

# CAHPS for ACOs Survey Quality Assurance Guidelines V7

## Summary of Updates

This document is a reference tool that highlights the major changes from the *CAHPS for ACOs Survey Quality Assurance Guidelines V6 to V7*. This document is not a substitute for reviewing the *CAHPS for ACOs Survey Quality Assurance Guidelines V7* in its entirety. The *CAHPS for ACOs Survey Quality Assurance Guidelines V7* manual is effective upon its release in April 2019. Please note that minor wording revisions have occurred throughout the manual and are not included in the table below. Please contact CAHPS for ACOs Survey Technical Assistance for any specific questions.

Section of the QAG V7	Summary of Key Changes in V7
<b>Miscellaneous</b>	<ul style="list-style-type: none"> <li>• V6 changed to V7</li> <li>• Revised dates as necessary, i.e., 2018 to 2019</li> <li>• Updated quality Performance Year 2018 to 2019</li> <li>• References to “performance period” and “reporting period” were updated to “Performance Year”</li> <li>• Updated the Revision History page that includes a table of former QAG versions, dates, change descriptions, and affected areas</li> </ul>
<b>I. Guide to Using this Document</b>	<ul style="list-style-type: none"> <li>• <b>No changes</b></li> </ul>
<b>II. Introduction and Overview</b>	<ul style="list-style-type: none"> <li>• Removed a section: How the 2018 version is different</li> </ul>
<b>III. Roles and Responsibilities for Survey Implementation</b>	<ul style="list-style-type: none"> <li>• Added text stating survey vendors must identify a back-up staff member to attend all training sessions if one individual fulfills all key roles and specified that <u>each</u> staff member required to attend training must complete and submit a quiz</li> <li>• Updated the email for the ACO Data Warehouse to <a href="mailto:RANDkiteworks@rand.org">RANDkiteworks@rand.org</a></li> </ul>
<b>IV. Sampling</b>	<ul style="list-style-type: none"> <li>• Added text to the Sample Selection and Eligibility Criteria section to define that high users of care consist of the top 10% of beneficiaries within the ACO, based on claims</li> <li>• In the Sample File layout table, Valid Codes description for ACONAME was revised from “Free Text” to “Text”</li> </ul>

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<b>V. Data Collection Protocol</b>	<ul style="list-style-type: none"> <li>• Added text to the Overview section to indicate CATI interviews may not be initiated until the start of the phone follow-up period</li> <li>• Updated the Data Collection Schedule with 2019/2020 dates</li> <li>• Added a pre-data collection task to the Data Collection Schedule to indicate survey vendors must provide mail sample survey packets, with variable information included, for review prior to the first mailing</li> <li>• Provided additional guidance in the Data Collection Schedule to indicate that the interim and final data submission task should begin on the first day of the data submission window. Additionally, the final data submission task was revised to note that any requests for correction must be completed by 1/23/20.</li> <li>• Added content to the Pre-notification Letter section to indicate the CMS logo must appear with the survey vendor's return address <u>or</u> mail processing subcontractor's return address               <ul style="list-style-type: none"> <li>○ Clarified that the survey vendor logo may also be printed on the pre-notification letter envelope in addition to the CMS logo</li> </ul> </li> <li>• Revised a bullet under Questionnaire Formatting and Printing Specifications to note that survey vendor's or mail processing subcontractor's return address must be added to the back cover of the questionnaire <u>and</u> the bottom of the last page containing survey questions</li> <li>• Clarified the note in the Phone Interviewing Systems section to indicate automated dialing is permitted as long as a live interviewer is available and the system is Telephone Consumer Protection Act (TCPA) compliant.</li> </ul>
<b>VI. Data Coding and Data Preparation</b>	<ul style="list-style-type: none"> <li>• Updated the seventh bullet under Survey Disposition Codes section to include RAND field names of RECEIVED, MODE, DISPO_LANG, and added number of phone attempts (PHONE_ATTEMPTS), or survey mailing returned (SURVEY_MAILING)</li> <li>• Revised the last bullet under Survey Disposition Codes to specify surveys assigned a code of 11, 20, 22, 24, 32, 33, 35, or 40 must contain the appropriate "not applicable" code for date received (RECEIVED), mode of survey completion (MODE), number of phone attempts (PHONE_ATTEMPTS), and survey mailing returned (SURVEY_MAILING)</li> </ul>
<b>VII. Data Submission</b>	<ul style="list-style-type: none"> <li>• Revised the notes in the Data File Submission Dates section to state survey vendors <u>should</u> begin to submit interim and final data on the first day (12/10/19 and 1/21/20) of the submission windows</li> <li>• Added a bullet under Survey File Submission Naming Convention to indicate that all files must be encrypted and end with the .pgp file extension</li> <li>• Removed the "Add Files" reference from the fifth item in the Instructions for Accessing the ACO Data Warehouse section</li> <li>• Updated text in Data Auditing and Validation Checks section to state that the first data submission must occur during the first day (12/10/19) of the submission window</li> </ul>

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<b>VIII. Data Analysis and Public Reporting</b>	<ul style="list-style-type: none"> <li>• Updated text under Scoring and Benchmarks as follows:               <ul style="list-style-type: none"> <li>○ A 6-20 scoring system is now used for the patient experience domain</li> <li>○ Three SSMs (Health Status/Functional Status, Care Coordination, and Courteous and Helpful Office Staff) are currently pay-for-reporting</li> <li>○ Updated text regarding calculating the overall score for the patient experience domain to ten equally-weighted SSMs</li> <li>○ Updated the CMS website link containing additional information on scoring and benchmarking for Shared Savings Program ACOs</li> </ul> </li> <li>• Added text under Reporting of CAHPS for ACOs Survey Data to indicate the Health Status/Functional Status, Care Coordination, and Courteous and Helpful Office Staff SSMs will be scored in PY2019, but will not be reported on the Physician Compare website</li> <li>• Updated text in the Reporting of CAHPS for ACOs Survey Scores to ACOs subsection as follows:               <ul style="list-style-type: none"> <li>○ Removed text that indicated reports provided to ACOs no longer compare the ACO's scores to national benchmarks</li> <li>○ Updated the SSMs reference to indicate that reports provided to ACOs include scores for a total of ten SSMs and removed the CG-CAHPS CORE measure reference</li> <li>○ Added Courteous and Helpful Office Staff and Care Coordination to the list of bullets under Scored SSMs</li> </ul> </li> </ul>
<b>IX. Oversight</b>	<ul style="list-style-type: none"> <li>• Added a sub-bullet and bullet under the Notes section of Oversight Activities as follows:               <ul style="list-style-type: none"> <li>○ New sub-bullet: CATI screenshots provided by survey vendors should be labeled to match the question numbers in the CMS-approved CATI script.                   <ul style="list-style-type: none"> <li>▪ If a standard numbering sequence is not used, survey vendors must clearly indicate which screenshot corresponds to which CMS survey question</li> </ul> </li> <li>○ New bullet: Survey vendors must submit mail sample survey packets (cover letter, mail survey, business reply envelope) for review                   <ul style="list-style-type: none"> <li>▪ The project team will provide feedback within three business days of receipt; survey vendors are responsible for correcting any identified issues prior to the first survey mailing</li> </ul> </li> </ul> </li> </ul>
<b>X. Discrepancy Reports</b>	<ul style="list-style-type: none"> <li>• <b>No changes</b></li> </ul>
<b>XI. Technical Assistance and Communication</b>	<ul style="list-style-type: none"> <li>• <b>No changes</b></li> </ul>
<b>Appendices</b>	
<b>Appendix A</b> General Interviewing Guidelines for Conducting Phone Surveys	<ul style="list-style-type: none"> <li>• <b>No changes</b></li> </ul>

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<b>Appendix B</b> Frequently Asked Questions for Customer Support	<ul style="list-style-type: none"> <li>Included additional text stating that survey vendors are permitted to produce translations of the Frequently Asked Questions for Customer Support for any of the optional languages not currently provided by CMS</li> </ul>
<b>Appendix C</b> Sample File Record Layout	<ul style="list-style-type: none"> <li>Revised Valid Codes description for ACONAME from “Free Text” to “Text”</li> </ul>
<b>Appendix D and D-1</b> <u>Survey File Record Layout</u> D: Survey Status Section D-1: Beneficiary Response Section	<ul style="list-style-type: none"> <li>Updated the Valid Codes field for FOCALTYPE and LANG_PROT</li> <li>Added two additional fields: PHONE ATTEMPTS and SURVEY MAILING</li> <li>Revised the field position throughout D and D-1 to reflect PY2019 updates</li> </ul>
<b>Appendix E</b> Survey Items Applicable to All Respondents	<ul style="list-style-type: none"> <li><b>No changes</b></li> </ul>
<b>Appendix F</b> Summary Survey Measures	<ul style="list-style-type: none"> <li><b>No changes</b></li> </ul>
<b>Appendix G</b> G-1: 2019 CAHPS for ACOs Survey G-2: 2019 CAHPS for ACOs Survey Initial Cover Letter G-3: 2019 CAHPS for ACOs Survey Second Cover Letter	<ul style="list-style-type: none"> <li>Capitalized “months” in the following sections of the survey: Your Care From This Provider in the Last 6 Months and Your Care From Specialists in the Last 6 Months</li> <li>Revised initial cover letter and second cover letter to reflect content updates for PY2019</li> </ul>
<b>Appendix H</b> CAHPS for ACOs Instructions and CATI Script	<ul style="list-style-type: none"> <li>Updated last bullet under Instructions for Survey Vendors to include clarification that vendors administering the survey using the translations provided by CMS are permitted to reword the translations to reference the selected beneficiary when conducting a proxy interview</li> <li>For INTRO1-OUT, the following additional optional text has been included: “(IF NEEDED:) My name is [INTERVIEWER NAME] and I’m calling from [VENDOR NAME] regarding a healthcare survey.”</li> <li>For PROXY2, the first and second response options have been updated to read: “YES, HELP SP TO ANSWER INTERVIEW” and “YES, ANSWER INTERVIEW ON BEHALF OF SP”</li> <li>Removed the “except as required by law” verbiage from PROXY6, INTRO2-OUT and INTRO2-IN introductory scripts</li> </ul>