



# Medicare Health Outcomes Survey-Modified 2022 Survey Vendor Update Training



*May 26, 2022*



# Welcome and Introduction

# 2022 HOS-M Survey Vendor Training Agenda

Time (p.m., ET)	Agenda Item
1:00 – 1:05 p.m.	Welcome and Introduction
1:05 – 1:25 p.m.	Overview of the HOS-M
1:25 – 1:40 p.m.	PACE Sampling
1:40 – 2:10 p.m.	The HOS-M PACE and FIDE SNP Protocols
2:10 – 2:20 p.m.	Break
2:20 – 2:50 p.m.	Data Coding and Submission
2:50– 3:10 p.m.	Quality Oversight and Project Reporting
3:10 – 3:25 p.m.	Questions and Closing
3:25 – 3:45 p.m.	Post-Training Test



# Overview of the HOS-M

# Overview

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

# Introduction to the HOS-M

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

# HOS-M Primary Goals

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

# HOS-M Results Disseminated to PACE Organizations

- HOS-M results are reported to PACE organizations in the Medicare HOS-M Report
- Beneficiary level data are also sent to PACE organizations
- Schedule of data dissemination can be found on the HOS Website ([www.hosonline.org](http://www.hosonline.org))



# PACE vs. FIDE SNP

	PACE	FIDE SNP
Telephone Protocol	6-12 telephone attempts; 6 telephone attempts to the member and 6 telephone attempts to the proxy	5-9 telephone attempts; minimum 5 telephone attempts to reach nonrespondents; maximum 5 telephone attempts to a single number and no more than 9 across all available phone numbers
Sample	Random sample at the contract level	Random sample at the PBP level
Contact Information	Enhanced contact information of organizations with enrollment $\leq$ 1,200	No enhanced contact information protocol
Disposition Codes	M25/T25 – Respondent Removed from Sample by RTI	Respondents are not removed from the FIDE SNP sample during administration by RTI

# Quality Assurance Guidelines

## Addenda

- Survey vendors are required to follow the protocols and procedures in the *Medicare HOS Quality Assurance Guidelines and Technical Specifications V2.6* (QAG)
- Reference the HOS-M QAG Addendum for additional requirements that apply specifically to HOS-M administration for PACE
- **NEW:** Reference the FIDE SNP QAG Addendum for additional requirements for administering HOS-M for FIDE SNP


# HOS-M Questionnaire

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

# HOS-M Telephone Script

- Telephone interviewers ascertain who is being interviewed at the beginning of the call
  - Questions 16, and if applicable, 17-19 are asked at the beginning
- **NEW:** Added introduction language for inbound telephone interviews
- **NEW:** Added interviewer instructions and language to address proxy HIPAA concerns

# HOS-M Telephone Script (cont'd)

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**NEW:** Added proxy script for all languages
  - Survey vendors must program systems to align with language in the member and proxy scripts

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

# HOS-M Survey Integrity

- PACE organizations and HOS-M Vendors **MAY**:
  - Notify all members of a contract that they may be asked to participate in the 2022 HOS-M
- PACE organizations and HOS-M Vendors **MAY NOT**:
  - Attempt to influence beneficiaries' responses to HOS-M survey questions in any way
- Encouraging participation without biasing the results is tricky
  - Please consult with the HOS-M Project Team rather than jeopardizing your clients' results by having them labeled as biased

# Annual DUA Process

- CMS-approved HOS-M survey vendors must execute the following steps in EPPE:
  - Verify all current staff and subcontractors are listed
  - Submit signed [DUA Addendums](#) for contract changes
  - Submit an update request to add **2022** data by **June 3, 2022**
- Submit fully-executed DUA to the HOS-M Project Team by **June 10, 2022**



# PACE Sampling



# Overview

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- Enrollment Criteria and Program Eligibility
- RTI Role
- Sample Selection
- Sample File Processing
- Removing Long-Term Nursing Home Residents from the Sample File
- Death and Disenrollment Updates

# PACE Enrollment Criteria

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

# Program Eligibility for HOS-M

- Every year, CMS determines which PACE organizations are eligible for HOS-M
- PACE organizations required to participate in 2022 HOS-M include all organizations with:
  - Medicare contracts in effect on or before January 1, 2021
  - At least 30 beneficiaries enrolled as of February 2022

# Enrollee Eligibility for HOS-M

- Frailty adjustment is applied only to members who are eligible for the survey
  - Community-residing, non-End Stage Renal Disease (ESRD) PACE enrollees, aged 55 or older
- PACE enrollees not eligible for HOS-M and not eligible for frailty adjustment:
  - Enrollees who are institutionalized
  - Enrollees who only have Medicaid, but not Medicare
  - Enrollees under age 55
  - Enrollees with ESRD

# RTI Role

- Draws PACE sample from CMS enrollment files for the HOS-M
- Receives list of long-term institutional residents from large organizations and removes them from the CMS enrollment file list before sampling
- Receives contact files for eligible enrollees from small PACE organizations
- Periodically checks CMS enrollment data, removes enrollees who disenrolled, became long-term institutional residents, or died
- Verifies the enrollment periods and eligibility and combines the Medicare enrollment data with contact information provided by the PACE organizations to develop the HOS-M sample

# PACE Organizations Participating in the 2022 HOS-M

- 137 PACE organizations will participate in the HOS-M in 2022
  - 130 are small organizations (<1,200 Medicare members) participating in the full HOS-M protocol
  - 7 are large organizations ( $\geq$ 1,200 Medicare members) participating in the limited HOS-M protocol

# Collecting Data for Sampling

- PACE organizations follow different protocols to prepare for the HOS-M survey:
  - Small organizations generate up-to-date enrollee contact information for their community-residing Medicare enrollees to be used as proxies
  - Large organizations provide a list of enrollees who are permanent long-term institutional residents (not eligible to participate in the HOS-M)

# Sampling Data Elements Helpful for Survey Vendors

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

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



# Sample File Processing

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

# Quality Check Process

- After RTI has processed a PACE organization's file, RTI sends it a quality check (QC) document of five random enrollees to be sure the information submitted was processed properly
- This file will be sent using the PACE organization's method of encryption
- PACE organizations are asked to review the five enrollees against the original file submitted to RTI and their medical records for accuracy
- The purpose of the quality check is NOT to update information, but to verify that the organization's information as submitted is correct

# Removing Long-Term Nursing Home Residents from the Sample File

- Small PACE organizations (<1,200 members) are asked to exclude long-institutional enrollees in their enrollee contact file
- Large PACE organizations ( $\geq 1,200$  members) submit a list of their enrollees who are permanent long-term institutional residents
  - These enrollees are excluded during the survey fielding process

# Death and Disenrollment Updates

- For deaths and disenrollments, RTI checks the Medicare database at several points in the survey cycle to remove these participants from the sample
- RTI generates a list of enrollees that are deceased or have disenrolled and sends it to NCQA
- NCQA distributes the death and disenrollment data files to the survey vendor on timeline established by the HOS-M Project Team



# **The HOS-M PACE and FIDE SNP Protocols**

# Overview

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- Data Collection Protocol and Timeline
- Administering the HOS-M
- HOS-M PACE Protocol
- HOS-M FIDE SNP Protocol

# Data Collection Protocol

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

# Standardized Data Collection

- Survey vendors must use the standardized data collection protocol outlined in the *HOS-M QAG Addendum and FIDE SNP QAG Addendum*
- Standardized data collection ensures survey data collected across the CMS-approved HOS-M survey vendors are comparable
- Survey vendors may not change the wording or order of the survey questions, mailing materials, or telephone script



# Data Collection Timeline

Task	Date (2022)
Send sample files to vendors	June 27
Mail prenotification letters	July 18
Open survey vendor customer support telephone and email	July 18
Open inbound electronic telephone interviewing	July 18
Mail first questionnaire	July 25

# Data Collection Timeline (Cont'd)

Task	Date (2022)
Mail reminder/thank-you postcard	August 1
First death and disenrollment file*	August 15
Mail second questionnaire	August 29
Second death and disenrollment file*	September 2
Mail second reminder/thank-you postcard	September 6
Conduct outbound telephone interviewing	September 19 – October 31

\* PACE only

# Data Collection Timeline (Cont'd)

Task	Date (2022)
<b>NEW:</b> Submit interim data files	October 6
Third death and disenrollment file*	October 26
End data collection	October 31
Prepare and submit final data files	November 1 – November 14
<b>Final data files due</b>	<b>November 14</b>

\* PACE only

# Administering the HOS-M

- Sampled members are kept in the protocol until a final disposition code is achieved or the protocol is exhausted
  - All sampled members receive prenotification letter and first questionnaire mailing
  - Members who return a complete questionnaire are removed from the remainder of the protocol
  - Members who do not respond must remain in the protocol unless the vendor receives a refusal or identifies the member as ineligible
    - In some cases, if a member is deemed ineligible, the vendor must attempt to obtain a proxy



# HOS-M PACE Protocol

# Protocol Paths

- Protocol path determined by language preferences
- Survey vendors assign the Protocol Path based on the *CMS Language Code* or *CMS Language Preference* flag in the sample file
  - If both flags are blank, then vendors should review the Participant Primary Language (*BeneLanguage*) variable provided

# Protocol Paths (Cont'd)

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

# Proxy Respondents

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




# Proxy Respondents (Cont'd)

- Multiple proxy respondents may be included in the sample file

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

# Members in a Common Facility

- If contacting a common facility where members reside, survey vendors may make calls to gatekeepers who may complete the survey at the member's request
-  **NEW:** Survey vendors must document processes for contacting members in a common facility in their HOS-M QAPs

# Mail Protocol

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

# Telephone Protocol

- For large PACE organizations, obtain telephone numbers directly from the PACE organization using the *SUPPLEMENTAL* file
- Small PACE organizations provide a telephone contact list to RTI prior to survey administration
- Vendors must obtain “second source” telephone numbers and document processes in QAP

# Telephone Attempts

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

# Telephone Specifications

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

# 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	[Q16]
<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. May I please speak to [MEMBER NAME]?

{THE INTERVIEWER SHOULD ASSESS WHO THEY ARE SPEAKING TO AND PROCEED ACCORDINGLY. A PROXY CAN BE A FAMILY MEMBER, HOME HEALTH AIDE, INSTITUTION STAFF WORKER, ETC.}

<1> SPEAKING TO MEMBER [RESPONDENT]

<2> SPEAKING TO PROXY [PROXY]



# Telephone Specification Updates (Cont'd)

- **NEW:** Added language addressing HIPAA concerns for use if a proxy has concerns about responding on behalf of the member

>HIPAA CONCERNS<

{IF SPEAKING WITH A PROXY WHO HAS HIPAA CONCERNS ABOUT RESPONDING ON BEHALF OF THE MEMBER}: I understand your concern. The Medicare Health Outcomes Survey-Modified is used to evaluate health plan performance and is therefore exempt from HIPAA by the health care operations provision. I am calling from [SURVEY VENDOR NAME]. Medicare has asked our organization to help conduct this study. While members are encouraged to respond to the survey themselves, not all elderly or disabled respondents are able to do so. Medicare allows family members, close friends, caregivers, program staff, or home staff to answer the questions about the member as a “proxy.” The information you provide will not be shared with anyone other than Medicare.

# Telephone Specification Updates (Cont'd)

- **NEW:** Revised Question 16, on-screen instructions, and interviewer notes

Electronic Telephone Interviewing System Specifications		
>Q16< WHO ARE YOU INTERVIEWING?		
<1>	MEDICARE PARTICIPANT	[Q1]
{IF SOMEONE ELSE, PROBE: What is your relationship to [MEMBER NAME]? Are you a:}		
<2>	Family member, relative, or friend of the Medicare Participant, or	[Q17a]
<3>	A nurse or other health professional?	[Q17a]
<9>	NOT ASCERTAINED	[Q17a]
<i>Interviewer Note: This is the first question asked during the telephone interview. It establishes who the respondent is—the sampled member or a proxy respondent. The question is asked at the beginning of the interview so the correct form of the questions can be used (questions for proxy interviews are different from those used to interview the sampled member). If interviewer is speaking with an institution, code as &lt;3&gt; A nurse or other health professional.</i>		

# Telephone Specification Updates (Cont'd)

- **NEW:** Separated Member and Proxy scripts across all languages.

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

# Telephone Specification Updates (Cont'd)

## Question 4b

- **NEW:** Added on-screen probe

Electronic Telephone Interviewing System Specifications	
Member Script	Proxy Script
>Q4b< {Because of a health or physical problem...}  Do you have difficulty dressing <b>without special equipment or help from another person</b> ?  <1> NO {ABLE TO DO THIS WITHOUT DIFFICULTY}  {IF "YES," ASK: Are you:}  <2> Able to do this with difficulty, or <3> Unable to do this?  <9> NOT ASCERTAINED  {PROBE: Do you have difficulty putting on clothes?} [Q4c]	>Q4b< {Because of a health or physical problem...}  Does [MEMBER NAME] have difficulty dressing <b>without special equipment or help from another person</b> ?  <1> NO {ABLE TO DO THIS WITHOUT DIFFICULTY}  {IF "YES," ASK: Is [he/she]:}  <2> Able to do this with difficulty, or <3> Unable to do this?  <9> NOT ASCERTAINED  {PROBE: Does [he/she] have difficulty putting on clothes?} [Q4c]





# HOS-M FIDE SNP Protocol

# Protocol Paths

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

# Protocol Paths (Cont'd)

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

# Proxy Respondents

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



# Mail Protocol

- Refer to the HOS QAG for instructions on producing mail materials and requirements
- HOS-M survey is formatted in one column
- HOS-M mailing materials can be found in **Appendix C** of the FIDE SNP QAG Addendum

# Telephone Protocol

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- Must follow HOS guidelines for telephone attempts
- Use the **SUPPLEMENTAL** file process to obtain telephone numbers

# Telephone Protocol (Cont'd)

- **NEW:** Minimum of **five** telephone attempts to a single telephone number 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 Specifications

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



# Data Coding and Submission

# Overview

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

# Text File Specifications

- Submit survey data in .txt file format that allows submission of each sampled member record in one file
- Sample file data included in data submission files must match original sample file data



# Text File Specifications (Cont'd)

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

# File Layouts

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

# Disposition Codes

- Tracks survey status of each sampled member
- Only final disposition codes are reported in data files
- See **Table 6** (PACE) or **Table 4** (FIDE SNP) in QAG addenda for details

# Disposition Codes (Cont'd)

## “Complete” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Complete Survey (ADL Items Answered)	M10	<ul style="list-style-type: none"><li>• <b>All</b> six ADL items (Q4a-f) answered.</li></ul>
	T10	Assign in one of the following: <ul style="list-style-type: none"><li>• <b>All</b> six ADL items (Q4a-f) answered.</li><li>• Mail survey returned with one or more ADL items unanswered. Respondent contacted during telephone protocol and all ADL items were answered.</li></ul>

# Disposition Codes (Cont'd)

## “Nonresponse” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Partial Complete	M11/T11	<ul style="list-style-type: none"><li>• One or more ADL items (Q4a-f) unanswered.</li></ul>

# Disposition Codes (Cont'd)

## “Nonresponse” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Respondent Unavailable	M33/T33	<ul style="list-style-type: none"><li>• Member unavailable during data collection.</li><li>• Survey vendor is unable to obtain a proxy.</li></ul>
Respondent Physically or Mentally Incapacitated	M34/T34	<ul style="list-style-type: none"><li>• Member unable to complete survey due to physical or mental disabilities.</li><li>• Survey vendor is unable to obtain a proxy.</li></ul>
Respondent Institutionalized	M35/T35	<ul style="list-style-type: none"><li>• Member unable to complete survey due to institutionalization or residence in a group home or institution (e.g., hospice, nursing home).</li><li>• Survey vendor is unable to obtain a proxy.</li></ul>

# Disposition Codes (Cont'd)

## “Nonresponse” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Nonresponse After Maximum Attempts	M36	<ul style="list-style-type: none"><li>• No evidence to suggest bad address.</li><li>• No mail questionnaire returned.</li><li>• Survey vendor unable to obtain viable phone number <b>OR</b> unable to contact member by phone because on internal corporate DNC list.</li></ul>
Nonresponse After Maximum Attempts	T36	<ul style="list-style-type: none"><li>• No evidence to suggest bad address but no mail questionnaire returned. No evidence to suggest bad phone number. Survey vendor makes at least six phone attempts but is unable to contact member.</li><li>• Evidence to suggest bad address. No evidence to suggest bad phone number. Survey vendor makes at least six phone attempts but is unable to contact member.</li></ul>

# Disposition Codes (Cont'd)

## “Nonresponse: Refusal” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Refusal by Member	M32/T32	<ul style="list-style-type: none"><li>• Incomplete survey with a note that member does not want to participate.</li><li>• Verbal refusal to complete the survey.</li><li>• Survey vendor may not contact proxy.</li></ul>
Refusal by Proxy	M37/T37	<ul style="list-style-type: none"><li>• All proxies verbally refuse to complete survey.</li><li>• If only one proxy is provided, proxy returns questionnaire with refusal note.</li><li>• Survey vendor may contact additional proxies.</li></ul>
Refusal by Gatekeeper	M38/T38	<ul style="list-style-type: none"><li>• Representative of institution refuses to:<ul style="list-style-type: none"><li>• Allow interview with the member.</li><li>• Complete survey on behalf of member.</li><li>• Complete survey but returns unanswered survey.</li></ul></li><li>• Survey vendor may attempt to contact proxies.</li></ul>



# Disposition Codes (Cont'd)

## “Ineligible” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Deceased	M20/T20	<ul style="list-style-type: none"><li>• Member is deceased.</li></ul>
Language Barrier	M23/T23	<ul style="list-style-type: none"><li>• Member does not read or speak English, Spanish, or Chinese, and does not read Russian.</li><li>• Survey vendor is unable to obtain a proxy.</li></ul>
Bad Address & Mail-Only Protocol	M24	<ul style="list-style-type: none"><li>• Evidence of bad address <b>AND</b> member is in a mail-only protocol (Russian Follow-Up protocol).</li></ul>
Bad Address & Non-working/Unlisted Number or Member is Unknown at Dialed Number	T24	<ul style="list-style-type: none"><li>• Evidence of bad address <b>AND</b> survey vendor is unable to obtain a viable phone number.</li></ul>

# Disposition Codes (Cont'd)

## “Ineligible” Disposition Codes

Final Disposition	Disposition Code	Definition/Explanation
Respondent Removed from Sample by RTI (PACE only)	M25/T25	<ul style="list-style-type: none"><li>• RTI's checks against EDB to identify members who died or disenrolled since sample was drawn.</li><li>• Assigned when HOS-M Project Team notifies survey vendor to remove member from sample.</li></ul>

# Percent Complete

- HOS-M contains 34 potential response items
- Exclude 3 skip pattern items from calculation
  - Q17, Q18, Q19
- Denominator is 31 items

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

# Data Submission

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

# Prepare and Submit Data Files

- Survey vendors use NCQA's secure file transfer system Accellion to submit HOS-M data to the HOS-M Project Team
- NCQA will provide survey vendors a secure file upload link prior to the opening of the interim and final data submission periods

# **NEW: Interim Data Submission**

- Allows opportunity to test the data submission process and correct errors prior to submitting final data files
- Interim data files are due **Thursday, October 6**
- All data received up to **three business days** prior to the Interim Data Submission due date (**Monday, October 3**) must be processed and included in the interim data files

# Interim Data Submission (Cont'd)

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

# Final Data Submission

- Final data files due **Monday, November 14**
- Final data files will be cleaned and analyzed
  - Data collection issues identified during Final Data Submission may warrant Discrepancy Reports





# Quality Oversight and Project Reporting


# Overview

- HOS-M Oversight Activities
  - Before Survey Administration
  - During Survey Administration
  - After Survey Administration
  - Ongoing Activities
- Technical Support
- Accellion

# Before Survey Administration

Oversight Activity	Due Date	Comments from NCQA	Finalize Materials
Mailing Material Review	Friday, June 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 English, Spanish, Chinese and Russian HOS-M 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**

# Electronic Interviewing Materials

- Review proxy and non-proxy telephone interviewing screenshots and skip pattern logic in English, Spanish and Chinese
- **NEW:** HOS-M proxy telephone script included in Appendix D of HOS-M QAG Addendum
- **Due Friday, June 24**
  - 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-M Project Team to review, in addition to the screenshots
- Subcontractor(s) must follow the same review schedule

# Survey Vendor QAP

- Describes survey vendor compliance with the HOS-M protocols and quality oversight processes
- Survey vendors must submit separate HOS and HOS-M QAPs
- QAPs must follow the Model QAP format (Appendix B in the QAG)
  - Due **Friday, July 1**
- **NEW:** 2022 QAPs must include:
  - Description of process for dialing multiple telephone numbers for a single member
  - Description of process for contacting members in a common facility

# 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
<b>NEW:</b> 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 designated HOS-M Project Team contacts in all survey mailings that are sent to members (including prenotification letters)
- Document seeded mailing process in detail in QAP
- Seeded mailings must be created in the member mailing database as a QA tool

# Customer Support Review

- Assess customer support responses to the specifications in QAG, HOS-M QAG Addendum, FIDE SNP QAG Addendum, and FAQ
- Customer support review: *Telephone*
  - HOS-M Project Team makes at least two anonymous calls to customer support line
- Customer support review: *Email*
  - **Securely** forward all customer support emails with responses on a weekly basis
  - Survey vendors may be asked to send member contact information and/or English translations of emails to HOS-M Project Team

# Survey Vendor Progress Reports

- Tracks survey vendor status for adherence to the HOS-M protocols during survey administration
  - Submit progress reports to [hos@ncqa.org](mailto:hos@ncqa.org)
- Deadlines and report requirements in QAG addenda
  - 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)

# Narrative Reports


## Survey Progress and Vendor Experience

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

# Summary Status Reports

- Synthesis of data collected to date
- Monitor response rates for each protocol phase and processing of returned mail surveys
- Submit two files (PACE and FIDE SNP, if applicable) with naming conventions:
  - Survey Vendor Name\_HOS-M\_SSR\_PACE\_MM-DD-YY.xls
  - Survey Vendor Name\_HOS-M\_SSR\_FIDESNP\_MM-DD-YY.xls
- Use 2022 SSR template provided prior to fielding

# Telephone Attempt Report

-  **NEW:** Summary status report includes report on progress with telephone attempts to date
  - Submit with Progress Reports #6-9
  - Report contract name, contract number, total number of cases to receive calls, number of cases with 1-9 telephone attempts (FIDE SNP) or 1-12 telephone attempts (PACE), and number of closed cases
  - Template provided to survey vendors ahead of fielding

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

# Biweekly Progress Reports

Reporting Requirements	Due Date
<p><b>REPORT #2</b></p> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of prenotification letter and first questionnaire printing, fulfillment, and mailing processes.</li><li>• Verification of mail out dates of 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></p> <p><b>Summary Status Report</b></p> <ul style="list-style-type: none"><li>• PACE and FIDE SNP, if applicable.</li></ul> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of reminder/thank-you postcard mailing.</li><li>• Verification of mail out date of 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></p> <p><b>Summary Status Report</b></p> <ul style="list-style-type: none"><li>• PACE and FIDE SNP, if applicable.</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>• 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
<p><b>REPORT #5</b> <b>Summary Status Report</b></p> <ul style="list-style-type: none"><li>• PACE and FIDE SNP, if applicable.</li></ul> <p><b>Narrative Report:</b></p> <ul style="list-style-type: none"><li>• Overview of second questionnaire mailing and second reminder/thank-you postcard mailing.</li><li>• Verification of mail out dates of second questionnaire mailing and second reminder/thank-you postcard mailing (e.g., USPS generated report).</li><li>• Overview of progress with protocol to date.</li><li>• Detail problems or issues to date.</li><li>• Provide high-level summary statistics on respondent calls to customer support line or email (summarize Frequently Asked Questions) and number of requests for Spanish, Chinese, and Russian versions of the instrument. Specify number of calls and/or emails requesting information regarding an internet version of the survey.</li><li>• Describe telephone protocol and training.</li><li>• Outstanding issues or concerns.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	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>• PACE and FIDE SNP, if applicable.</li><li>• 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 with 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>• PACE and FIDE SNP, if applicable.</li><li>• 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 electronic telephone interviewing implementation.</li><li>• Report on experience with submitting interim data files.</li></ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	Friday, October 7

# Biweekly Progress Reports (Cont'd)

Reporting Requirements	Due Date
<p><b>REPORT #8</b>  <b>Summary Status Report</b></p> <ul style="list-style-type: none"> <li>• PACE and FIDE SNP, if applicable.</li> <li>• 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 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>  <b>Summary Status Report</b></p> <ul style="list-style-type: none"> <li>• PACE and FIDE SNP, if applicable.</li> <li>• Telephone attempt progress to date.</li> </ul> <p><b>Other Deliverable:</b> Member correspondence (white mail), if applicable.</p>	<p>Friday,            November            4</p>

# Member Correspondence

## White mail sent biweekly to HOS-M Project Team:

- Written notes/letters, notes on cover letters, prenotification letters, survey covers, or envelopes must be sent
- Forward any member correspondence that appears to be directed at CMS or the government
- Not required to forward white mail that indicates a member is ineligible (e.g., deceased, institutionalized, wrong address, language barrier)
- Not required to forward marginal comments written on the survey
- **NEW:** When submitting member correspondence, survey vendors must include all white mail received in the previous two weeks

# Telephone Interviewer Monitoring

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

# Site Visits

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

# Data Record Review

- Review select records of varying survey dispositions and survey rounds
- Track record throughout survey timeline
  - Sample file
  - Address and telephone update
  - Mail phase
  - Data receipt and entry
  - Telephone phase
  - Data submission
- Provide documentation
  - Hard copy or scanned images
  - Telephone recording
  - Customer support logs



# Data Record Review (Cont'd)

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

# After Survey Administration

Oversight Activities	Dates (2022)
Survey Vendor Final Report	Friday, November 18
Report of HOS-M Records Stored	Friday, December 2

# Final Detailed Status Report

- Three components:
  1. Data synthesis (required)
  2. Discussion component (required)
    - Survey implementation, issues encountered, lessons learned, recommendations
    - Continual updating of sample information with RTI
    - List any additional language translations requested by PACE organizations
    - List any additional survey modes requested by PACE organizations and/or respondents (e.g., internet, text) and number of requests
  3. Recommendations for 2023 HOS-M Administration

# 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:	<input type="text"/>	Organization:
Title:	<input type="text"/>	Address:
Email:	<input type="text"/>	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:	<input type="text"/>	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
<i>H#### or All</i>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
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
- Survey vendors use Accellion to submit interim and final data files
- Accellion address: <https://accellion.ncqa.org>

# NCQA's Secure Site Accellion (Cont'd)

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



# Other Resources

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