

CAHPS® Survey for Accountable Care Organizations (ACOs) and Physician Quality Reporting System (PQRS) Survey Vendor Training

July 2016



Welcome!

- Three Training Sessions
 1. CAHPS for ACOs and PQRS Survey Training (Required for conditionally approved ACO and PQRS survey vendors)
 2. CAHPS for ACOs Survey Training, 7/13/2016 3:00 PM to 4:30 PM EST (Required for all conditionally approved ACO survey vendors)
 3. CAHPS for PQRS Survey Training, 7/14/2016 12:30 PM to 2:00 PM EST (Required for all conditionally approved PQRS survey vendors)

Welcome! *(cont'd)*

In today's CAHPS for ACOs and PQRS Survey training session, we will:

- Review Key Concepts and Protocols
- Provide Updates on the 2016 Survey Administration
- Review the 2016 Data Collection Schedule
- Administer the Post Training Quiz

Post Training Quiz

- Each survey vendor must complete and pass a Post Training Quiz in order to be approved to administer the 2016 CAHPS for ACOs and PQRS Surveys
- Quiz must be completed online immediately following the training session
- One Quiz Form for this session will be accepted per survey vendor
- We will notify survey vendors of their Post Training Quiz results by 7/20/2016

Program Requirements



Objectives

- Communicating with Beneficiaries
- Roles and Responsibilities
- Minimum Survey Vendor Business Requirements
- Technical Assistance and Communication

Communicating with Beneficiaries

- ACOs and group practices may notify beneficiaries that they may be asked to participate in the CAHPS for ACOs or PQRS Survey
 - Must notify all beneficiaries
- ACOs, group practices and survey vendors are strongly encouraged to avoid:
 - Asking any survey questions of Medicare fee-for-service (FFS) beneficiaries 4 weeks prior to, during, or after survey administration

Communicating with Beneficiaries (*cont'd*)

- ACOs, group practices and survey vendors must not:
 - Attempt to influence or encourage beneficiaries to answer survey questions in a particular way
 - Imply that the ACO, group practice, its personnel, or agents will be rewarded or gain benefits for positive feedback
 - Offer incentives of any kind
 - Show or provide the CAHPS for ACOs or CAHPS for PQRS Survey materials to beneficiaries prior to the administration of the survey
 - Indicate that the goal is for all beneficiaries to provide a rating of “10,” “Yes” or “Always”

Roles and Responsibilities

- CMS provides:
 - Survey administration protocols and timeline
 - Quality Assurance Guidelines (QAG)
 - CAHPS for ACOs QAG V4
 - CAHPS for PQRS QAG V2
 - Training of survey vendors
 - Technical assistance
 - Tools, format and procedures for submitting the collected data
 - Analyses of data and official reports
 - Reports and Excel files detailing survey scores

Roles and Responsibilities (*cont'd*)

- ACOs and group practices will:
 - Contract with a CMS-approved survey vendor
 - Authorize the survey vendor to collect and submit data on their behalf
 - Authorize survey vendor no later than 9/20/2016

Roles and Responsibilities (*cont'd*)

- Survey vendors will:
 - Review and acknowledge agreement with the rules of participation
 - Participate in:
 - Required CAHPS for ACOs and PQRS Survey Webinar Training Sessions
 - Successfully complete quizzes measuring comprehension of protocols
 - Any CAHPS for ACOs and PQRS Survey update training sessions, as scheduled
 - Follow CAHPS for ACOs and PQRS Survey administration requirements
 - Complete and submit the Vendor Access to Data Warehouse Form by 9/9/2016
 - One form for each program

Roles and Responsibilities (*cont'd*)

- Survey vendors will:
 - Assure the accuracy of their data collection processes
 - Implement security procedures aligned with HIPAA and CMS Privacy Requirements
 - Submit English mail materials by 8/15/2016
 - Develop a Quality Assurance Plan (QAP) and submit by 9/19/2016
 - Submit English CATI screenshots by 10/17/2016
 - Participate in oversight activities

Roles and Responsibilities (*cont'd*)

- Survey vendors will:
 - Execute a Data Use Agreement (DUA) with CMS by 9/28/16
 - One DUA for each program
 - DUA restricts use of sample and survey data
 - Data that are appended by merging sample data or survey data and ACO or group practice administrative data for reporting to clients must be approved in advance
 - Email the CAHPS for ACO (acocahps@hcqis.org) or the CAHPS for PQRS (pqrscahps@hcqis.org) survey project teams to get approval
 - Verify the ACO or group practice has authorized you as their survey vendor
 - Receive and perform checks of each program sample file (ACO or PQRS)

Roles and Responsibilities (*cont'd*)

- Survey vendors will:
 - Administer the survey
 - According to protocols and procedures established by CMS
 - Following the required data collection schedule
 - Oversee the quality of work of staff and subcontractors
 - Submit interim and final data on behalf of ACO and/or group practice clients
 - Review data submission reports

Minimum Survey Vendor Business Requirements

- Organizations (vendor and subcontractors) must currently possess all required facilities and systems to implement the survey
- Subcontractors will be subject to the same requirements as the vendor
- Subcontractors with key roles in the survey administration are required to attend all training sessions
- If approved, organizations must maintain a minimum of one active client contract for at least one of two consecutive survey cycles
- Vendors must notify CMS if there are changes in key personnel

Minimum Survey Vendor Business Requirements *(cont'd)*

- Possess relevant business experience
- Demonstrate survey capability and capacity
- Participate in required training sessions
- Adhere to all protocols and specifications
- Participate in oversight activities

Technical Assistance and Communication

- For additional information and technical assistance:
 - CAHPS for ACOs
 - Email: acocahps@hcqis.org
 - Phone (toll free): 1-855-472-4746
 - CAHPS for PQRS
 - Email: pqrscahps@hcqis.org
 - Phone (toll free): 1-844-472-4294

Technical Assistance and Communication *(cont'd)*

- For data warehouse or data submission issues:
 - CAHPS for ACOs
 - Email: aco-datasupport@rand.org
 - CAHPS for PQRS
 - Email: pqrs-datasupport@rand.org
- To learn more about the surveys and to see important announcements, visit:
 - CAHPS for ACOs
 - Website: acocahps.cms.gov
 - CAHPS for PQRS
 - Website: www.pqrscahps.org

Data Collection Protocol



Objectives

- Overview
- 2016 Data Collection Schedule
- Mail Protocol
- Phone Protocol
- Languages

Overview

- Data collection procedures are the same for the ACO and PQRS surveys
- Mixed-mode survey administration
- No supplemental questions permitted
- Proxy respondents are permitted
 - Sampled beneficiaries who are unable to respond to the phone interview
 - Permission must be received from the beneficiary

Overview (cont'd)

- Survey vendors must be prepared to administer questionnaires in English and one or more of the following languages:

ACO/PQRS		ACO only
Cantonese Korean Mandarin	Russian Spanish Vietnamese	Portuguese

- May include an insert with the pre-notification letter and first survey mailing that includes a number to call to request a translation of the survey
 - In place of an individual insert, a language specific note may be placed at the bottom of the survey cover letters providing beneficiaries with instructions for requesting a survey in that language

2016 Data Collection Schedule

Task	Date
Vendors <u>must</u> submit English mail survey materials	8/15/2016
Vendors <u>must</u> complete and email the Vendor Access to Data Warehouse Form(s) (to aco-datasupport@rand.org for ACO or pqrs-datasupport@rand.org for PQRS)	9/9/2016
Vendors <u>must</u> submit QAP	9/19/2016
ACO or group practice <u>must</u> complete the web-based survey vendor authorization process for 2016 survey administration	9/20/2016
Vendors <u>must</u> provide confirmation that a new or updated DUA has been executed with CMS	9/28/2016

2016 Data Collection Schedule (cont'd)

Task	Date
Vendors provide toll-free customer support phone numbers	10/5/2016
Vendors <u>must</u> submit English CATI screenshots	10/17/2016
Sample files become available to vendors	10/25/2016
Mail-out pre-notification letter	11/9/2016 – 11/10/2016
Open customer support toll-free line	11/10/2016
Mail-out first survey	11/16/2016 – 11/18/2016

2016 Data Collection Schedule (cont'd)

Task	Date
Mail-out second survey	12/12/2016 – 12/13/2016
Initiate CATI follow-up (1 st attempt must occur during this time)	1/4/2017 – 1/11/2017
Submit interim data	1/10/2017 – 1/12/2017
Conduct additional CATI follow-up	1/12/2017 – 2/1/2017
Complete the phone follow-up sequence	2/1/2017
Cutoff date for returned mail surveys	2/1/2017
Customer support toll-free line closed	2/1/2017
Submit final data to CMS	2/7/2017 – 2/9/2017

Mail Protocol

- Pre-notification letter
- Two mailings that include
 - Survey cover letter
 - Survey
- Data receipt and processing
- Quality control guidelines

Mail Protocol (*cont'd*)

- Pre-notification letter
 - Full name and address on envelopes
 - Contains the salutation “Dear Medicare Beneficiary”
 - Is dated November 10, 2016
 - Include survey vendor’s customer service phone number
 - Provided to CMS in advance
 - CMS logo in the return address section
 - Envelope marked “Return Service Requested” or “Address Service Requested” or “Change Service Requested”
 - Font equal to or larger than
 - Times New Roman 11 point
 - Arial 11 point

Mail Protocol (*cont'd*)

- Survey cover letters
 - Are dated:
 - November 18, 2016 (1st survey mailing)
 - December 13, 2016 (2nd survey mailing)
 - Printed on a separate sheet of paper not attached to survey
 - Salutation must be personalized with beneficiary name
 - Signature of senior employee of survey vendor
 - Survey vendor logo and return address
 - Font size equal to or larger than
 - Times New Roman 11 point
 - Arial 11 point

Mail Protocol (*cont'd*)

- Mail survey
 - Full survey title must be placed at the top of page 1
 - Medicare Provider Experience Survey
 - Name of clinician provided in sample file printed in Question 1
 - Question and answer category wording must not be changed
 - No changes in the order of the questions or answer categories
 - “About you” questions must be included
 - All instructions written at top of page 1
 - Return address for mail processing placed on bottom of the last page
 - Print survey as booklet in black and white
 - May include a highlight color

Mail Protocol (*cont'd*)

- Mail survey

- A form tracking ID linked to the Unique Respondent Finder Number must be printed on each survey
 - Best practice - form tracking ID linked to the Unique Respondent Finder Number printed on each page
 - The ID may be printed on the first and/or last page
 - An internal tracking barcode next to the tracking ID on the survey and other materials is acceptable
- For ACO, may include a code to indicate survey version (ACO-9 or ACO-12)
- Font size equal to or larger than Arial 11 point
- Optional Formatting
 - Two column format
 - Wide margins
 - Boxes or ovals are acceptable for response categories

Mail Protocol (*cont'd*)

- Mail packet
 - Envelope must be printed with:
 - Survey vendor's logo
 - May add CMS logo
 - Survey vendor's return address
 - Use of window envelope is permissible
 - Include a prepaid business reply envelope addressed to the same address listed on the last page of the survey

Mail Protocol (*cont'd*)

- Data receipt and processing
 - Track by date of receipt
 - Key-entry or scanning technology
 - If beneficiary returns more than one completed survey, use the first completed survey received
 - Store returned paper surveys or scanned images of paper surveys
 - Secure and environmentally controlled location
 - 3 years
 - Ambiguous responses
 - Decision rules

Mail Protocol (cont'd)

- Decision rules for data capture
 - If a mark falls between two choices and is obviously closer to one choice than another, select the choice to which the mark is closest

Example 1 (Mail)

- Never
- Sometimes
- Usually
- Always

Code as:
“Sometimes”

Mail Protocol (*cont'd*)

- Decision rules for data capture
 - If a mark falls equidistant between two choices, code the value of the item as “M – Missing”
 - Do not impute

Example 2 (Mail)

- Never
- X
- Sometimes
- Usually
- Always



Code as:
“M – Missing”

Mail Protocol (*cont'd*)

- Decision rules for data capture

- If a value is missing, code it as

- “M – Missing”

- Do not impute

- Note:** Dependent questions appropriately skipped should be coded as “88 – Not Applicable”

Example 3 (Mail)

Never

Sometimes

Usually

Always



Code as:

“M – Missing”

Mail Protocol (cont'd)

- Decision rules for data capture
 - When more than one response choice is marked, code the value as “M – Missing”
 - Do not impute
- Exception:** Several questions that have instructions to “mark one or more” may have multiple responses

Example 4 (Mail)

- Never
- Sometimes
- Usually
- Always



Code as:
“M – Missing”

Mail Protocol (cont'd)

- Decision rules for data capture
 - When more than one response choice is marked and the beneficiary's intent is obvious, select the obvious response option

Example 5 (Mail)

Never ←

Sometimes

Usually

Always

Code as:
"Never"

Mail Protocol (*cont'd*)

- The quality control guidelines contained in the QAG require:
 - Performing address validation and updates
 - Conducting interval checking of printed mail pieces
 - Conducting seeded mailings
- Vendors are encouraged to perform additional quality control checks

Phone Protocol

- Phone interviews must not be conducted via inbound calls until after the phone component of survey administration begins
- CATI:
 - Program with official phone script
 - Program skip pattern questions appropriately
 - Link electronically to survey management system
 - Automated dialing may be used
 - Interviewer records respondent answers electronically
- For ACOs, the same survey version (ACO-9 or ACO-12) used for mail must be used for phone interviews

Phone Protocol (*cont'd*)

- Eligible beneficiaries
 - Did not respond to mail surveys
 - Returned a blank or incomplete mail survey that does not fulfill the rules defining a completed or partially completed survey
 - No valid address available after reasonable attempts to obtain one

Phone Protocol (*cont'd*)

- Where possible, CMS will provide phone numbers for beneficiaries as part of the sample file
- In addition, vendors must attempt to obtain phone numbers for beneficiaries using one of the following:
 - Directly from the ACO or group practice
 - Via a file that contains all beneficiaries
 - Sample must not be shared with the ACO or group practice
 - Share no information with the ACO or group practice that might identify a beneficiary
 - Commercial software
 - Internet directories
 - Directory assistance
 - Other tested methods

Phone Protocol (*cont'd*)

- Survey vendors must attempt to reach every beneficiary identified for phone follow-up until the beneficiary is contacted, found ineligible or six attempts have been made
 - No further attempts are to be made after attempting to reach the beneficiary by phone six times
- If additional phone numbers are dialed, each number may receive up to six attempts
- An attempt is defined as:
 - Phone rings six times with no answer
 - Beneficiary requests call back
 - Phone answered by someone other than beneficiary who is unavailable
 - Busy signal for each of three consecutive attempts (made approximately at 20 minute intervals, if possible)
 - Answering machine/privacy manager reached
 - Disconnect/out of service

Phone Protocol (*cont'd*)

- Phone scripts
 - Standardized phone scripts provided by CMS
 - Text must not be modified
 - Scripts must be read verbatim
 - All questions and response choices must be read exactly as they appear in the CMS provided CATI scripts
 - Text that is underlined, bolded, highlighted, in uppercase lettering, or italicized must be emphasized

Phone Protocol (*cont'd*)

- Phone interviewer training:
 - Phone scripts and CATI programs
 - Guidelines for reaching beneficiaries
 - Survey introduction
 - Identification of possible ineligible beneficiaries
 - Definition of phone attempts
 - Interviewing guidelines and conventions
 - System conventions, e.g. CATI screens, interim disposition codes
 - Avoiding refusals
 - Probing for complete answers
- Customer support FAQs

Phone Protocol (*cont'd*)

- Monitoring and oversight
 - 10% of all interviews through silent monitoring
 - Attempts and completed interviews
 - All interviewers
 - All times of day
 - Different days of the week
 - Interviewers who consistently fail to follow the phone script verbatim, fail to employ proper probes, fail to remain neutral and courteous, are difficult to understand, or have difficulty using the computer, must be identified and retrained or replaced, if necessary
- Monitor subcontractors, if applicable

Languages

- Surveys will be administered in English and additional languages from the list below

ACO/PQRS		ACO only
Cantonese Korean Mandarin	Russian Spanish Vietnamese	Portuguese

- ACOs and group practices in Puerto Rico must administer the survey in Spanish and offer English if requested
- Vendors must be prepared to conduct phone surveys in the same language offered for the mail survey
- Use of optional languages is at the request of the ACO or group practice

Languages (cont'd)

- Four options for implementing data collection in a language other than English
 1. ACO or group practice may provide language preference for the entire FFS Medicare population to survey vendor to support language-specific survey mailings
 2. Dual language survey mailings
 3. Include an insert that contains instructions for the beneficiary to request a survey in the optional language
 4. A language specific note may be placed at the bottom of the survey cover letters providing beneficiaries with instructions for requesting a survey in that language
 - This option can be exercised if only one non-English survey language is being offered by the client

Data Specifications and Coding



Objectives

- File Encryption
- File Specifications
- Decision Rules and Coding Guidelines
 - Mail Surveys
- Survey Disposition Codes
- Determining if a Survey is Complete

File Encryption

- Data files must be encrypted prior to data submission
 - Survey vendors required to use PGP
 - Use Public Key encryption
- Data files submitted by survey vendors that are not encrypted will be rejected and must be resubmitted

File Specifications

- Survey vendors must use flat ASCII file format to submit survey data files
- Survey vendors will submit one file for each program
- Each file must contain one record for each sampled beneficiary in the CMS sample provided
- No substitutions for valid data elements are acceptable
- Each record will consist of two parts:
 - Survey Status Section (found in Appendix I)
 - Beneficiary Survey Data Section

Part 1: Survey Status Section

- Survey File Record Layout - Survey Status Section:

RAND Field Name	Field Contents	Field Length	Valid Codes	Coding Notes
FINDER	Unique beneficiary finder number assigned by CAHPS for ACOs or PQRS Survey data coordination team	8	Numeric	From sample file
ACO_ID PQRSGROUP_ID	For ACO, five character ACO identifier: begins with a letter (A, P, or V), followed by 3 or 4 numbers For PQRS, five character group practice identifier: begins with the letter G, followed by 4 numbers	5	[A]nnnn [P,V]nnn ACO [G]nnnn PQRS	From sample file
DISPOSITN	Final disposition code	2	10, 31, 11, 20, 22, 24, 32, 33, 34, 35, 40	10 = Completed survey 31 = Partially completed survey 11 = Institutionalized 20 = Deceased 22 = Language barrier 24 = Mentally or physically unable to respond 32 = Refusal 33 = Non-response when there is no indication of bad address and telephone number 34 = Blank survey or Incomplete survey returned 35 = Bad address and bad telephone number 40 = Excluded from survey

Part 1: Survey Status Section (cont'd)

- Survey File Record Layout - Survey Status Section (cont'd):

RAND Field Name	Field Contents	Field Length	Valid Codes	Coding Notes
MODE	Survey completion mode	1	1-3, 8	1 = Mail; 2 = Inbound CATI; 3 = Outbound CATI; 8 = Not applicable
DISPO_LANG	Survey language	1	ACO 1-9 PQRS 1-8	Language survey was completed in or attempted to be administered: 1 = English; 2 = Spanish; 3 = Cantonese; 4 = Korean; 5 = Mandarin; 6 = Russian; 7 = Vietnamese; 8 = Not applicable; 9 = Portuguese (ACO only)
RECEIVED	Date survey was received or completed: YYYYMMDD	8	yyyymmdd	Date survey was received: YYYYMMDD, 88888888 = Not applicable
FOCALTYPE	Provider type: 1= Primary care; 2 = Specialist	1	Numeric	From sample file
PRTITLE	Type of provider (physician, physician assistant, nurse practitioner, certified nurse midwife, certified clinical nurse specialist)	35	Text	From sample file
PRFNAME	Provider first name	30	Text	From sample file
PRLNAME	Provider last name	50	Text	From sample file
VERSION (ACO only)	Which version of the survey was administered: 09 = ACO-9; 12 = ACO-12	2	Char	Version: 09 = ACO-9; 12 = ACO-12; 88 = beneficiary excluded from sample. To be provided by vendor to indicate which version of the survey, ACO-9 or ACO-12, was fielded for the beneficiary.
LANG_PROT	For survey administered in languages other than English, report the methods used to deliver a mail survey to the beneficiary	2	Numeric	1 = Dual language mailings; 2 = Instructions on letter or insert; 3 = Language specific mailings; 8 = Not applicable

Survey Status Field Requirements

- Each field in the Survey Status Section requires an entry for a valid submission
- Use code “8 – Not Applicable” if appropriate
 - Survey language for a blank mail survey
 - Survey completion mode for a mail survey that was not returned AND no phone number was obtained
 - Survey language protocol when the survey was only administered in English

Part 2: Beneficiary Survey Data Section

- Beneficiary Survey Data Section
 - Contains survey responses from every beneficiary who has a final disposition of “Completed” (10), “Partially completed” (31) or “Blank or Incomplete survey returned” (34)
 - Leave survey data section blank for all other dispositions

Part 2: Beneficiary Survey Data Section (*cont'd*)

- Beneficiary Survey Data Section (*cont'd*)
 - For survey records included, all response fields must have a valid value
 - Valid values can include:
 - 88 - Not Applicable
 - 98 - Don't Know
 - 99 - Refused
 - M - Missing

Decision Rules and Coding Guidelines – Mail Surveys

- Enter all survey responses provided by the beneficiary for each survey item
- Except for questions where a respondent can select more than one response option, *such as the race or proxy question (if applicable)*, when more than one response option is marked, code as “M – Missing”

Decision Rules and Coding Guidelines – Mail Surveys (*cont'd*)

- Decision rules for screener and dependent questions
 - Some items can and should be skipped by certain beneficiaries
 - Dependent questions that are appropriately skipped should be coded as “88 – Not Applicable”
 - Screener questions that are left blank should be coded as “M – Missing”

Decision Rules and Coding Guidelines – Mail Surveys (*cont'd*)

- Decision rules for screener and dependent questions
 - If respondent made an error in the skip pattern, survey vendors must not “clean” or correct skip pattern errors
 - Enter the value provided by beneficiary
 - Do not impute a response based on beneficiary’s answers to dependent questions
- An error in the skip pattern will occur if a respondent left a screener question missing and then skipped subsequent dependent questions

Survey Disposition Codes

- Survey disposition codes are used to track and report whether a beneficiary has completed a survey or requires follow-up
- Certain disposition codes rely on counts of Applicable to All (ATA) and/or Summary Survey Measures (SSMs)
- Survey vendors are required to assign and maintain up-to-date survey disposition codes for each beneficiary in the sample

Survey Disposition Codes *(cont'd)*

- Vendor's interim disposition codes are for internal purposes only and should not be reported
- Only final disposition codes are reported
- Submitted data files must contain a final disposition code for each beneficiary in the file

Survey Disposition Codes (cont'd)

Final Disposition	Code	Description	Criteria
Completed survey	10	ACO: A completed survey includes a response to at least one question in the 9 SSMs and $\geq 50\%$ of the ATA items PQRS: A completed survey includes a response to at least one question in the 12 SSMs and $\geq 50\%$ of the ATA items	A completed survey includes a response for at least one question from the 9 SSMs (ACO) or 12 SSMs (PQRS) and 50% or more of the ATA items. Appropriately skipped questions don't count as a response. There <u>must</u> be no evidence that the beneficiary is ineligible.
Partially completed survey	31	ACO: A partially completed survey includes a response to at least one question from the 9 SSMs and $< 50\%$ of the ATA items PQRS: A partially completed survey includes a response to at least one question from the 12 SSMs and $< 50\%$ of the ATA items	A partially completed survey includes a response to at least one question from the 9 SSMs (ACO) or 12 SSMs (PQRS) and fewer than 50% of the ATA items. Appropriately skipped questions don't count as a response. There <u>must</u> be no evidence that the beneficiary is ineligible.
Institutionalized	11	Institutionalized	Institutionalized or residing in a group home or institution (hospice, nursing home, etc.)
Deceased	20	Deceased	Deceased at the time of survey administration
Language barrier	22	Unable to complete the survey in English and any offered optional language	Unable to complete the survey in English and any offered optional language

Survey Disposition Codes (cont'd)

Final Disposition	Code	Description	Criteria
Mentally or physically unable to respond	24	Mentally or physically unable to respond to either mail or phone portion of the survey	Mentally or physically unable to respond either to mail or phone portion of the survey
Refusal	32	Refused to complete the survey	Refused to complete the survey
Non-response	33	No response collected	No response collected either by mail or by phone when there is no indication of bad address and bad phone number
Blank or Incomplete survey returned	34	ACO: Responded by mail or initiated CATI interview, no answers to any question from the 9 SSMs PQRS: Responded by mail or initiated CATI interview, no answers to any question from the 12 SSMs	Responded by mail or CATI, with no answers to any question from the 9 SSMs (ACO) or 12 SSMs (PQRS). There <u>must</u> be no evidence that the beneficiary is ineligible.
Bad address and bad phone number	35	Unable to obtain a viable address and phone number for the beneficiary	Unable to obtain a viable address and phone number
Excluded from survey	40	Was excluded from all survey processes	Beneficiary was determined to be ineligible after sample selection <u>but before data collection was initiated</u> (see sampling section of manual)

Survey Data Section Required

- Following codes require submission of the survey data section:
 - Completed survey (Code 10)
 - Partially completed survey (Code 31)
 - Blank or Incomplete survey returned (Code 34)
- Code missing answers as “M – Missing” or “88 – Not Applicable”
 - All survey questions must have a valid code

Survey Data Section Required (*cont'd*)

- Completed survey (Code 10):
 - A response to at least one question from the 9 SSMs (ACO) or 12 SSMs (PQRS)
 - A response to at least 50% of the ATA items
 - Questions answered in violation of a skip pattern do not count as a response

Survey Data Section Required (*cont'd*)

- Partially completed survey (Code 31):
 - A response to at least one question from the 9 SSMs (ACO) or 12 SSMs (PQRS)
 - A response to fewer than 50% of the ATA items
 - Questions answered in violation of a skip pattern do not count as a response

Survey Data Section Required (*cont'd*)

- Blank or Incomplete survey returned (Code 34):
 - No responses to any question from the 9 SSMs (ACO) or 12 SSMs (PQRS)
 - Questions answered in violation of a skip pattern do not count as a response

Determining if a Survey is Complete

- A screener question left blank does not trigger a skip, so subsequent responses to dependent questions should be included in count of answered survey items
- When a screener question is answered, dependent questions answered in violation of skip patterns are not counted as answered items to determine a complete or partially complete survey

Determining if a Survey is Complete (cont'd)

Example 1 – Completed Survey

Scenario: An ACO-12 mail survey is returned or a CATI interview is conducted

Questions answered by beneficiary: 19 total

Q1, Q4, Q15, Q44, Q52, Q55, Q56, Q59, Q61, Q64, Q65, Q66, Q67, Q68, Q70, Q71, Q76, Q78a, Q79

Note: The remaining questions were left blank or were coded as “M – Missing,” “98 – Don’t Know,” “99 – Refused,” or “88 – Not Applicable”

Determine if question(s) within required SSMs have response:

- Beneficiary answered the following question(s) within an SSM: Q15, Q55, Q56
- Is at least one question within a required SSM answered?
 - Yes

Note: ACO has 9 required SSMs

Calculate percentage of ATA items answered:

- Beneficiary answered these ATA items: Q1, Q4, Q44, Q52, Q55, Q56, Q59, Q61, Q64, Q65, Q66, Q67, Q68, Q70, Q71, Q76, Q78a, Q79
- ATA item(s) answered by beneficiary = 18
- ACO-12 ATA items available = 29 total
- Percentage ATA Complete = $(18/29) \times 100 = 62\%$

Assign final disposition:

- Final disposition is code 10 – completed survey
- Beneficiary answered at least one question from a required SSM and answered $\geq 50\%$ of the ATA items

Determining if a Survey is Complete (cont'd)

Example 2 – Partially Completed Survey

Scenario: An ACO-9 mail survey is returned or a CATI interview is conducted

Questions answered by beneficiary: 16 total

Q1, Q4, Q6, Q36, Q44, Q50, Q52, Q55, Q56, Q57, Q58, Q59, Q61, Q62, Q69a, Q69c

Note: The remaining questions were left blank or were coded as “M – Missing,” “98 – Don’t Know,” “99 – Refused,” or “88 – Not Applicable”

Determine if question(s) within required SSMs have response:

- Beneficiary answered the following question(s) within an SSM: Q6
- Is at least one question within a required SSM answered?
 - Yes

Note: ACO has 9 required SSMs, PQRS has 12 required SSMs

Calculate percentage of ATA items answered:

- Beneficiary answered these ATA items: Q1, Q4, Q36, Q44, Q50, Q52, Q55, Q56, Q57, Q58, Q59, Q61, Q62, Q69a, Q69c
- ATA item(s) answered by beneficiary = 14*
- ACO-9 ATA items available = 29 total
- Percentage ATA Complete = $(14/29) \times 100 = 48\%$

*** Note:** The race questions (Q69a-69e4 for ACO-9, Q78a-78e4 for ACO-12 and PQRS) count as one ATA item no matter how many racial categories are answered “Yes.” In this example, the beneficiary has only answered a total of 14 ATA items because Q69a and Q69c are racial categories.

Assign final disposition:

- Final disposition is code 31– partially completed survey
- Beneficiary answered at least one question from a required SSM and answered < 50% of the ATA items

Determining if a Survey is Complete (*cont'd*)

Example 3 – Blank or Incomplete Survey

Scenario: A PQRS mail survey is returned or a CATI interview is conducted

Questions answered by beneficiary: 16 total

Q1, Q4, Q44, Q52, Q59, Q61, Q64, Q65, Q66, Q67, Q68, Q70, Q71, Q76, Q78, Q79

Note: The remaining questions were left blank or were coded as “M – Missing,” “98 – Don’t Know,” “99 – Refused,” or “88 – Not Applicable”

Determine if question(s) within required SSMs have response:

- Beneficiary answered the following question(s) within an SSM: None
- Is at least one question within a required SSM answered?
 - No

Note: PQRS has 12 required SSMs

Calculate percentage of ATA items answered:

- Beneficiary answered these ATA items: Q1, Q4, Q44, Q52, Q59, Q61, Q64, Q65, Q66, Q67, Q68, Q70, Q71, Q76, Q78, Q79
- ATA item(s) answered by beneficiary = 16
- PQRS ATA items available = 29 total
- Percentage ATA Complete = $(16/29) \times 100 = 55\%$

Assign final disposition:

- Final disposition is code 34– blank or incomplete survey
- Beneficiary answered no questions from a required SSM and answered $\geq 50\%$ of the ATA items

Survey Data Section Not Required

- Final survey disposition codes that do not require submission of survey data section

DISPOSITION	CODE
Non-response: No response collected	33
Bad address and bad phone number: Unable to obtain a viable address and phone number	35
Excluded from survey: Beneficiary excluded from survey processes	40
Institutionalized	11
Deceased	20
Language Barrier: Unable to complete survey in English and any offered translation	22
Mentally or physically unable to respond	24
Refusal: Refused to complete survey	32

Data Preparation and Submission



Objectives

- Data Warehouse Access
- Data Submission Processes
- Data Submission Deadlines
- Data File Submission
- File Encryption
- Overview of Data Warehouse
- Guide to Data Submission Process
- Data Auditing and Validation Checks
- Data Submission Notification

Data Warehouse Access

- Survey vendors must:
 - Submit a Vendor Access to Data Warehouse Form (Appendix C) by 9/9/2016
 - If participating in both programs, vendors must submit one form for ACO and one form for PQRS
 - Designate a Data Administrator, Back-up Data Administrator and a Project Manager

Data Submission Processes

- Each program (ACO and PQRS) has a secure data warehouse hosted by the RAND Corporation
 - Operates as a web-based secure file transfer system that survey vendors will use to obtain sample files and submit survey data files
 - Does not require special software or licensing fees for survey vendors with the exception of PGP

Data Submission Deadlines

- A fully conforming interim survey data file must be submitted by survey vendors no later than 1/12/2017 at 11:59 p.m. Eastern Time
 - Survey vendors must submit files early to allow them enough time to resubmit if they have to and still meet the deadline
 - If vendors submit more than once, files must include all records in the re-submission
- A fully conforming final survey data file must be submitted by survey vendors by 2/9/2017 at 11:59 p.m. Eastern Time
- It is the responsibility of the survey vendor to ensure that data are submitted on time

Data File Submission

- Survey vendors must use the following file naming convention:
 - Vendor name = Abbreviated vendor name. This must match the name portion of the Data Warehouse folder name.
 - ACO/PQRS = Capital letters, as shown, to make it easier to distinguish sample files from separate CMS surveys
 - mm = number of month of submission (justify leading zero)
 - dd = day of the month of submission (justify leading zero)
 - yy = 2 digit year of submission
 - N = number of the submission sent that day
 - ACO Example: XYZResearch.ACO.020717.1.txt.pgp
 - PQRS Example: XYZResearch.PQRS.020717.1.txt.pgp

File Encryption

- Data files from survey vendors must be encrypted using PGP software prior to submitting them to the ACO or PQRS data warehouse
- All prior versions of PGP acceptable
- If necessary, install the latest version
 - Symantec File Share Encryption
 - <http://www.symantec.com/file-share-encryption?fid=encryption>

File Encryption (*cont'd*)

- Survey vendors must create a Public Key that the Data Coordination Team will use to encrypt sample files delivered to vendor
- The Data Coordination Team will provide survey vendors with a Public Key to use to encrypt survey data files submitted to warehouse
- Public Keys will be exchanged using each vendor's folder in the data warehouse

Overview of Data Warehouse

- Accessed via the Internet
- Hosted by RAND Corporation
- Each survey vendor's folder contains controls for submitting survey data files as well as for downloading sample file and/or other project documentation

Overview of Data Warehouse *(cont'd)*

- Submitted data files that are not encrypted (don't have .pgp extension) or don't otherwise comply with the established naming standards are deleted
- After each data submission, survey vendor staff receive email letting them know that the file was/was not successfully submitted

Guide to Data Submission Process

- Once you have completed the Vendor Access to Data Warehouse Form, you will receive an email from a member of the RAND Corporation Data Team with an invitation to the program specific data warehouse

Using ACO as an example:

- Step-1: Click on the CAHPS for ACOs Secure File Sharing link. You will be directed to the data warehouse login page.

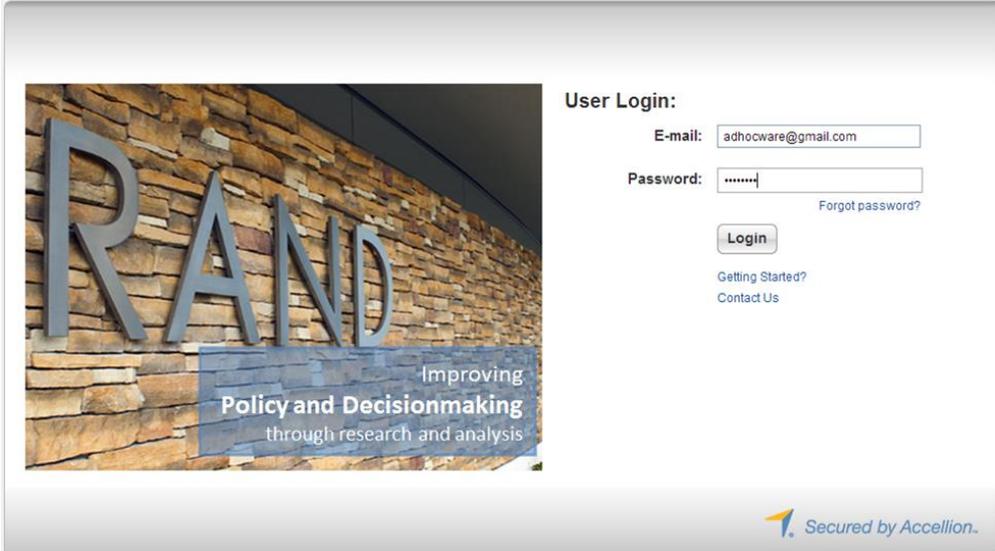
You have been invited to collaborate securely.
Secure Workspace: [CAHPS for ACOs Secure File Sharing](#)

To access it, please log in using the following details:
User id: AdHocWare@gmail.com
First time password: vbhj*U0k

For help, please contact RAND Information Services at [310\) 393-0411 x6000](tel:310-393-0411).

Guide to Data Submission Process (*cont'd*)

- Step-2: Enter your email address and temporary password from your invitation mail
- Step-3: Click the Login button



RAND
Improving
Policy and Decisionmaking
through research and analysis

User Login:

E-mail:

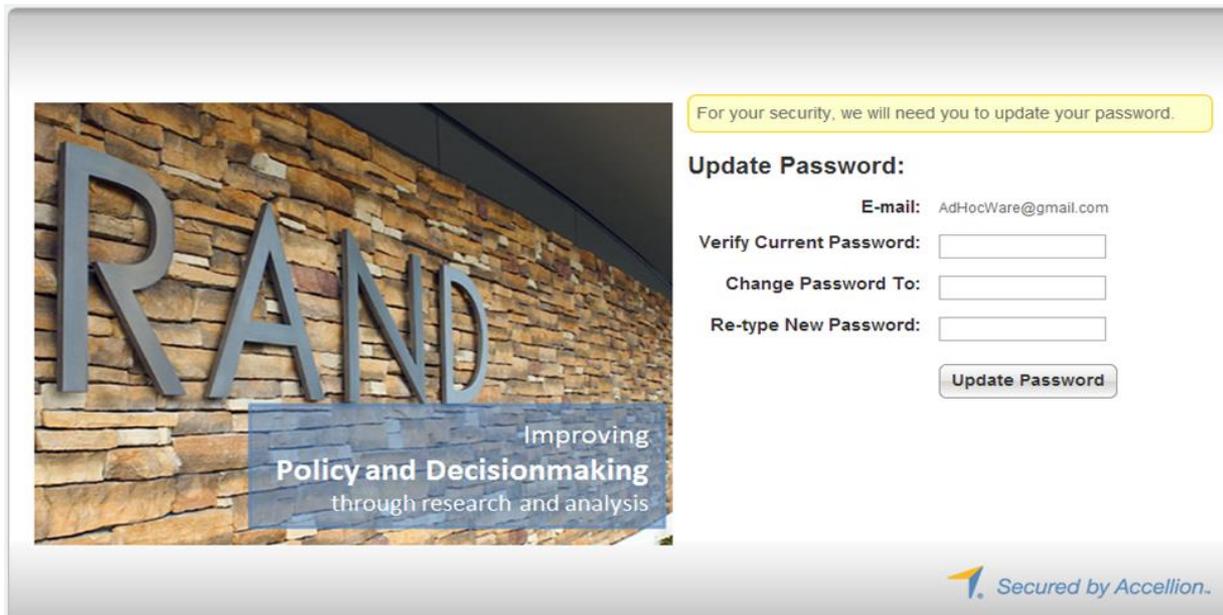
Password: [Forgot password?](#)

[Getting Started?](#)
[Contact Us](#)

 Secured by Accellion.

Guide to Data Submission Process (*cont'd*)

- Step-4: The first time you login, you will be prompted to choose a new password



For your security, we will need you to update your password.

Update Password:

E-mail: AdHocWare@gmail.com

Verify Current Password:

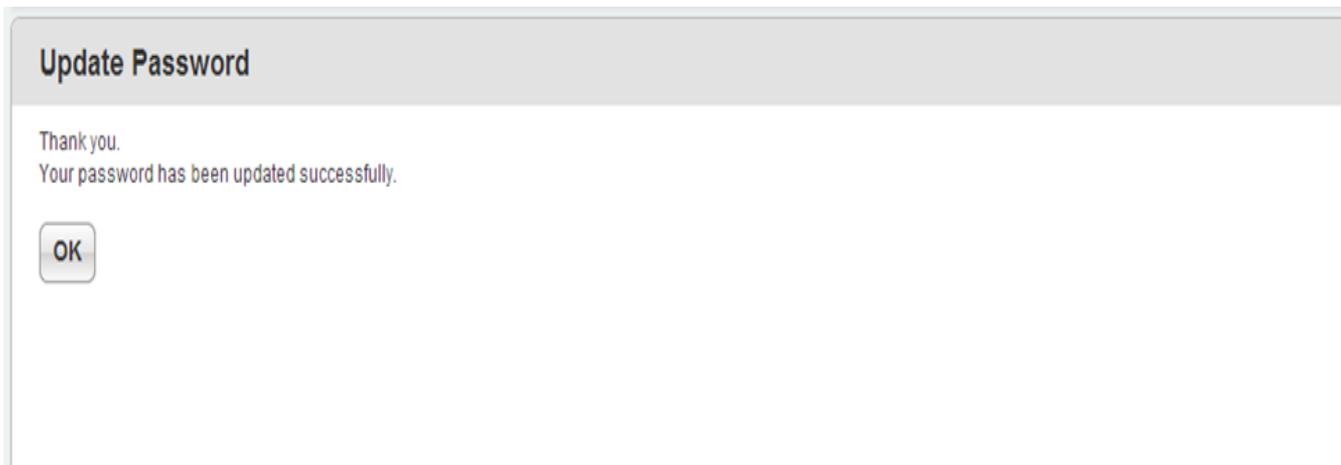
Change Password To:

Re-type New Password:

 Secured by Accellion.

Guide to Data Submission Process *(cont'd)*

- Step-5: Re-enter your temporary password in the Verify Current Password box
 - Enter your new password in both the Change Password To and Re-type New Password boxes
 - Click Update Password. You will see the confirmation screen.



Guide to Data Submission Process (*cont'd*)

- Step-6: Click OK, you will be transferred to the warehouse (File Manager tab) from where you can access your secure folder

adhocware@gmail.com (Guest) | [Settings](#) | [Help](#) | [Sign out](#)

RAND OBJECTIVE ANALYSIS. EFFECTIVE SOLUTIONS.

File Manager Send File

▼ Transfers

- Inbox
- Sent Items
- My Files

workspaces

View: [All](#) | [Managed](#) | [Favorites](#)

- ACOCAHPS

Workspaces

Workspaces

ACOCAHPS/XYZResearch - ACO	Mar 24, 2016 23:07:43 - 37.2MB / 0 Workspaces, 1 File
----------------------------	---

View per page: 20 Showing 1-1 of 1

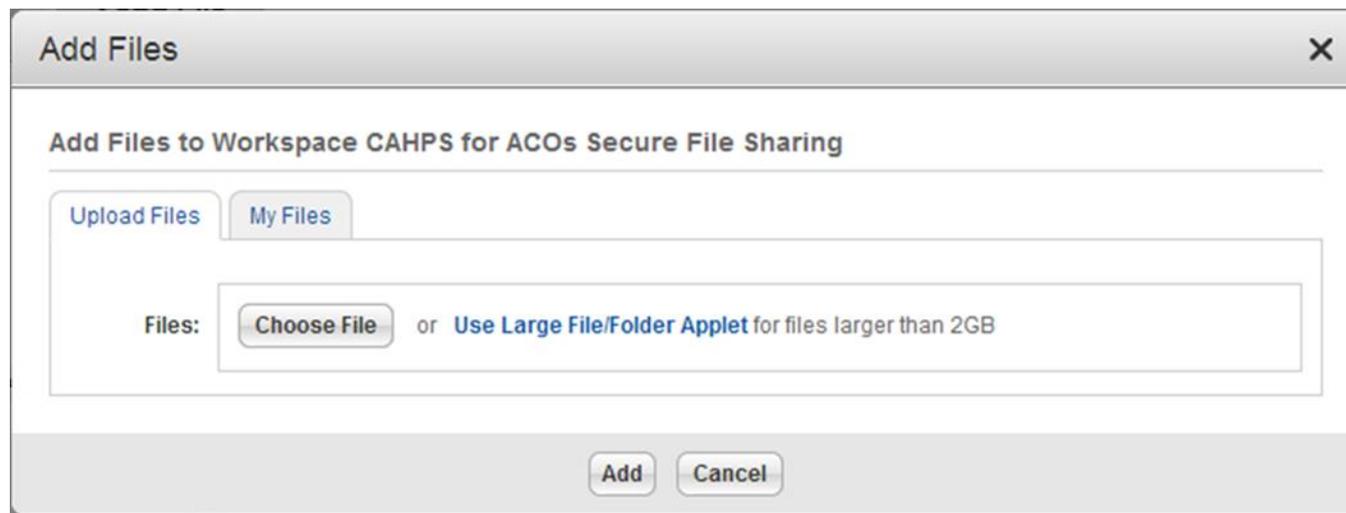
Guide to Data Submission Process (cont'd)

- Step-7: Click your folder name to open the folder and enable action buttons

The screenshot displays a web-based file management interface. At the top right, the user is identified as 'adhocware@gmail.com (Guest)' with links for 'Settings', 'Help', and 'Sign out'. The main header area includes the text 'RAND OBJECTIVE ANALYSIS. EFFECTIVE SOLUTIONS.' and two tabs: 'File Manager' (active) and 'Send File'. On the left, a sidebar shows a tree view under 'workspaces' with 'ACOCAHPS' expanded to show the 'XYZResearch - ACO' folder. The main content area shows the selected folder 'XYZResearch - ACO' with a search bar and a list of files. The file list contains one entry: 'CAHPS for ACOs.asc (3.8KB)' with a timestamp of 'Mar 24, 2016 22:53:55 by rodger@rand.org'. Above the file list are action buttons: 'Send', 'Download', 'Delete', 'Add File', and 'Options'. Below the file list, there is a 'Sort By: Date' dropdown and pagination controls showing 'View per page: 20' and 'Showing 1-1 of 1'.

Guide to Data Submission Process (*cont'd*)

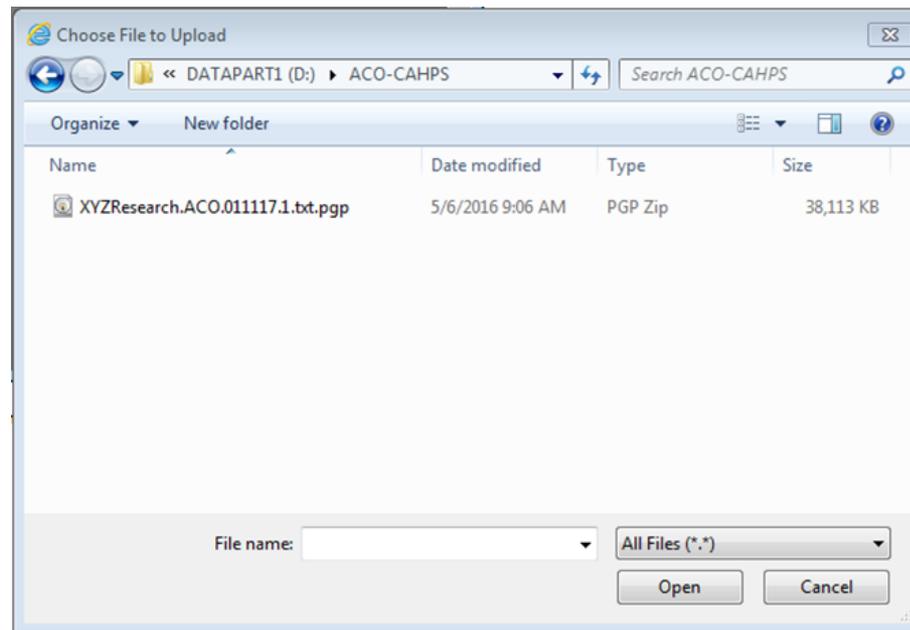
- Step-8: To send a file to your workspace folder within the data warehouse, click the Add File button to start the Add Files dialog



The screenshot shows a dialog box titled "Add Files" with a close button (X) in the top right corner. Below the title bar, the text "Add Files to Workspace CAHPS for ACOs Secure File Sharing" is displayed. There are two tabs: "Upload Files" and "My Files". Below the tabs is a "Files:" label followed by a "Choose File" button and the text "or Use Large File/Folder Applet for files larger than 2GB". At the bottom of the dialog are "Add" and "Cancel" buttons.

Guide to Data Submission Process (*cont'd*)

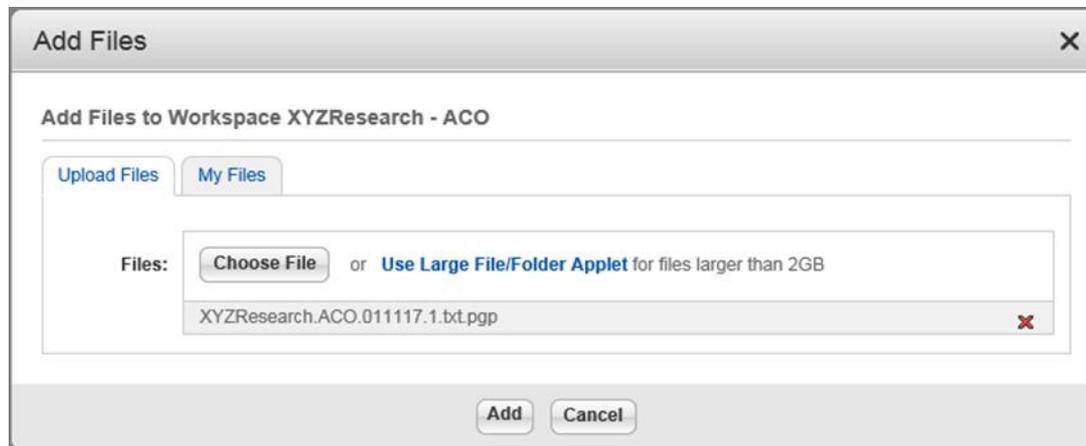
- Step-9: Click Choose File, navigate to the folder on your local system where your file is located



- Step-10: Select the file then click Open

Guide to Data Submission Process (cont'd)

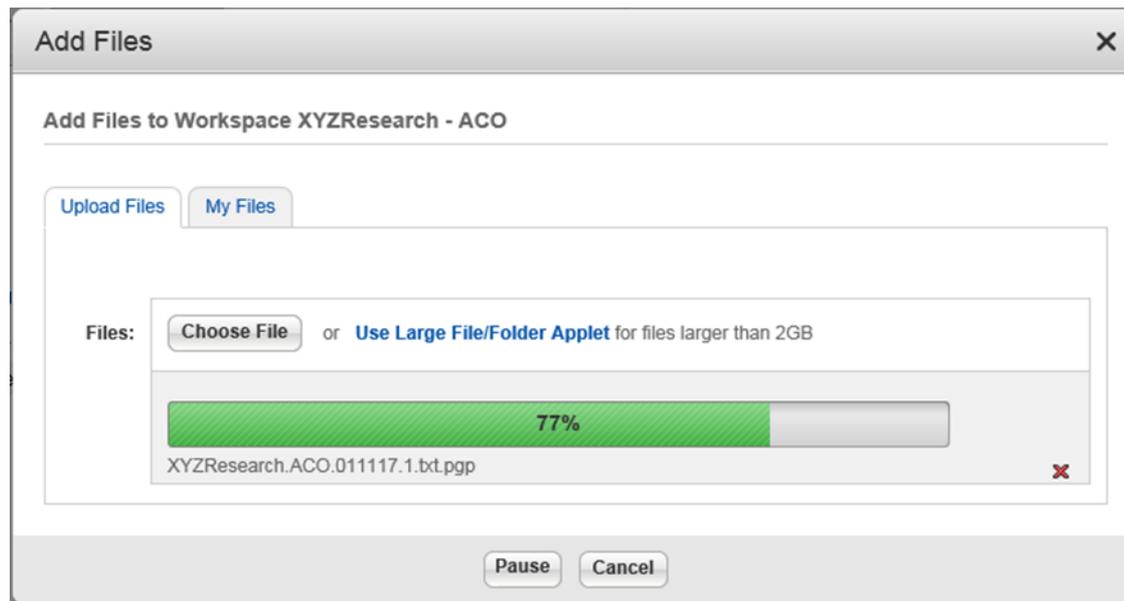
- Step-11: The file name will appear in the Add Files window



- Step-12: Click Add to submit the file to the Secure Workspace of the data warehouse. To remove the file without submitting, click the red X.

Guide to Data Submission Process (cont'd)

- Step-13: During the secure transfer you will see a progress bar



Guide to Data Submission Process (cont'd)

- Step-14: When the upload is complete, the file will be listed in your secure workspace folder

The screenshot displays a web-based File Manager interface. On the left, a sidebar shows a navigation tree with 'Transfers' (Inbox, Sent Items, My Files) and 'workspaces' (ACOCAHPS, XYZResearch - ACO). The main area is titled 'XYZResearch - ACO' and contains a search bar, a breadcrumb 'ACOCAHPS > XYZResearch - ACO', and a 'Select: All, None [0]' option. Below this are buttons for 'Send', 'Download', 'Delete', 'Add File', and 'Options'. A table lists two files:

Sort By: Date ▾		
<input type="checkbox"/>	XYZResearch.ACO.011117.1.txt.pgp (37.2MB)	May 06, 2016 09:19:25 by You
<input type="checkbox"/>	CAHPS for ACOs.asc (3.8KB)	May 06, 2016 09:12:38 by rodger@rand.org

At the bottom, there is a 'View per page: 20' dropdown and 'Showing 1-2 of 2' with navigation arrows.

Data Auditing and Validation Checks

- The Data Coordination Team will audit data files as they are submitted for compliance with file layout specifications
- File audit includes:
 - Checking for .pgp file extension
 - Logical record lengths, appropriate character set, naming conventions
 - Presence of required data fields
 - Range checks
 - Verification of Survey Disposition code

Data Submission Notification

- Survey vendor will receive two email notifications for each data submission
- First (automated) email, from RANDManagedFileXferSvc@rand.org, contains notification that file was received
- Second email is sent by a member of the Data Coordination Team after audit checks
 - Indicates if file successfully passed checks
 - Will go out no later than 8:00 p.m. Eastern Time one business day after submission

Data Submission Notification (*cont'd*)

- If file fails any audit checks, email will:
 - Instruct survey vendors that they must submit data files again
 - Contain full detail of the audit check report including a list of involved records
- If file passes checks, email will say that no further action is necessary and provide a summary of file contents for verification by the vendor

Technical Support

- Contact the Data Coordination Team for technical support and/or assistance related to data submission at:
 - CAHPS for ACOs
 - aco-datasupport@rand.org
 - CAHPS for PQRS
 - pqrs-datasupport@rand.org

Vendor Oversight



Objectives

- Oversight Activities
- Non-compliance and Sanctions
- Discrepancy Reports

Oversight Activities

- Ensure:
 - Compliance with survey protocols
 - Survey data collected and submitted are complete, valid and timely
 - Standardization and transparency of survey results
 - Data security

Oversight Activities (*cont'd*)

- Oversight activities include:
 - Review of Quality Assurance Plan (QAP) and survey materials
 - Conducting site visits and conference calls
 - Analysis of submitted data

Oversight Activities (*cont'd*)

- QAP
 - Documents understanding, application and compliance with survey protocols
 - Follows the Model QAP (Appendix D) specifications
 - Provides a guide for the site visit
 - Vendor submits each year
 - Submit via the Technical Assistance email:
 - CAHPS for ACOs Survey: acocahps@HCQIS.org
 - CAHPS for PQRS Survey: pqrscahps@HCQIS.org
 - **Due date of 9/19/2016**

Oversight Activities (*cont'd*)

- Review of survey materials
 - Review for compliance with survey protocols and guidelines
 - Submitted each year of survey administration
 - Only survey vendors with a contracted client(s) need to submit survey materials
 - Submit via the Technical Assistance email:
 - CAHPS for ACOs Survey: acocahps@HCQIS.org
 - CAHPS for PQRS Survey: pqrscahps@HCQIS.org
 - **English mail survey materials due 8/15/2016**
 - **English CATI screenshots due 10/17/2016**

Oversight Activities (*cont'd*)

- Site visits and conference calls
 - Review and observe systems, procedures, facilities, and resources
 - Discussions with project staff
 - Including subcontractors, if applicable
 - All materials related to survey administration are subject to review
 - Feedback report includes action items for follow-up
 - Conference calls as needed

Oversight Activities (*cont'd*)

- Analysis of submitted data
 - Intended to detect errors in data submission
 - Includes review of outliers, anomalies, unusual patterns, etc.
 - Follow-up as appropriate

Non-compliance and Sanctions

- If survey vendors fail to adhere to CAHPS for ACOs and PQRS survey protocols, including missing deadlines/due dates, they will be required to develop and implement corrective actions
- If survey vendors do not fix problems, they may lose “approved” status for conducting the ACO and/or PQRS surveys
- Other sanctions may also be applied such as increased oversight or a special monitoring plan

Discrepancy Reports

- Report any variations from survey protocols during survey administration
- Complete and submit online report within 1 business day (at acocahps.cms.gov for ACO or at www.pqrscahps.org for PQRS)
 - A second updated report may be submitted once root cause, scope of issue and/or corrective action has been identified
 - Vendors must not wait until the discrepancy has been resolved to submit an initial Discrepancy Report

Discrepancy Reports (*cont'd*)

- Required Discrepancy Report detail includes
 - Description of discrepancy, how and when it was discovered
 - All affected ACO or group practice names and ID numbers impacted by the discrepancy
 - For each ACO or group practice listed:
 - Affected timeframe
 - ACO or Group Practice ID number
 - Count of sample members affected by the discrepancy
 - Description of corrective action to be taken along with proposed timeline
- Provide as much information as possible in initial report
- File updated Discrepancy Report with any additional information

Discrepancy Reports *(cont'd)*

- CMS Review Process
 - Acknowledgment of receipt
 - Assessment of actual or potential impact on data
 - Additional information may be requested
 - Notification of review outcome

Questions?



Wrap Up and Next Steps

- **Important Dates**

- **8/15/2016** English mail survey materials due
- **9/9/2016** Vendor Access to Data Warehouse Form(s) due
 - Survey vendors must complete and email the Vendor Access to Data Warehouse Form(s) (to aco-datasupport@rand.org for ACO or pqrs-datasupport@rand.org for PQRS)
- **9/19/2016** QAPs due to CAHPS for ACOs and PQRS Survey Project Team via Technical Assistance (to acocahps@HCQIS.org for ACO or pqrscahps@HCQIS.org for PQRS)
- **9/20/2016** Complete web-based vendor authorization process
 - ACOs and group practices will receive an email notification with instructions on completing the process
- **9/28/2016** Submit DUA to CMS and copy ACO or PQRS Project Team
- **10/17/2016** English CATI screenshots due

Wrap Up and Next Steps (*cont'd*)

- See the 2016 Data Collection Schedule for key survey administration dates
- Post Training Survey Vendor Quiz
 - Immediately upon conclusion of training
 - Accessible via webinar for 15 minutes
- Vendor notification
 - CMS follow-up regarding quiz by **7/20/2016**
- Feedback on training
 - Follows quiz
 - Accessible via webinar for 20 minutes
- Participate in program specific breakout session(s)

Contact Us

- CAHPS for ACOs Survey Information and Technical Assistance
 - Website: acocahps.cms.gov
 - Email: acocahps@HCQIS.org
 - Phone: Toll free 1-855-472-4746
- CAHPS for PQRS Survey Information and Technical Assistance
 - Website: www.pqrscahps.org
 - Email: pqrscahps@HCQIS.org
 - Phone: Toll free 1-844-472-4294

Post Training Activities

Post Training Quiz –15 minutes

Post Training Evaluation Form –20 minutes