



Medicare Health Outcomes Survey-Modified 2024 Survey Vendor Update Training

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Medicare Health Outcomes Survey-Modified 2024 Survey Vendor Update Training



April 30, 2024



Welcome and Introduction

NCQA

*Ruth Boansi, MPH, PMP
HOS Project Director*

2024 HOS-M Survey Vendor Training Agenda

| Time (ET) | Agenda Item | Presenter |
|------------------|---|----------------|
| 3:00 – 3:05 p.m. | Welcome and Introduction | Ruth Boansi |
| 3:05 – 3:20 p.m. | Overview of the HOS-M | Erik Krause |
| 3:20 – 3:30 p.m. | PACE Sampling | Holden Selkirk |
| 3:30 – 3:50 p.m. | The HOS-M PACE and FIDE SNP Protocols | Nicole Herdzik |
| 3:50 – 3:55 p.m. | Break | |
| 3:55 – 4:10 p.m. | Data Coding and Submission | Jacky Chon |
| 4:10 – 4:30 p.m. | Quality Oversight and Project Reporting | Alyssa Hart |
| 4:30 – 4:40 p.m. | Questions and Closing | Ruth Boansi |
| 4:40 – 5:00 p.m. | Post-Training Test | |



Overview of the HOS-M

NCQA

Erik Krause, MPH, CHES
HOS Project Manager

Overview

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

Introduction to the HOS-M

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

HOS-M Primary Goals

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

HOS-M Results Disseminated to PACE Organizations

- HOS-M survey results are reported to PACE organizations in the Medicare HOS-M Report
- Beneficiary level HOS-M data files are distributed to PACE organizations after they are requested from HOS Technical Support at hos@hsag.com
- Data dissemination schedule can be found on the HOS website (www.hosonline.org)

PACE vs FIDE SNP

| | PACE | FIDE SNP |
|---------------------|---|---|
| Telephone Protocol | 6-12 telephone attempts; 6 telephone attempts to the member and 6 telephone attempts to the proxy | <p>Five telephone attempts to each available telephone number</p> <ul style="list-style-type: none"> • After five attempts to a single number, no further call attempts are made to that telephone number • Must dial each available telephone number five times |
| Sample | Random sample at the contract level | Random sample at the PBP level |
| Contact Information | Enhanced contact information of organizations with enrollment $\leq 1,200$ | No enhanced contact information protocol |
| Disposition Codes | <ul style="list-style-type: none"> • M37/T37 – Nonresponse: Refusal by proxy • M38/T38 – Nonresponse: gatekeeper refusal • M25/T25 – Ineligible: respondent removed from sample by RTI | <ul style="list-style-type: none"> • M25/T25 – Ineligible: respondent removed from sample |

Quality Assurance Guidelines Addenda

- Survey vendors are required to follow the protocols and procedures in the *Medicare HOS Quality Assurance Guidelines and Technical Specifications V2.8 (QAG)*
- Reference the HOS-M QAG Addendum for additional requirements that apply specifically to HOS-M administration for PACE
- Reference the FIDE SNP QAG Addendum for additional requirements for administering HOS-M for FIDE SNP

HOS-M Questionnaire

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

HOS-M Telephone Script

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

HOS-M Telephone Script (Cont'd)

- Proxy script included for English, Spanish, and Chinese
 - 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, <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] |

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 2024 HOS-M
- PACE organizations and HOS-M Vendors **MAY NOT**:
 - Attempt to influence members' 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

Questions?





PACE Sampling

RTI HOS-M

Holden Selkirk, BA

HOS-M Data Collection

Task Lead

Overview

- Enrollment Criteria and Program Eligibility
- RTI's Role
- Sample Selection
- Sample File Layout
- Sample File Processing
- Death and Disenrollment Updates

PACE Enrollment Criteria

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

Program Eligibility for HOS-M

- Every year, CMS determines which PACE organizations are eligible for HOS-M
- PACE organizations required to participate in 2024 HOS-M include all organizations with:
 - Medicare contracts in effect on or before January 1, 2023
 - At least 30 beneficiaries enrolled as of February 2024

Enrollee Eligibility for HOS-M

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

RTI's Role

- Draws PACE sample from CMS enrollment files for the HOS-M
- Receives contact files for Medicare enrollees from small PACE organizations to provide information about potential proxies
- Verifies the enrollment periods and eligibility and combines the Medicare enrollment data with contact information provided by the PACE organizations to develop the HOS-M sample frame
- Periodically checks CMS enrollment data, removes enrollees who disenroll or pass away

Collecting Data for Sampling

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

PACE Organizations Participating in the 2024 HOS-M

- 146 PACE organizations will participate in the HOS-M in 2024
 - 138 are small organizations (<1,200 Medicare members) participating in the full HOS-M protocol
 - 8 are large organizations (\geq 1,200 Medicare members) participating in the limited HOS-M protocol

Sample Data Elements Helpful for Survey Vendors

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

| Field Description | Field Position Start | Field Position End | Field Length | Valid Values |
|-------------------------------|----------------------|--------------------|--------------|---|
| Participant Primary Language | 556 | 590 | 35 | Primary Language |
| Participant Receives Own Mail | 591 | 625 | 35 | 1 = Yes, Participant Receives Own Mail 2 = No, Participant Does Not Receive Own Mail <i>This field may also be left blank</i> |
| Contact 1 First Name | 681 | 720 | 40 | First Name |

PACE Sample File Layout

- CMS provides the Sample Layout document for the HOS-M PACE sample file to survey vendors
 - The sample file contains:
 - Names, contact information, and other variables for sampled members
- RTI appends proxy contact information provided by PACE organizations to the sample file developed by CMS
- When survey vendors generate HOS-M member-level data file, they should **NOT** include PACE organization-provided data elements that are indicated in italics
- The sample file variables are appended to the member-level data file by survey vendors and must be identical to the sample file.
- Refer to **Appendix B** in the HOS-M QAG Addendum for the complete HOS-M PACE Sample File Layout

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

2024 Sample File Processing Changes

- **NEW:** RTI has established a file transfer portal (FTP) site for plans to send and receive contact data quality check files
- The primary contact for each PACE organization has received from RTI a link to access the FTP site

Quality Check Process

- After RTI has processed a PACE organization's file, RTI sends a quality check (QC) document of five random enrollees to be sure the submitted information on enrollees and their next of kin was aligned properly
- This file will be sent using RTI's FTP site
- PACE organizations are asked to review the five enrollee records against the original file submitted to RTI and their medical records for accuracy
- The purpose of the quality check is NOT to update information, but to verify that the organization's information as submitted is correct (we had some misalignments in the past)

Death and Disenrollment Updates

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

Questions?





The HOS-M PACE and FIDE SNP Protocols

NCQA

*Nicole Herdzik, MPH
HOS Project Analyst*

Overview

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

Data Collection Protocol

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

Standardized Data Collection

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

Data Collection Timeline

| Task | Date (2024) |
|---|-------------|
| Send Sample files to vendors | June 24 |
| Mail prenotification letters | July 15 |
| Open survey vendor customer support telephone and email | July 15 |
| Open inbound electronic telephone interviewing | July 15 |
| Mail first questionnaire | July 22 |

Data Collection Timeline (Cont'd)

| Task | Date (2024) |
|---|------------------------------|
| Mail reminder/thank-you postcard | July 29 |
| First death and disenrollment file* | August 12 |
| Mail second questionnaire | August 26 |
| Second death and disenrollment file* | August 30 |
| Mail second reminder/thank-you postcard | September 3 |
| Conduct outbound telephone interviewing | September 16 – November 1 |

* PACE only

Data Collection Timeline (Cont'd)

| Task | Date (2024) |
|-------------------------------------|-----------------------------|
| Submit interim data files | October 1 – October 3 |
| Third death and disenrollment file* | October 23 |
| End data collection | November 1 |
| Prepare and submit final data files | November 4 – November 15 |
| Final data files due | November 15 |

* PACE only

Administering the HOS-M

- Sampled members are kept in the protocol until a final disposition code is achieved or the protocol is exhausted
 - 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 fielding the survey in Chinese or Russian, then attempt to have the member or proxy complete the survey in one of the survey vendor's approved languages

Proxy Respondents

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

Proxy Respondents (Cont'd)

- Multiple proxy respondents may be included in the sample file

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

Members in a Common Facility

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

Mail Protocol

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

Mail Material Updates

- **NEW:** All Prenotification and Cover Letters must use Arial font in 12-pt or larger
- **NEW:** All prenotification and cover letters must be one page long and use 1-inch margins
- **NEW:** Russian footer has been removed and will be provided to survey vendors fielding surveys in Russian
- **NEW:** Letters must be folded so the preferred language is front facing when the envelope is opened
- **NEW:** CMS letterhead updated to allow for optional health plan logos for survey cover letters only
 - Only the CMS logo is allowed on the prenotification letter

With health plan logo

CMS logo only

[INSERT HEALTH PLAN LOGO HERE]



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

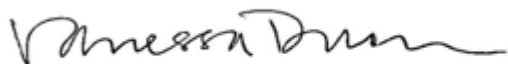
Centers for Medicare & Medicaid Services
c/o Survey Processing
[SURVEY VENDOR RETURN ADDRESS]



Material Updates (Cont'd)

- **NEW:** New Director's signature
- **NEW:** Added language at the end of the survey with instructions for contacting survey vendors with questions
- **NEW:** HOS-M QAG Addendum Appendix C separated into four sub-appendices for mailing material templates
 - Appendix C-1: Prenotification Letter
 - Appendix C-2: Mailing Materials (CMS Logo Only)
 - Appendix C-3: Mailing Materials (CMS and Health Plan Logos)
 - Appendix C-4: Reminder/Thank-You Postcard

Sincerely,



Vanessa S. Duran, Director
Medicare Drug Benefit and C & D Data Group

Centers for Medicare & Medicaid Services

c/o Survey Processing
[Insert Survey Vendor
Return Address Here]

If you have questions about this survey, please contact the survey organization working with Medicare at [survey vendor phone number] or [survey vendor email].

Telephone Protocol

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

Telephone Attempts

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

Telephone Specifications

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



HOS-M FIDE SNP Protocol

Protocol Paths

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

Protocol Paths (Cont'd)

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

Proxy Respondents

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

Mail Protocol

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

Telephone Protocol

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

Telephone Protocol (Cont'd)

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

Telephone Specifications

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

Questions?



Break





Data Coding and Submission

NCQA

*Jacky Chon, BS
HOS Project Analyst*

Overview

- File Specifications Review
- File Layouts
- Data Coding Guidelines
 - Decision Rules
 - Disposition Codes
 - Percentage Answered
- Data Submission Process
 - Prepare and Submit Data Files
 - Interim and Final Data Submission

File Specifications Review

- Submit survey data in .txt file format
- Sample file data included in data submission files must match original sample file data
 - No changes or modifications permitted
- Two records
 - **Header Record:** Contract-level information
 - **Member-Level Record:** Member-level information
 - Sample File Layout
 - Survey File Record Layout

File Layouts

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

File Layout Changes

FIDE SNP and PACE Survey File Record Layout

- **NEW:** Survey Completion Date valid values
 - Updated valid values to align with 2024 survey administration dates

PACE Survey File Record Layout

- **NEW:** Updated field positions from 1499-1576 to 681-758 as PACE organization-provided data elements must not be included in the member-level data file

Decision Rules

- Refer to the HOS QAG for the decision rules guidelines
- Contact the HOS-M project team if a situation is not addressed by the decision rules

Disposition Codes

- Tracks survey status of each sampled member
- Only final disposition codes are reported in data files
- See **Table 6** (PACE) or **Table 5** (FIDE SNP) in QAG addenda for details

Disposition Codes (Cont'd)

Coding Complete Surveys

- A survey is considered complete if **all** six ADL items (Q4a-f) are answered.
 - Survey vendors code a record M10 if a mail survey has all ADL items answered
 - Survey vendors code a record as T10 if all ADL items are answered during a telephone interview or telephone recontact
 - All questions must be asked during the telephone recontact
- No further attempts are made to reach the member once a survey is received with all ADL items answered

Percentage Answered

- 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

- 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 Kiteworks to submit HOS-M data to the HOS-M Project Team
- NCQA will provide survey vendors a secure file upload link prior to the opening of the interim and final data submission periods

Prepare and Submit Data Files (Cont'd)

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

Interim Data Submission

- Allows opportunity to test the data submission process and correct errors prior to submitting final data files
- Interim data files are due **Thursday, October 3**
- All data received up to **three business days** prior to the Interim Data Submission due date (**Monday, September 30**) 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
- The 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 **Friday, November 15**
- Final data files will be cleaned and analyzed
 - Data collection issues identified during Final Data Submission may warrant Discrepancy Reports

Questions?





Quality Oversight and Project Reporting

NCQA

Alyssa Hart, MPH
HOS Task Lead


Overview

- HOS-M Oversight Activities
 - Before Survey Administration
 - During Survey Administration
 - After Survey Administration
 - Ongoing Activities
- Technical Support
- Kiteworks (formerly Accellion)

Before Survey Administration

| Oversight Activity | Due Date | Comments from NCQA | Finalize Materials |
|---|-------------------|--|--------------------------------|
| Mailing Material Review | Friday, June 7 | Friday, June 21 | Tuesday, July 2 |
| Electronic Telephone Interviewing Material Review | Thursday, June 20 | Wednesday, July 3 | Friday, July 12 |
| Survey Vendor QAP | Friday, June 28 | Survey Vendor Conference Call (Monday July 15 – Friday, July 26) | Within 5 Business Days of call |

Mailing Materials

- Review final print-ready HOS-M mailing materials
- Survey vendors should title their questionnaires with tracking numbers when submitting to NCQA for review
- Survey vendors must submit materials for review in the format in which they will be printed
-  **NEW:** Naming conventions:
 - Survey Vendor Name_Tracking # (CMS Logo).pdf
 - Survey Vendor Name_Tracking # (CMS and HP Logo).pdf
- **Due Friday, June 7**
 - Send electronic copies to hos@ncqa.org
 - Comment/approve by **Friday, June 21**
 - All materials must be final by **Tuesday, July 2**

Electronic Interviewing Materials

- Review proxy and non-proxy telephone interviewing screenshots and skip pattern logic
- **Due Thursday, June 20**
 - Two weeks after submitting mailing materials
 - Send electronic copies to hos@ncqa.org
 - Comment/approve by **Wednesday, July 3**
 - All materials must be final by **Friday, July 12**
- 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; Appendix G of the QAG Addendum)
 - Due **Friday, June 28**

During Survey Administration

| Oversight Activities | Dates (2024) |
|--|-----------------------------------|
| Survey Vendor Conference Calls | Monday, July 15 – Friday, July 26 |
| Seeded Mailings | July – September |
| Customer Support Reviews | July – August |
| Survey Vendor Progress Reports | July – November |
| Site Visits | October |
| Data Record Review | June – July |
| Electronic Telephone Interviewing Monitoring | September – October |
| Interim Data File Submission Deadline | Thursday, October 3 |

Survey Vendor Conference Calls

- Held **Monday, July 15 – Friday, July 26**
- 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 in *all* survey mailings that are sent to members (including prenotification letters)
 - **NEW**: Vendors should seed HOS Project Team members in both standard mailing materials and those formatted with the optional health plan logo
- 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
- Deadlines and report requirements in QAG
 - Recurring deliverables
 - Narrative Reports (Reports #2-8)
 - Summary Status Reports (Reports #3-9)
 - Telephone Attempt Reports (Reports #6-9)
 - Member Correspondence (Reports #2-10)

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 2024 SSR template provided prior to fielding

Biweekly Progress Reports

| Reporting Requirements | Due Date |
|---|--------------------|
| <p>REPORT #2</p> <p>Narrative Report:</p> <ul style="list-style-type: none">• Overview of Baseline and Follow-Up prenotification letter and first questionnaire printing, fulfillment, and mailing processes.• Verification of mail out dates of Baseline and Follow-Up prenotification letter and first questionnaire mailing (e.g., USPS generated report).• Status of staff training and SMS development.• Confirmation of customer support functionality and testing.• Outstanding issues or concerns. <p>Other Deliverable: Member correspondence (white mail), if applicable.</p> <p>NEW: Example report to health plans with response rates.</p> | Friday, July 26 |

Biweekly Progress Reports (Cont'd)

| Reporting Requirements | Due Date |
|---|----------------------|
| REPORT #3 Summary Status Report: Baseline and Follow-Up Cohorts. Narrative Report: <ul style="list-style-type: none">• Outstanding issues or concerns. Other Deliverable: Member correspondence (white mail), if applicable. | Friday, August 9 |
| REPORT #4 Summary Status Report: Baseline and Follow-Up Cohorts. Narrative Report: <ul style="list-style-type: none">• Overview of progress with protocol to date.• Detail problems or issues to date.• Outstanding issues or concerns. Other Deliverable: Member correspondence (white mail), if applicable. | Friday, August 23 |

Biweekly Progress Reports (Cont'd)

| Reporting Requirements | Due Date |
|--|---------------------------|
| <p>REPORT #5</p> <p>Summary Status Report: Baseline and Follow-Up Cohorts.</p> <p>Narrative Report:</p> <ul style="list-style-type: none">• Overview of Baseline and Follow-Up second questionnaire mailing.• Verification of mail out dates of Baseline and Follow-Up second questionnaire mailing (e.g., USPS generated report).• Overview of progress with protocol to date.• Detail problems or issues to date.• Provide high-level summary statistics on respondent calls to customer support line or email (summarize FAQ) and number of requests for Spanish (Chinese and Russian, if applicable) version of the instrument. Specify number of calls and/or emails requesting information regarding an internet version of the survey.• Describe telephone protocol and training.• Outstanding issues or concerns. <p>Other Deliverable: Member correspondence (white mail), if applicable.</p> | Friday, September 6 |

Biweekly Progress Reports (Cont'd)

| Reporting Requirements | Due Date |
|--|----------------------------|
| <p>REPORT #6</p> <p>Summary Status Report:</p> <ul style="list-style-type: none">• Baseline and Follow-Up Cohorts.• Telephone attempt progress to date. <p>Narrative Report:</p> <ul style="list-style-type: none">• Overview of progress with protocol to date.• Detail problems or issues to date.• Describe process of converting partially completed surveys to complete, and progress.• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation. <p>Other Deliverable: Member correspondence (white mail), if applicable.</p> | Friday, September 20 |

Biweekly Progress Reports (Cont'd)

| Reporting Requirements | Due Date |
|---|----------------------|
| <p>REPORT #7</p> <p>Summary Status Report:</p> <ul style="list-style-type: none">• Baseline and Follow-Up Cohorts.• Telephone attempt progress to date. <p>Narrative Report:</p> <ul style="list-style-type: none">• Outstanding issues or concerns.• Detail problems or issues to date.• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation.• Report on experience with submitting interim data files. <p>Other Deliverable:</p> <ul style="list-style-type: none">• Member correspondence (white mail), if applicable.• Submit a sample of the interim/progress report that is provided to HOS-M clients. | Friday, October 4 |

Biweekly Progress Reports (Cont'd)

| Reporting Requirements | Due Date |
|--|--------------------------|
| <p>REPORT #8</p> <p>Summary Status Report:</p> <ul style="list-style-type: none">• Baseline and Follow-Up Cohorts.• Telephone attempt progress to date. <p>Narrative Report:</p> <ul style="list-style-type: none">• Overview of progress with protocol to date.• Detail problems or issues to date.• Report on progress of Baseline and Follow-Up electronic telephone interviewing implementation. <p>Other Deliverable: Member correspondence (white mail), if applicable.</p> | Friday, October 18 |
| <p>REPORT #9</p> <p>Summary Status Report</p> <ul style="list-style-type: none">• Baseline and Follow-Up Cohorts.• Telephone attempt progress to date. <p>Other Deliverable: Member correspondence (white mail), if applicable.</p> | Friday, November 1 |

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
- **NEW:** To facilitate follow up, survey vendors should include contact information with each piece of submitted white mail
- Forward any member correspondence that appears to be directed at CMS or the government
- Not required to forward white mail that indicates a member is ineligible (e.g., deceased, institutionalized, wrong address, language barrier)
- Not required to forward marginal comments written on the survey


Telephone Interviewer Monitoring

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

Site Visits

- Evaluate survey vendor's compliance with the QAG
 - 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 in person or remotely
 - Survey vendors share and present all required systems, processes, and documentation

Data Record Review

-  **NEW:** Conducted June – July
- 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
- Reviews conducted remotely

After Survey Administration

| Oversight Activities | Dates (2024) |
|--------------------------------|---------------------|
| Survey Vendor Final Report | Friday, November 15 |
| Report of HOS-M Records Stored | Monday, 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 2025 HOS-M Administration

Ongoing Activities

- Discrepancy Reports & Corrective Action Plan
- Technical Support

Discrepancy Report & Corrective Action Plan

- Appendix G of HOS 2024 QAG
- Complete and submit Discrepancy Report within **one business day** of discovering the discrepancy
 - Submit updated report as soon as possible but not later than **one week** after submitting the initial report
- 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 | |
|--|---|---|----------------------|
| Name: | | Organization: | |
| Title: | | Address: | |
| Email: | | Telephone: | |
| Report Submission Date: <input type="text" value="MM/DD/YY"/> | | | |
| 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: | <input type="text"/> |
| 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 | <input type="text"/> | <input type="text"/> | |
| How Was Estimation of Affected Surveys Reached? | | | |
| | | | |

NCQA's Secure Site Kiteworks (formerly Accellion)

- NCQA uses a Kiteworks account system
 - All new users must register with the system
- All materials and documents sent are via Kiteworks
- Sample files will be sent via Kiteworks
- Survey vendors use Kiteworks to securely send member correspondence and other deliverables
- Kiteworks address: <https://accellion.ncqa.org>

NCQA's Secure Site Kiteworks (Cont'd)

- NCQA provides a Kiteworks 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://acellion.ncqa.org>

Other Resources

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

Questions?





Questions and Closing

NCQA

Ruth Boansi, MPH, PMP
HOS Project Director

Post-Training Evaluation

- Following training, survey vendors will receive an email with a link to an online training evaluation
- Intent is to collect feedback to improve future training sessions
- Designate one person from your organization to complete
- Required to obtain final approval
- Evaluation is due **Monday, May 6**



Post-Training Test

Post-Training Test Instructions

- Only **one** person from each survey vendor may complete the test
- The test will be administered immediately after training
- Survey vendors have 20 minutes to complete the test
- Survey vendors must complete to obtain final approval