



# Medicare Health Outcomes Survey 2022 Survey Vendor Update Training



*May 24, 2022*



# Welcome and Introduction

# 2022 Survey Vendor Update Training Agenda

Time (p.m., ET)	Agenda Item
1:00 – 1:10 p.m.	Welcome and Introduction
1:10 – 1:30 p.m.	HOS CMS Update
1:30 – 2:00 p.m.	HOS 2022 Administration Updates
2:00 – 2:15 p.m.	HOS 2021 Survey Results
2:15 – 2:35 p.m.	Survey Material Updates
2:35 – 2:55 p.m.	Data Coding and Data Submission
2:55 – 3:05 p.m.	Break
3:05 – 3:35 p.m.	Data Management
3:35 – 4:00 p.m.	Quality Oversight and Project Reporting
4:00 – 4:10 p.m.	Questions and Closing
4:10 – 4:30 p.m.	Post-Training Test



# HOS CMS Update

# Overview

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- Introduction to the HOS
- HOS Primary Goals
- Other HOS Data Uses
- Public Reporting
- Data Integrity
- Star Ratings Update
- Data Use Agreements (DUA)

# Introduction to the HOS

- Monitors quality of care provided to Medicare beneficiaries enrolled in Medicare Advantage Organizations (MAOs) by measuring self-reported health status, physical and mental functioning, and outcomes of care
- Participants: Medicare beneficiaries at least 18 years of age 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

- Gather valid, reliable, and meaningful data that are used to:
  - Monitor health plan performance
  - Reward top-performing MA contracts
  - Estimate frailty and adjust payments for Fully Integrated Dual Eligible (FIDE) Special Needs Plans (SNP) and Programs of All-Inclusive Care for the Elderly (PACE)
  - Provide metrics that allow plans to monitor the health of their members and target quality improvement activities
  - Provide information to Medicare beneficiaries that can help them to make more informed enrollment decisions

# Other HOS Data Uses

- Assess frailty, health disparities, and quality of life in the Medicare Advantage population
- Advance the science of functional health outcomes measurement
- Support research by CMS, other federal agencies, and external researchers
  - Public Use Files (PUF)
  - Limited Data Sets (LDS)
  - Research Identifiable Files (RIF)
  - SEER-MHOS data resource provides information about elderly MA enrollees with cancer (NIH/NCI)



# Public Reporting of HOS Data

- Star Ratings measures derived from HOS results are publicly reported by CMS for each participating contract
- Medicare Plan Finder, a consumer-friendly online tool on [www.medicare.gov](http://www.medicare.gov) that allows users to compare quality, cost, and coverage options
- Additional information can be found at <http://go.cms.gov/partcanddstarratings>

# Star Ratings: Impact

- Public Reporting
  - HOS data are used in the Star Ratings to help people with Medicare to compare plans prior to the annual Medicare Open Enrollment period
- Marketing/Enrollment
  - CMS makes special enrollment provisions for high performing contracts
- Financial
  - The Affordable Care Act established CMS's Star Ratings as the basis of Quality Bonus Payments

# Star Ratings: 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

# Star Ratings: Integrity (Cont'd)

- MAOs and HOS Vendors **MAY NOT**:
  - Attempt to influence beneficiaries' responses to HOS survey questions in any way
  - Imply that positive feedback from members will reward or benefit the MAO
  - Offer incentives of any kind
  - Show or provide the HOS questionnaire or cover letters to members prior to and during administration

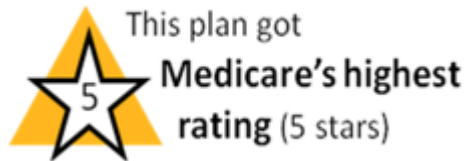
# Star Ratings: Integrity (Cont'd)

- MAOs and HOS Vendors **MAY**:
  - Notify all members of a contract that they may be asked to participate in the 2022 HOS
- Encouraging participation without biasing the results is tricky
  - Please consult with the HOS Project Team rather than jeopardizing your clients' results by having them labeled as biased

# 2022 Star Ratings

- CMS highlights outlier performance in the Star Ratings in two ways:

- The 5-star icon

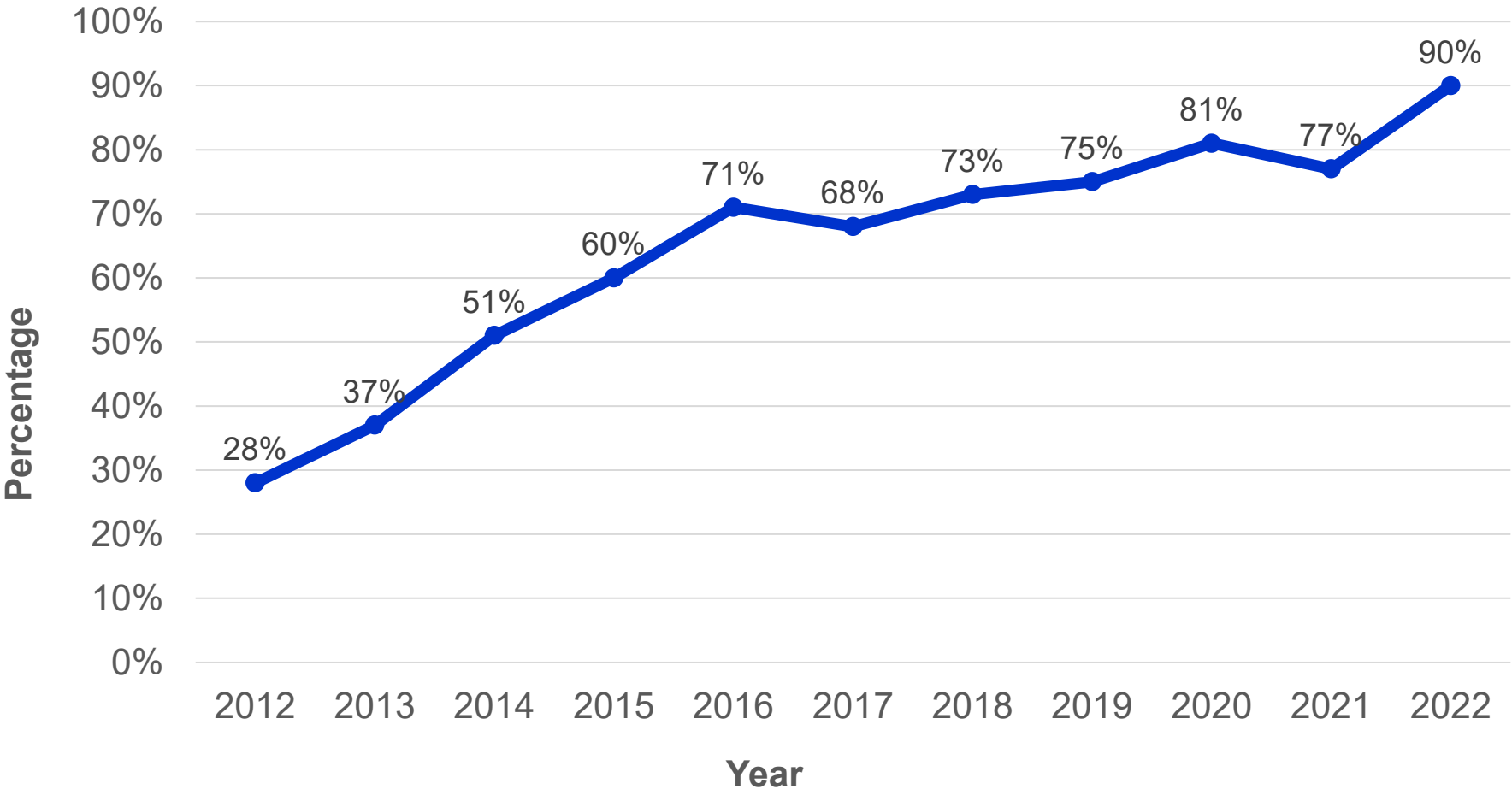


- Consistently Low Performer Indicator (LPI) icon



**Caution** - This plan got **low ratings** from Medicare for at least three years in a row

# Percentage of MA enrollees in contracts with 4 or more stars, 2012-2022



# Star Ratings: Measures

- 5 HOS measures are used in Star Ratings
  - Functional Health (Outcome) measures
    - *Improving or Maintaining Physical Health*
    - *Improving or Maintaining Mental Health*
  - HEDIS<sup>®</sup> Effectiveness of Care measures
    - *Monitoring Physical Activity*
    - *Improving Bladder Control*
    - *Reducing the Risk of Falling*



# 2023 Star Ratings: Data Sources

- HOS data sources for *2023 Star Ratings*
  - PCS/MCS: 2019–2021 HOS Cohort 22 Performance Measurement Results (2019 HOS Baseline data and 2021 HOS Follow-Up data)
  - Effectiveness of Care measures: Cohort 22 Follow-Up (2021) and Cohort 24 Baseline data (2021)
- *2023 Star Ratings* release date: Fall 2022

# Data Use Agreement (DUA) Terms and Restrictions

- Notify the HOS Project Team immediately of any changes in key personnel or subcontractors after submission of the initial DUA
- **NEW:** A DUA update request must be submitted in Enterprise Privacy Policy Engine (EPPE) within three (3) business days of any change in key personnel or subcontractors that occurs after the initial DUA is submitted to the HOS Project Team
- **NEW:** Submit updated DUAs to the HOS Project Team after DUA Management Team certification

# Annual DUA Process

- CMS-approved HOS 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 2022 HOS data by **June 3, 2022**
- Submit fully executed DUA to the HOS Project Team by **June 10, 2022**

# Annual DUA Process (Cont'd)

- CMS DUA Management team will not process DUA requests for any entity with an expired DUA for any CMS projects
  - Survey vendors should proactively manage DUA renewals and extensions
  - All DUAs for the organization will expire if one DUA from that organization expires. No actions on existing DUAs held by the organization will be processed until the expired DUA is extended or closed.



# **HOS 2022 Administration Updates**

# Overview

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- 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 instrument for 2022

Question	Change
Question 28 (Arthritis of Hip/Knee)	Question removed
Question 29 (Arthritis of Hand/Wrist)	Question removed
Question 31 (Sciatica)	Question removed
Question 41 (Smoking)	Question removed
Question 67 (Income)	Question removed

# Data Collection Protocol

- Mixed mode data collection
- Longitudinal to assess health over time
  - Sample member at Baseline, then two years later (at Follow-Up)
- English, Spanish, Chinese, and Russian
  - Russian protocol: mail only



# Standardized Data Collection

- Survey vendors must use the standardized data collection protocol outlined in *Medicare HOS Quality Assurance Guidelines and Technical Specifications V2.6* (QAG)
- Standardized data collection ensures survey data collected across the CMS-approved HOS survey vendors are comparable
- Survey vendors may not change the wording or order of the survey questions, mailing materials, or telephone script

# Mail Protocol

- Standardized mailing materials and questionnaire
  - Prenotification letter
  - Two survey mailings containing survey cover letter, questionnaire, and business reply envelope
  - Reminder/thank-you postcard
    - Two reminder/thank-you postcards for Russian mailing materials

# 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

# Telephone Protocol (Cont'd)

- **NEW:** Minimum of **five** telephone attempts to reach nonrespondents; for each nonrespondent, maximum of **five** telephone attempts to a single number, and no more than **nine** total attempts across all numbers
  - After five attempts to a single number, no further attempts are made to that number
  - If a second or third number is available, survey vendors should dial these numbers

# Telephone Protocol (Cont'd)

- Telephone attempts must occur on
  - Different times of day
  - Different days of the week
  - **NEW:** Different weeks (at least three calendar weeks)
  - 9 a.m. to 9 p.m. call window (member local time)
- **NEW:** The first call attempt must occur within the first 10 calendar days of dialing
- **NEW:** The fifth attempt must occur no sooner than 21 calendar days after the first 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
  - Established processes must be documented in the survey vendor's Quality Assurance Plan (QAP)

# 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
  - Two standardized mailing materials and questionnaires, and two reminder/thank-you postcards (one after each mailing)
  - If a member received a mail survey 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
  - The **only** file that can be shared with the MAO is the Supplemental File
- Only provide **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

- Electronic images, files, and recordings must be kept on the survey vendor's systems and retained per QAG record storage requirements
- Conduct onsite and remote quality checks and monitoring
- Ensure that subcontractors participate in quality oversight activities conducted by the HOS Project Team

# Subcontractor Oversight (Cont'd)

- Survey vendors who use telephone subcontractors must participate in telephone monitoring in addition to its subcontractor's 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 telephone interviews by its internal telephone interviewers and 10 percent of telephone interviews by subcontractors (if applicable)

# Sharing Data with Clients

- Limit data reported to MAOs to the data elements 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

Task	Date (2022)
Send sample files to vendors	June 27
Mail <b>Baseline</b> and <b>Follow-Up</b> prenotification letter	July 18
Open survey vendor customer support telephone and email	July 18
Open inbound electronic telephone interviewing	July 18
Mail <b>Baseline</b> and <b>Follow-Up</b> first questionnaire	July 25



# Data Collection Timeline (Cont'd)

Task	Date (2022)
Mail <b>Baseline</b> and <b>Follow-Up</b> reminder/thank-you postcard	August 1
Mail <b>Baseline</b> and <b>Follow-Up</b> second questionnaire	August 29
Mail <b>Baseline</b> and <b>Follow-Up</b> second reminder/thank-you postcard ( <i>Russian only</i> )	September 6
Conduct <b>Baseline</b> and <b>Follow-Up</b> outbound telephone interviewing	September 19 – October 31

# Data Collection Timeline (Cont'd)

Task	Date (2022)
Submit interim data files	October 4 – October 6
End <b>Baseline</b> and <b>Follow-Up</b> data collection	October 31
Prepare and submit final data files	November 1 – November 14
<b>Final data files due</b>	<b>November 14</b>

# Data Retention

- Retain all data files (electronic or paper) for a minimum of **three years** onsite at the survey vendor's facilities
  - Paper Questionnaires: Retain through **December 31 of the following survey administration year**; may destroy paper surveys following electronic imaging and QA
  - Telephone Data: Retain all telephone survey data and recordings in all fielded languages, onsite, including subcontractor telephone interview recordings
- Establish a process for data destruction after **three years** and complete an attestation of data destruction



# HEDIS Volume 6 Updates

# Summary of Changes

- **NEW:** Removed five questions from the questionnaire and revised question numbers
- **NEW:** Revised CMS HOS-M survey vendor program section to reflect HOS-M is a multivendor program
- **NEW:** Updated telephone attempt guidance
- **NEW:** Updated letters for the second questionnaire mailing



# Fielding Non-CMS Surveys with HOS Questions

# Fielding Non-CMS Surveys with HOS Questions

- NCQA prohibits survey vendors from fielding additional surveys containing HOS questions **eight weeks** prior to and during the official HOS (May through November)
- Fielding surveys similar to the HOS, even in the off-season, may negatively impact HOS response rates
  - If the HOS response rate is too low, the contract risks not having enough data to calculate outcome measures or Star Ratings, which may impact the contract's quality bonus payments

# Fielding Non-CMS Surveys with HOS Questions (Cont'd)

- The HOS and HOS-M questionnaires and HEDIS Volume 6 are no longer available on the [HOS website](#)
- 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 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](#)





# HOS 2021 Survey Results

# Overview

- HOS 2021 Survey Administration
- Response Rate Trends
- Survey Response Rates
  - *Cohort 24 Baseline*
  - *Cohort 22 Follow-Up*
- Survey Disposition Components
  - *Cohort 24 Baseline*
  - *Cohort 22 Follow-Up*
- Key Points

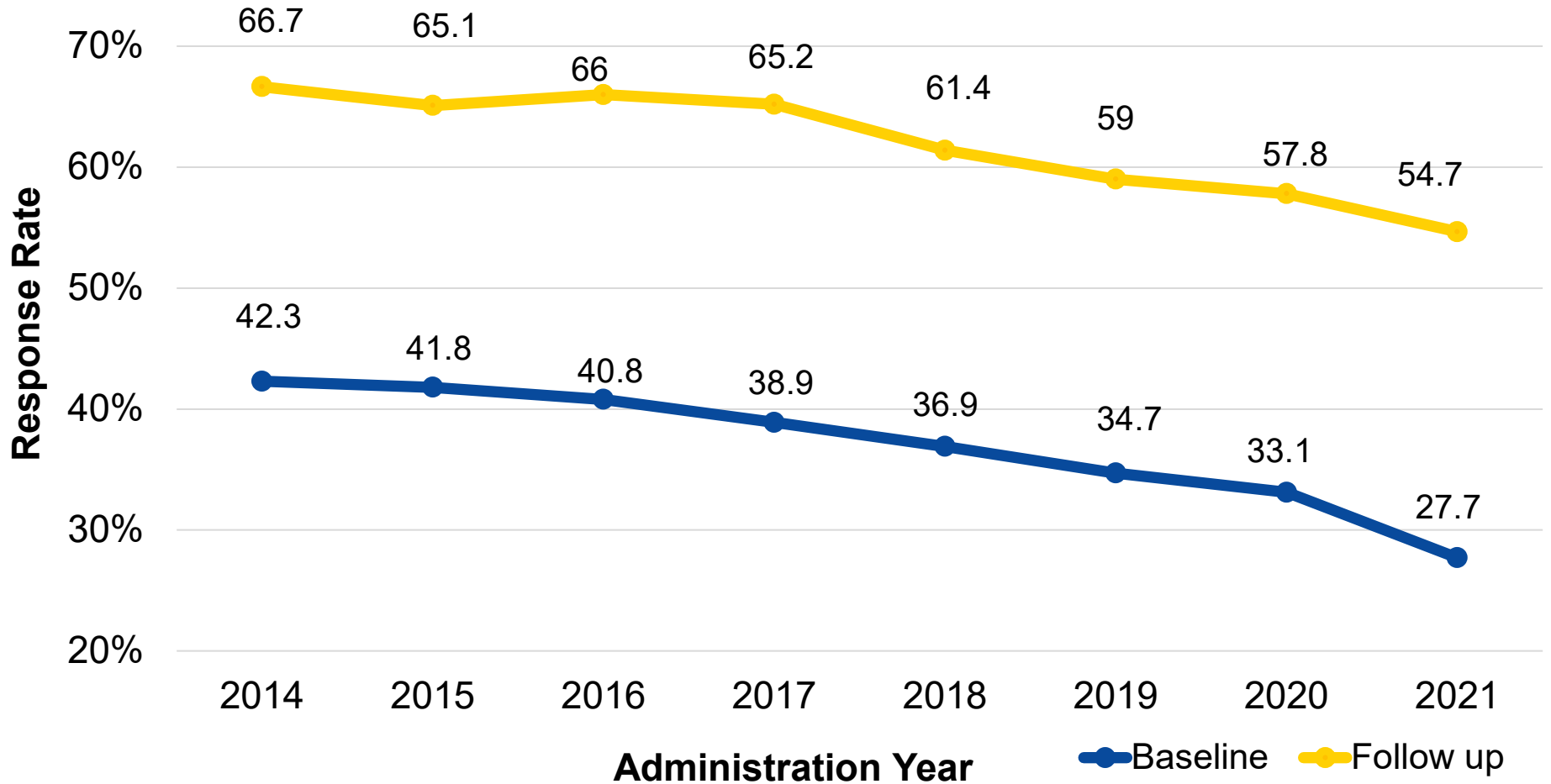
# HOS 2021 Survey Administration

- Four survey vendors administered the HOS
- For this presentation, survey vendors were randomly assigned a letter (A-C)

Survey	Number of Contracts
Total Unique Contracts	564
Cohort 24 Baseline	562
Cohort 22 Follow-Up	459

# Response Rate Trends

*Rounds 17-24 Baseline and Follow-Up Surveys: 2014–2021*



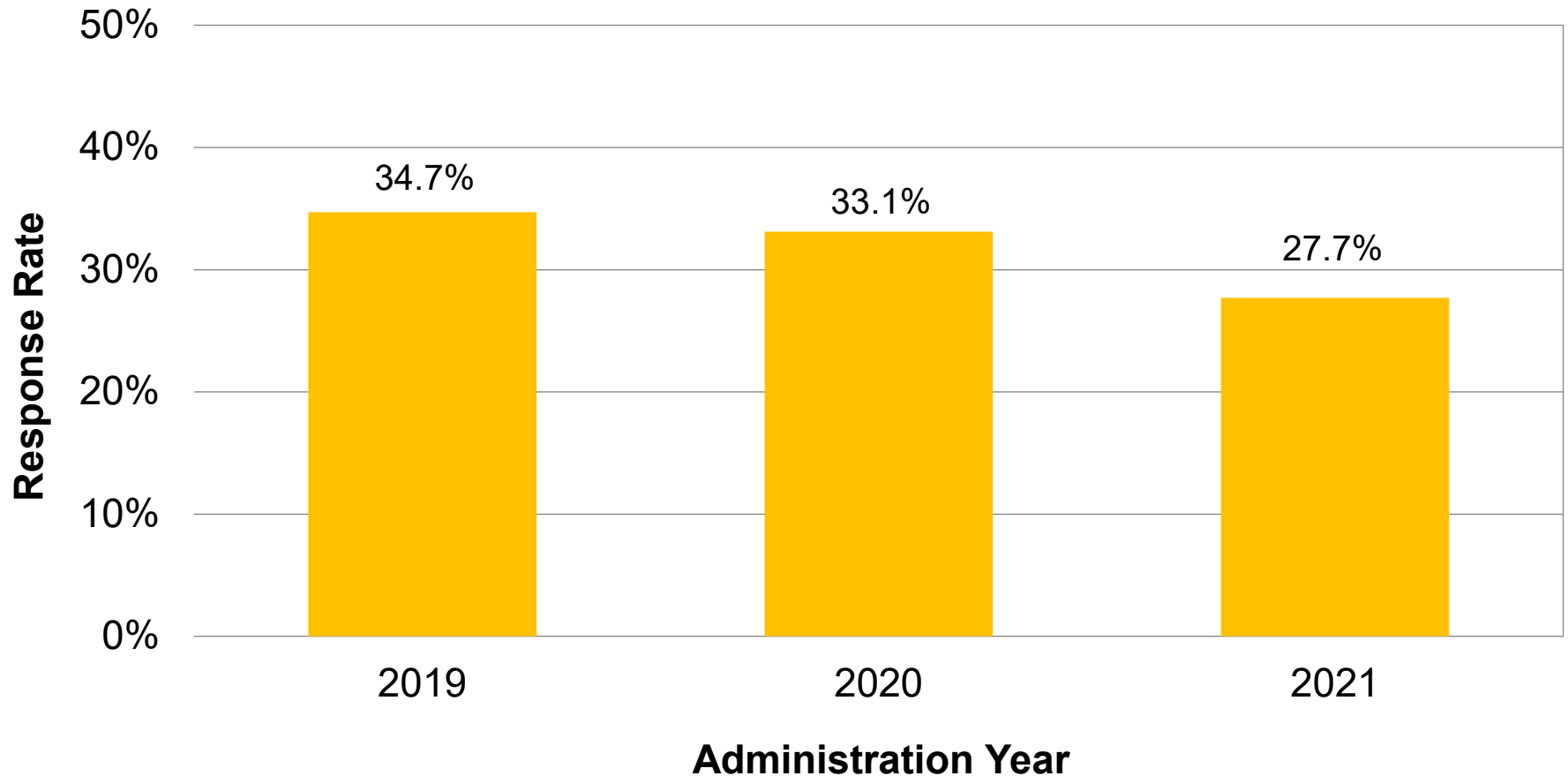


# Survey Response Rates

## *Cohort 24 Baseline*

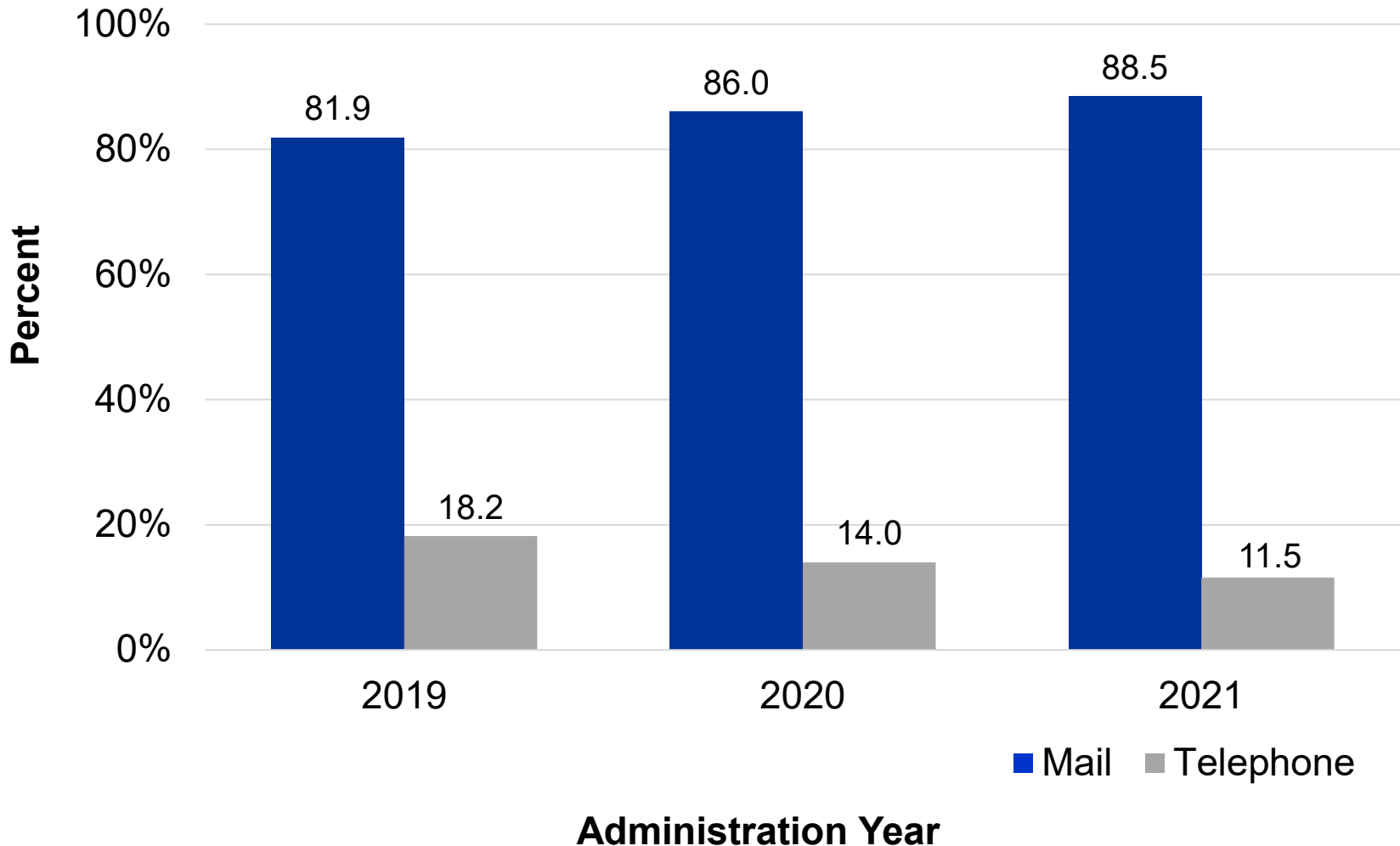
# Overall Response Rates Trend

*Cohorts 22-24 Baseline Surveys: 2019-2021*



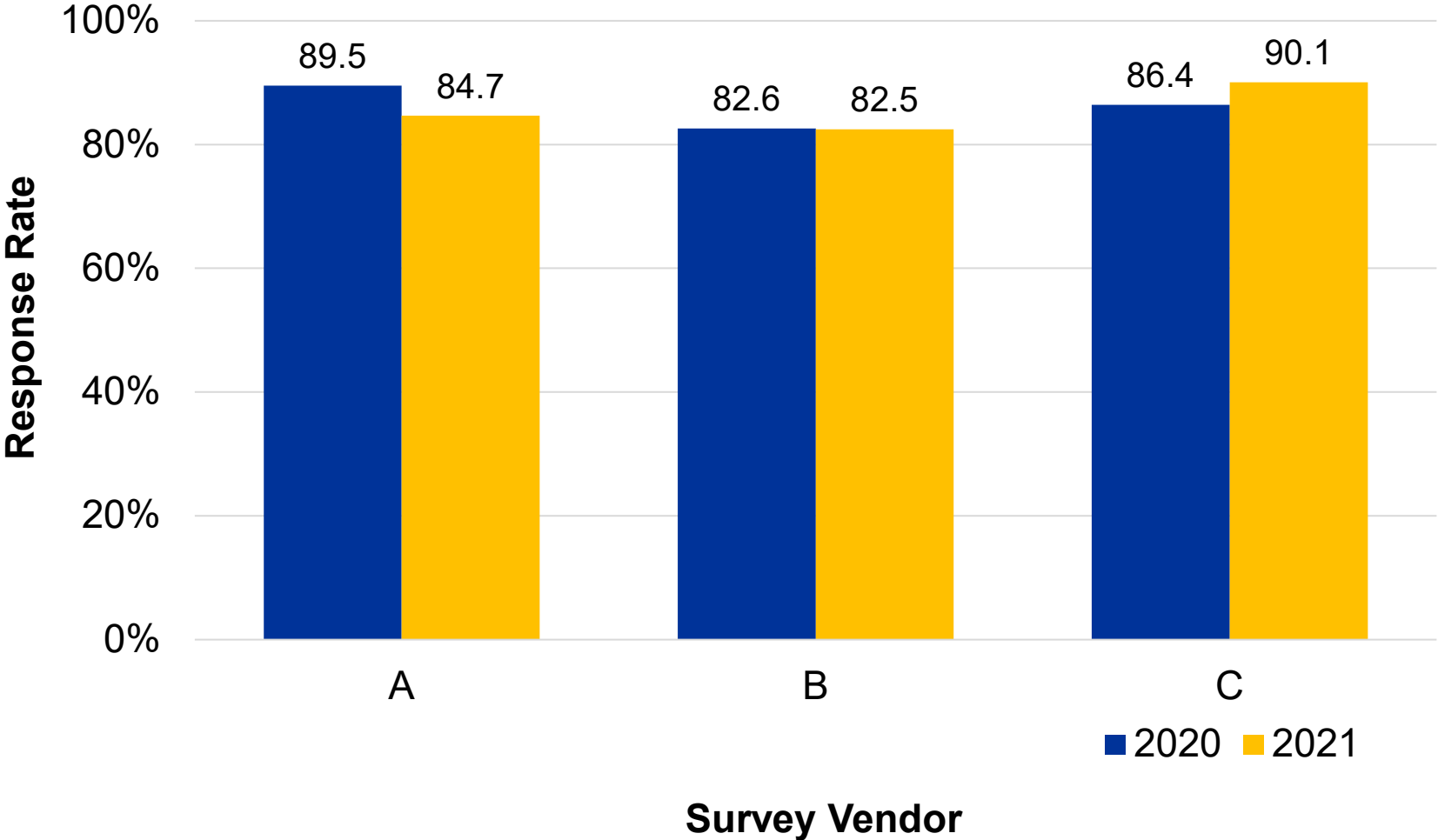
# Completed Surveys by Mode

*Cohorts 22-24 Baseline Surveys: 2019-2021*



# Completed Mail Survey Rates by Vendor

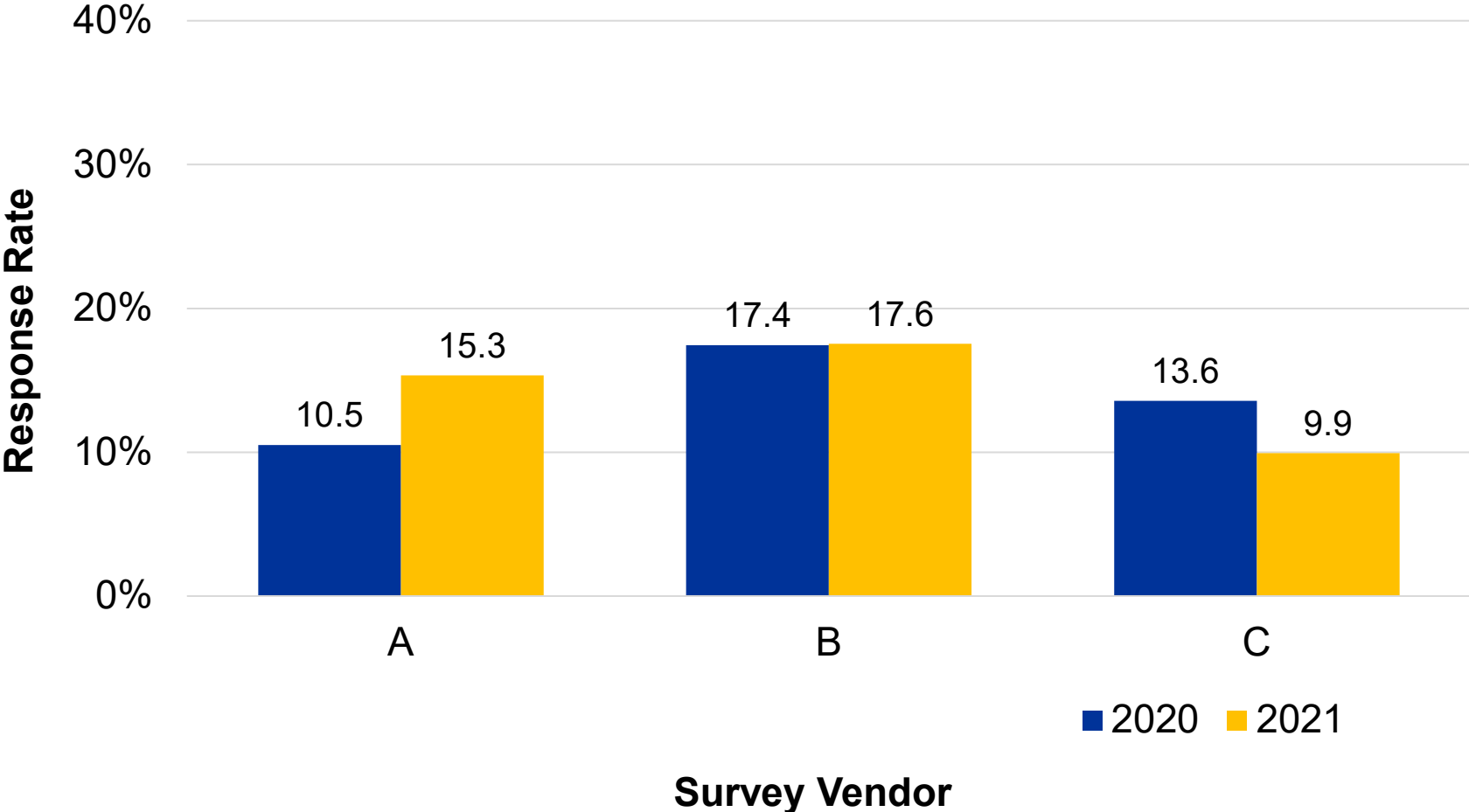
*Cohorts 23-24 Baseline Surveys: 2020-2021*





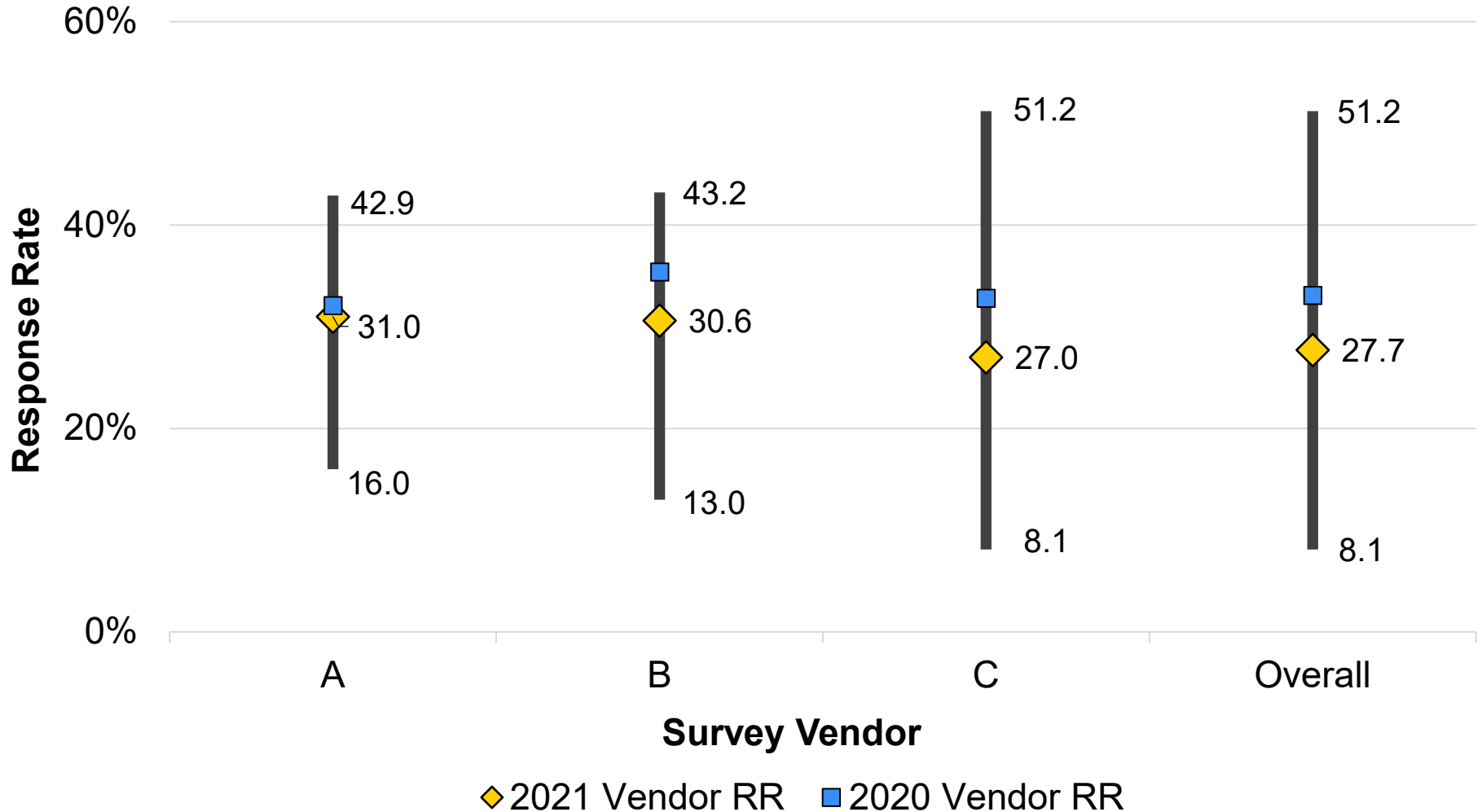
# Completed Telephone Survey Rates by Vendor

## *Cohorts 23-24 Baseline Surveys: 2020-2021*



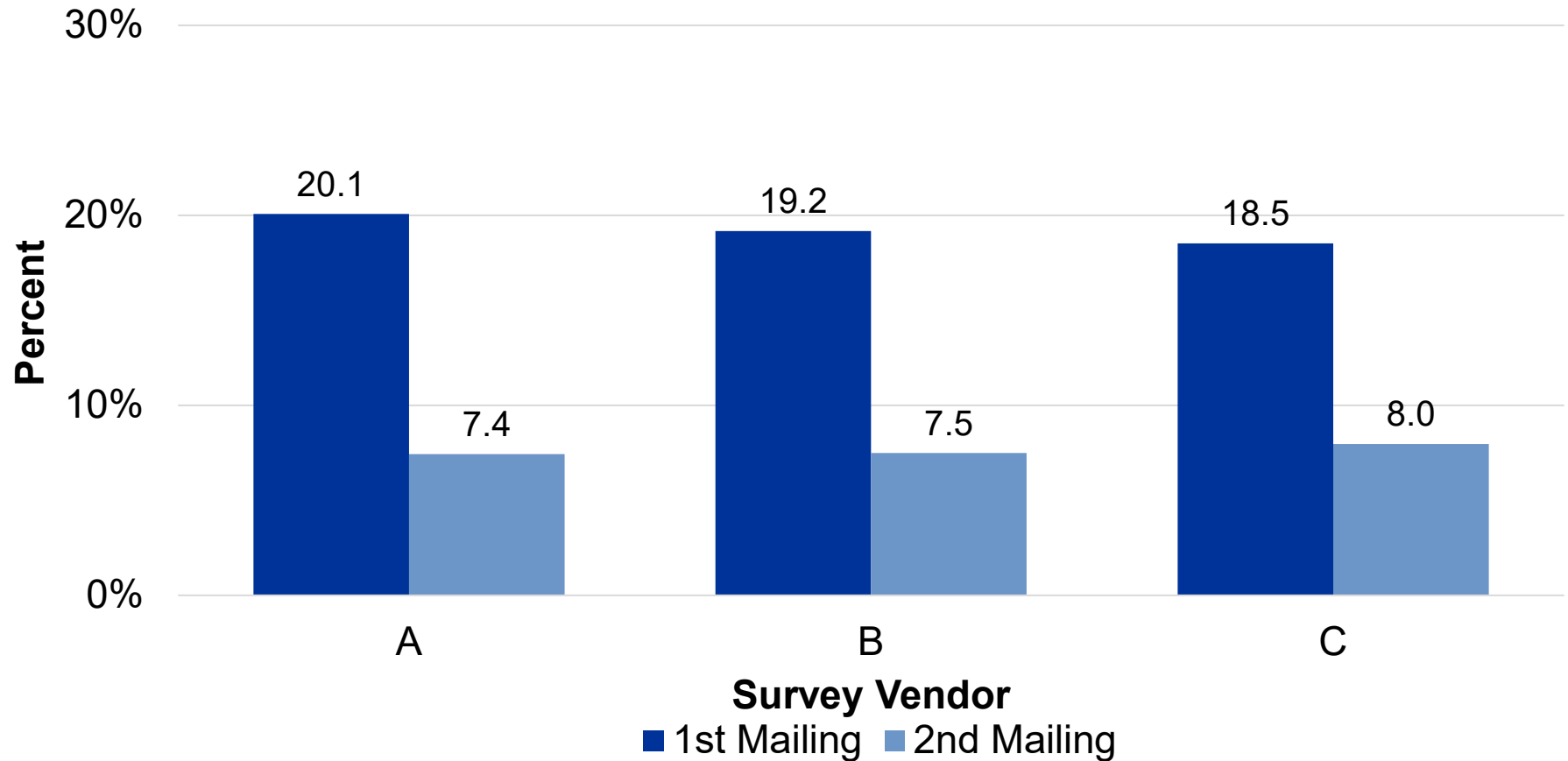
# Variability of Completed Survey Rates by Vendor

## Cohort 24 Baseline Survey: 2021



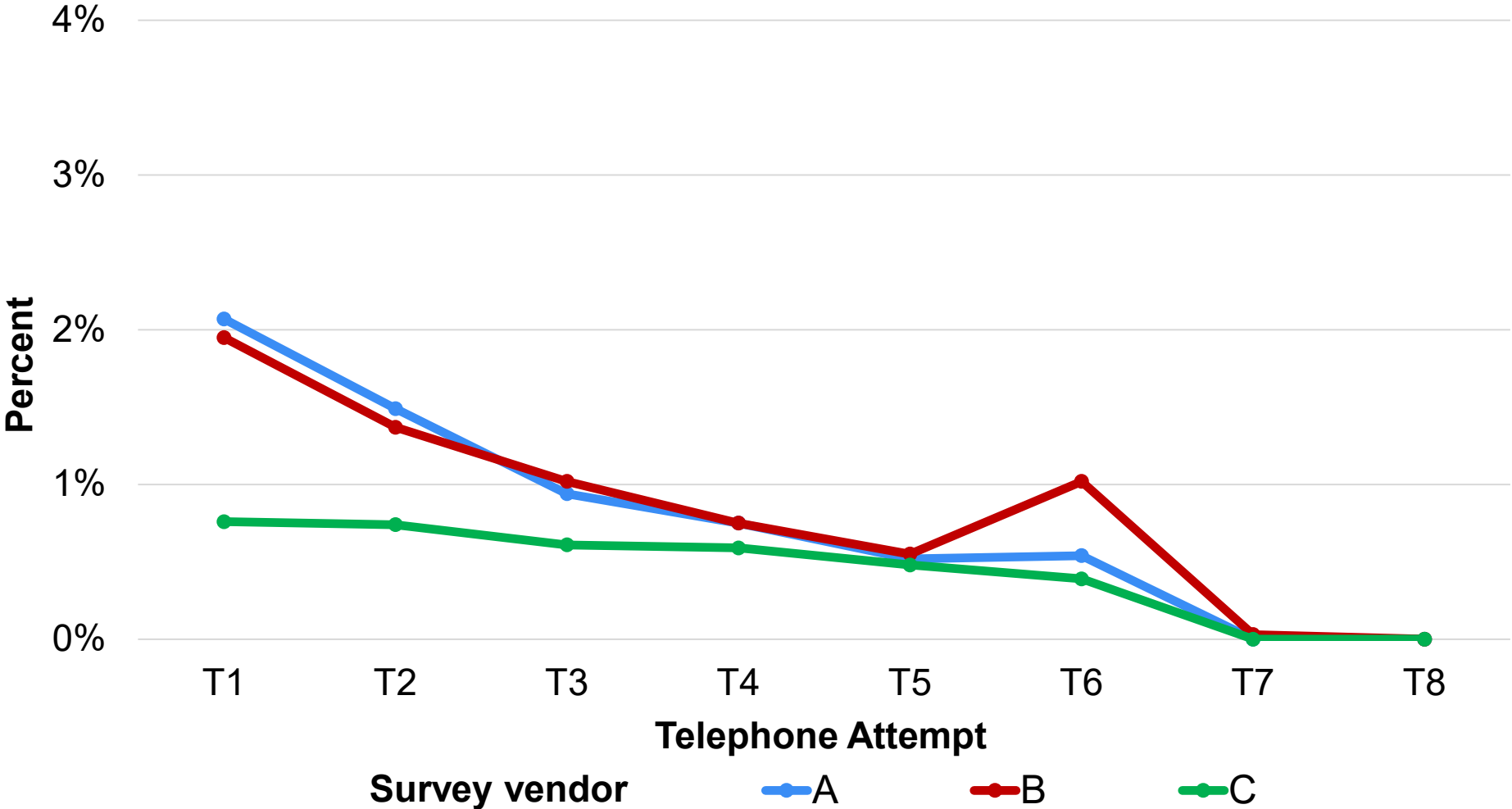
# Percent of Sample Responding by Mail

## *Cohort 24 Baseline Survey: 2021*



# Percent of Sample Responding by Telephone

## *Cohort 24 Baseline Survey: 2021*



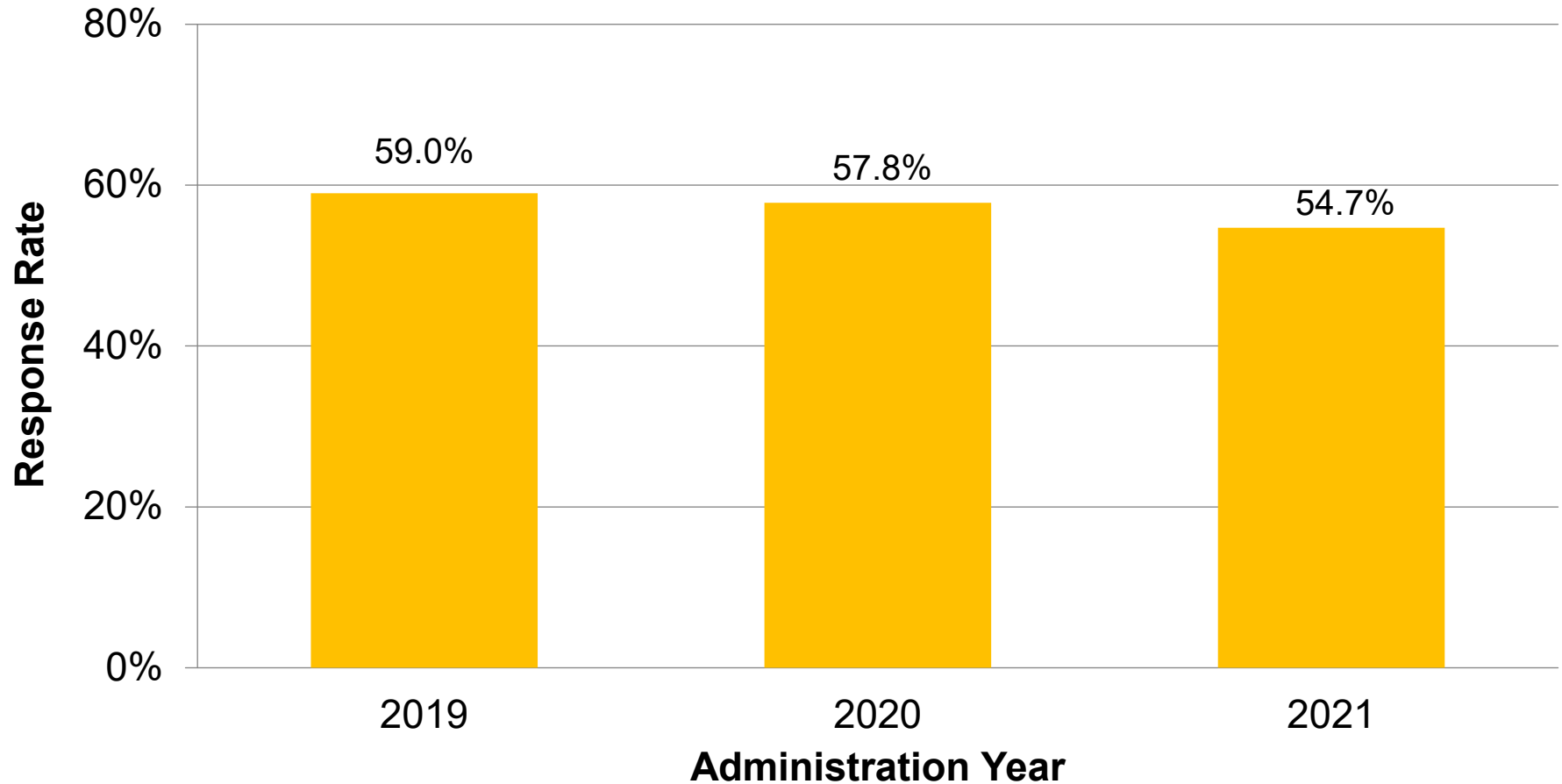


# Survey Response Rates

## *Cohort 22 Follow-Up*

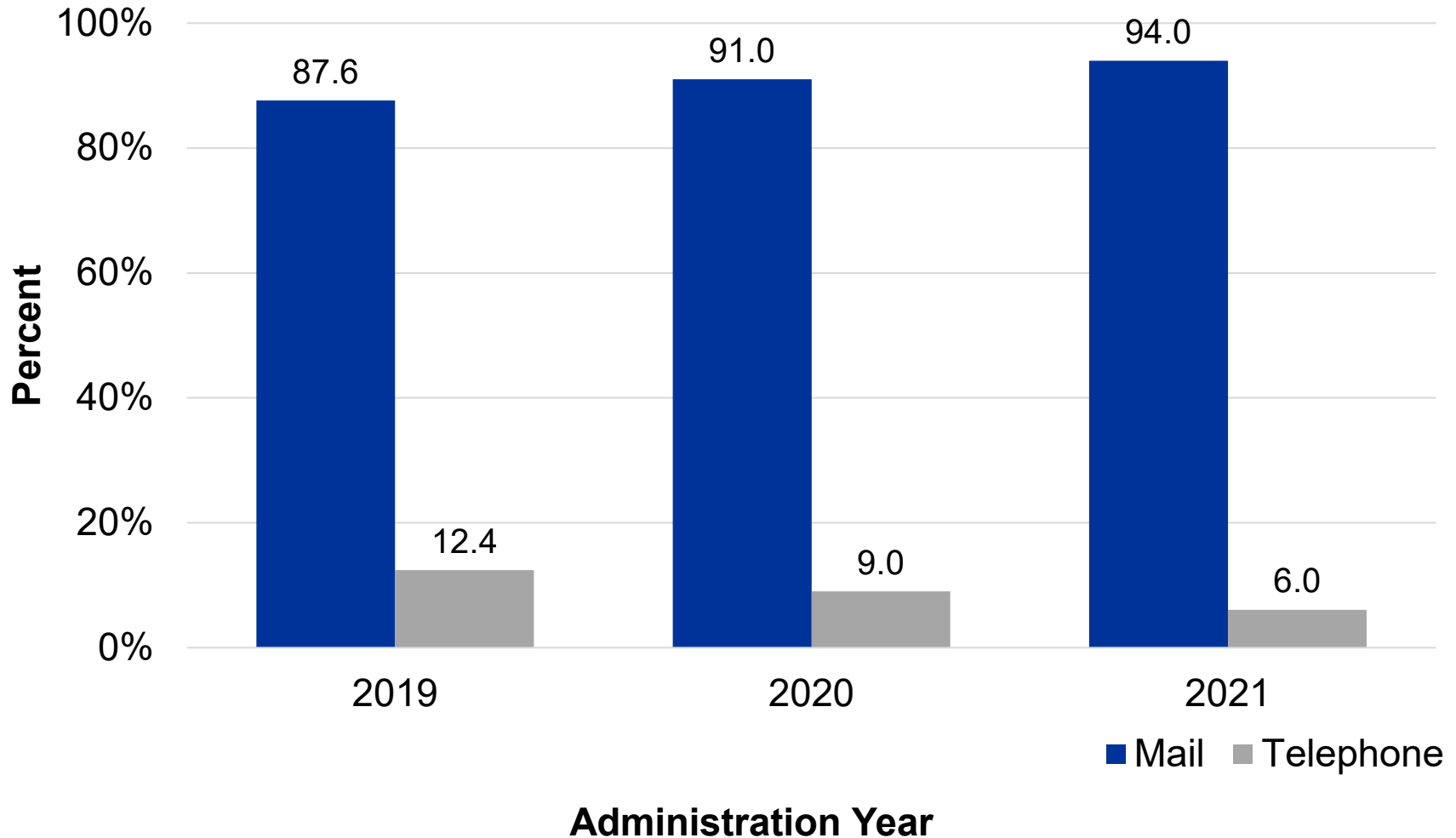
# Overall Response Rates Trend

*Cohorts 20-22 Follow-Up Surveys: 2019–2021*



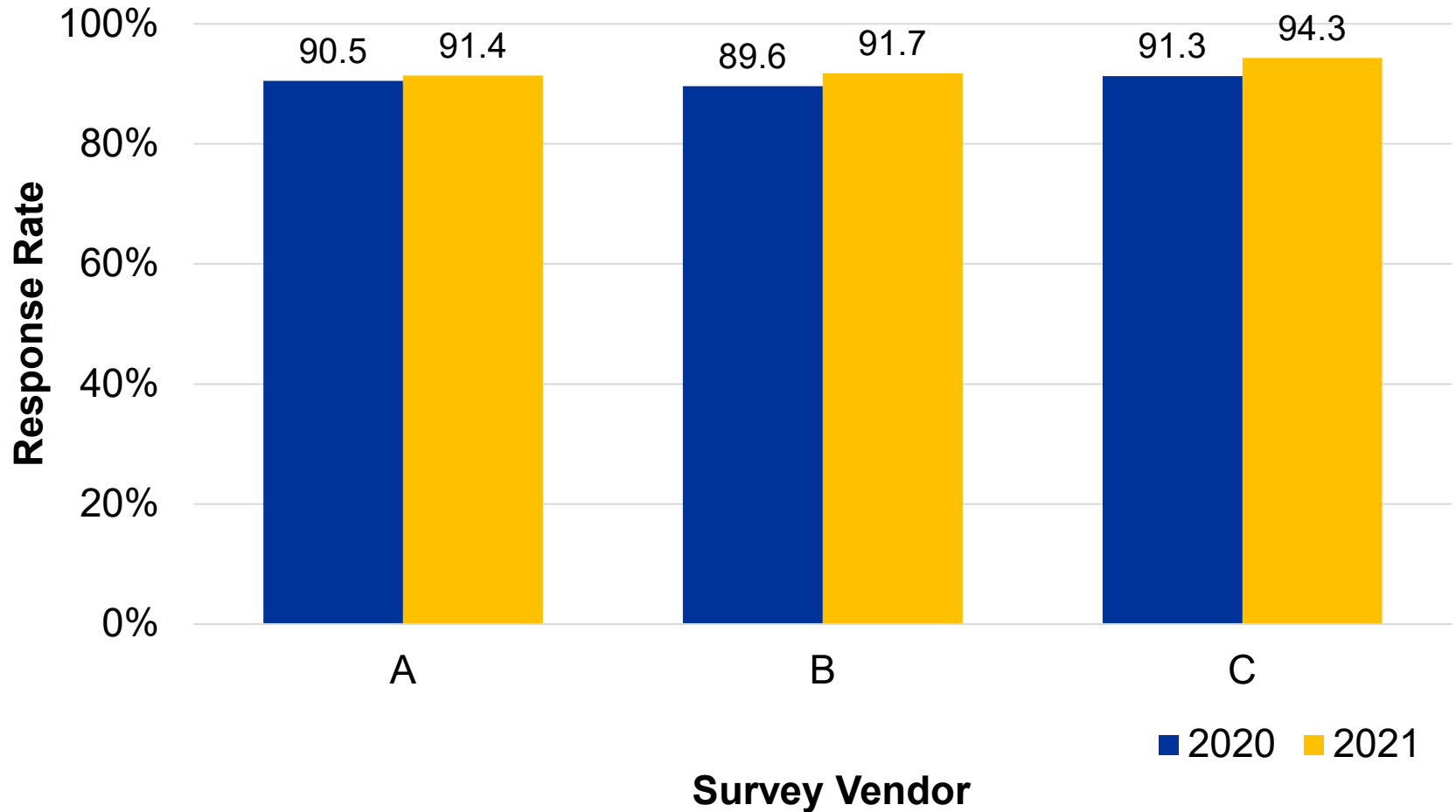
# Completed Surveys by Mode

*Cohorts 20-22 Follow-Up Surveys: 2019-2021*



# Completed Mail Survey Rates by Vendor

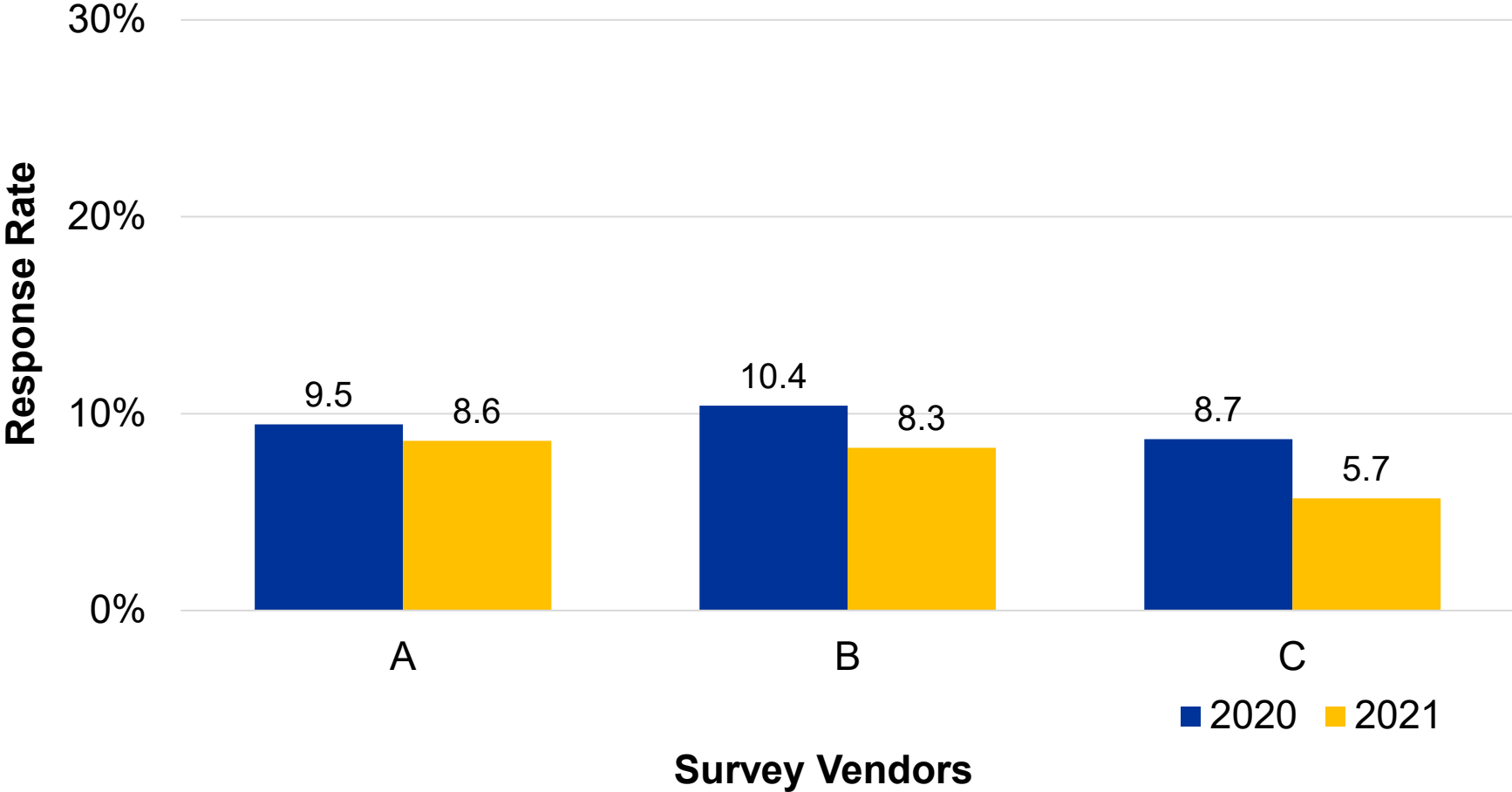
## *Cohorts 21-22 Follow-Up Surveys: 2020-2021*





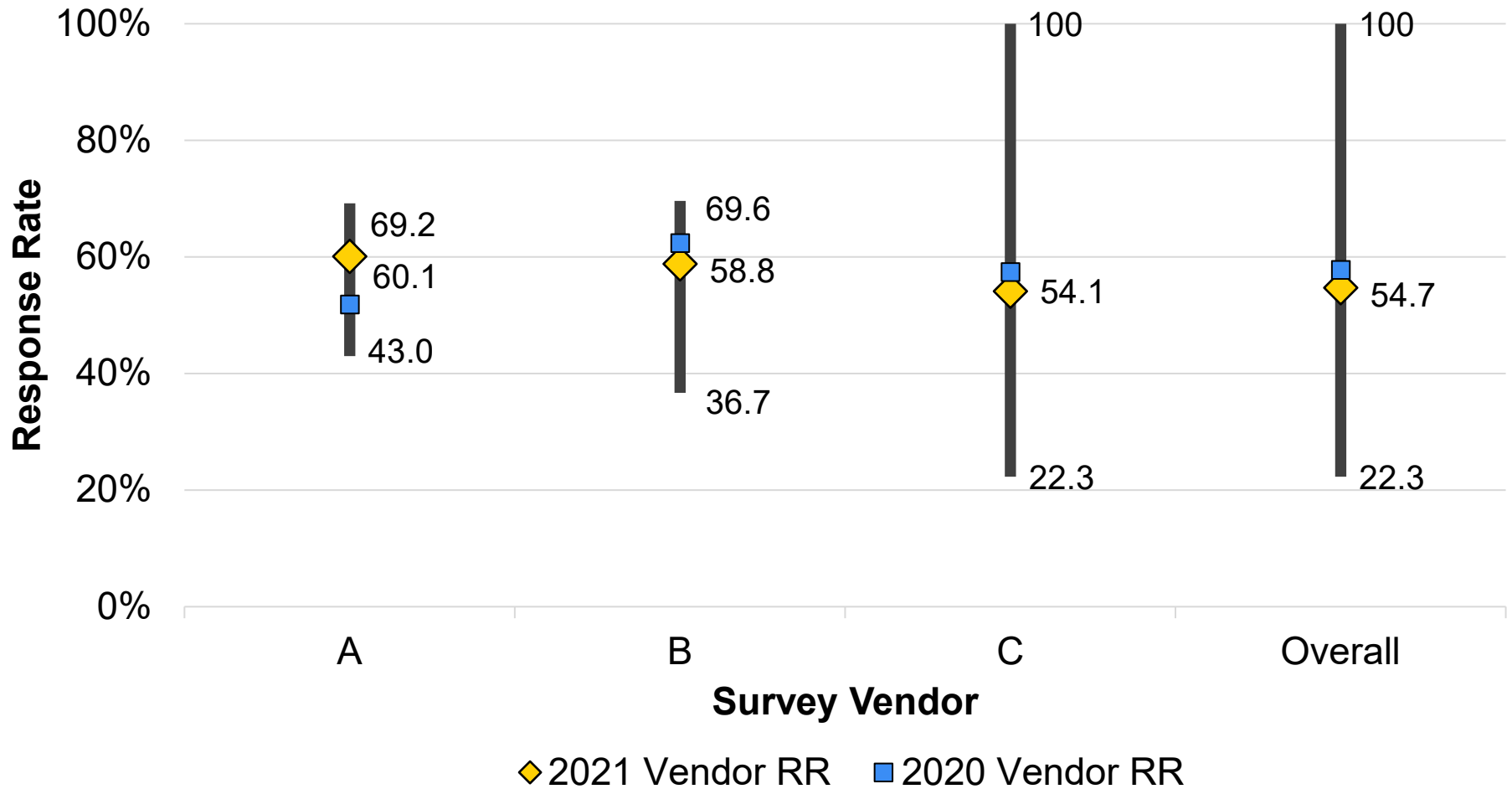
# Completed Telephone Survey Rates by Vendor

## *Cohorts 21-22 Follow-Up Surveys: 2020-2021*



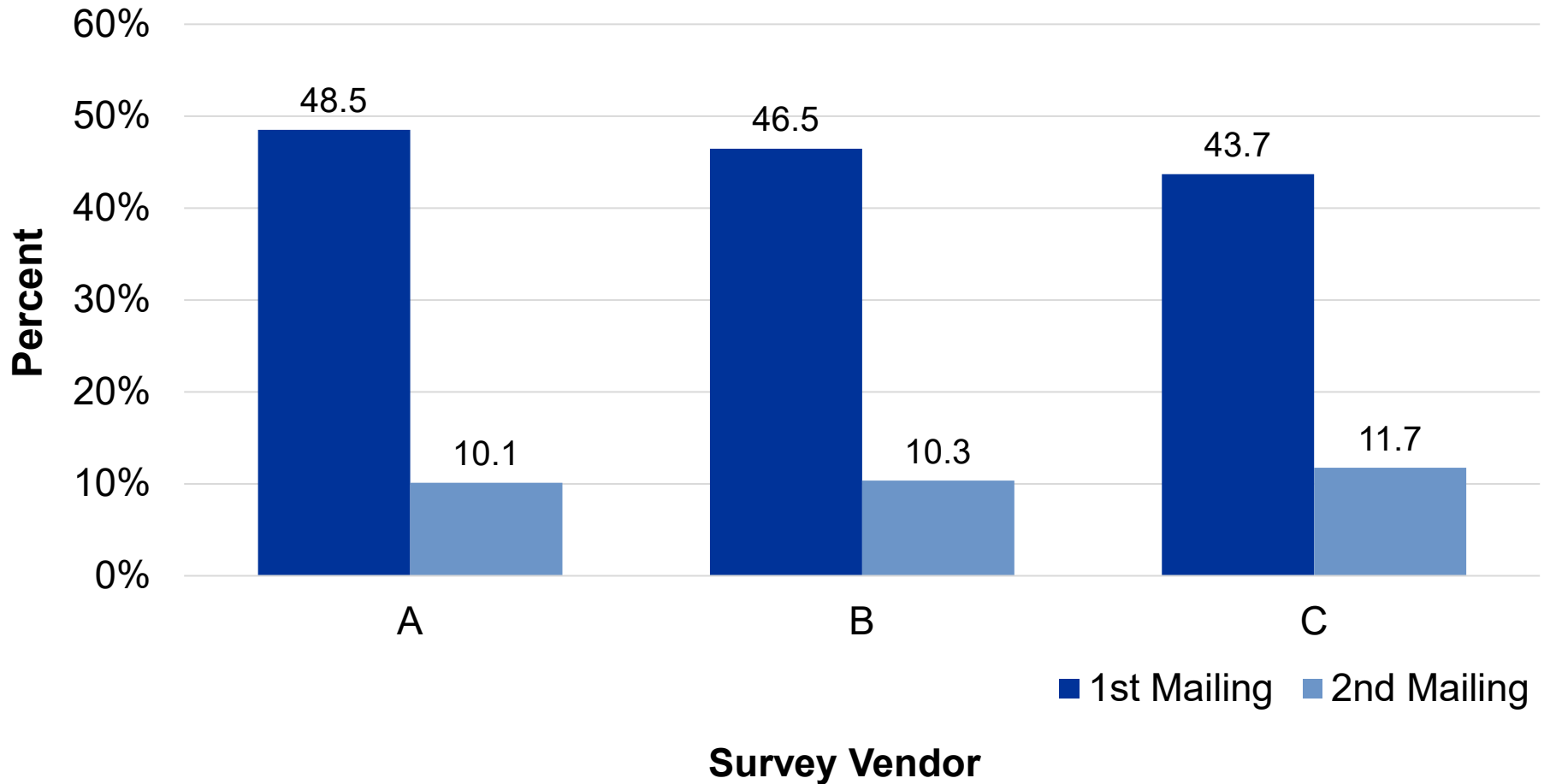
# Variability of Completed Survey Rates by Vendor

## *Cohort 22 Follow-Up Survey: 2021*



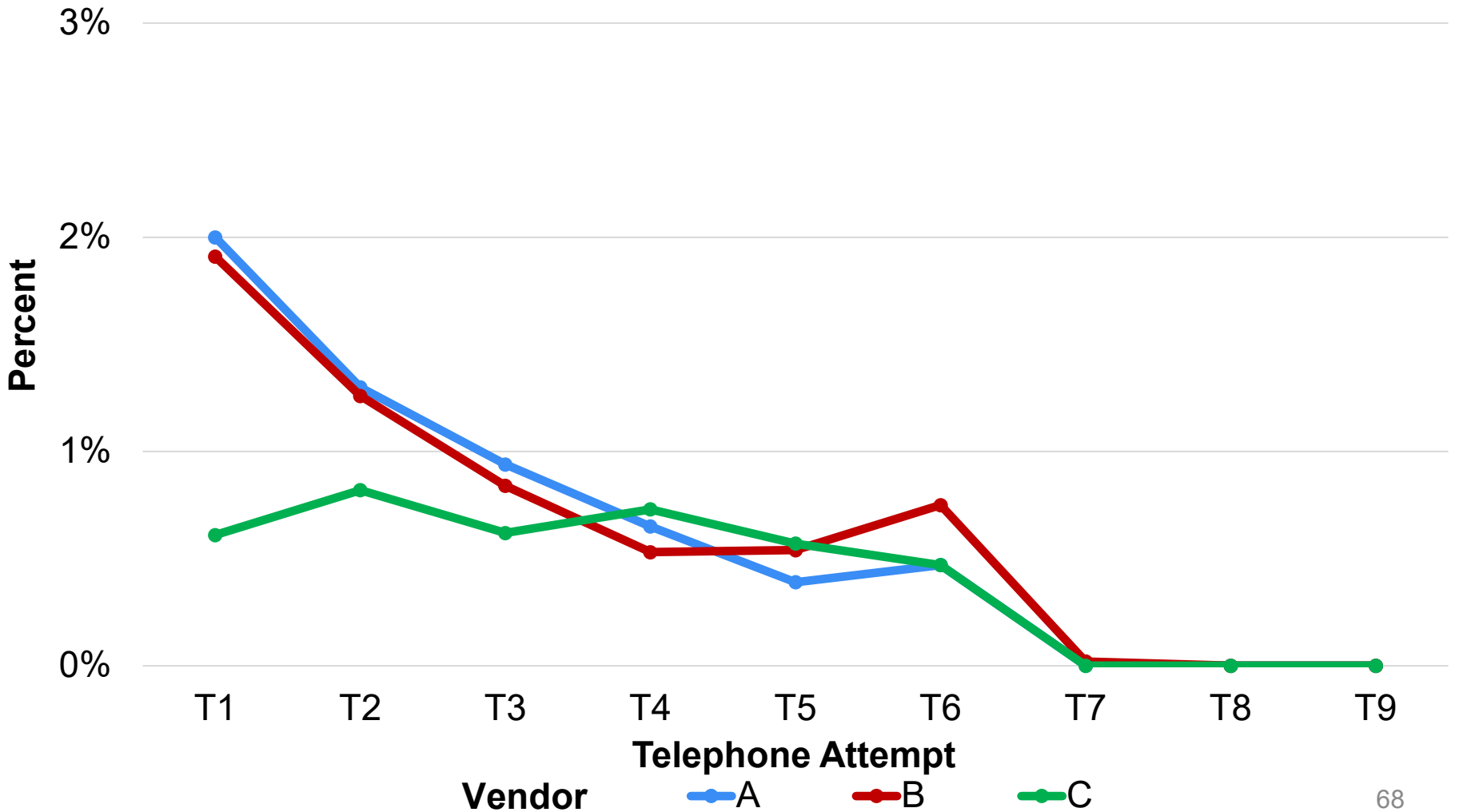
# Percent of Sample Responding by Mail

## *Cohort 22 Follow-Up Survey: 2021*



# Percent of Sample Responding by Telephone

## *Cohort 22 Follow-Up Survey: 2021*

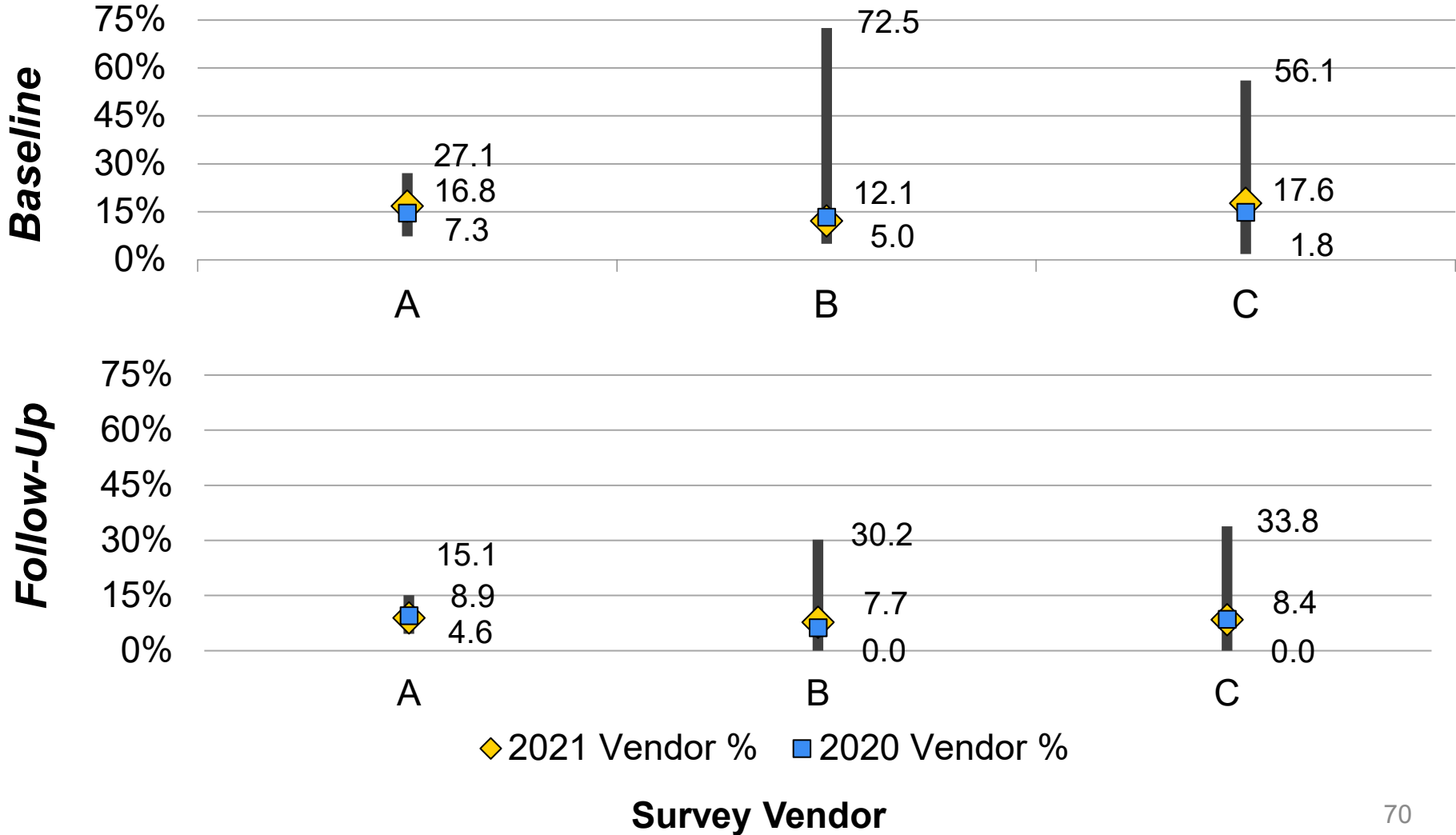




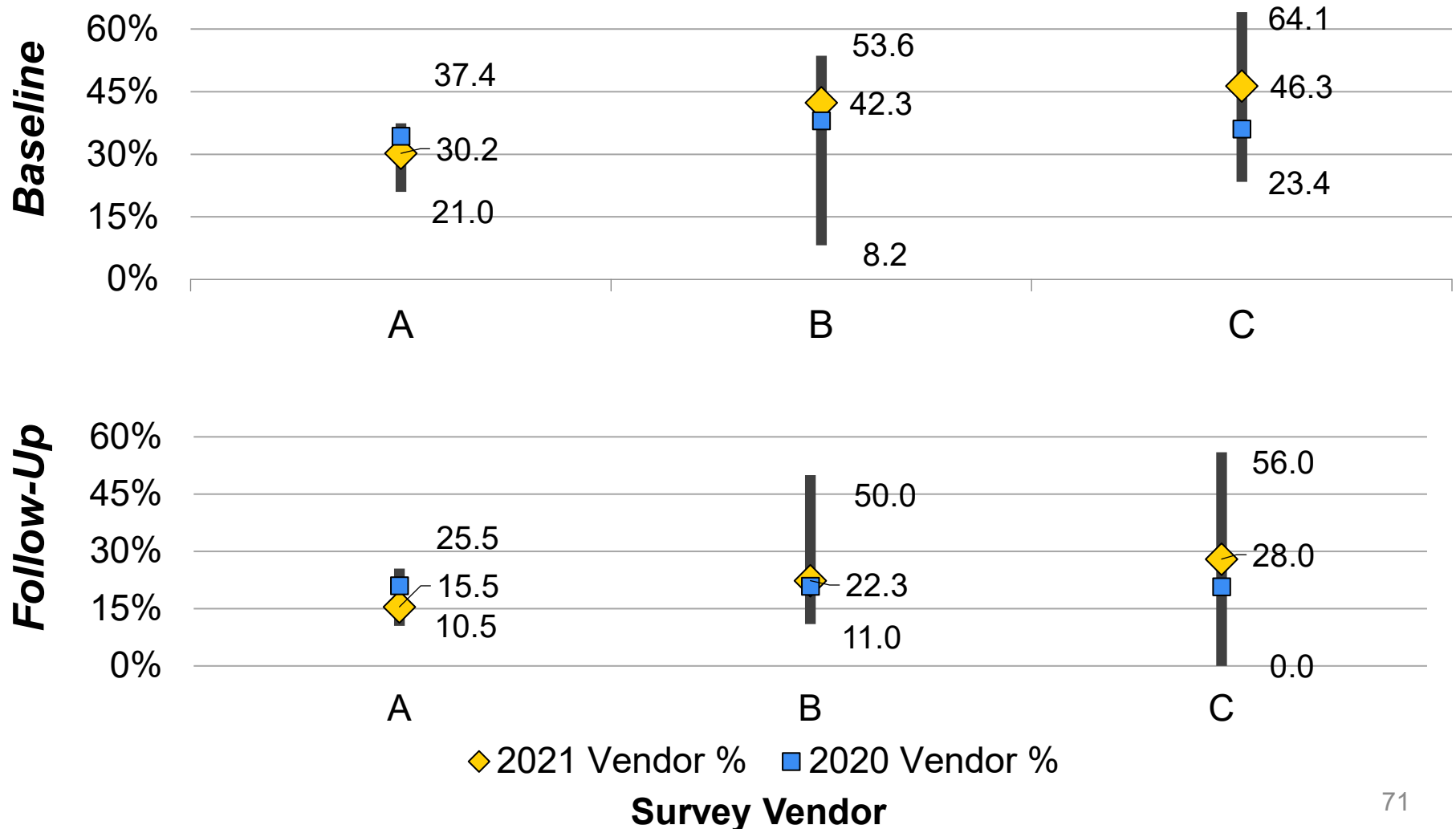
# **Survey Disposition Components**

## *Cohort 24 Baseline and Cohort 22 Follow-Up*

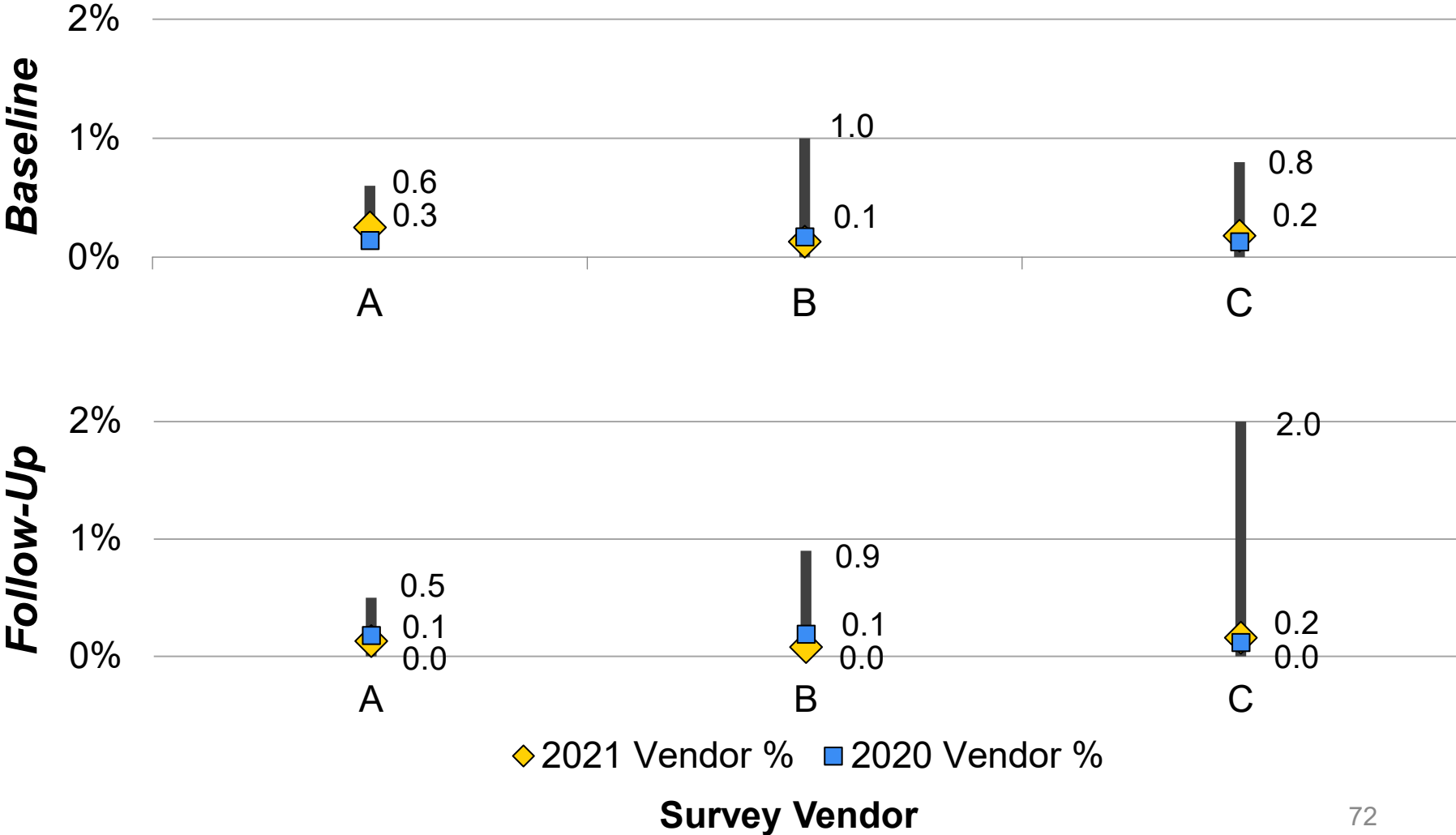
# Mail Nonresponse After Max Attempts: M36



# Telephone Nonresponse After Max Attempts: T36

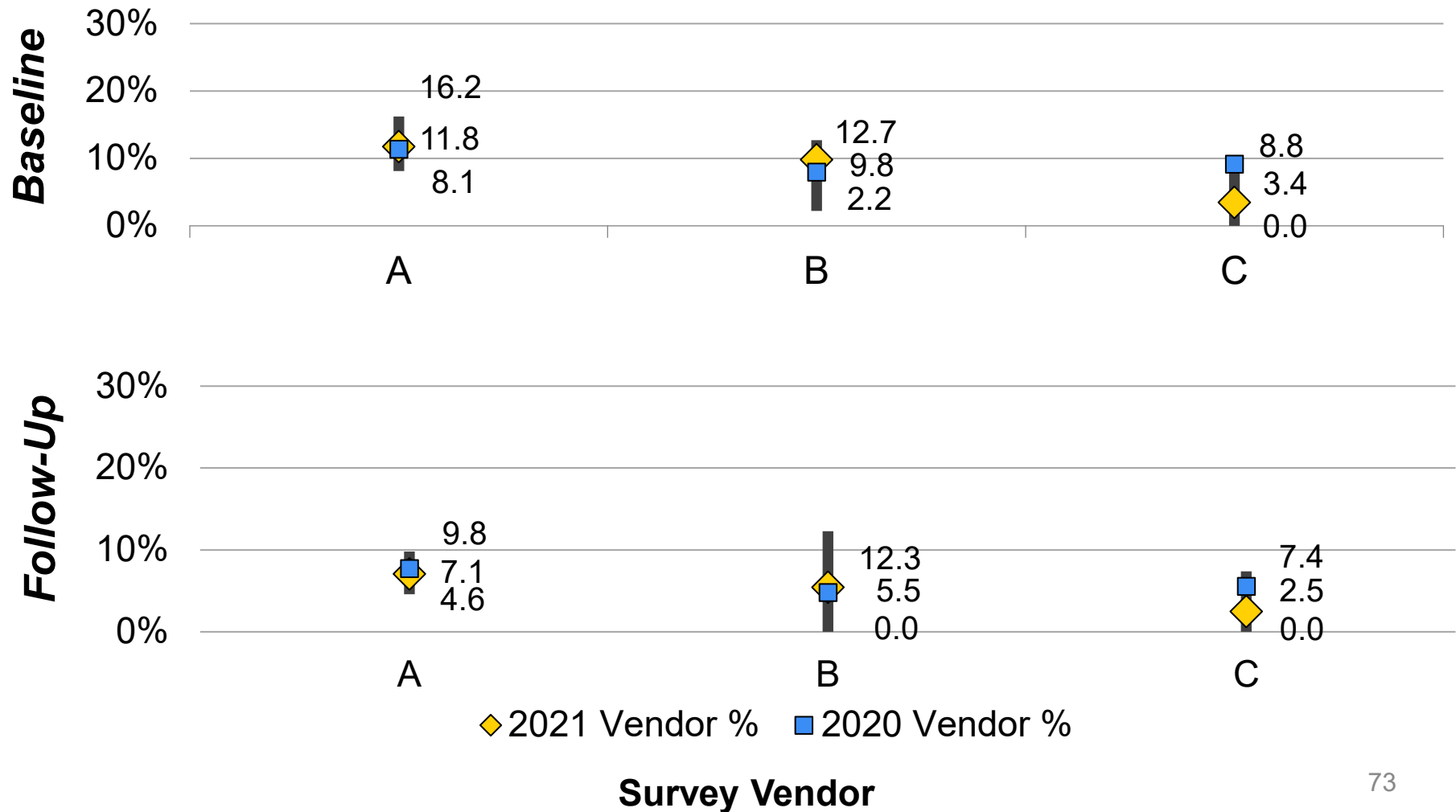


# Mail Refusal: M32





# Telephone Refusal: T32



# Key Points

- Both Baseline and Follow-Up response rates continued to decrease in 2021
- Over 80% of surveys are completed by mail
- The first mailing captures a larger number of respondents than the second
- Similarly, the first telephone attempt obtains the most responses while subsequent attempts have a trend for decreased success
- Wide ranges in response rates across contracts were evident for some survey vendors



# Survey Material Updates

# Overview

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

# Mailing Materials Updates

## Cover Letters

-  **NEW**: Revised the Second Questionnaire Cover Letter for Follow-Up

Dear [MEMBER FIRST NAME] [MEMBER LAST NAME]:

We recently mailed you the “**Medicare Health Outcomes Survey.**” If you already returned this survey, thank you, and you don’t need to do anything else.

# Mailing Material Updates (Cont'd)

## Survey Tagline for VR-12 Items

- **NEW:** Removed "Items 1-9: the VR-12 Health Survey item content was developed and modified from a 36-item health survey."

## Removed Questions and Updated Question Numbers

- **NEW:** Removed Question 28 (Arthritis of Hip/Knee), Question 29 (Arthritis of Hand/Wrist), Question 31 (Sciatica), Question 41 (Smoking) and Question 67 (Income) and updated question numbers accordingly

# Mailing Material Updates (Cont'd)

## Chinese Font Requirements

- **NEW:** Revised guidance to specify that survey vendors must print Chinese materials in PMingLiu, SimSun, or another readable font

## Response Option Shapes

- **NEW:** Survey vendors are permitted to use ovals or circles instead of boxes for response items; survey vendors may not reduce the size of the response item ovals, circles, or boxes

# Telephone Specification Updates

- **NEW:** Added Inbound introduction language for use when a member or proxy initiates contact to complete the survey

>INTRO-IN<

Thank you for calling [SURVEY VENDOR NAME]. [SURVEY VENDORS THAT NEED TO INCLUDE THIS DISCLAIMER, INSERT HERE]: This call may be monitored or recorded for quality assurance purposes.

<1> RESPONDENT READY TO START

[Q61]

<2> NEED PROXY

[PROXY]



# Telephone Specification Updates (Cont'd)

- **NEW:** Specified Outbound introduction language for outbound telephone attempts


## >INTRO-OUT<

Hello, I'm calling on behalf of Medicare. [SURVEY VENDORS THAT NEED TO INCLUDE THIS DISCLAIMER, INSERT HERE:] This call may be monitored or recorded for quality assurance purposes. We're doing an important survey about the health of people in Medicare health plans. Participation in the survey is completely voluntary. Recently, we sent you a letter and questionnaire in the mail. We're trying to finish the study, so I'd like to interview you now over the phone.

{IF R ASKS IF YOU ARE CALLING FROM MEDICARE, SAY: I am calling from [SURVEY VENDOR NAME]. Medicare has asked our organization to help conduct this study.}

<1> RESPONDENT READY TO START      [Q61]  
<2> NEED PROXY                            [PROXY]

# Telephone Specification Updates (Cont'd)

- 
**NEW:** Removed Question 28 (Arthritis of Hip/Knee), Question 29 (Arthritis of Hand/Wrist), Question 31 (Sciatica), Question 41 (Smoking) and Question 67 (Income) and updated question numbers accordingly

<p>&gt;Q60&lt; Is the house or apartment you currently live in:</p> <p>&lt;1&gt; Owned or being bought by you, &lt;2&gt; Owned or being bought by someone in your family other than you, &lt;3&gt; Rented for money, &lt;4&gt; Not owned and one in which you live without payment of rent, or &lt;5&gt; None of these?</p> <p>&lt;9&gt; NOT ASCERTAINED</p>	<p>&gt;Q60&lt; Is the house or apartment [he/she] currently lives in:</p> <p>&lt;1&gt; Owned or being bought by [him/her], &lt;2&gt; Owned or being bought by someone in [his/her] family other than [him/her], &lt;3&gt; Rented for money, &lt;4&gt; Not owned and one in which [he/she] lives without payment of rent, or &lt;5&gt; None of these?</p> <p>&lt;9&gt; NOT ASCERTAINED</p>
<p>[TERM]</p>	<p>[TERM]</p>
<p><i>Interviewer Note: If the respondent selects an option before all the options are read, code that option and move to the end of the survey.</i></p>	
<p>&gt;TERM&lt; Those are all the questions I have. Thank you for taking part in this important interview.</p>	

# FAQ Updates

- **NEW:** Added FAQ for members who do not wish to complete the survey but do not specify that they would like to be excluded from future surveys

*27. Refusal from Study: I am not interested in completing this survey. I do not want to complete this survey.*

Thank you for contacting the Medicare Health Outcomes Survey. We encourage you to reconsider participating. This is a very important survey sponsored by the Centers for Medicare & Medicaid Services, the federal agency that runs Medicare. If you are still not interested in completing the survey, then please discard the mailing provided to you.

# FAQ Updates (Cont'd)

- **NEW:** Revised FAQ to specify response to members who wish to be removed from the study and excluded from future surveys

*28. Refusal/Removal from Study: Please remove me from the study. Please do not ever contact me again.*

Thank you for contacting the Medicare Health Outcomes Survey. Your contact information has been removed from our lists and you will not be contacted again.

# Customer Support Updates

## Toll-Free Customer Support Telephone

- **NEW:** Lines must have sufficient capacity so that 90 percent of incoming calls **each day** are answered “live”

## After-Hours Greetings

- **NEW:** 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)



# Data Coding and Data Submission

# 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



# File Specifications Review (Cont'd)

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

# File Layout Changes

## Survey File Record Layout

- **NEW:** Added Protocol Identifier Flag

Field Description	Field Position		Field Length	Valid Values
	Start	End		
Protocol Identifier Flag	78	79	2	1 = English Follow-Up—No Proxy at Baseline 2 = English Follow-Up—Proxy at Baseline 3 = Baseline (all languages) 4 = Spanish Follow-Up—No Proxy at Baseline 5 = Spanish Follow-Up—Proxy at Baseline 6 = Chinese Follow-Up—No Proxy at Baseline 7 = Chinese Follow-Up—Proxy at Baseline 10 = Russian Follow-Up—No Proxy at Baseline 11 = Russian Follow-Up—Proxy at Baseline

# File Layout Changes

## Survey File Record Layout

- **NEW:** Updated Member Zip Code valid values

Field Description	Field Position		Field Length	Valid Values
	Start	End		
Member Zip Code	204	225	22	9-digit numeric variable (5-digit Zip code and 4-digit plus-four code)

# File Layout Changes (Cont'd)

## Survey File Record Layout

- **NEW:** Removed five questions from 2022 survey
  - Q28 (Arthritis of Hip/Knee)
  - Q29 (Arthritis of Hand/Wrist)
  - Q31 (Sciatica)
  - Q41 (Smoking)
  - Q67 (Income)
- Updated question numbers and field positions accordingly beginning at field position 120

# File Layout Changes (Cont'd)

## Survey File Record Layout

- **NEW:** Survey Completion Date valid values
  - Updated valid values to align with 2022 survey administration dates

Field Description	Field Position		Field Length	Valid Values
	Start	End		
Survey Completion Date	281	288	8	MMDDYYYY <b>07182022 – 10312022</b> <i>July 18, 2022 – October 31, 2022</i> 99999999 = Not applicable

# Decision Rules

## 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)

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

# Percent Complete

- **NEW:** HOS contains 79 potential response items
- Exclude 12 skip pattern items from calculation
  - Q14, Q35a-35e, 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
- Denominator is 67 items

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



# Disposition Codes (Cont'd)

## 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

# Data Coding (Cont'd)

## 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 Submission Process

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- 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 Data Submission System
  - 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 4** and closes **Thursday, October 6**
- All data received up to **three business days** prior to the Interim Data Submission due date (**Monday, October 3**) must be processed and submitted
- Complete data attestation prior to marking files “Final”

# 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
- 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

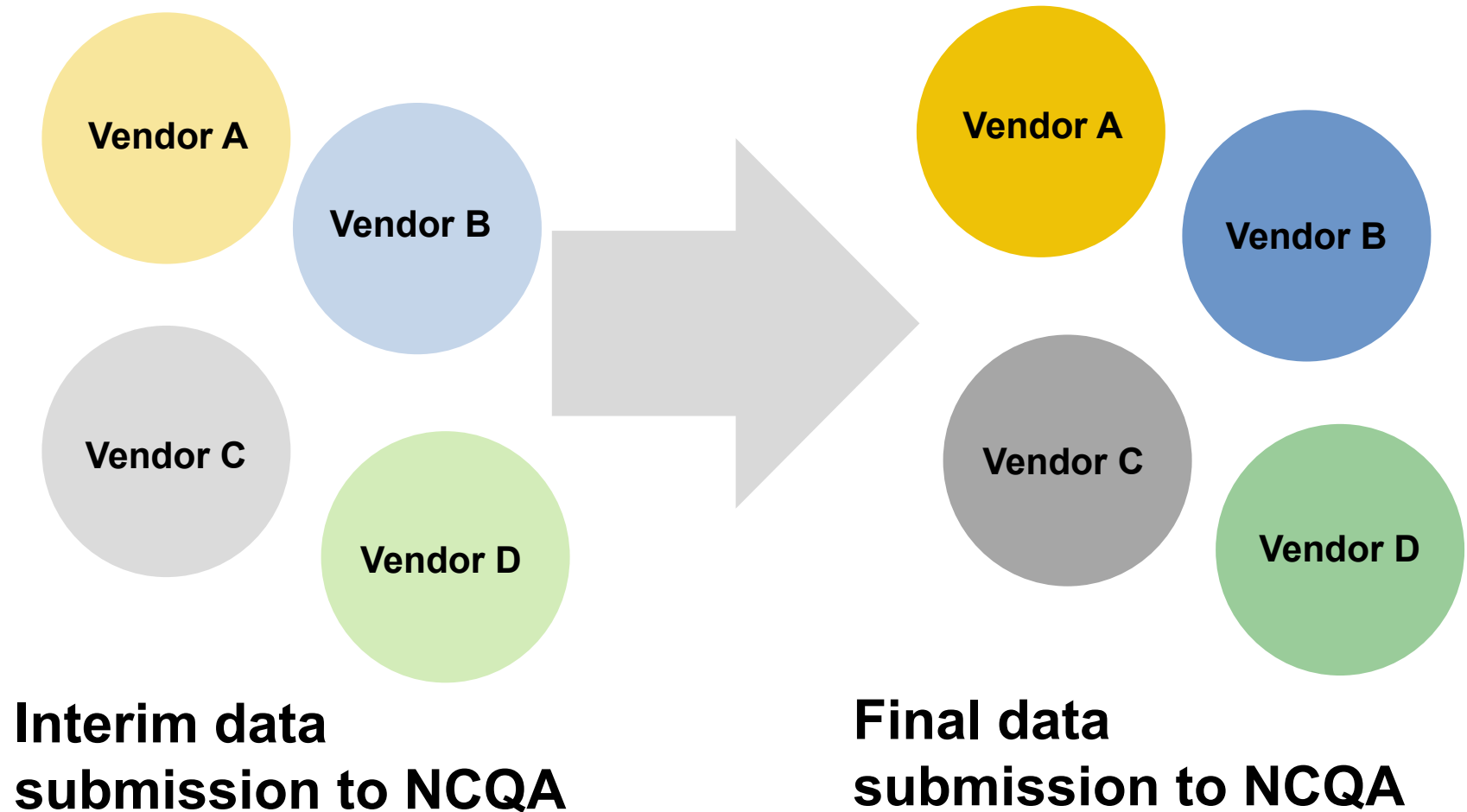
- Final Data Submission opens **Tuesday, November 1**
- Complete data attestation prior to marking files “Final”
- Final data files due **Monday, November 14**
- Final data files will be cleaned and analyzed
  - Data collection issues identified during Final Data Submission may warrant Discrepancy Reports

# Data Management

# Overview

- Data Submission and Review Process
- HSAG's Data Evaluation Process
- Types of Discrepancies Investigated
  - Questionable Data Distributions
  - Skip Pattern Violations
  - Out of Range Values
  - Inconsistent or Missing Data
  - Inappropriate Cleaning
  - Missing Sections
- Suggested Quality Checks for Survey Vendors
- MA Contract Data Requests for Cohort 21
- HOS Case-Mix
- PFADL Change Score Measure

# Data Submission and Review Process



# HSAG's Data Evaluation Process

- Survey vendors submit plan-level text files to NCQA
- Upon receipt of the survey vendor text files from NCQA, HSAG combines the files into one data set
  - Examine differences among
    - Contracts
    - Survey vendors
    - Previous cohorts
    - Survey modes (i.e., Telephone vs. Mail)
    - Survey languages (i.e., English, Spanish, Chinese, and Russian)
  - Compare response distributions for missing values and variations from historical values
  - Identify potential response issues for new 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
  - For telephone and mail mode surveys
  - For each survey language
- Compared with 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 beneficiaries that occur in the mail survey data **are expected**
  - If no skip pattern violations are found across questions that commonly have such violations, further investigation may be warranted
- Skip pattern violations in the telephone data **are NOT expected**
  - If skip pattern violations are found in telephone records, further investigation may be warranted



# Out of Range and Inappropriate Values

- Verify that all responses are valid by conducting range checks for all survey fields
- Identify shifts in data values due to misalignment of fields in the survey vendor text files
- Verify that dates are within the appropriate ranges
  - All survey dates should correspond to the survey administration window
- Verify that *height in feet* field has appropriate values
  - More likely to be between 4-6 feet than above 6 feet or below 4 feet

# Inconsistent or Missing Data

- Compare values contained in the member-level data provided by CMS and the respondent's 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
  - Frequencies 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: Questionable Data Distribution

Q35: In the **past 7 days**, how would you rate your pain **on average**?

<input type="checkbox"/>	0 No Pain	<input type="checkbox"/>	5	
<input type="checkbox"/>	1	<input type="checkbox"/>	6	
<input type="checkbox"/>	2	<input type="checkbox"/>	7	<input type="checkbox"/>
<input type="checkbox"/>	3	<input type="checkbox"/>	8	10 Worst Imaginable pain
<input type="checkbox"/>	4	<input type="checkbox"/>	9	

\*Responses have been formatted for presentation legibility; they are displayed differently than in the HOS survey.

# Example 2: Inappropriate Missing Pattern

- Q38: Many people experience leakage of urine, also called urinary incontinence. In the **past six months**, have you experienced leaking of urine?
  - Yes → **Go to Q39**
  - No → **Go to Q42**

# Inappropriate Missing Pattern (Cont'd)

Answer to Q38:

Yes → **Go to Q39**

OR

No → **Go to Q42**

Answer of “Yes” or  
“No” Indicates to go to  
Q39 or Q42,  
respectively

Q39: During the **past six months**, how much did leaking of urine make you change your daily activities or interfere with your sleep?

Answer & proceed to  
Q40-41

Q42: In the **past 12 months**, 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.

Proceed as indicated.

# Inappropriate Cleaning: Mail Surveys

- Open-ended numeric questions (healthy days, weight, height)
  - Enter as written by the respondent, except as directed by the QAG
  - Small number of invalid or inappropriate values expected
- Skip patterns
  - Enter all 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 the survey vendor

# Example 3: Inappropriate Cleaning

Height in Inches (not corresponding to other examples)	Survey Vendor (percent)		
	A	B	C
Valid (00-98)	93.8	92.15	93.75
Inappropriate Answer (88)	1.23	0.33	0.00
Missing (99)	3.29	5.12	4.03

- Mail survey results without any inappropriate responses for one survey vendor
- Mail survey responses should not be cleaned prior to submission



# Missing Responses

- Recognize gatekeeper questions
- Look at key questions like the Veterans RAND 12-Item Health Survey and Activities of Daily Living (VR-12, ADLs) for unexpected sequences
  - Entire section of the survey is blank
- Missing data at the contract level and survey vendor level

# Example 4: Missing Responses

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	2	1	1	1	2	1	2	3	2
55	1	2	1											3	3	3	2	2	3	3	2	1	8
56	3	1	1											1	1	2	2	1	2	1	1	2	7
57	1	2	2											2	2	3	2	1	1	3	2	2	0
58	1	2	2											2	1	2	3	3	2	3	3	2	0
59	1	1	1	2	1	2	3	1	2	2	1	2	2	3	3	2	1	2	2	1	2	2	1
60	3	2	2	3	3	2	1	2	2	1	2	3	1	1	1	1	2	2	1	2	3	2	8

- Responses missing for Q3a – Q9
- Identify and investigate clusters of missing responses

# Suggested Quality Checks for Survey Vendors

- Check for inconsistencies in skip patterns for telephone records
- Check for missing responses indicating possible coding errors
- Examine the distribution of responses for improbable results in mail surveys
- Investigate for coding errors in fields with extreme frequencies (0% or 100%) for any one response

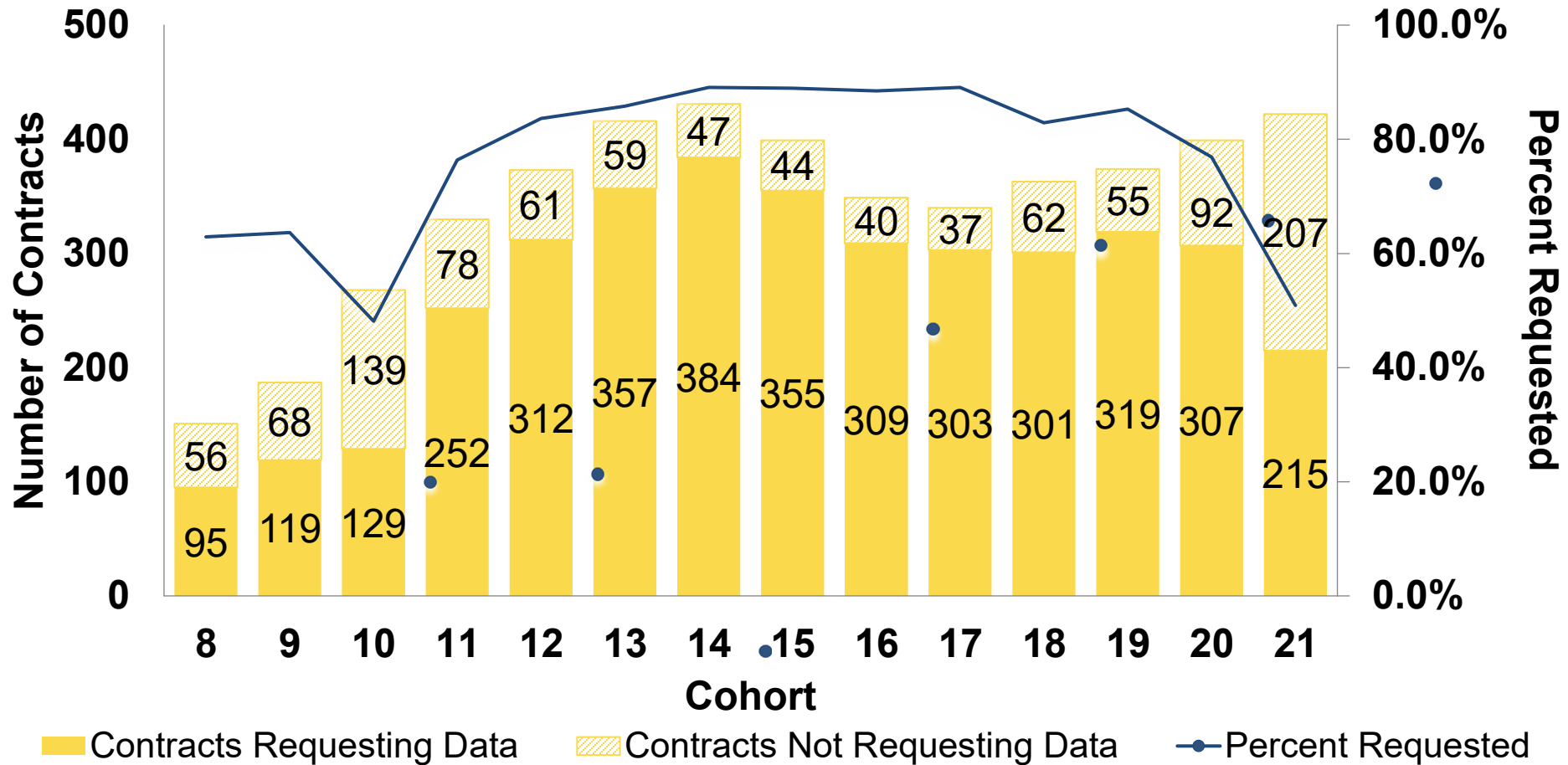
# Suggested Quality Checks for Survey Vendors (Cont'd)

- Verify that coding of responses has not been reversed
- Identify and investigate clusters of missing responses
- Always check revised data files for unexpected changes, and submit explanation for any unexpected changes with resubmitted files
- Verify that all HOS codes are present for each reporting field, rather than only flagging invalid codes

# Suggested Quality Checks for Survey Vendors (Cont'd)

- Verify that:
  - Mail survey responses are not cleaned prior to submission
  - Electronic telephone interviewing program does not permit skip pattern violations
  - Names do not contain any accents or other special characters

# MA Contract Data Requests for Cohort 21



# HOS Case-Mix

- The three 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, and beneficiaries are categorized as better, the 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 the case-mix adjustment models for expected results

# HOS Case-Mix (Cont'd)

- National averages are calculated for actual outcomes of death, PCS same or better, and MCS same or better
- Actual and expected outcomes are the aggregated percentages for each MAO, and death is incorporated with physical health only
- Final HOS outcomes are adjusted by combining the differences between actual and expected results for each MAO with the national averages
- In summary, the Performance Measurement Analysis determines the percentages of beneficiaries in the MAO who are better, the same, or worse than expected at the two-year follow up in comparison to national averages



# PFADL Change Score Measure

- The longitudinal Physical Functioning Activities of Daily Living (PFADL) change score measure is part of the 2022 display measures on the CMS website and the Health Plan Management System (HPMS)
- The PFADL change score measure combines two PF questions (limitations in moderate activities and climbing stairs) with six ADL items to create a Likert-type scale, computed at baseline and two-year follow up
- The PFADL change score measure can be interpreted as approximating the percent of function retained over two years by the average beneficiary in a Medicare Advantage plan
- A detailed methodology used to create the PFADL change score measure is described on the Survey Results page of the HOS website (<https://www.HOSonline.org>)

# Health Services Advisory Group

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For inquiries, please contact the Medicare HOS  
Information and Technical Support at

Telephone: (888) 880-0077

or

Email: [hos@hsag.com](mailto:hos@hsag.com)

HOS Website: <https://www.HOSonline.org>



# Quality Oversight and Project Reporting


# Overview

- 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 10	Friday, June 24	Tuesday, July 5
Electronic Telephone Interviewing Material Review	Friday, June 24	Friday, July 8	Monday, July 18
Survey Vendor QAP	Friday, July 1	Survey Vendor Conference Call (Monday July 18 – Friday, July 29)	Within 5 Business Days of call

# Mailing Materials

- Review final print-ready HOS mailing materials
-  **NEW:** Survey vendors must submit materials for review in the format in which they will be printed
  - e.g., If survey vendors print four postcards per page, submit the print-ready document for review
- **Due Friday, June 10**
  - Send electronic copies to [hos@ncqa.org](mailto:hos@ncqa.org)
  - Comment/approve by Friday, June 24
  - All materials must be final by **Tuesday, July 5**

# Mailing Materials (Cont'd)

## Common Findings

- Omission of footnote about how sampled members may request materials in their preferred language
- Incorrect formatting of postcards
- Incorrect font and font size

# Electronic Interviewing Materials

- Review telephone interviewing screenshots and skip pattern logic
- **Due Friday, June 24**
  - Two weeks after submitting mailing materials
  - Send electronic copies to [hos@ncqa.org](mailto:hos@ncqa.org)
  - Comment/approve by Friday, July 8
  - All materials must be final by **Monday, July 18**
- 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



# Electronic Interviewing Materials (Cont'd)

## 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, July 1**
- **NEW:** 2022 QAPs must include:
  - Description of process for dialing multiple telephone numbers for a single member

# Survey Vendor QAP (Cont'd)

## 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

Oversight Activities	Dates (2022)
Survey Vendor Conference Calls	Monday, July 18 – Friday, July 29
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 6

# Survey Vendor Conference Calls

- Held **Monday, July 18 – Friday, July 29**
- 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

# 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

# Customer Support Review (Cont'd)

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## 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](mailto:hos@ncqa.org)
- Deadlines and report requirements in QAG
  - Recurring deliverables
    - Narrative Reports (Reports #2-8)
    - Summary Status Reports (Reports #3-9)
    - **NEW:** 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\_C25B\_MM-DD-YY.xls
  - Survey Vendor Name\_SSR\_C23F\_MM-DD-YY.xls
-  **NEW:** Progress with telephone attempts to date
- Use 2022 template provided prior to fielding



# MAO Progress Report Sample

## 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	Due Date
<p><b>REPORT #2</b></p> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of Baseline and Follow-Up prenotification letter and first questionnaire printing, fulfillment, and mailing processes.</li><li>• Verification of mail out dates of Baseline and Follow-Up prenotification letter and first questionnaire mailing (e.g., USPS generated report).</li><li>• Status of staff training and SMS development.</li><li>• Confirmation of customer support functionality and testing.</li><li>• Outstanding issues or concerns.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	Friday, July 29

# Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
<p><b>REPORT #3</b> <b>Summary Status Report:</b> Baseline and Follow-Up Cohorts. <b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of Baseline and Follow-Up reminder/thank-you postcard mailing.</li><li>• Verification of mail out date of Baseline and Follow-Up reminder/thank-you postcard mailing (e.g., USPS generated report).</li><li>• Outstanding issues or concerns.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	Friday, August 12
<p><b>REPORT #4</b> <b>Summary Status Report:</b> Baseline and Follow-Up Cohorts. <b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of progress with protocol to date.</li><li>• Detail problems or issues to date.</li><li>• Outstanding issues or concerns.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	Friday, August 26

# Biweekly Progress Reports (Cont'd)

## Reporting Requirements

## Due Date

### REPORT #5

**Summary Status Report:** Baseline and Follow-Up Cohorts.

**Narrative Report:**

- Overview of Baseline and Follow-Up second questionnaire mailing and second reminder/thank-you postcard mailing (Russian only).
- Verification of mail out dates of Baseline and Follow-Up second questionnaire mailing and second reminder/thank-you postcard mailing (Russian only) (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.
- **NEW:** Describe telephone protocol and training.
- Outstanding issues or concerns.

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

Friday,  
September  
9



# Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
<p><b>REPORT #6</b></p> <p><b>Summary Status Report:</b></p> <ul style="list-style-type: none"><li>• Baseline and Follow-Up Cohorts.</li><li>• <b>NEW:</b> Telephone attempt progress to date.</li></ul> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of progress with protocol to date.</li><li>• Detail problems or issues to date.</li><li>• Describe process of converting partially completed surveys to complete, and progress.</li><li>• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	Friday, September 23

# Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
<p><b>REPORT #7</b></p> <p><b>Summary Status Report:</b></p> <ul style="list-style-type: none"><li>• Baseline and Follow-Up Cohorts.</li><li>• <b>NEW:</b> Telephone attempt progress to date.</li></ul> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Outstanding issues or concerns.</li><li>• Detail problems or issues to date.</li><li>• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.</li><li>• Report on experience with submitting interim data files.</li></ul> <p><b>Other Deliverable:</b></p> <ul style="list-style-type: none"><li>• Member correspondence (white mail), if applicable.</li><li>• Submit a sample of the interim/progress report that is provided to HOS clients.</li></ul>	Friday, October 7

# Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
<p><b>REPORT #8</b></p> <p><b>Summary Status Report:</b></p> <ul style="list-style-type: none"> <li>• Baseline and Follow-Up Cohorts.</li> <li>• <b>NEW:</b> Telephone attempt progress to date.</li> </ul> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"> <li>• Overview of progress with protocol to date.</li> <li>• Detail problems or issues to date.</li> <li>• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.</li> </ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	<p>Friday, October 21</p>
<p><b>REPORT #9</b></p> <p><b>Summary Status Report</b></p> <ul style="list-style-type: none"> <li>• Baseline and Follow-Up Cohorts.</li> <li>• <b>NEW:</b> Telephone attempt progress to date.</li> </ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	<p>Friday, November 4</p>

# Blinded Response Rates

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- HOS Project Team will provide blinded response rates to survey vendors based on Summary Status Reports on a biweekly basis

# Member Correspondence

## **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)

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

## Examples of Correspondence to Be Sent

- Messages intended for CMS
- Comments about MAO/provider
- Personal problems
- Requests for medical assistance and supporting documentation
- Opinions about the survey instrument or federal government

## Examples of Correspondence NOT to Be Sent

- Death notices
- Address changes
- Language barrier
- Institution notice
- Comments written on or throughout the survey, including marginal comments

# 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

# Telephone Interviewer Monitoring (Cont'd)

## **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

# Data Record Review (Cont'd)

## 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

# After Survey Administration

Oversight Activities	Dates (2022)
Survey Vendor Final Report	Friday, November 18
Report of HOS Records Stored and Facility Standards for Records Storage Facilities Inspection Checklist	Friday, December 2

# 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 2023 HOS Administration
- Reports used for:
  - Informing QAG updates
  - Process improvement

# Ongoing Activities

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- 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](mailto:hos@ncqa.org) (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: <input type="checkbox"/> Initial Report <input type="checkbox"/> Updated Report
		Report Submission Date <input type="text" value="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:	<input type="checkbox"/> English <input type="checkbox"/> Spanish <input type="checkbox"/> Chinese <input type="checkbox"/> 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

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- Email [hos@ncqa.org](mailto:hos@ncqa.org)
  - Reports, updates, and questions
- Contact the project team with questions, comments, requests, or concerns

# 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 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>

# 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