxies completing the survey on behalf of the member to answer in the way the member would answer for themselves
  - Removed HIPAA disclaimer box
  - Removed “Version 02-01” from the OMB footnote
Data Collection Protocol

• Mixed mode data collection
• Longitudinal to assess health over time
  – Sample member at Baseline, then resurvey two years later at Follow-Up
• English, Spanish, Chinese, and Russian
  – Russian protocol: mail only
Survey vendors must use the standardized data collection protocol outlined in Medicare HOS Quality Assurance Guidelines and Technical Specifications V2.7 (QAG).

Standardized data collection ensures survey data collected across contracts by CMS-approved HOS survey vendors are comparable.

Survey vendors may not change the wording or order of HOS questions, mailing materials, or the telephone script.
Mail Protocol

• Standardized mailing materials and questionnaire
  – Prenotification letter
  – Two survey mailings containing survey cover letter, questionnaire, and business reply envelope
  – NEW: The HOS mailing protocol no longer includes reminder postcard mailings for any language
Mail Protocol (Cont’d)

• Survey vendors send mailing materials as assigned by the member’s protocol path
• Survey vendors may **not** send materials to a member that differ from the member’s assigned protocol path
Telephone Protocol

• Members in telephone phase:
  – Did not respond to mail questionnaire
  – Returned a blank or partially complete questionnaire

• Standardized telephone interviewing script and specifications

• Must have enough interviewers to support data collection timeline
Survey vendors must make multiple telephone attempts to reach nonrespondents

- **NEW:** The maximum attempts to a single dialed telephone number is **five**
- **NEW:** After five attempts to a single number, no further attempts are made to that number
- **NEW:** If a second or third number is available, survey vendors **must** dial these numbers
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 1\textsuperscript{st} call attempt must occur within the first 10 calendar days of the telephone protocol

• The 5\textsuperscript{th} attempt must occur no sooner than 21 calendar days after the 1\textsuperscript{st} call attempt

• Interviewers may not leave voicemail messages
Telephone Protocol (Cont’d)

• Survey vendors are responsible for properly implementing the telephone protocol, including:
  – Proper training of interviewers
  – Following CATI script verbatim
  – Making calls in a quiet environment
  – Properly programming telephone specifications

• Interviewers must be trained on how to address technical issues (e.g., system failure) during a telephone interview
  – All processes must be documented in the survey vendor’s Quality Assurance Plan (QAP)
Caller ID Enhancement

- **NEW:** Caller IDs may be programmed, with the permission of the health plan’s HIPAA/Privacy Office with “on behalf of [Health Plan Name]”

- **NEW:** May **not** code display as:
  - Only “[Health Plan Name]”
  - “on behalf of [Medicare]”
NEW: Survey vendors may begin obtaining telephone numbers from MAOs as soon as contracting agreements are in place.
Determining Language Preferences

• Survey vendors work with MAOs to determine language preferences for the Baseline survey

• Survey vendors **must** use the Protocol Identifier Flag to determine which language to contact the member or proxy for the Follow-Up protocol unless the member or proxy requests otherwise
Russian Survey Administration

- Russian is a mail-only protocol
  - **NEW:** Two standardized mailing materials and questionnaires
    - There are no reminder/thank you postcard mailings after each questionnaire mailing
  - If a member received a mail survey questionnaire in Russian but would like to take the survey over the phone in English, Spanish, or Chinese (if applicable), the survey vendor must allow this
Customer Support Services

- Survey vendors must institute processes to accommodate English and Spanish incoming calls and email correspondence.
- Survey vendors who field Chinese and Russian must institute processes to respond to calls and email correspondence in Chinese and Russian.
Member Confidentiality

- Sampling procedures are designed so MAOs cannot identify members selected to participate in the survey.
- Maintain confidentiality of sampled members and do **NOT** provide MAOs with member names or other member-identifying information.
  - **NEW:** Survey vendors will no longer be provided a supplemental file.
  - MAO's will provide addressees and telephone numbers for their entire membership.
- Provide only the **minimum data necessary** to subcontractors to perform activities.
Subcontractors

• The following tasks may be subcontracted to another organization:
  – Customer support services
  – Printing, sorting, and mailing HOS materials
  – Data entry
  – Telephone interviewing

• Document all subcontractors in the survey vendor QAP and DUA
Subcontractor Oversight

• Store electronic images, files, and recordings on the survey vendor's systems and retain per QAG record storage requirements
• Conduct onsite and remote quality checks and monitoring
• Ensure subcontractors participate in quality oversight activities conducted by the HOS Project Team
Survey vendors who use telephone subcontractors must participate in call monitoring in addition to the subcontractor’s independent monitoring

- Survey vendors must conduct a sufficient percentage of telephone interviewer monitoring to identify issues with interviews completed by its subcontractors
- Survey vendors must monitor at least 10 percent of internal telephone interviews and 10 percent of subcontracted telephone interviews (if applicable)
Sharing Data with Clients

- Limit data reported to MAOs to sample size and frequency distributions for each final disposition code at the contract level only, which are the data elements contained in biweekly summary status reports.
- Do not share any sample file variables.
- Do not report any calculations or results of HOS measures to MAOs.
## Data Collection Timeline

<table>
<thead>
<tr>
<th>Task</th>
<th>Date (2023)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Send sample files to vendors</td>
<td>June 26</td>
</tr>
<tr>
<td>Mail <strong>Baseline</strong> and <strong>Follow-Up</strong> prenotification letter</td>
<td>July 17</td>
</tr>
<tr>
<td>Open survey vendor customer support telephone and email</td>
<td>July 17</td>
</tr>
<tr>
<td>Open inbound electronic telephone interviewing</td>
<td>July 17</td>
</tr>
<tr>
<td>Mail <strong>Baseline</strong> and <strong>Follow-Up</strong> first questionnaire</td>
<td>July 24</td>
</tr>
</tbody>
</table>
## Data Collection Timeline (Cont’d)

<table>
<thead>
<tr>
<th>Task</th>
<th>Date (2023)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mail <strong>Baseline</strong> and <strong>Follow-Up</strong> second questionnaire</td>
<td>August 28</td>
</tr>
<tr>
<td>Conduct <strong>Baseline</strong> and <strong>Follow-Up</strong> outbound telephone interviewing</td>
<td>September 18 – November 1</td>
</tr>
<tr>
<td>Submit interim data files</td>
<td>October 3 – October 5</td>
</tr>
<tr>
<td>End <strong>Baseline</strong> and <strong>Follow-Up</strong> data collection</td>
<td>November 1</td>
</tr>
<tr>
<td>Prepare and submit final data files</td>
<td>November 2 – November 15</td>
</tr>
<tr>
<td>Final data files due</td>
<td>November 15</td>
</tr>
</tbody>
</table>
Data Retention

• Retain all data files, audio recordings, questionnaires (electronic or paper) onsite for a minimum of **three years**
  – Paper Questionnaires: Must be retained onsite through **December 31 of the following survey administration year**
    • May destroy after one year following electronic imaging and QA
    • Retain for three years if an electronic image is not created
  – Telephone Data: Retain onsite all telephone survey data and recordings in all fielded languages, including subcontractor telephone interview recordings
• Establish a process for data destruction after **three years** and complete attestation of data destruction
HEDIS Volume 6 Updates
Summary of Changes

- NEW: Removed reminder/thank-you postcards from the mail protocol description and Appendix materials
- NEW: Updated telephone attempt guidance
- NEW: Updated all mailing materials with plain language edits and revisions
Fielding Non-CMS Surveys with HOS Questions
Fielding Non-CMS Surveys with HOS Questions

- NCQA prohibits survey vendors from fielding surveys containing HOS questions eight weeks prior to and during the official HOS administration (May through November).
- In addition, CMS strongly discourages MA contracts and survey vendors from fielding other non-CMS surveys to enrollees eight weeks prior to and during the official HOS administration.
- Fielding surveys similar to the HOS, even in the off-season, may negatively impact HOS response rates:
  - If HOS response rates are too low, contracts risk not having enough data to calculate measure scores or Star Ratings, which could impact quality bonus payments.
Fielding Non-CMS Surveys with HOS Questions (Cont’d)

- To download the HOS and HOS-M questionnaires and HEDIS Volume 6, visit NCQA’s [HOS webpage](#).
- Survey vendors fielding off-cycle, non-CMS sponsored surveys using the HOS or HOS-M instruments or questions derived from the HOS must complete an HOS [Survey Use Application](#) and acknowledge and sign the HOS [Terms of Use](#).
- HEDIS Volume 6 is accessible from the [NCQA Store](#).
Questions?
HOS 2022 Survey Results

Health Services Advisory Group

Alana Berrett, MPH
Research Analyst

Jael Rodriguez, MPH
Healthcare Analyst
Overview

• HOS 2022 Survey Administration
• Response Rate Trends
• Survey Response Rates
  – Cohort 25 Baseline
  – Cohort 23 Follow-Up
• Survey Disposition Components
  – Cohort 25 Baseline
  – Cohort 23 Follow-Up
• Key Points
HOS 2022 Survey Administration

- Three survey vendors administered HOS
- Survey vendors randomly assigned a letter (A-C) for this presentation

<table>
<thead>
<tr>
<th>Survey</th>
<th>Number of Contracts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Unique Contracts</td>
<td>624</td>
</tr>
<tr>
<td>Cohort 25 Baseline</td>
<td>621</td>
</tr>
<tr>
<td>Cohort 23 Follow-Up</td>
<td>489</td>
</tr>
</tbody>
</table>
Survey Response Rates
Cohort 25 Baseline
Overall Response Rates Trend

Cohorts 23-25 Baseline Surveys: 2020-2022

- 2020: 33.1%
- 2021: 27.7%
- 2022: 24.3%

Administration Year

Response Rate
Completed Surveys by Mode

Cohorts 23-25 Baseline Surveys: 2020-2022

<table>
<thead>
<tr>
<th>Administration Year</th>
<th>Telephone</th>
<th>Mail</th>
</tr>
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<tbody>
<tr>
<td>2020</td>
<td>14.0</td>
<td>86.0</td>
</tr>
<tr>
<td>2021</td>
<td>11.5</td>
<td>88.5</td>
</tr>
<tr>
<td>2022</td>
<td>13.1</td>
<td>86.9</td>
</tr>
</tbody>
</table>
Completed Mail Survey Rates by Vendor

Cohorts 24-25 Baseline Surveys: 2021-2022

<table>
<thead>
<tr>
<th>Survey Vendor</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>90.1</td>
<td>87.8</td>
</tr>
<tr>
<td>B</td>
<td>84.7</td>
<td>87.4</td>
</tr>
<tr>
<td>C</td>
<td>82.5</td>
<td>83.6</td>
</tr>
</tbody>
</table>
Completed Telephone Survey Rates by Vendor
*Cohorts 24-25 Baseline Surveys: 2021-2022*

Survey Vendor

<table>
<thead>
<tr>
<th>Vendor</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>9.9</td>
<td>12.2</td>
</tr>
<tr>
<td>B</td>
<td>15.3</td>
<td>12.6</td>
</tr>
<tr>
<td>C</td>
<td>17.6</td>
<td>16.4</td>
</tr>
</tbody>
</table>
Variability of Completed Survey Rates by Vendor

**Cohort 25 Baseline Survey: 2022**

<table>
<thead>
<tr>
<th>Survey Vendor</th>
<th>2022 Vendor RR</th>
<th>2021 Vendor RR</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>55.4</td>
<td>23.1</td>
</tr>
<tr>
<td>B</td>
<td>40.2</td>
<td>18.6</td>
</tr>
<tr>
<td>C</td>
<td>39.2</td>
<td>12.7</td>
</tr>
<tr>
<td>Overall</td>
<td>55.4</td>
<td>24.3</td>
</tr>
</tbody>
</table>
Percent of Sample Responding by Mail

**Cohort 25 Baseline Survey: 2022**

<table>
<thead>
<tr>
<th>Survey Vendor</th>
<th>1st Mailing</th>
<th>2nd Mailing</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>15.3%</td>
<td>7.0%</td>
</tr>
<tr>
<td>B</td>
<td>19.7%</td>
<td>7.2%</td>
</tr>
<tr>
<td>C</td>
<td>18.3%</td>
<td>7.8%</td>
</tr>
</tbody>
</table>
Percent of Sample Responding by Telephone

Cohort 25 Baseline Survey: 2022

Survey vendor

Telephone Attempt

Percent
Overall Response Rates Trend
Cohorts 21-23 Follow-Up Surveys: 2020–2022

- 2020: 57.8%
- 2021: 54.7%
- 2022: 49.7%

Administration Year
Completed Surveys by Mode

Cohorts 21-23 Follow-Up Surveys: 2020-2022

<table>
<thead>
<tr>
<th>Administration Year</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>91.0</td>
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<tr>
<td>2021</td>
<td>94.0</td>
</tr>
<tr>
<td>2022</td>
<td>92.9</td>
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</table>

Legend:
- Yellow: Telephone
- Blue: Mail
Completed Mail Survey Rates by Vendor

Cohorts 22-23 Follow-Up Surveys: 2021-2022

Survey Vendor

<table>
<thead>
<tr>
<th>Vendor</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>94.3</td>
<td>92.9</td>
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<tr>
<td>B</td>
<td>91.4</td>
<td>94.5</td>
</tr>
<tr>
<td>C</td>
<td>91.7</td>
<td>92.3</td>
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</table>

Response Rate
Completed Telephone Survey Rates by Vendor

Cohorts 22-23 Follow-Up Surveys: 2021-2022

Survey Vendors

<table>
<thead>
<tr>
<th>Vendor</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>5.7</td>
<td>7.1</td>
</tr>
<tr>
<td>B</td>
<td>8.6</td>
<td>5.5</td>
</tr>
<tr>
<td>C</td>
<td>8.3</td>
<td>7.7</td>
</tr>
</tbody>
</table>
Variability of Completed Survey Rates by Vendor

Cohort 23 Follow-Up Survey: 2022

Survey Vendor

<table>
<thead>
<tr>
<th>Vendor</th>
<th>2022 Vendor RR</th>
<th>2021 Vendor RR</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>71.4</td>
<td>48.7</td>
</tr>
<tr>
<td>B</td>
<td>69.7</td>
<td>59.8</td>
</tr>
<tr>
<td>C</td>
<td>83.3</td>
<td>55.6</td>
</tr>
<tr>
<td>Overall</td>
<td>83.3</td>
<td>49.7</td>
</tr>
</tbody>
</table>

A 2022 Vendor RR  2021 Vendor RR
Percent of Sample Responding by Mail

Cohort 23 Follow-Up Survey: 2022

A
B
C

Percent

Survey Vendor

1st Mailing 2nd Mailing
Percent of Sample Responding by Telephone

**Cohort 23 Follow-Up Survey: 2022**

![Graph showing the percent of sample responding by telephone over different telephone attempts (T1 to T9) for three vendors (A, B, C). The graph indicates a decreasing trend in response rates over time for each vendor.]
Survey Disposition Components

Cohort 25 Baseline and Cohort 23 Follow-Up
Mail Nonresponse
After Max Attempts: M36

Baseline

Follow-Up

Survey Vendor

2022 Vendor %  2021 Vendor %
Mail Refusal: M32

Baseline

Survey Vendor

Follow-Up

2022 Vendor %  2021 Vendor %
Telephone Refusal: T32

Baseline

Survey Vendor

2022 Vendor % 2021 Vendor %

Follow-Up

Survey Vendor

2022 Vendor % 2021 Vendor %

A

Baseline 9.8 4.8 0.8

Follow-Up 9.4 3.4 0.0

B

Baseline 6.6 5.7 2.1

Follow-Up 8.3 3.7 2.1

C

Baseline 10.5 7.5 1.0

Follow-Up 10.2 4.7 0.0
Key Points

- Both Baseline and Follow-Up response rates continued to decrease in 2022
- Over 85% of surveys completed by mail
- First mailing captures larger number of respondents than second mailing
- Similarly, first telephone attempt obtains most responses while subsequent attempts have a decreased success trend
- Wide ranges in response rates across contracts were evident for some survey vendors
Questions?
Overview

• Mailing Material Updates
• Instrument Updates
• Telephone Specification Updates
• Customer Support and FAQ Updates
Mailing Material Updates

Questionnaire

- **NEW**: Updated HOS Questionnaire Cover

Prenotification and Cover Letters

- **NEW**: All Prenotification and Cover Letters in all languages were updated by CMS using plain language guidelines
  - Baseline and Follow-Up Prenotification Letters
  - Baseline Cover Letters
  - Follow-Up (No Proxy) Cover Letters
  - Follow-Up (Proxy) Cover Letters
Mailing Material Updates (Cont’d)

Postcard
• **NEW:** Removed the Reminder/Thank-You Postcard from mailing materials and HOS protocol

CMS Letterhead
• **NEW:** CMS return address and survey vendor names removed from CMS letterhead for cover letters only
  – Prenotifications letters will still include CMS’s return address on CMS letterhead
NEW: On all outgoing envelopes survey vendors will use the following block format:

- [CMS logo]
- c/o Survey Processing
- [survey vendor mailing address]

- Business reply envelope may use either CMS logo or “Centers for Medicare & Medicaid Services”

<table>
<thead>
<tr>
<th>Mailing Material</th>
<th>Logo/Letterhead</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prenotification Outgoing Envelope</td>
<td>CMS logo with c/o Survey Processing (and survey vendor return address)</td>
</tr>
<tr>
<td>First and Second Questionnaire Outgoing</td>
<td>CMS logo with c/o Survey Processing (and survey vendor return address)</td>
</tr>
<tr>
<td>Business Reply Envelope</td>
<td>CMS logo with c/o Survey Processing (and survey vendor return address) or “Centers for Medicare &amp; Medicaid Services” with c/o Survey Processing (and survey vendor return address)</td>
</tr>
</tbody>
</table>
Instrument Updates

- **NEW**: Added proxy information and removed HIPAA language from the instructions page

- **NEW**: All English wording in Chinese materials updated to sans serif font for readability
Instrument Updates (cont’d)

• **NEW**: Updated third sentence in instructions to correct the characters for the word “about” in Chinese questionnaire

• **NEW**: Updated character for “we” Question 8 introduction in Chinese questionnaire
**NEW:** Moved the interviewer instructions for Question 54d1 and Question 54k1 (Race/Ethnicity)

<table>
<thead>
<tr>
<th>Question 54d1</th>
<th>Question 54k1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you Asian?</td>
<td>Is [he/she] Asian?</td>
</tr>
<tr>
<td>IF YES: {READ ALL CATEGORIES IN PARTS Q54d-j.}</td>
<td>IF YES: {READ ALL CATEGORIES IN PARTS Q54d-j.}</td>
</tr>
<tr>
<td>&lt;0&gt; NO OR NOT ASCERTAINED</td>
<td>&lt;0&gt; NO OR NOT ASCERTAINED</td>
</tr>
<tr>
<td>&lt;1&gt; YES</td>
<td>&lt;1&gt; YES</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question 54k1</th>
<th>Question 54d1</th>
</tr>
</thead>
<tbody>
<tr>
<td>{Are you…} Native Hawaiian or Other Pacific Islander?</td>
<td>{Is [he/she]…} Native Hawaiian or Other Pacific Islander?</td>
</tr>
<tr>
<td>IF YES: {READ ALL CATEGORIES IN PARTS Q54k-n.}</td>
<td>IF YES: {READ ALL CATEGORIES IN PARTS Q54k-n.}</td>
</tr>
<tr>
<td>&lt;0&gt; NO OR NOT ASCERTAINED</td>
<td>&lt;0&gt; NO OR NOT ASCERTAINED</td>
</tr>
<tr>
<td>&lt;1&gt; YES</td>
<td>&lt;1&gt; YES</td>
</tr>
</tbody>
</table>
NEW: Updated the fourth response option for Question 61 from “A Professional Caregiver” to “Caregiver”

<table>
<thead>
<tr>
<th>Q61</th>
<th>WHO ARE YOU INTERVIEWING?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>PERSON TO WHOM SURVEY WAS ADDRESSED, [Q1]</td>
</tr>
<tr>
<td></td>
<td>{IF SOMEONE ELSE, PROBE: How are you related to [MEMBER NAME]? Are you a:}</td>
</tr>
<tr>
<td>2</td>
<td>family member or relative, [Q62]</td>
</tr>
<tr>
<td>3</td>
<td>a friend, or [Q62]</td>
</tr>
<tr>
<td>4</td>
<td>a caregiver? [Q62]</td>
</tr>
<tr>
<td>9</td>
<td>NOT ASCERTAINED [Q62]</td>
</tr>
</tbody>
</table>
**NEW:** Spanish member script updated for to use the correct wording for “give me”.

<table>
<thead>
<tr>
<th>Question</th>
<th>English</th>
<th>Spanish</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;Q6a&lt;</td>
<td>Las siguientes preguntas se refieren a cómo se siente usted y a cómo le han ido las cosas durante las últimas 4 semanas. Por cada pregunta que le lea, por favor dême la respuesta que más se acerca a la manera como se ha sentido usted.</td>
<td>¿Cuánto tiempo durante las últimas 4 semanas se ha sentido tranquilo(a) y sosegado(a)? ¿Diría que:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Option</th>
<th>English</th>
<th>Spanish</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Siempre,</td>
<td>Siempre,</td>
</tr>
<tr>
<td>2</td>
<td>Casi siempre,</td>
<td>Casi siempre,</td>
</tr>
<tr>
<td>3</td>
<td>Muchas veces,</td>
<td>Muchas veces,</td>
</tr>
<tr>
<td>4</td>
<td>Algunas veces,</td>
<td>Algunas veces,</td>
</tr>
<tr>
<td>5</td>
<td>Casi nunca, o</td>
<td>Casi nunca, o</td>
</tr>
<tr>
<td>6</td>
<td>Nunca?</td>
<td>Nunca?</td>
</tr>
<tr>
<td>9</td>
<td>NOT ASCERTAINED</td>
<td>NOT ASCERTAINED</td>
</tr>
</tbody>
</table>
Customer Support Updates

Toll-Free Customer Support Telephone

• Lines must have sufficient capacity so that 90 percent of incoming calls each day are answered “live”

After-Hours Greetings

• After-hours greeting must reference the Medicare Health Outcomes Survey, regular call hours, and that calls will be returned within 24 hours (or the next business day)
  – The after-hours greeting must be presented in English and Spanish (and Chinese and Russian, if applicable)
Questions?
Polling Question 2

What should be listed on the cover letterhead under CMS and above the survey vendor return address?
Overview

• File Specifications Review
• File Layout Changes
• Data Coding Guidelines
  – Decision Rules
  – Percent Complete
  – Disposition Codes
• Data Submission Process
  – Data Validation
  – Prepare and Submit Data Files
  – Data Submission
File Specifications Review

- Submit survey data in .txt file format
- One text file for each MA contract with record-level data for sampled members
- Sample file data included in data submission files must match original sample file data
  - No changes or modifications permitted
Two records

- **Header Record**: Contract-level information
- **Member-Level Record**: Member-level information
  - Sample File Layout
  - Survey File Record Layout
File Layout Changes

Supplemental File Layout

- **NEW:** Removed Supplemental File Process and Supplemental File Layout

Survey File Record Layout

- **NEW:** Survey Completion Date valid values
  - Updated valid values to align with 2023 survey administration dates

<table>
<thead>
<tr>
<th>Field Description</th>
<th>Field Position</th>
<th>Field Length</th>
<th>Valid Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey Completion Date</td>
<td>281 288</td>
<td>8</td>
<td>MMDDYYYY</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>07172023 – 11012023</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>July 17, 2023 – November 1, 2023</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>9999999999 = Not applicable</td>
</tr>
</tbody>
</table>
Open-ended Questions

• Q55b (Primary Language – Please Specify)
  – Code response exactly as provided, regardless of appropriateness

• Q62a and Q62b (Proxy First and Last Name)
  – Code response exactly as provided, regardless of appropriateness
  – Clean the data only in the following instances:
    • Separate Last Name and First Name into their own fields
    • Romanize Traditional Chinese or Cyrillic characters for interim and final data files
Decision Rules (Cont’d)

- Illegible data for Q55b and Q62
  - Record response as ILLEGIBLE
  - Use all caps
  - Do NOT use any punctuation
Percent Complete

- HOS contains 79 potential response items
- Exclude 12 skip pattern items from calculation
  - Q14, Q32a-32e, Q39, Q40, Q41, Q43, Q60, Q62
  - **Note:** Q52b is excluded from percent complete calculation because it is only asked in the telephone survey as part of a skip pattern

\[
\text{% Complete} = \frac{\text{Total Number of Answered Items (Exclude Skip Pattern Items)}}{\text{Total Response Items} - \text{Excluded Items}} \times 100
\]
Percent Complete (Cont’d)

• An HOS survey is considered complete if it is 80 percent or more complete with all six ADL questions (Q10a-f) answered

• Once an HOS survey reaches 80 percent or more complete with all six ADL questions, no further attempts are made to the member
Disposition Codes

Coding Demographic Fields

• Survey vendors do **NOT** code a record T31 if only demographic information is collected from member or proxy
  – Only Q61 and Q62 answered
  – Interview ends before Q1

• Continue telephone attempts to reach the member or proxy to complete the survey. Survey vendors must make up to 5 telephone attempts to each available telephone number
Assigning Survey Vendor-Generated Variables

• All survey vendor-generated variables should be associated with the round in which the data were collected.

• Telephone Interviewer ID variable should be associated with the telephone attempt corresponding to final disposition code and to the telephone interviewer who conducts the telephone interview.
### Data Coding Guidance (Cont’d)

#### Survey Round

**NEW:** Beginning with the 2023 HOS survey, telephone disposition code of T9 indicates 9 or more telephone attempts.

<table>
<thead>
<tr>
<th>Field Description</th>
<th>Field Position</th>
<th>Field Length</th>
<th>Valid Values</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start</td>
<td>End</td>
<td></td>
</tr>
<tr>
<td>Survey Round</td>
<td>280</td>
<td>281</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>T1</td>
<td></td>
<td>T1 = 1st telephone</td>
</tr>
<tr>
<td></td>
<td>T2</td>
<td></td>
<td>T2 = 2nd telephone</td>
</tr>
<tr>
<td></td>
<td>T3</td>
<td></td>
<td>T3 = 3rd telephone</td>
</tr>
<tr>
<td></td>
<td>T4</td>
<td></td>
<td>T4 = 4th telephone</td>
</tr>
<tr>
<td></td>
<td>T5</td>
<td></td>
<td>T5 = 5th telephone</td>
</tr>
<tr>
<td></td>
<td>T6</td>
<td></td>
<td>T6 = 6th telephone</td>
</tr>
<tr>
<td></td>
<td>T7</td>
<td></td>
<td>T7 = 7th telephone</td>
</tr>
<tr>
<td></td>
<td>T8</td>
<td></td>
<td>T8 = 8th telephone</td>
</tr>
<tr>
<td></td>
<td>T9</td>
<td></td>
<td>T9 = 9th telephone or greater</td>
</tr>
</tbody>
</table>
Data Submission Process

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

• Conduct record-level evaluations
• Confirm files contain a record for each member sampled in MA contract
• Compare data submission file to original sample file for an exact match across select variables
• Four general types of validations
  – Valid values, logic variable agreement, skip pattern logic, survey completion level
Prepare and Submit Data Files

• Submission and Organization IDs will be provided in the Header Record

• Submit all interim and final data files via the HOS Interactive Data Submission System (IDSS)
  – Survey vendors will receive instructions closer to the scheduled data submission periods

• Upload maximum of 80 files across all folders within a zip file

• Allow each zip file to process before uploading another
Prepare and Submit Data Files (Cont’d)

• Error Messages
  – Correct and re-upload data files
  – Cannot complete submission or mark files as “Final” unless all errors corrected

• Warning Messages
  – Review all warning messages
  – Verify accuracy of data
Interim Data Submission

• Allows opportunity to investigate data submission issues before Final Data Submission
• System opens Tuesday, October 3 and closes 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 submitted
Surveys vendors review records thoroughly prior to submission to confirm all data are accurate.

Interim data files will be cleaned and analyzed.

The HOS 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 Submission opens **Thursday, November 2**
• Complete data attestation prior to marking files “Final”
• 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?
Break
Overview

- Data Submission and Review Process
- HSAG’s Data Evaluation Process
- Types of Discrepancies Investigated
- Suggested Quality Checks for Survey Vendors
- MA Contract Data Requests for Cohort 22
- HOS Case-Mix
- PFADL Change Score Measure
Data Submission and Review Process

Vendor A  ➔  Vendor B  ➔  Vendor C

Interim data submission to NCQA

Vendor A  ➔  Vendor B  ➔  Vendor C

Final data submission to NCQA
HSAG’s Data Evaluation Process

- Survey vendors submit plan-level text files to NCQA
- Upon receipt of survey vendor text files from NCQA, HSAG combines files into one data set and examines vendor, mode, and language differences
  - Compares response distributions for missing values and variations from historical values
  - Identifies potential response issues for new and modified survey items
Types of Discrepancies Investigated

- Questionable Data Distributions
- Skip Pattern Violations
- Out of Range Values
- Inconsistent or Missing Data
- Inappropriate Cleaning
- Missing Sections
Questionable Data Distributions

- Responses to each question by survey vendor
  - Overall
  - By survey mode: telephone and mail
  - By survey language
- Historical trends
- New questions
- Open-ended questions
- Questions with more than one answer permitted
  - Hispanic ethnicity
  - Race
  - Living arrangement – alone or with others
Skip Pattern Violations

• Skip pattern violations by members in mail survey data are expected
  – Further investigation may be warranted when no skip pattern violations are found across questions that commonly have such violations

• Skip pattern violations in telephone data are NOT expected
  – Further investigation may be warranted when skip pattern violations are found in telephone records
Out of Range and Inappropriate Values

- Verify response validity by conducting range checks for survey fields
- Identify data value shifts due to field misalignment in survey vendor text files
- Verify dates are within appropriate ranges
  - Survey dates should correspond to the survey administration window
- Verify appropriate values for the *height in feet* field
  - More likely between 4-6 feet than above 6 feet or below 4 feet
Inconsistent or Missing Data

• Compare values in member-level data provided by CMS with respondents’ survey data
  – Race
  – Gender

• Verify administrative survey fields
  – Round Number
  – Survey Disposition
  – Survey Language
  – Survey Dates
  – Do Not Survey Flag
  – Electronic Telephone Interviewer ID
Inconsistent or Missing Data (Cont’d)

- Investigate inconsistencies across fields
  - Frequency of “ineligible” surveys among survey vendors
  - Percent complete of the survey portion of each record
  - Percent complete vs. survey dispositions
  - Round numbers vs. survey dispositions
- Review similar survey fields for internal consistency
  - Correlations between similar item responses
Example 1: Missing Data

Q52a. Are you male or female?  
(Survey Gender)

9 = missing

Survey Disposition

T10 or T11

*Examples have been formatted for illustrative purposes in this presentation only; they are not intended to reflect how questions or responses are organized in the HOS survey instrument.
Example 2: Inappropriate Missing Pattern

- Q38: Many people experience leakage of urine, also called urinary incontinence. In the past 6 months, have you experienced leaking of urine?

  Yes → Go to Q39

  No → Go to Q42
Inappropriate Missing Pattern (Cont’d)

<table>
<thead>
<tr>
<th>Answer to Q38:</th>
<th>Q39: During the <strong>past six months</strong>, how much did leaking of urine make you change your daily activities or interfere with your sleep?</th>
<th>Q42: In the <strong>past 12 months</strong>, did you talk with a doctor or other health provider about your level of exercise or physical activity? For example, a doctor or other health provider may ask if you exercise regularly or take part in physical exercise.</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Yes → <strong>Go to Q39</strong></td>
<td>Answer &amp; proceed to Q40-41</td>
<td>Proceed as indicated</td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
</tr>
<tr>
<td>✓ No → <strong>Go to Q42</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Answer of “Yes” or “No” Indicates go to Q39 or Q42, respectively
Inappropriate Cleaning: Mail Surveys

• Open-ended numeric questions (healthy days, weight, height)
  – Enter as written by respondent, except as directed by QAG
  – Small number of invalid or inappropriate values expected

• Skip patterns
  – Enter responses as marked on the survey
  – Small number of skip pattern violations expected

• Absence of respondent-generated errors in mail surveys may indicate inappropriate cleaning by survey vendor
Example 3: Inappropriate Cleaning

<table>
<thead>
<tr>
<th>Q. 51 Height in Inches Portion (not corresponding to other examples)</th>
<th>Survey Vendor (percent)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A</td>
</tr>
<tr>
<td>Valid (00-98)</td>
<td>93.8</td>
</tr>
<tr>
<td>Inappropriate Answer (88)</td>
<td>1.23</td>
</tr>
<tr>
<td>Missing (99)</td>
<td>4.97</td>
</tr>
</tbody>
</table>

- Unexpected mail survey results with no inappropriate responses for a survey vendor
- Mail survey responses should not be cleaned prior to submission
Missing Responses

• Recognize gate questions
• Examine key questions like Veterans RAND 12-Item Health Survey and Activities of Daily Living (VR-12, ADLs) for unexpected sequences
  – Entire survey section is blank
• Missing data at contract and survey vendor levels
• Variations by survey language
Example 4: Missing Responses

- Responses missing for Q3a – Q9
- Identify and investigate missing response clusters

| Record | Q1 | Q2a | Q2b | Q3a | Q3b | Q4a | Q4b | Q5 | Q6a | Q6b | Q7 | Q8 | Q9 | Q10a | Q10b | Q10c | Q10d | Q10e | Q10f | Q11a | Q11b | Q11c | Q12 |
|--------|----|-----|-----|-----|-----|-----|-----|----|-----|-----|----|----|----|------|------|------|------|------|------|------|------|-----|
| 54     | 2  | 3   | 1   | 1   |     |     |     | 1  |     |     | 1  | 1  | 1  | 1    | 1    | 1    | 1    | 1    | 1    | 2    | 2    | 3    | 2 |
| 55     | 1  | 2   | 1   | 1   |     |     |     | 1  |     |     | 2  | 2  | 2  | 3    | 3    | 3    | 3    | 2    | 2    | 3    | 3    | 3    | 2    | 1    | 8 |
| 56     | 3  | 1   | 1   | 1   |     |     |     | 2  |     |     | 1  | 2  | 2  | 1    | 2    | 1    | 1    | 2    | 1    | 1    | 1    | 2    | 2    | 7 |
| 57     | 1  | 2   | 2   | 2   |     |     |     | 1  |     |     | 2  | 2  | 2  | 2    | 2    | 2    | 1    | 1    | 2    | 2    | 3    | 2    | 2    | 2    | 0 |
| 58     | 1  | 2   | 2   | 2   |     |     |     | 2  |     |     | 1  | 2  | 2  | 3    | 2    | 2    | 3    | 3    | 2    | 3    | 3    | 3    | 2    | 0 |
| 59     | 1  | 1   | 1   | 1   | 2   | 1   | 2   | 1  | 2   | 2   | 2  | 3  | 3  | 2    | 1    | 2    | 2    | 2    | 1    | 2    | 1    | 2    | 2    | 1 |
| 60     | 3  | 2   | 2   | 3   | 3   | 2   | 1   | 2  | 2   | 1   | 2  | 3  | 1  | 1    | 1    | 1    | 1    | 2    | 2    | 1    | 2    | 3    | 2    | 8 |
Suggested Quality Checks for Survey Vendors

- Check telephone records for skip pattern inconsistencies
- Check for missing responses indicating possible coding errors
- Review response distributions for improbable results in mail surveys
- Identify coding errors in fields with extreme frequencies (0% or 100%) for any one response
Suggested Quality Checks for Survey Vendors (Cont’d)

• Verify coding of responses has not been reversed
• Identify and investigate clusters of missing responses
• Check revised data files for unexpected changes, and submit explanation for any unexpected changes with resubmitted files
• Verify all HOS codes are present for each reporting field, rather than only flagging invalid codes
Suggested Quality Checks for Survey Vendors (Cont’d)

• Verify:
  – Mail survey responses are not cleaned prior to submission
  – Electronic telephone interviewing program does not permit skip pattern violations
  – Names do not contain accents or other special characters
MA Contract Data Requests for Cohort 22

Number of Contracts

Cohort

Contracts Requesting Data

Contracts Not Requesting Data
HOS Case-Mix

- HOS Performance Measurement outcomes are death, change in physical health from physical component summary (PCS) score, and change in mental health from mental component summary (MCS) score
- Actual health outcomes are assessed at Baseline and Follow-Up from the VR-12; members are categorized as better, same, or worse at follow up
- Expected results are derived using logistic regression to predict expected probability of death and expected PCS and MCS change for each member
- Baseline demographic and socioeconomic indicators, and baseline health status are included in case-mix adjustment models for expected results
National averages are calculated for actual outcomes of death, PCS same or better, and MCS same or better.

Actual and expected outcomes are aggregated percentages for each MAO, and death is incorporated with physical health only.

Final HOS outcomes adjusted by combining differences between actual and expected results for each MAO with national averages.

In summary, Performance Measurement Analysis determines percentages of members in an MAO who are better, same, or worse than expected at two-year follow up compared to national averages.
The longitudinal Physical Functioning Activities of Daily Living (PFADL) change score measure is part of 2023 display measures on CMS website and Health Plan Management System (HPMS).

The PFADL change score measure combines two physical functioning questions (limitations in moderate activities and climbing stairs) with six ADL items to create a Likert-type scale, computed at Baseline and Follow-Up.

The PFADL change score measure can be interpreted as approximating percent of function retained over two years by the average member in an MAO.

Detailed methodology used to create the PFADL change score measure is described on the Survey Results page of the HOS website (www.HOSonline.org).
For inquiries, please contact Medicare HOS Information and Technical Support

(888) 880-0077

or

hos@hsag.com

Website: www.HOSonline.org
Questions?
Quality Oversight and Project Reporting

NCQA

Alyssa Hart, MPH
HOS Task Lead
Overview

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

- Technical Support

- Accellion
## Before Survey Administration

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

• Review final print-ready HOS 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
Mailing Materials (Cont’d)

Common Findings

• Omission of footnote about how sampled members may request materials in their preferred language
• Incorrect formatting
• Incorrect font and font size
Electronic Interviewing Materials

• Review telephone interviewing screenshots and skip pattern logic
• Due Friday, June 23
  – Two weeks after submitting mailing materials
  – 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 Project Team to review, in addition to the screenshots
• Subcontractor(s) must follow the same review schedule
Common Findings

- Missing instructions and probes
- Missing emphasis on select words
- Grammatical errors
- Improper usage of parentheses
- Missing skip pattern documentation
Survey Vendor QAP

• Describes survey vendor compliance with the HOS protocols and quality oversight processes

• QAPs must follow the Model QAP format (Appendix B in the QAG)
  – Due Friday, June 30
Common Findings

- Outdated protocols
- Missing detail on subcontractor oversight
- Omission of Spanish, Chinese, and Russian protocol details
- Incorrect or missing survey disposition code crosswalk
## During Survey Administration

<table>
<thead>
<tr>
<th>Oversight Activities</th>
<th>Dates (2023)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey Vendor Conference Calls</td>
<td>Monday, July 17 – Monday, July 31</td>
</tr>
<tr>
<td>Seeded Mailings</td>
<td>July – September</td>
</tr>
<tr>
<td>Customer Support Reviews</td>
<td>July – August</td>
</tr>
<tr>
<td>Survey Vendor Progress Reports</td>
<td>July – December</td>
</tr>
<tr>
<td>Site Visits</td>
<td>October</td>
</tr>
<tr>
<td>Data Record Review</td>
<td>September – October</td>
</tr>
<tr>
<td>Electronic Telephone Interviewing Monitoring</td>
<td>September – October</td>
</tr>
<tr>
<td>Interim Data File Submission Deadline</td>
<td>Thursday, October 5</td>
</tr>
</tbody>
</table>
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 HOS Project Team 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)

- Example of mail database entry with seeded mailings

<table>
<thead>
<tr>
<th>Sampled Member</th>
<th>Address 1</th>
<th>Address 2</th>
<th>City</th>
<th>State</th>
<th>Zip</th>
</tr>
</thead>
<tbody>
<tr>
<td>Member 1</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
</tr>
<tr>
<td>Member 2</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
</tr>
<tr>
<td>…</td>
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<tr>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
<td>…</td>
</tr>
<tr>
<td>Alyssa Hart</td>
<td>1100 13th St NW</td>
<td>Third Floor</td>
<td>Washington</td>
<td>DC</td>
<td>20005</td>
</tr>
<tr>
<td>Courtney Utter</td>
<td>1100 13th St NW</td>
<td>Third Floor</td>
<td>Washington</td>
<td>DC</td>
<td>20005</td>
</tr>
<tr>
<td>Laura Giordano</td>
<td>3133 E Camelback Rd</td>
<td>Ste 140</td>
<td>Phoenix</td>
<td>AZ</td>
<td>85016</td>
</tr>
</tbody>
</table>
Seeded Mailings (Cont’d)

- Proxy name for use in Follow-Up—Proxy at Baseline protocol: John Smith
- Seed information:

<table>
<thead>
<tr>
<th>Laura Giordano</th>
<th>Alyssa Hart</th>
<th>Courtney Utter</th>
</tr>
</thead>
<tbody>
<tr>
<td>3133 E Camelback Rd Ste 140 Phoenix, AZ 85016</td>
<td>1100 13th Street NW, Third Floor Washington, DC 20005</td>
<td>1100 13th Street NW, Third Floor Washington, DC 20005</td>
</tr>
</tbody>
</table>
Customer Support Review

- Assess customer support responses to the specifications in QAG and FAQ

- Customer support review: *Telephone*
  - HOS Project Team makes 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 Project Team
Common Findings

- Emails not responded to within 24 hours
- Customer support representatives unable to answer questions according to the FAQ
- Long delays and pauses while responding
Survey Vendor Progress Reports

• Tracks survey vendor status for adherence to the HOS protocols during survey administration
  – Submit progress reports to hos@ncqa.org

• Deadlines and report requirements in QAG
  – Recurring deliverables
    • Narrative Reports (Reports #2-8)
    • Summary Status Reports (Reports #3-9)
    • Telephone Attempt Reports (Reports #6-9)
    • Member Correspondence (Reports #2-10)
  – One-time deliverable
    • Sample of MAO progress reports (Report #7)
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 (Baseline and Follow-Up) with naming conventions:
  - Survey Vendor Name_SSR_C26B_MM-DD-YY.xls
  - Survey Vendor Name_SSR_C24F_MM-DD-YY.xls
- Use 2023 template provided prior to fielding
Telephone Attempt Report

• Summary status report includes template to report on progress with telephone attempts to date
  – Submit with Progress Reports #6-9
  – Report plan H-number, plan name, total number of cases to receive calls, number of telephone attempts made, and number of closed cases
  – Template provided to survey vendors ahead of fielding
Sample of MAO Progress Reports (Report #7)

- One-time deliverable
- Reports must follow guidelines and only provide information specified in the QAG
  - Summary Status Report data
- Sending member-specific data is prohibited
- As a reminder, survey vendors are NOT permitted to share their own unpublished results
# Biweekly Progress Reports

## Reporting Requirements

<table>
<thead>
<tr>
<th>REPORT #2</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Report:</strong></td>
<td>Friday, July 28</td>
</tr>
<tr>
<td>• Overview of Baseline and Follow-Up prenotification letter and first questionnaire printing, fulfillment, and mailing processes.</td>
<td></td>
</tr>
<tr>
<td>• Verification of mail out dates of Baseline and Follow-Up prenotification letter and first questionnaire mailing (e.g., USPS generated report).</td>
<td></td>
</tr>
<tr>
<td>• Status of staff training and SMS development.</td>
<td></td>
</tr>
<tr>
<td>• Confirmation of customer support functionality and testing.</td>
<td></td>
</tr>
<tr>
<td>• Outstanding issues or concerns.</td>
<td></td>
</tr>
<tr>
<td><strong>Other Deliverable:</strong> Member correspondence (white mail), if applicable.</td>
<td></td>
</tr>
</tbody>
</table>
## Biweekly Progress Reports (Cont’d)

<table>
<thead>
<tr>
<th>Reporting Requirements</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>REPORT #3</td>
<td>Friday, August 11</td>
</tr>
<tr>
<td><strong>Summary Status Report:</strong> Baseline and Follow-Up Cohorts.</td>
<td></td>
</tr>
<tr>
<td><strong>Narrative Report:</strong></td>
<td></td>
</tr>
<tr>
<td>• Outstanding issues or concerns.</td>
<td></td>
</tr>
<tr>
<td><strong>Other Deliverable:</strong> Member correspondence (white mail), if applicable.</td>
<td></td>
</tr>
<tr>
<td>REPORT #4</td>
<td>Friday, August 25</td>
</tr>
<tr>
<td><strong>Summary Status Report:</strong> Baseline and Follow-Up Cohorts.</td>
<td></td>
</tr>
<tr>
<td><strong>Narrative Report:</strong></td>
<td></td>
</tr>
<tr>
<td>• Overview of progress with protocol to date.</td>
<td></td>
</tr>
<tr>
<td>• Detail problems or issues to date.</td>
<td></td>
</tr>
<tr>
<td>• Outstanding issues or concerns.</td>
<td></td>
</tr>
<tr>
<td><strong>Other Deliverable:</strong> Member correspondence (white mail), if applicable.</td>
<td></td>
</tr>
</tbody>
</table>
## Reporting Requirements

<table>
<thead>
<tr>
<th>REPORT #5</th>
<th>Due Date</th>
</tr>
</thead>
</table>
| **Summary Status Report:** Baseline and Follow-Up Cohorts.  
**Narrative Report:**  
- Overview of Baseline and Follow-Up second questionnaire mailing.  
- Verification of mail out dates of Baseline and Follow-Up second questionnaire 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 FAQ) and number of requests for Spanish (Chinese and Russian, if applicable) version 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 |
### Reporting Requirements

<table>
<thead>
<tr>
<th>REPORT #6</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary Status Report:</strong></td>
<td>Friday, September 22</td>
</tr>
<tr>
<td>• Baseline and Follow-Up Cohorts.</td>
<td></td>
</tr>
<tr>
<td>• Telephone attempt progress to date.</td>
<td></td>
</tr>
<tr>
<td><strong>Narrative Report:</strong></td>
<td></td>
</tr>
<tr>
<td>• Overview of progress with protocol to date.</td>
<td></td>
</tr>
<tr>
<td>• Detail problems or issues to date.</td>
<td></td>
</tr>
<tr>
<td>• Describe process of converting partially completed surveys to complete, and progress.</td>
<td></td>
</tr>
<tr>
<td>• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.</td>
<td></td>
</tr>
</tbody>
</table>

**Other Deliverable:** Member correspondence (white mail), if applicable.
## Reporting Requirements

<table>
<thead>
<tr>
<th>REPORT #7</th>
<th>Due Date</th>
</tr>
</thead>
</table>
| **Summary Status Report:**  
  • Baseline and Follow-Up Cohorts.  
  • Telephone attempt progress to date.  
**Narrative Report:**  
  • Outstanding issues or concerns.  
  • Detail problems or issues to date.  
  • Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.  
  • Report on experience with submitting interim data files.  
**Other Deliverable:**  
  • Member correspondence (white mail), if applicable.  
  • Submit a sample of the interim/progress report that is provided to HOS clients. | Friday, October 6 |
## Biweekly Progress Reports (Cont’d)

<table>
<thead>
<tr>
<th>Reporting Requirements</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>REPORT #8</td>
<td>Friday, October 20</td>
</tr>
<tr>
<td><strong>Summary Status Report:</strong></td>
<td></td>
</tr>
<tr>
<td>• Baseline and Follow-Up Cohorts.</td>
<td></td>
</tr>
<tr>
<td>• Telephone attempt progress to date.</td>
<td></td>
</tr>
<tr>
<td><strong>Narrative Report:</strong></td>
<td></td>
</tr>
<tr>
<td>• Overview of progress with protocol to date.</td>
<td></td>
</tr>
<tr>
<td>• Detail problems or issues to date.</td>
<td></td>
</tr>
<tr>
<td>• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.</td>
<td></td>
</tr>
<tr>
<td><strong>Other Deliverable:</strong> Member correspondence (white mail), if applicable.</td>
<td></td>
</tr>
<tr>
<td>REPORT #9</td>
<td>Friday, November 3</td>
</tr>
<tr>
<td><strong>Summary Status Report</strong></td>
<td></td>
</tr>
<tr>
<td>• Baseline and Follow-Up Cohorts.</td>
<td></td>
</tr>
<tr>
<td>• Telephone attempt progress to date.</td>
<td></td>
</tr>
<tr>
<td><strong>Other Deliverable:</strong> Member correspondence (white mail), if applicable.</td>
<td></td>
</tr>
</tbody>
</table>
Blinded Response Rates

- HOS Project Team will provide blinded response rates to survey vendors based on Summary Status Reports on a biweekly basis
White mail sent biweekly to HOS 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.
Member Correspondence (Cont’d)

- When submitting member correspondence, survey vendors must include all white mail received in the previous two weeks.
  - Do **NOT** send member correspondence via email

<table>
<thead>
<tr>
<th>Examples of Correspondence to Be Sent</th>
<th>Examples of Correspondence NOT to Be Sent</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Messages intended for CMS</td>
<td>• Death notices</td>
</tr>
<tr>
<td>• Comments about MAO/provider</td>
<td>• Address changes</td>
</tr>
<tr>
<td>• Personal problems</td>
<td>• Language barrier</td>
</tr>
<tr>
<td>• Requests for medical assistance</td>
<td>• Institution notice</td>
</tr>
<tr>
<td>and supporting documentation</td>
<td>• Comments written on or throughout the</td>
</tr>
<tr>
<td>• Opinions about the survey</td>
<td>survey, including marginal comments</td>
</tr>
<tr>
<td>instrument or federal government</td>
<td></td>
</tr>
</tbody>
</table>
Telephone Interviewer Monitoring

- Survey vendors monitor 10%, at a minimum, including subcontractors and across all survey languages
- HOS Project Team will conduct remote silent monitoring of interviewers and interviewing system
  - HOS Project Team will conduct separate remote monitoring sessions with each subcontractor
HOS Project Team assesses interviewers on:

- Reading script verbatim with correct pronunciations
- Accurate probing
- Speaking clearly
- Maintaining an appropriate pace
- Operating the electronic interviewing system competently
- Capturing accurate responses
- Answering questions appropriately
Telephone Interviewer Monitoring (Cont’d)

Common Findings

• Inappropriate tone maintained with respondents
• Not reading all response options
• Improper probing
• Mispronunciations
• Missing emphasis on key words
• Inappropriate coding of responses
• Incorrect responses to member questions
Site Visits

• Evaluate survey vendor’s compliance with the QAG
  – 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 Project Team
• HOS Project Team will provide a list of requirements and records prior to the review
• Conduct reviews remotely
Common Findings

• Incorrect survey round codes and disposition codes
• Incorrect coding of open-ended questions
• Continuing attempts in English after member requests to be contacted in Spanish
• Coding multiple marked questions
<table>
<thead>
<tr>
<th>Oversight Activities</th>
<th>Dates (2023)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey Vendor Final Report</td>
<td>Friday, November 17</td>
</tr>
<tr>
<td>Report of HOS Records Stored and Facility Standards for Records Storage Facilities Inspection Checklist</td>
<td>Friday, December 1</td>
</tr>
</tbody>
</table>
Final Detailed Status Report

• Three components:
  1. Data synthesis (required)
  2. Discussion component (required)
     – Survey implementation, issues encountered, lessons learned, recommendations
     – List any additional language translations requested by MAOs
     – List any additional survey modes requested by MAOs and/or respondents (e.g., internet, text) and number of requests
  3. Recommendations for 2024 HOS Administration

• Reports used for:
  – Informing QAG updates
  – Process improvement
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.

<table>
<thead>
<tr>
<th>I. General Information</th>
<th>Select one:</th>
<th>Initial Report</th>
<th>Updated Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>Organization:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title:</td>
<td>Address:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email:</td>
<td>Telephone:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II. Description of Discrepancy</th>
</tr>
</thead>
<tbody>
<tr>
<td>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:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date Discrepancy Discovered:</th>
<th>Discrepancy Time Frame:</th>
</tr>
</thead>
</table>

Detailed Description of Discrepancy and How the Discrepancy Was Discovered:

<table>
<thead>
<tr>
<th>III. Impact of Discrepancy</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Survey Languages Impacted:</th>
<th>□ English □ Spanish □ Chinese □ Russian</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>CMS Contract Number</th>
<th>Number of Affected Surveys</th>
<th>Number of Sampled Members Impacted</th>
</tr>
</thead>
<tbody>
<tr>
<td>How Was Estimation of Affected Surveys Reached?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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 are via Accellion
• Sample files will be sent via Accellion
• Survey vendors use Accellion to securely send member correspondence and other deliverables
• 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 HOS Project Team throughout survey administration
  - Access the file request by logging in to https://accellion.ncqa.org
NCQA’s Secure Site Accellion (Cont’d)

To open the file request, click the message subject line in your Accellion inbox.
NCQA’s Secure Site Accellion (Cont’d)

Click the blue **Upload** icon to upload your secure files

File request: HOS Survey Vendor Files

hos@ncqa.org

Jan 24, 2020, 8:52 AM

To:

hos@ncqa.org requested a file from you

hos@ncqa.org requests that you upload files to "NCQA"
NCQA’s Secure Site Accellion (Cont’d)

Drag and drop files or click Add Files to choose files to upload

Click Upload in the bottom right to send the files to NCQA

hos@ncqa.org has requested files from you

Subject: File request: HOS Survey Vendor Files

Files to send back to hos@ncqa.org

Member Correspondence.PNG

447 Bytes

Unlimited uploads.
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

How often must survey vendors send white mail to the HOS Project Team?
Questions and Closing

NCQA

Ruth Boansi, MPH
HOS Project Director
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