

**2020 MA & PDP CAHPS Survey
Quality Assurance Protocols & Technical Specifications V10.0
Summary of Updates**

This document is a reference tool that highlights the major changes from the MA & PDP CAHPS *Quality Assurance Protocols & Technical Specifications (QAP&TS) V9.0 to V10.0*. This document is not a substitute for reviewing the MA & PDP CAHPS QAP&TS V10.0 in its entirety or, if applicable, the most recent Technical Corrections and Clarifications document posted on the MA & PDP CAHPS Web site. The MA & PDP CAHPS QAP&TS V10.0 manual is effective upon its release in October 2019. General format and minor wording revisions have occurred throughout the manual and are not included in the table below. Please contact MA & PDP CAHPS Survey Technical Assistance for any specific questions.

Section of the QAP&TS V10.0	Summary of Key Changes in V10.0
Miscellaneous	<ul style="list-style-type: none"> • Changed V9.0 to V10.0 • Revised dates as necessary, e.g., 2019 to 2020 • Minor wording or formatting updates as needed
I. Reader's Guide	
	<ul style="list-style-type: none"> • Removed former Appendix B – Data Use Agreement, as DUA tasks are now completed electronically through the Enterprise Privacy Policy Engine (EPPE). The remaining appendices were re-labeled accordingly. • Added Appendix D-1 – Tips for Training Telephone Interviewers to the Appendices • Added Appendix P - Vendor Report of Outbound CATI to the Appendices

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II. Introduction and Overview	<p>Added items that are new for 2020 survey administration, including the following:</p> <ul style="list-style-type: none"> • Updated MA & PDP CAHPS Technical Assistance email address to: MA-PDPCAHP@hsag.com • A requirement that vendors must forward beneficiary correspondence (white mail) to the MA & PDP CAHPS Survey project team on a bi-weekly basis for CMS review • A requirement that all DUAs must be completed electronically through the EPPE system • Clarification that when a beneficiary returns two mail surveys with responses, if both meet the criteria for a complete (code 10) or both meet the criteria for partial complete (code 31), the survey with the greatest number of responses should be submitted to the Data Warehouse • Clarification on the guidance for dialing multiple phone numbers and the 21 day rule for call attempts • Guidance that phone numbers that have been identified as bad or nonworking by a phone append vendor must be dialed at least one time to verify that the number is still bad or nonworking • Added Appendix P, Vendor Report of Outbound CATI
III. Program Requirements	<ul style="list-style-type: none"> • Added guidance that the EPPE System must be used to request new DUAs, as well as updates, extensions and closures to existing DUAs. The DUA Addendum must be signed and uploaded through the EPPE System. • Revised approval term for survey vendors to a fixed one-year term; approval in prior years does not guarantee future approval. CMS will consider past performance as a survey vendor, as well as compliance with the MA & PDP CAHPS minimum business requirements.
IV. Sampling	<ul style="list-style-type: none"> • Clarified that Medicare Advantage Organizations (MAOs), 1876 cost contracts, Employer/union only contracts, Medicare-Medicaid Plans (MMPs) and Part D Sponsors are included in sampling • Clarified that for the variable "TYPE" in the sample file record layout, MA-Only beneficiaries enrolled in an MA-PD contract will have a value of "1" indicating MA-Only questionnaire

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V. Communications and Technical Support	
	<ul style="list-style-type: none"> • Updated Technical Assistance email address
VI. Data Collection Protocol	
	<ul style="list-style-type: none"> • Revised Data Collection Schedule for 2020 survey administration • Added requirement that the pre-notification letter envelope must be white; colored envelopes are not permitted • Revised formatting protocol to indicate that the pre-notification letter, cover letters and questionnaires are now required to be printed using a font size equal to or larger than Times New Roman 12 or Arial 12 point font • Added requirement that the survey cover letter must contain a salutation personalized to include the beneficiary's name • Clarified guidance that placement of the survey vendor's return address on the back cover of the questionnaire and the last page containing survey questions (which may be the same page) must not deviate from the template provided by CMS • Recommended formatting tips to note that placing survey instructions on a separate page and using color as a visual cue to promote navigation between survey questions may increase ease of reading the survey • Added guidance that vendors must forward beneficiary correspondence (white mail) to the MA & PDP CAHPS Survey project team on a bi-weekly basis. Vendors must include all white mail (i.e., notes from members written on separate pieces of paper or separately mailed letters; cover letters, pre-notification letters and envelopes should be included only if they contain commentary from the beneficiary). • Added requirement that survey vendors must send a seeded mailing to the project team for each of the three survey types for the first and second survey mailings • Clarified guidance regarding dialing multiple phone numbers and the 21-day rule • Revised guidance to direct vendors to Appendix P for the Vendor Report of Outbound CATI instructions and report template • Added guidance regarding recommended interviewer training practices • Clarified the 10% CATI monitoring requirement for outbound and inbound calls • Added examples of the 5 Call Attempt guidance for proxy respondents

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VII. Data Coding and Data Preparation	
	<ul style="list-style-type: none"> • Revised guidance for cases when a beneficiary returns two mail surveys with responses; if both meet the criteria for a complete (code 10) or both meet the criteria for a partial complete (code 31), the survey that contains responses to the greatest number of questions should be submitted to the Data Warehouse • Added examples of outgoing calls that would not be coded as refusals: <ul style="list-style-type: none"> ○ Someone answers the phone and then hangs up without saying a word ○ A beneficiary says, "I've already mailed my survey back"
VIII. Data Submission	
	<ul style="list-style-type: none"> • No changes
IX. Data Analysis and Public Reporting	
	<ul style="list-style-type: none"> • Revised guidance regarding the weight and scoring of respondent data • Clarified that the cell size guidance also applies to reporting response rates
X. Oversight	
	<ul style="list-style-type: none"> • Added text to emphasize that failure to accommodate the MA & PDP CAHPS project team in observing MA & PDP CAHPS mail production, CATI survey administration, and/or data preparation and submission activities may lead to loss of approved vendor status • Added "Mandatory Quality Improvement reporting" to the list of possible sanctions for non-compliance
XI. Event Reports	
	<ul style="list-style-type: none"> • No changes

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Appendix A – Minimum Business Requirements	
	<ul style="list-style-type: none"> • Added text to include vendor compliance with TCPA requirements • Added bullets to “Oversight” to emphasize requirements for vendors and subcontractors • Revised bullets throughout to be consistent with other CAHPS initiatives • Removed and revised guidance regarding vendor approval term
Appendix B – 2019 Vendor Access to MA & PDP CAHPS Data Warehouse Form	
	<ul style="list-style-type: none"> • No changes
Appendix C – Model Quality Assurance Plan	
	<ul style="list-style-type: none"> • Revised guidance to note that the project team will follow-up with survey vendor after the start of survey administration to request an updated language distribution table • Added a new task to Section C of the Work Plan for Survey Administration to require that survey vendors provide a document containing interim disposition codes with a crosswalk to final disposition codes, if applicable
Appendix D – General Interviewing Guidelines for Conducting Telephone Surveys	
	<ul style="list-style-type: none"> • No changes
Appendix D-1 – Tips for Training Telephone Interviewers	
	<ul style="list-style-type: none"> • New appendix that covers the key components for training interviewers for the MA & PDP CAHPS Survey
Appendix E – Frequently Asked Questions for Customer Support	
	<ul style="list-style-type: none"> • No changes

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Appendix F – Instructions for Survey Vendors on Accessing the MA & PDP CAHPS Data Warehouse	
	<ul style="list-style-type: none"> • Added text to provide guidance for the sign-in process • Updated text to reflect screen prompt if user has forgotten password • Added updated screenshots
Appendix G – Sample File Record Layout	
	<ul style="list-style-type: none"> • No changes
Appendix H – Vendor Survey File Record Layout	
	<ul style="list-style-type: none"> • Added clarifying text to the coding notes for field “Phone Attempts” regarding including cases when a mail return is received after outbound CATI begins or when the case is finalized prior to the start of outbound CATI
Appendix H-1 – MA-Only Data Submission File Layout	
	<ul style="list-style-type: none"> • Added the word “time” after response option 1 and “times” after response option 6 in Q7 valid values • Added the word “time” after response option 1 and “times” after response option 6 in Q12 valid values
Appendix H-2 – MA-PD Data Submission File Layout	
	<ul style="list-style-type: none"> • Added the word “time” after response option 1 and “times” after response option 6 in Q7 valid values • Added the word “time” after response option 1 and “times” after response option 6 in Q12 valid values
Appendix H-3 – PDP Data Submission File Layout	
	<ul style="list-style-type: none"> • No changes
Appendix I – Event Report	
	<ul style="list-style-type: none"> • No changes

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Appendix J-1 – MA-Only Survey Items ATA	
	<ul style="list-style-type: none"> • No changes
Appendix J-2 – MA-PD Survey Items ATA	
	<ul style="list-style-type: none"> • No changes
Appendix J-3 – PD Survey Items ATA	
	<ul style="list-style-type: none"> • No changes
Appendix K – List of Reportable Measures	
	<ul style="list-style-type: none"> • No changes
Appendix L-1 – MA-Only and MA-PD 1st Mailing Cover Letter	
	<ul style="list-style-type: none"> • Appendix to be provided at a later date
Appendix L-2 – PDP 1st Mailing Cover Letter	
	<ul style="list-style-type: none"> • Appendix to be provided at a later date
Appendix L-3 – MA-Only and MA-PD 2nd Mailing Cover Letter	
	<ul style="list-style-type: none"> • Appendix to be provided at a later date
Appendix L-4 – PDP 2nd Mailing Cover Letter	
	<ul style="list-style-type: none"> • Appendix to be provided at a later date

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Appendix L-5 – MA-Only Mail Survey	
	<ul style="list-style-type: none"> • OMB Statement: Added text to clarify that the statement “no persons are required to respond to a collection of information unless it displays a valid OMB control number” applies to both mandatory and voluntary collections of information • Updated label from “Survey Vendor Address” to “Survey Vendor Return Address for Mail Processing” • Added the optional text, “You may also know your plan by one of the following:” on the back of the survey
Appendix L-6 – MA-PD Mail Survey	
	<ul style="list-style-type: none"> • OMB Statement: Added text to clarify that the statement “no persons are required to respond to a collection of information unless it displays a valid OMB control number” applies to both mandatory and voluntary collections of information • Updated label from “Survey Vendor Address” to “Survey Vendor Return Address for Mail Processing” • Added the optional text, “You may also know your plan by one of the following:” on the back of the survey
Appendix L-7 – PDP Mail Survey	
	<ul style="list-style-type: none"> • OMB Statement: Added text to clarify that the statement “no persons are required to respond to a collection of information unless it displays a valid OMB control number” applies to both mandatory and voluntary collections of information • Updated label from “Survey Vendor Address” to “Survey Vendor Return Address for Mail Processing” • Added the optional text, “You may also know your plan by one of the following:” on the back of the survey
Appendix M – CATI Instructions and CATI Scripts	
	<ul style="list-style-type: none"> • Added guidance to allow survey vendors administering MA & PDP CAHPS Survey using CMS translations to reword the translations for proxy respondents to reference the selected beneficiary

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Appendix M-1 – MA-Only CATI Script	
	<ul style="list-style-type: none"> Revised text in INTRO 3 – Request for Proxy, if a respondent answers “No” to INTRO3 Q3, to clarify when to code Institutionalized and when to code Mentally/Physically Incapable
Appendix M-2 – MA-PD CATI Script	
	<ul style="list-style-type: none"> Revised text in INTRO 3 – Request for Proxy, if a respondent answers “No” to INTRO3 Q3, to clarify when to code Institutionalized and when to code Mentally/Physically Incapable
Appendix M-3 – PDP CATI Script	
	<ul style="list-style-type: none"> Revised text in INTRO 3 – Request for Proxy, if a respondent answers “No” to INTRO3 Q3, to clarify when to code Institutionalized and when to code Mentally/Physically Incapable
Appendix N – Guidance on Supplemental Questions	
	<ul style="list-style-type: none"> Removed question “How likely are you to recommend your health plan to others?” from the Similar Content to MA & PDP CAHPS Survey category
Appendix O – Guidance on Appending Data	
	<ul style="list-style-type: none"> Added/revised requirements to the Instructions for Submitting Data Append Requests to include: <ul style="list-style-type: none"> Name, source, data values and value labels of each data element must be included Ensure that results generated from fewer than 11 observations will not be included in the report The summary of proposed analysis should detail the purpose or contract information need that generates the request and how the results of the analysis will be used by the contract Ensure that the count of data elements begins at “1” for each new submission Added a column to the Excel template for optional vendor internal tracking numbers Added columns to the Excel template for beneficiary and provider counts Provided new examples in the Excel template
Appendix P – Vendor Report of Outbound CATI	
	<ul style="list-style-type: none"> Added new appendix to provide guidance for use and submission of the Vendor Report of Outbound CATI. Also included is the Excel template to be used for submission of the report.