Introduction to HCAHPS Survey Training

March 2017
Welcome!

In the HCAHPS Training sessions, we will:

- Explain purpose and use of HCAHPS Survey
- Provide instruction on managing the survey
- Discuss modes of survey administration
- Instruct on sampling, data preparation, data submission, and public reporting
- Review oversight and quality checks activities
Online Question Submission
Illustration 1
Online Question Submission (cont’d)
Illustration 2
Online Question Submission (cont’d)

Illustration 3

Introduction to HCAHPS Survey Training

March 2017
Introduction to HCAHPS Survey Training

Background of the HCAHPS Survey
Introduction to HCAHPS Survey Training

Overview of Presentation

• Background and Development of HCAHPS
• Composition of the Survey
• Roles and Responsibilities
The Name of the Survey

- Official name: **CAHPS® HOSPITAL SURVEY**
- Also known as **Hospital CAHPS®** or **HCAHPS**

→ Pronounced "**H-caps**"

*CAHPS® is a registered trademark of the Agency for Healthcare Research and Quality, a U.S. Government agency.*
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The Method of HCAHPS

- Ask patients (survey)
- Collect in standardized, consistent manner
- Analyze and adjust data
- Publicly report hospital results
- Use to improve hospital quality of care
HCAHPS 101

Participating Hospitals:

- Short-term, acute care hospitals
  - "General Hospitals" (AHA)
    - IPPS and Critical Access Hospitals
      - IPPS hospitals penalized if don’t participate
      - PPS-Exempt Cancer Hospitals can voluntarily participate
  - Excludes pediatric, psychiatric and specialty hospitals
How the Survey is Administered

Participating hospitals, second quarter 2016 (4,435):

- Mail: 2,647 hospitals; 60%
- Telephone: 1,774 hospitals; 40%
- Mixed Mode: 7 hospitals; 0.2%
- IVR: 7 hospitals; 0.2%
Who Administers the Survey

Second quarter 2016:

- 37 Approved survey vendors
  - 99.80% of surveys
- 51 Self-administering hospitals
  - .13% of surveys
- 1 Multi-site hospital
  - .07% of surveys
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HCAHPS Never Rests

- April 2017 publicly reported scores are based on more than **3.1 million completed surveys** from patients at **4,306 hospitals**
- **Every day** more than **8,500 patients complete** the HCAHPS Survey
Composition of HCAHPS Survey

HCAHPS contains **32 items**:

- **Items 1-25**: Core of HCAHPS (25 questions)
  - Beginning of survey; do not alter; keep together
    - 21 substantive questions
    - 4 "screener" items

- **Items 26-32**: “About You” (7 questions)
  - Place later; keep together; do not alter
Example of HCAHPS Survey Items: “Your Care From Nurses”

1. During this hospital stay, how often did nurses treat you with courtesy and respect?
   - Never
   - Sometimes
   - Usually
   - Always

2. During this hospital stay, how often did nurses listen carefully to you?
   - Never
   - Sometimes
   - Usually
   - Always

3. During this hospital stay, how often did nurses explain things in a way you could understand?
   - Never
   - Sometimes
   - Usually
   - Always
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Roles and Responsibilities

Hospitals

• Comply with all HCAHPS Survey protocols (whether self-administering or contracting with an approved survey vendor)
• Produce patient discharge list with complete administrative data in timely manner
• Use survey versions in language of patients
• Review data warehouse reports
• Do not influence patients about HCAHPS Survey
  – Communication with patients
  – Concurrent surveys
Hospitals Using a Survey Vendor

• The **Vendor’s role** in data collection and submission:
  – Create sample frame of eligible discharges
  – Draw sample of eligible patients and administer survey
  – Submit HCAHPS data in standard format via the QualityNet Secure Portal
  – Monitor submission reports
    • Including Review and Correction Reports
  – Comply with oversight process, including site visits
  – Conduct ongoing quality assurance activities
    • Including Data Quality Checks
  – Monitor HCAHPS Web site for updates
Roles and Responsibilities (cont’d)

CMS: Support, Report & Oversight

- Provide training and technical assistance
- Accumulate, clean and adjust data
- Calculate and publicly report results, including Star Ratings
- Analyze results
- Provide scores to CMS programs, such as Hospital Value-Based Purchasing (VBP)
- Oversee all survey processes, survey vendors and self-administering hospitals
Using HCAHPS Scores for Intra-Hospital Comparisons

- HCAHPS was designed and intended for *inter-hospital* (hospital-to-hospital) comparisons
  - Identified by CMS Certification Number (CCN)
- CMS does **not** review or endorse the use of HCAHPS scores for *intra-hospital* comparisons
  - Such as comparing a ward, floor or individual staff members
  - Such comparisons are unreliable unless large sample sizes are collected at the ward, floor, or individual level
  - HCAHPS questions do not specify individual doctors/nurses
Unofficial use of HCAHPS Survey

• The HCAHPS Survey results are not intended to be used for marketing or promotional activities
  – Only the HCAHPS scores published on the Hospital Compare Web site are the “official” scores
  – Scores derived from any other source are “unofficial” and should be labeled as such

• The HCAHPS Survey and the questions that comprise it are in the public domain and thus can be used outside of official HCAHPS purposes (e.g., for non-HCAHPS eligible patients, etc.)
  – However, when used in an unofficial capacity
    • The HCAHPS OMB language must not be used
    • All references to “HCAHPS” must be removed
    • The copyright statement for the Care Transition Measure (CTM) items must be used
Advertising Guidelines

• The Hospital Compare Web site is the official source of HCAHPS results
  – Reports created by survey vendors or others that mention anything other than the official HCAHPS scores, such as estimates or predictions, must note that such scores or results are “unofficial.” This is done in two ways:
    • The introduction or executive summary of such reports must include the following statement:
      – “This report has been produced by [Survey Vendor] and does not represent official HCAHPS results, which are published on the Hospital Compare Web site (http://www.medicare.gov/hospitalcompare).”
    • Each page of the report where unofficial results are displayed (print or electronic) must contain the following statement:
      – “This report has been produced by [Survey Vendor] and does not represent official HCAHPS results.”

• CMS does not endorse hospitals or survey vendors
  – Or commercial Hospital VBP tools, etc.

• Hospital Compare is designed to provide objective information to help consumers make informed decisions about hospitals
Participation and Program Requirements
Introduction to HCAHPS Survey Training

Participation Overview

• HCAHPS Web site and Technical Support

• Rules of Participation
  – Step 1: Introduction to HCAHPS Survey Training
  – Step 2: Program Participation Form and Teleconference
  – Step 3: The QualityNet Secure Portal Registration
  – Step 4: Data Collection
  – Step 5: Participate in Oversight Activities
  – Step 6: Public Reporting
  – Step 7: Future Update Training

• Minimum Requirements
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HCAHPS Web site and Technical Support

http://www.hcahpsonline.org

- Official web site for content, announcements, *HCAHPS Bulletins*, updates, reminders
- Monitor weekly for “What’s New”
- Quick links to Current News, Background, Participation, etc.

![HCAHPS Web site and Technical Support](http://www.hcahpsonline.org/home.aspx)
Introduction to HCAHPS Survey Training

HCAHPS Web site Home Page

Quick links:
- Current News
- Background
- About the Survey
- CMS Presentation on the HCAHPS Survey and Opoid Misuse
- Commentary on the HCAHPS Survey and Opioid Misuse
- HCAHPS Publications by the HCAHPS Project Team
- Participation
- For More Information
- To Provide Comments or Questions
- Internet Citation

Current News
- CMS Finalizing Removal of the Pain Management Dimension from Hospital Value-Based Purchasing in FY 2018
- HCAHPS 2017 Training Sessions
- Extraordinary Circumstances Extension / Exception (ECE) due to Hurricane Matthew
- Disaster Exemption for Louisiana Hospitals Affected by Severe Storms and Flooding
- Hospital Compare Has Been Refreshed
- Summary Analyses Page Tables Have Been Updated
- The Star Ratings Distributions Have Been Updated
- Updated: HCAHPS Bibliography Citation
- 25 Completed HCAHPS Surveys Required for Hospital HCAHPS Scores to be Publicly Reported on Hospital Compare
- Patient-Mix Coefficients for December 2016 HCAHPS Results Have Been Posted
- Star Ratings: December 2016 Technical Notes Have Been Posted
- HCAHPS Public Reporting Periods for October 2016 Through December 2018 Have Been Posted
- V.34 MS-DRG Codes Effective October 1, 2016
- FY 2017 IPPS Final Rule Has Been Published

Background

The intent of the HCAHPS initiative is to provide a standardized survey instrument and data collection methodology for measuring patients’ perspectives on hospital care. While many hospitals have collected information on patient satisfaction, prior to HCAHPS there was no national standard for collecting or publicly reporting patients’ perspectives of care information that would enable valid comparisons to be made across all hospitals. In order to make “apples to apples” comparisons to support consumer choice, it was necessary to introduce a standard measurement approach: the HCAHPS survey, which is also known as the CAHPS® Hospital Survey, or Hospital CAHPS. HCAHPS is a core set of questions that can be combined with a broader, customized set of hospital-specific items. HCAHPS survey items complement the data hospitals currently collect to support improvements in internal customer services and quality related activities.
HCAHPS Technical Support

- Email: hcahps@hcqis.org
  - Hospital 6 digit CMS Certification Number (CCN)
  - Contact information
  - Hospital name
- Telephone: 1-888-884-4007
  - Hospital 6 digit CCN
  - Contact information
  - Hospital name
Introduction to HCAHPS Survey Training

Step 1: Introduction to HCAHPS Survey Training

• Who is required to attend?
  – Survey vendors
  – Hospitals conducting HCAHPS for multiple sites
  – Hospitals self-administering HCAHPS
  – Subcontractors and other organizations with responsibility for major survey administration functions
  – New project managers

• Who is recommended to attend?
  – New staff assigned to work on HCAHPS administration
  – Hospitals contracting with a survey vendor or another hospital for survey administration
Step 2: Program Participation Form and Teleconference

- Available online at http://www.hcahpsonline.org
  - Participation Forms available March 2, 2017 through March 23, 2017

- Who needs to submit a Participation Form?
  - Hospitals self-administering HCAHPS
  - Hospitals conducting HCAHPS for multiple sites
  - Survey vendors (administering on behalf of hospitals)
  - Not required for hospitals contracting with survey vendor
Step 2: Program Participation Form and Teleconference (cont’d)

- Participation Form must be completed in its entirety
  - Organizations approved to administer the HCAHPS Survey must conduct all business operations within the United States, applicable to all staff and subcontractors
  - An applicant’s prior CAHPS survey administration experience will be considered when reviewing Participation Forms
  - Additional explanations must be provided, if applicable
  - Staff assigned as key HCAHPS project staff must be identified
  - Subcontractors must meet the minimum requirements for the roles they are performing
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Step 3: The QualityNet Secure Portal Registration

• Contact:
  – QualityNet Help Desk (hospitals)
  – HCAHPS Information and Technical Support (survey vendors)

• If already registered with QualityNet, register specifically for HCAHPS and obtain necessary roles
  – Contact QualityNet Help Desk for questions on how to complete the forms

• qnetsupport@hcqis.org
Step 4: Data Collection

• Hospitals/Survey vendors will:
  – Adhere to the HCAHPS QAG V12.0
  – Submit an Exceptions Request Form for consideration of approval for requesting variations to HCAHPS protocols
  – Review the compliance and the accuracy of their data collection processes
  – Alert HCAHPS Project Team to any discrepancies occurring during survey administration and submit a Discrepancy Report online via the HCAHPS Web site
  – Submit data by HCAHPS data submission deadline
Step 5: Participate in Oversight Activities

- Submit HCAHPS Quality Assurance Plan (QAP)
- Submit additional information as requested
- Comply with on-site visit requests
- Comply with conference call requests
- Implement corrective action(s), as necessary
Step 6: Public Reporting

- HCAHPS results will be publicly reported on a quarterly basis on Hospital Compare Web site (https://www.medicare.gov/hospitalcompare)
- The appropriate pledges must be signed and on file
  - Contact the QualityNet Helpdesk for more details
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Step 7: Future Update Trainings

• As scheduled by CMS
• Details to be posted on [http://www.hcahpsonline.org](http://www.hcahpsonline.org)
• Required for all approved survey vendors, hospitals conducting survey for multiple sites, self-administering hospitals, and subcontractors and other organizations
• Recommended for hospitals using a survey vendor
Minimum Requirements

1. Relevant survey experience (also applies to subcontractor)
   - Demonstrated recent experience in fielding patient-specific surveys as an organization using requested mode(s) of administration
     • Survey experience
     • Number of years in business
     • Number of years conducting patient-specific surveys
     • Sampling experience
2. Organizational survey capacity
   - Capability and capacity to handle a required volume of surveys and conduct surveys in specified time frame
     - Personnel (*no volunteers are permitted*)
     - System resources
     - Sample frame creation
     - Survey administration
     - Data submission
     - Data security
     - Data retention and storage
     - Technical assistance/customer support
     - Organizational confidentiality requirements
Minimum Requirements (cont’d)

- The following activities must be performed by staff directly employed by the organization approved to administer the survey
  - Sampling process
  - Data submission
3. Quality control procedures
   - Established systems for conducting and documenting quality control activities
     • In-house training for staff and subcontractors involved in survey operations
     • Quality control activities
       – Documentation and discussion
     • Data quality checks
       – Traceable data trail
       – Review of data files
       – Accuracy of data processing activities
   - QAP documentation requirements (update annually or as needed)
Steps to Join HCAHPS in 2017

1. Submit the HCAHPS Participation Form
   - For self-administering hospitals, hospitals administering survey for multiple sites, and survey vendors
   - Form available online, March 2, 2017

2. If approved, collect and submit HCAHPS Survey data on a continuous basis
Sampling Protocol
Overview

• Steps of Sampling Process
• Methods of Sampling
• Quality Control for Sampling
• Sampling Facts
Steps of Sampling Process

A. Population (All Patient Discharges)
B. Identify *Initially* Eligible Patients
C. Remove Exclusions
D. Perform De-Duplication
E. HCAHPS Sample Frame
F. Draw Sample

See *QAG V12.0, HCAHPS Sampling Protocol Illustration*
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Step A: Population
(All Patient Discharges)
**Introduction to HCAHPS Survey Training**

**Step B: Identify Initially Eligible Patients**

- **All Initially Eligible Patients**
  - 18 years or older at the time of admission
  - Admission includes at least one overnight stay in hospital
  - Non-psychiatric MS-DRG/principal diagnosis at discharge
  - Alive at the time of discharge

- **Ineligible Patients**
  - Record count of ineligible patients
Step C: Remove Exclusions

Exclusions
- “No-Publicity” patients
- Court/Law enforcement patients (i.e., prisoners)
- Patients with a foreign home address
- Patients discharged to hospice care
- Patients who are excluded because of state regulations
- Patients discharged to nursing homes and skilled nursing facilities
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Step D: Perform De-Duplication

- Ineligible Patients
- Exclusions
  - De-Duplication
  - Household
  - Multiple discharges

Remaining Initially Eligible Patients
Step E: HCAHPS Sample Frame

Remaining Initially Eligible Patients from which Sample is Drawn (Sample Frame)

- Ineligible Patients
- Exclusions De-Duplication
Step F: Draw Sample

- Eligible Patients
- Not Selected in Sample
- Ineligible Patients
- Exclusions
- De-Duplication

Sampled Patients
Step F: Draw Sample (cont’d)

- Requirement: Obtain at least 300 completed HCAHPS Surveys in a rolling four-quarter period
  - Small hospitals
    - If cannot obtain 300 completed surveys, sample all eligible discharges
Step F: Draw Sample (cont’d)

• Why 300?
  – For statistical precision of the ratings, which is based on a reliability criterion
  – At least 300 completes ensures that the reliability for the publicly reported measures will be 0.80 or higher
  – Calculate sample size based on target of 335 completes
    • To ensure attaining 300 completes most of the time
Step F: Draw Sample (cont’d)

- Draw a random sample of eligible discharges on a monthly basis
  - Sampling may be daily, weekly, bi-weekly, or at the end of the month
  - Sample frame must include eligible discharges from the entire month
  - All eligible discharges must have a chance of being sampled
Step F: Draw Sample (cont’d)

- Draw sample for each unique CCN
- Hospitals that share CCN
  - At least 300 completes for CCN
  - All hospitals sharing one CCN must participate
  - Use same survey vendor
  - Use same mode of administration
  - Use same sampling type and frequency
Sample Size Calculation

- Estimate the proportion of patients expected to complete the survey:
  
  \[ I = \text{proportion of discharged patients who are ineligible} \]
  
  \[ R = \text{expected response rate among eligible patients} \]
  
  \[ P = \text{the proportion of discharged patients who actually respond to the survey} \]
  
  \[ P = (1 - I) \times R \]
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Step F: Draw Sample (cont’d)

• How many patients need to be sampled to consistently produce at least 300 completes?

C = Number of completed surveys targeted (335)

N_{12} = Number of discharges to be sampled over 12 month period

N_1 = Number of discharges sampled each month

\[
N_{12} = \frac{C}{P} \\
N_1 = \frac{N_{12}}{12}
\]
Example: Sample Size Calculation

Assumptions:

- ~17% of discharged patients will be ineligible for the survey
  - Source: National Hospital Discharge Survey
- ~32% of eligible patients will respond to the survey
  - Source: Historical national average for HCAHPS
- Ineligible rates and response rates should be adjusted based on each hospital’s experience
Example: Sample Size Calculation

1. Estimate the proportion of patients expected to complete the survey:

\[ P = (1 - I) \times R \]

\[ = (1 - 0.170) \times 0.320 \]

\[ = 0.266 \]
Step F: Draw Sample (cont’d)

Example: Sample Size Calculation

2. Determine how many discharges are needed to produce 335 completes:

Per 12-month
\[ N_{12} = \frac{C}{P} \]
\[ = \frac{335}{0.266} \]
\[ = 1,259 \]

Per month
\[ N_1 = \frac{N_{12}}{12} \]
\[ = \frac{1,259}{12} \]
\[ = 105 \]
Step F: Draw Sample (cont’d)

- Should estimate I and R from hospital’s own data
- Should adjust the target in subsequent quarters if not regularly obtaining at least 300 completed surveys
  - Sampling rates should be consistent among the months in a given quarter
Step F: Draw Sample (cont’d)

• If More than 300 Completed Surveys:
  – Do not stop surveying when a total of 300 is reached
  – Continue to survey every patient in the sample
  – Surveying must continue even if hospital’s predetermined target (quota) has been met
  – Full protocol for each mode of administration must be completed
  – Submit the entire sample
Step F: Draw Sample (cont’d)

• If Less Than 300 Completed Surveys:
  – Attempt to obtain as many as possible
  – Survey all eligible discharges
  – All hospital results will be publicly reported on Hospital Compare Web site
  – The lower precision of scores based on less than 100 and less than 50 completed surveys will be noted in public reporting
Methods of Sampling

• **Option 1: Simple Random Sample (SRS)**
  - Group of patients randomly selected from a larger group
  - Census sample of all eligible patients is considered a simple random sample
  - *All patients have equal probability of selection (equiprobable)*
• SRS Example 1: Daily simple random sampling throughout the month
  – Based on randomly sorting each day’s eligible discharges and sampling 40% from each day

**Day 1:**
- 10 eligible discharges are randomly sorted, then numbered 1 through 10
- 4 patients (40%) would be selected for Day 1
- Since patients are randomly sorted, the first 4 patients are chosen
  \[1, 2, 3, 4, 5, 6, 7, 8, 9, 10\]

**Day 2:**
- 8 eligible discharges are randomly sorted, then numbered 1 through 8
- 40% of 8 patients is 3.2, which rounds to 3 patients
- Again, since random sorting was performed, the first 3 patients are selected
  \[1, 2, 3, 4, 5, 6, 7, 8\]
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Methods of Sampling (cont’d)

• SRS Example 2: Census sampling
  – Hospital chooses to sample all eligible discharges
    • Each patient has an equal chance (100%) of being included in the sample and the patients are not stratified in any manner
  – Hospital has 80 eligible discharges for a given month
    • Each of the 80 eligible patients is included in the hospital’s HCAHPS sample
Methods of Sampling (cont’d)

- **Option 2: Proportionate Stratified Random Sample (PSRS)**
  - Patient discharge population divided into strata
    - Due to sampling (by day or by week)
    - Divided by hospital unit, or floor, etc.
    - Multiple hospitals share the same CCN and the random sample is drawn separately from each hospital before each hospital’s data are combined
  - **Same sampling ratio** applied to each stratum
    - *All eligible discharges have equal probability of selection* *(equiprobable)*
  - Exceptions Request Form not required
Methods of Sampling (cont’d)

- **PSRS Example 1: Weeks—Strata are defined as weeks within a month**
  - Sample is pulled each week, creating 5 strata: Wk1, Wk2, Wk3, Wk4, Wk5
  - Even though the number of eligible discharges differs across the five weeks, the same proportion (or percentage) of “sampled” discharges is used each week
  - 20% of eligible discharges are randomly pulled from each stratum
  - Results in different number sampled from each week, but each eligible discharge had an equal chance of being chosen

<table>
<thead>
<tr>
<th>Stratum</th>
<th>Week</th>
<th>Eligible Discharges</th>
<th>Sampling Rate</th>
<th>Sampled Patients</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>20</td>
<td>0.20</td>
<td>20 * 0.20 = 4</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>25</td>
<td>0.20</td>
<td>25 * 0.20 = 5</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td>30</td>
<td>0.20</td>
<td>30 * 0.20 = 6</td>
</tr>
<tr>
<td>4</td>
<td>4</td>
<td>15</td>
<td>0.20</td>
<td>15 * 0.20 = 3</td>
</tr>
<tr>
<td>5</td>
<td>5</td>
<td>10</td>
<td>0.20</td>
<td>10 * 0.20 = 2</td>
</tr>
</tbody>
</table>
Methods of Sampling (cont’d)

• PSRS Example 2: Hospital Units—Strata are defined as units within a hospital
  - Sample is pulled from three units, creating 3 strata: Unit 1, Unit 2, and Unit 3
  - Even though the number of eligible discharges is different in each of the three units, the same sampling ratio is used for each unit
  - 30% of eligible discharges are randomly pulled from each stratum
  - Results in different number sampled from each unit, but each eligible discharge had an equal chance of being chosen

<table>
<thead>
<tr>
<th>Stratum</th>
<th>Unit</th>
<th>Eligible Discharges</th>
<th>Sampling Rate</th>
<th>Sampled Patients</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>150</td>
<td>0.30</td>
<td>150 * 0.30 = 45</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>50</td>
<td>0.30</td>
<td>50 * 0.30 = 15</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td>400</td>
<td>0.30</td>
<td>400 * 0.30 = 120</td>
</tr>
</tbody>
</table>
**Methods of Sampling (cont’d)**

- **Option 3: Disproportionate Stratified Random Sample (DSRS)**
  - Patient discharge population divided into strata
  - Dissimilar sampling ratio applied to each stratum
    - *Some patients have higher probability of selection (not equiprobable)*
  - Sample a minimum of 10 eligible discharges in every stratum in every month
  - Additional information collected to weight data
  - Exceptions Request Form required
**Methods of Sampling (cont’d)**

- **DSRS Example 1: Hospital Units—Strata are defined as units within a hospital**
  - A sample is pulled for three units in each month, creating three strata: Unit 1, Unit 2, and Unit 3.
  - Even though the number of eligible discharges is different in each of the three units, the same number of eligible discharges from each unit is selected.
  - Ten eligible discharges are randomly pulled from each unit.
  - The number of eligible discharges selected for the sample does not result in the same proportion of discharges across the three units.

<table>
<thead>
<tr>
<th>Stratum</th>
<th>Unit</th>
<th>Eligible Discharges</th>
<th>Sampling Rate</th>
<th>Sampled Patients</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>20</td>
<td>0.50</td>
<td>20 * 0.50 = 10</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>40</td>
<td>0.25</td>
<td>40 * 0.25 = 10</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td>100</td>
<td>0.10</td>
<td>100 * 0.10 = 10</td>
</tr>
</tbody>
</table>
Methods of Sampling (cont’d)

- DSRS Example 2: Weeks—Strata are defined as weekly time periods
  - A sample is pulled in each week of the month
  - Sampling rates used are: 10%, 50%, 50%, 10%, and 50% for Week 1, Week 2, Week 3, Week 4, and Week 5, respectively

<table>
<thead>
<tr>
<th>Stratum</th>
<th>Week</th>
<th>Eligible Discharges</th>
<th>Sampling Rate</th>
<th>Sampled Patients</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>100</td>
<td>0.10</td>
<td>100 * 0.10 = 10</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>108</td>
<td>0.50</td>
<td>108 * 0.50 = 54</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td>102</td>
<td>0.50</td>
<td>102 * 0.50 = 51</td>
</tr>
<tr>
<td>4</td>
<td>4</td>
<td>110</td>
<td>0.10</td>
<td>110 * 0.10 = 11</td>
</tr>
<tr>
<td>5</td>
<td>5</td>
<td>30</td>
<td>0.50</td>
<td>30 * 0.50 = 15</td>
</tr>
</tbody>
</table>
Population, Sample Frame and Sample

Hospital Population (All Patient Discharges) = 1 + 2 + 3 + 4 + 5

HCAHPS Sample Frame: = 1 + 2

Sampled Patients: = 1
Quality Control for Sampling

- Receipt of patient discharge list
  - Within 42-day initial contact period
  - Secure file transfer
- Application of eligibility and exclusion criteria
- Method used to determine HCAHPS Service Line
- Update patient discharge information
- All patients have opportunity to be selected
Key Sampling Facts

- Same sampling type must be maintained throughout the quarter
- Sample must include discharges from each month in the 12-month reporting period
- HCAHPS sample drawn first if multiple surveys administered
- Do not stop sampling/surveying if 300 completed surveys are attained
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Survey Administration
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Overview

- Survey Management
- Survey Instruments and Materials
- Supplemental Questions
- Modes of Survey Administration
  - Mail Only
  - Telephone Only
  - Mixed Mode (Mail with Telephone Follow-up)
  - Active Interactive Voice Response (IVR)
Survey Management

- Establish survey management process to administer survey (Section V QAG V12.0)
  - System resources
  - Customer support lines
  - Personnel training
  - Monitoring and quality oversight
  - Safeguarding patient confidentiality and privacy
  - Data security
  - Data retention
  - Disaster recovery plan
Survey Management (cont’d)

• System resources
  – Adequate physical plant resources available to handle survey volume
  – Survey system to track sampled patients through the data collection protocol
    • Store the sample frame
    • Track key events
    • Assign random, unique, de-identified IDs and match to outcome for each sampled patient
Introduction to HCAHPS Survey Training

Survey Management (cont’d)

- Requirements for hospital/survey vendor customer support telephone lines
  - Survey vendor must maintain a toll-free customer support line
  - Telephone staffed live during business hours
  - Voice mail is acceptable “after hours,” but must be regularly monitored and replied to within one business day
  - Voice mail recording must specify that the caller can leave a message about the HCAHPS Survey
  - Database or tracking log of calls maintained
Survey Management (cont’d)

- Customer support lines provided by hospitals that contract with survey vendors
  - The survey vendor is responsible for monitoring the hospital’s customer support line, at a minimum on a quarterly basis
  - Blind calls are placed to each hospital client’s customer support line to check the accuracy of responses to questions and to assess hospital compliance with HCAHPS customer support guidelines
  - Questions from Appendix N, Section I QAG V12.0, should be used during the quarterly monitoring/assessment activity
  - Hospitals/Survey vendors must document questions and responses
Survey Management (cont’d)

• Personnel training
  – HCAHPS project staff (no volunteers permitted)
    • Customer support
    • Mailout and data entry
    • Telephone interviewers/IVR operators
    • Programmers
  – Monitoring and quality oversight of staff
    • Ongoing monitoring of staff and subcontractors
    • System to evaluate patterns of errors
    • Detection and correction of performance problems
    • Documentation of QA activities
Survey Management (cont’d)

- Safeguarding patient data
  - Follow HIPAA guidelines
  - Restrict access to confidential data
  - Obtain confidentiality agreements, which contain language related to HIPAA regulations and the protection of patient information, from staff and subcontractors who have access to confidential information
    - Review and re-sign periodically at a minimum of every 3 years
  - Establish protocols for identifying security breaches and instituting corrective actions
Survey Management (cont’d)

- Patient confidentiality and data security
  - Establish protocols for secure patient discharge file transfer from hospitals
    - Emailing of PHI via unsecure email is prohibited
  - Recommend that hospital’s HIPAA privacy officer confirm that hospital’s transmission method for patient discharge files are in compliance with HIPAA regulations
  - HCAHPS Survey question responses are confidential and private, and are de-identified in submission to CMS
Survey Management (cont’d)

- Physical and electronic data security guidelines
  - Returned mail surveys and electronically scanned questionnaires are stored in secure and environmentally controlled location
  - All HCAHPS-related files, including patient discharge files, must be retained for a minimum of three years
  - Firewalls and other mechanisms are employed for preventing unauthorized system access
  - Access levels and security passwords are used to safeguard sensitive data
Survey Management (cont’d)

• Physical and electronic data security guidelines
  – Physical and electronic data files must be easily retrievable regardless of whether they have been archived
  – Backup procedures are in place to safeguard system data
  – Frequent saves are made to media to minimize data losses
  – Electronic data backup files must be tested quarterly
  – Security safeguards for physical location
  – Disaster recovery plan in place
Introduction to HCAHPS Survey Training

Survey Instruments and Materials

• HCAHPS Survey
  – 32 question survey
    • Questions 1-25 are Core questions
    • Questions 26-32 are “About You” questions
  – Mail questionnaire, translations and materials found in QAG Appendices A through F
  – Telephone and IVR scripts and translations found in QAG Appendices G through L
Communication with Patients about the HCAHPS Survey

- Cannot show the HCAHPS Survey or cover letter to patients prior to discharge from the hospital
- Cannot mail any pre-notification letters or postcards after discharge informing patients about the HCAHPS Survey
- See Section III QAG V12.0
Program Requirements

• Guidelines for using other hospital inpatient surveys with HCAHPS
  – HCAHPS should be the **first** survey patients receive about their hospital experience
  – Questions must not resemble any HCAHPS items or their response categories
  – Refer to HCAHPS Bulletin Number 2009-01 Revised which is posted on the HCAHPS Web site
  – **Section III QAG V12.0 and Appendix Y**
    • Examples provided of not permissible and alternate questions
Supplemental Questions

• May add a reasonable number of supplemental questions to the HCAHPS Survey
  – Questions may be added after the set of Core items or may be added before or after the set of “About You” items

• Use appropriate phrasing to transition from the HCAHPS Survey to the supplemental items
  – Examples: “The following questions focus on additional care you may have received from Hospital X.” [OR]

“This next set of questions is to provide the hospital additional feedback about your hospital stay.”
Supplemental Questions (cont’d)

- When asking patients to provide their name, telephone number or other contact information
  - There must be explanatory text identifying why the request to optionally provide the patient name, telephone number or other contact information is included on the survey
  - This text must appear before the requested information and state the purpose for the patient to optionally provide the requested information. It is NOT sufficient to only state that this information is optional.
  - The following are examples of permissible explanatory text:
    - “If you wish to be contacted by the hospital, please provide your name and telephone number. This information is not required.”
    - “By providing your name and telephone number you may be contacted by the hospital regarding your survey responses. This information is not required.”
Introduction to HCAHPS Survey Training

Modes of Administration Overview

- Data collection begins between 48 hours and 6 weeks (42 calendar days) after discharge from hospital
- No proxy respondents
- No communication to patients that is intended to influence survey results
- No incentives of any kind
- If a patient is found to be ineligible, discontinue survey administration for that patient
No changes are permitted to the content or order of the HCAHPS questions or answer categories for the Core or “About You” questions.

The “About You” questions must remain as one block of questions, regardless of whether they follow the Core or supplemental questions.

Final data files are submitted to CMS via the QualityNet Secure Portal by the data submission deadline.
Introduction to HCAHPS Survey Training

Modes of Administration Overview (cont’d)

• Copyright language must be added to the HCAHPS Survey:
  – “Questions 1-22 and 26-32 are part of the HCAHPS Survey and are works of the U.S. Government. These HCAHPS questions are in the public domain and therefore are NOT subject to U.S. copyright laws. The three Care Transitions Measure® questions (Questions 23-25) are copyright of Eric A. Coleman, MD, MPH, all rights reserved.”
Mail Only Mode

• Protocol
  – Send first questionnaire with initial cover letter to sampled patient(s) between 48 hours and 6 weeks (42 calendar days) after discharge
  – Send second questionnaire with follow-up cover letter to non-respondent(s) approximately 21 calendar days after the first questionnaire mailing
  – Complete data collection within 42 calendar days after the first questionnaire mailing
  – Submit data to CMS via the QualityNet Secure Portal by the data submission deadline
Mail Only Mode (cont’d)

• Cover letter specifications
  – Name and address of sampled patient included
    • “To Whom It May Concern” is not acceptable salutation
  – OMB language included
  – Letter is not attached to the survey
  – Customization is acceptable; cannot add content that would introduce bias
  – Letter printed on hospital or survey vendor letterhead
  – Signed by hospital administrator or survey vendor project director
    • Electronic signature acceptable
Mail Only Mode (cont’d)

• Cover letter specifications (cont’d)
  – Language indicating the purpose of the unique patient identifier must be printed either on the cover letter or after the survey instructions on the questionnaire (or on both)
    • “You may notice a number on the survey. This number is used to let us know if you returned your survey so we don’t have to send you reminders.”
  – Hospital name and discharge date to make certain that the patient completes the survey based on the hospital stay associated with that particular discharge date
  – The term “discharged on” must be used in the cover letters
Mail Only Mode (cont’d)

- Cover letter language requirements
  - Purpose of survey
    - “Questions 1-25 in the enclosed survey are part of a national initiative sponsored by the United States Department of Health and Human Services to measure the quality of care in hospitals.”
    - Participation is voluntary
    - Hospital name and discharge date of patient
    - Patient’s health benefits will not be affected by participation in the survey
    - Customer support number
    - If applicable, add language that answers will be shared with hospitals for purposes of quality improvement
Mail Only Mode (cont’d)

• Cover letter requirements
  – OMB Paperwork Reduction Act language: “According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0981. The time required to complete this information collected is estimated to average 8 minutes for questions 1-25 on the survey, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: Centers for Medicare & Medicaid Services, 7500 Security Boulevard, C1-25-05, Baltimore, MD 21244-1850.”
Introduction to HCAHPS Survey Training

Mail Only Mode (cont’d)

- Questionnaire guidelines and formatting requirements
  - Question and answer category wording is not changed nor is the order of Core HCAHPS questions or answer categories
  - “About You” questions follow the Core HCAHPS questions and remain as one block
  - Question and answer categories remain together in the same columns and on the same pages
  - Randomly generated unique identifiers for patient tracking purposes are placed on the first or last pages of the survey and may appear on all pages
Mail Only Mode (cont’d)

- Questionnaire guidelines and formatting requirements (cont’d)
  - All instructions on the top of the survey are copied verbatim
  - The patient’s name is not printed on the survey
  - Name and return address of hospital/survey vendor must be printed on the last page of questionnaire
    - If hospital/survey vendor name is used, must not use alias or tag line
  - The OMB control number (OMB #0938-0981) must appear on the front page of the survey or on the cover letter
Mail Only Mode (cont’d)

• Questionnaire guidelines and formatting requirements (cont’d)
  – Question and response options must be listed vertically
    • Response options listed horizontally or in a combined vertical and horizontal format are not allowed
    • No matrix formats allowed for question and answer categories
  – Wording that is underlined in the HCAHPS questionnaire must be underlined in the hospital or survey vendor questionnaire
  – Arrows | ➔ | that show skip patterns in the HCAHPS questions or response options must be included in hospital or survey vendor questionnaire
  – Survey materials must be in a readable font (e.g. Arial, Times New Roman) with a font size of 10-point or larger
Mail Only Mode (cont’d)

• Mail Out-Requirements
  – Guidelines for mailings
    • Addresses acquired from hospital record
    • Addresses updated using commercial software
    • Mailings sent to patients by name
  – Mailing content
    • Survey mailings include
      – Cover letter
      – Questionnaire
      – Self-addressed, stamped business reply envelope
      – First class postage or indicia, suggested
Mail Only Mode (cont’d)

• Patients without Mailing Addresses
  – Hospitals/Survey vendors must make every reasonable attempt to obtain a patient’s address, including recontacting the hospital client to inquire about an address update for patients with no mailing address
  • Hospitals/Survey vendors have flexibility in not sending mail surveys to patients without fixed mailing addresses, such as the homeless
    – Note: these patients cannot be removed from the sample
• Attempts to obtain patient’s address must be documented
Mail Only Mode (cont’d)

• Data receipt and entry
  – Key entry or scanning allowed for data capture
    • Key-entered data is entered a second time by different staff and any discrepancies between the two entries are identified; discrepancies should be reconciled
    • Programs verify that record is unique and has not been returned already
    • Programs identify invalid or out-of-range responses
Mail Only Mode *(cont’d)*

- Data receipt and entry *(cont’d)*
  - Record survey receipt in a timely manner
  - Surveys are date stamped
  - Ambiguous responses follow HCAHPS decision rules
  - Calculate lag time
  - Assign final survey status code
  - Capture mail wave attempt
Mail Only Mode (cont’d)

- Data retention and storage guidelines
  - Paper questionnaires that are key-entered must be stored in a secure and environmentally controlled location for a minimum of three years
  - Optically scanned questionnaire images must be retained in a secure manner for a minimum of three years and are easily retrievable
Mail Only Mode (cont’d)

• Quality control guidelines
  – Hospitals/Survey vendors must:
    • Update address information
    • Check quality and inclusion of all survey materials
    • Check a sample of mailings for inclusion of all sampled patients
    • Provide ongoing oversight of staff and subcontractors
Mail Only Mode (cont’d)

• Quality control guidelines (cont’d)
  – Hospitals/Survey vendors must:
    • Conduct seeded (embedded) mailings to designated hospital or survey vendor HCAHPS project staff on a quarterly basis to check for:
      – Timeliness of delivery
      – Accuracy of address
      – Accuracy and quality of mailing contents
    • Document results of all oversight activities
Telephone Only Mode

• Protocol
  – Initiate first telephone attempt with sampled patients between 48 hours and 6 weeks (42 calendar days) after discharge
  – Complete data collection within 42 calendar days after the first telephone attempt
  – Maximum of five telephone attempts made at different times of day, on different days of the week, spanning more than one week (eight days or more), between 9AM and 9PM patient time
  – Submit data to CMS via the QualityNet Secure Portal by the data submission deadline
Telephone Only Mode (cont’d)

• Telephone Script
  – Standardized HCAHPS telephone script provided in Appendices G (English), H (Spanish), I (Chinese), and J (Russian) in QAG V12.0
    • Entire telephone script must be read verbatim
  – Question and answer category wording must not be changed nor the order of questions and answer categories
  – Core survey questions must be placed at the beginning of the survey
  – “About You” questions are placed anywhere after the Core survey questions and must remain together as one block of questions
  – Only one language (English, Spanish, Chinese, or Russian) may appear on the interviewing screen at a time
Telephone Only Mode (cont’d)

- Interviewing Systems
  - Electronic telephone interviewing, including CATI or other alternative systems (required of survey vendors and of hospitals conducting surveys for multiple sites)
    - Programmed with standardized HCAHPS telephone script
    - Linked electronically to survey management system
  - Manual data collection (allowed only for hospitals self-administering surveys)
    - Follow standardized HCAHPS telephone script using paper questionnaires to record responses
    - Key entry, scanning
Phone Only Mode (cont’d)

- Survey administration must be conducted in accordance with the Telephone Consumer Protection Act (TCPA) regulations.
  - Cell phone numbers must be identified so that CATI systems with auto dialers do not call cell phone numbers without the permission of the respondent. Survey vendors may identify cell phone numbers through a commercial database and hospitals may identify cell phone numbers upon patient admission.
  - Predictive dialing may be used as long as there is a live interviewer to interact with the patient, and the system is compliant with Federal Trade Commission (FTC) and Federal Communications Commission (FCC) regulations.
Telephone Only Mode (cont’d)

• Interviewing Systems (cont’d)
  – Monitoring and recording of telephone calls
    • Follow state regulations
  – Caller ID
    • May be programmed to display “on behalf of [HOSPITAL NAME]” with permission and compliance of hospital’s HIPAA/Privacy officer
  – Every question should have a “MISSING/DON’T KNOW” option available
    • Interviewers should not read as a response option
  – All underlined content must be emphasized
  – Skip patterns and conventions should be programmed into system
Telephone Only Mode (cont’d)

- Obtaining Telephone Numbers
  - Main source of telephone numbers is hospital discharge records
  - Attempts must be made to update missing or incorrect telephone numbers using:
    - Commercial software
    - Internet directories
    - Directory assistance
    - Other tested methods
• Definition of a Telephone Attempt
  - Telephone rings six times with no answer
  - Interviewer reaches a wrong number
  - An answering machine or voice mail is reached (do not leave message)
  - Interviewer reaches the household and is told that the patient is not available to come to the telephone or has a new number
  - Patient asks the interviewer to call back at a more convenient time
    • If possible, the call back should be scheduled at the patient’s convenience
  - Busy signal
    • At the discretion of the hospital/survey vendor a telephone attempt can consist of three consecutive telephone attempts made at approximately 20-minute intervals
Telephone Only Mode (cont’d)

• Data Receipt and Data Entry
  – Maintain a crosswalk of interim disposition codes to HCAHPS Final Survey Status codes
  – Assign final survey status code
  – Capture the telephone attempt in which the final disposition of the survey is determined
  – Calculate lag time
Telephone Only Mode (cont’d)

• Data Retention and Data Storage
  – Data collected through electronic telephone interviewing systems and optically scanned paper questionnaire images must be maintained in a secure manner for a minimum of three years
  – Paper questionnaires collected manually and then key-entered must be stored in a secure and environmentally controlled location for a minimum of three years
Introduction to HCAHPS Survey Training

Telephone Only Mode (cont’d)

• Quality Control Guidelines
  – Telephone monitoring and oversight of staff and subcontractors
    • At least 10% of HCAHPS attempts and interviews must be monitored by survey vendor and its subcontractor (if applicable)
    • All interviewers conducting HCAHPS Surveys must be monitored
    • All translations in which the survey is administered must be monitored
Interviewer Training

– Formal interviewer training is required to ensure standardized, non-directive interviews
  • Interviewers should be knowledgeable about the survey and prepared to answer questions
  • See HCAHPS FAQs in Appendix N

– Survey Introduction

– Interviewing Guidelines and Conventions
  • System Conventions
  • Avoiding Refusals
  • Probing for Complete Answers
Survey Introduction

- Introduction script provides survey purpose
- Verifies eligibility of the respondent
  - Confirm hospital and discharge date
- Informs respondent that survey will take about eight minutes or [HOSPITAL/SURVEY VENDOR SPECIFY]
- Survey vendors that subcontract call center services must state survey vendor name in the CATI script introduction for the data collection contractor: “...calling from [DATA COLLECTION CONTRACTOR] on behalf of [HOSPITAL NAME]...”
- Provides guidance for people wishing to act as a proxy for sampled patients
Telephone Only Mode (cont’d)

- Interviewing Guidelines and Conventions
  - System conventions
    - Text that appears in lower case letters must be read out loud
    - Text in UPPER CASE letters must **not** be read out loud
    - Text that is *underlined* must be emphasized
    - Characters in `< >` must **not** be read out loud
    - [Square brackets] are used to show programming instructions that must not actually appear on the computerized interviewing screens
    - Skip patterns should be programmed into the electronic telephone interviewing system
• Interviewing Guidelines and Conventions (cont’d)
  – Asking questions and probing:
    • Questions, transitions and response choices are read \textit{exactly} as worded on script
    • Do not provide extra information or lengthy explanations to respondent questions
    • End the survey by thanking the respondent for his or her time
  – Avoiding refusals
    • Be prepared to convert a soft refusal into a completed survey
    • Emphasize importance of participation
    • Never argue with or antagonize a patient
    • Remember! First moments of the interview are most critical for gaining participation
Telephone Only Mode (cont’d)

• Interviewing Guidelines and Conventions (cont’d)
  – Probing for complete data
    • When respondent fails to provide adequate answer
    • Never interpret answers for respondents
    • Code “MISSING/DON’T KNOW” when respondent cannot/does not provide complete answer after probing
  – Types of probes:
    • Repeat question and answer categories
    • Interviewer may state:
      – “Take a minute to think about it”
      – “So would you say…”
      – “Which would you say is closer to the answer?”
Example of response probe: Overall Health (Question 27)

In general, how would you rate your overall health? Would you say that it is...

<1> Excellent,
<2> Very good,
<3> Good,
<4> Fair, or
<5> Poor?
<M> MISSING/DK
Telephone Only Mode (cont’d)

• Example of response probe: Overall Health (Question 27) (cont’d)

  • Patient 1 Answers
    – “My health is okay.”

  • Probe for Patient 1
    – “We’re asking you to choose one response. Would you say your overall health is…”

  [Repeat all answer categories]

  • Patient 2 Answers
    – “My health is great.”

  • Probe for Patient 2
    – “Would you then rate your overall health as Excellent, Very good or Good?”
Telephone Only Mode (cont’d)

- **Example of response probe: Education (Question 29)**

What is the highest grade or level of school that you have **completed**? Please listen to all six response choices before you answer. Did you...

1. Complete the 8th grade or less,
2. Complete some high school, but did not graduate,
3. Graduate from high school or earn a GED,
4. Complete some college or earn a 2-year degree,
5. Graduate from a 4-year college, or
6. Complete more than a 4-year college degree?

[M] MISSING/DK
Example of response probe: Education (Question 29) (cont’d)

- Patient 1 Answers
  - “I graduated from school.”

- Probe for Patient 1
  - “We’re asking you about the highest grade or level of school that you completed. Would you say you completed...” [Repeat all answer categories]

- Patient 2 Answers
  - “I graduated from college.”

- Probe for Patient 2
  - “We’re asking you about the highest grade or level of school that you completed. So would you say completed some college or earned a 2-year degree, graduated from a 4-year college, or completed more than a 4-year college degree?”
Race Question (Question 31)

When I read the following, please tell me if the category describes your race. I am required to read all five categories. Please answer yes or no to each of the categories.

Q31A Are you White?
    <1> YES/WHITE
    <0> NO/NOT WHITE
    <M> MISSING/DK

Q31B Are you Black or African-American?
    <1> YES/BLACK OR AFRICAN-AMERICAN
    <0> NO/NOT BLACK OR AFRICAN-AMERICAN
    <M> MISSING/DK

Q31C Are you Asian?
    <1> YES/ASIAN
    <0> NO/NOT ASIAN
    <M> MISSING/DK

Q31D Are you Native Hawaiian or other Pacific Islander?
    <1> YES/NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER
    <0> NO/NOT NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER
    <M> MISSING/DK

Q31E Are you American Indian or Alaska Native?
    <1> YES/AMERICAN INDIAN OR ALASKA NATIVE
    <0> NO/NOT AMERICAN INDIAN OR ALASKA NATIVE
    <M> MISSING/DK
Introduction to HCAHPS Survey Training

Mixed Mode

• Protocol – Mail followed by Telephone
  – Mixed Mode survey administration
    • Follow guidelines for Mail Only mode
      – Use one questionnaire mailing instead of two
      – Send questionnaire with cover letter to sampled patients between 48 hours and six weeks (42 calendar days) after discharge
    • Follow guidelines for Telephone Only mode
      – Initiate first telephone attempt for all non-respondents approximately 21 calendar days after mailing the questionnaire
        • Maximum of five telephone attempts made at different times of day, on different days of the week spanning more than one week (eight days or more), between 9AM and 9PM patient time
      – Complete telephone sequence within 42 calendar days of Mixed Mode initiation
    – Submit data to CMS via the QualityNet Secure Portal by the data submission deadline
Mixed Mode (cont’d)

- Hospitals/Survey vendors must keep track of the mode and attempt in which each survey was completed (i.e., Mail or Telephone):
  1. For completed surveys, retain documentation in survey management system that the patient completed the survey in the Mail phase or Telephone phase of the Mixed Mode of survey administration, then
  2. Assign the appropriate “Survey Completion Mode” and the “Number of Survey Attempts – Telephone” in which the survey was completed or final survey status is determined.
Active Interactive Voice Response (IVR) Mode

• Protocol
  – Initiate first IVR attempt with sampled patient(s) between 48 hours and six weeks (42 calendar days) after discharge
  – Complete data collection within 42 calendar days after the first IVR attempt
    • Maximum of five IVR attempts made at different times of day, on different days of the week spanning more than one week (eight days or more), between 9AM and 9PM patient time
  – Submit data to CMS via the QualityNet Secure Portal by the data submission deadline
Active IVR Mode (cont’d)

• IVR Interviewing Systems
  – Programmed with standardized HCAHPS IVR script provided in Appendices K and L of QAG V12.0
  – Follow Telephone Only mode system conventions
  – English and Spanish
  – Capable of recording and storing patient answers
  – Capable of touch tone key pad response
  – Telephone interviewing option must be available for patients who do not want to continue with IVR
Active IVR Mode (cont’d)

- **Live Operator**
  - Reads IVR introduction script, then transitions patient to IVR
  - Must be available to answer questions/FAQs
  - Must be available to triage patients to another electronic system (CATI) or to conduct the interview themselves for reluctant respondents

- **Follow Telephone Only Mode Guidelines**
  - Data collection, data receipt and retention
  - Quality control guidelines
    - Staff/Subcontractor training
    - Monitoring and oversight
    - Documentation
Active IVR Mode (cont’d)

• Hospitals/Survey vendors must keep track of the mode and attempt in which each survey was completed (i.e., IVR or Telephone):
  1. For completed surveys, retain documentation in the survey management system that the patient completed the survey in the IVR mode or Telephone mode of the IVR mode of survey administration, then
  2. Assign the appropriate “Survey Completion Mode” and “Number of Survey Attempts – Telephone” in which the survey was completed or final survey status is determined
Questions?
Break
Data Coding and Preparation
Data Coding Overview

- General Data Coding
- Decision Rules for Data Capture (Mail)
- Decision Rules for Screener and Dependent Questions (All Modes)
- Final Survey Status/Disposition Codes
  - Definition of a Completed Survey
General Data Coding

• Enter survey responses as answered by the patient
• For surveys with “Final Survey Status” codes of “1 – Completed Survey” or “6 – Non-response: Break-off”
  – A value must be entered for all survey questions
  – Appendix P: Data File Structure Version 3.9 (effective 3Q 2017) provides valid values
• Include decision rules and coding guidelines, and quality control procedures in materials and training
Introduction to HCAHPS Survey Training

Decision Rules for Data Capture (Mail)

- Standardized rules ensure consistency across hospitals/survey vendors
- Apply decision rules to both scanned and key-entered data
- If a patient completes two surveys for the same hospital visit, use the first survey returned
Decision Rules for Data Capture (cont’d)

- 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

X Sometimes

☐ Usually

☐ Always

Code as: “2 - Sometimes”
Decision Rules for Data Capture (cont’d)

- If a mark falls equidistant between two choices, code the value of the item as “M – Missing/Don’t Know”
- Do not impute a response

Example 2 (Mail)

☐ Never
X
☐ Sometimes
☐ Usually
☐ Always

Code as: “M - Missing/Don’t Know”
• When more than one response choice is marked, code the value as “M – Missing/Don’t Know” – Do not impute a response

• **Exception**: For Race Question, enter responses for ALL of the categories that the respondent selected

Example 3 (Mail)

- **Never**
- **Sometimes**
- **Usually**
- **Always**

Code as: “M - Missing/Don’t Know”
• When more than one response choice is marked, but the respondent’s intent is clear, code the intended response.

**Example 4 (Mail)**

- [x] Never
- [x] Sometimes
- [ ] Usually
- [ ] Always

Code as: “2 - Sometimes”
Decision Rules for Screener and Dependent Questions (All Modes)

• Screener Question – instructs patient to skip subsequent questions for select response choices
  – Questions 10, 12, 15, 18

• Dependent Question – questions skipped based on patient’s response to screener question
  – Questions 11, 13, 14, 16, 17, 19, 20
Decision Rules for Screener and Dependent Questions (All Modes) (cont’d)

- Code appropriately skipped questions as “8 – Not Applicable”
- Code other scenarios as answered by the patient (do not “clean” skip pattern errors)
- Hospitals/Survey vendors apply this rule to data collected via mail, telephone and IVR
12. During this hospital stay, did you need medicine for pain?
- Yes
- No → If no, Go to Question 15

Example 1 (Mail)
Code as: “1 - Yes”

13. During this hospital stay, how often was your pain well controlled?
- Never
- Sometimes
- Usually
- Always

Code as: “M - Missing/Don’t Know”
Introduction to HCAHPS Survey Training

Decision Rules for Screener and Dependent Questions (cont’d)

12. During this hospital stay, did you need medicine for pain?
   □ Yes
   □ No → If no, Go to Question 15

Example 2 (Mail)

13. During this hospital stay, how often was your pain well controlled?
   □ Never
   □ Sometimes
   □ Usually
   □ Always

Code as:
“1 - Yes”

Code as:
“3 - Usually”
12. During this hospital stay, did you need medicine for pain?
□ Yes
☒ No → If no, Go to Question 15

13. During this hospital stay, how often was your pain well controlled?
□ Never
□ Sometimes
□ Usually
□ Always

Example 3 (Mail)
Code as:
“2 - No”

Code as:
“8 - Not Applicable”
12. During this hospital stay, did you need medicine for pain?
   □ Yes
   □ No → If no, Go to Question 15

13. During this hospital stay, how often was your pain well controlled?
   □ Never
   □ Sometimes
   □ Usually
   □ Always

Example 4 (Mail)

Code as:
“2 - No”

Code as:
“2 - Sometimes”
Decision Rules for Screener and Dependent Questions (cont’d)

12. During this hospital stay, did you need medicine for pain?
   □ Yes
   □ No → If no, Go to Question 15

13. During this hospital stay, how often was your pain well controlled?
   □ Never
   □ Sometimes
   □ Usually
   X Usually
   □ Always

Example 5 (Mail)

Code as: “M - Missing/Don’t Know”

Code as: “3 - Usually”
Decision Rules for Screener and Dependent Questions (cont’d)

• For the **Telephone** and **IVR survey** modes, skip patterns should be programmed into the electronic telephone interviewing/IVR system
  – If screener questions are answered either “No” or “Another Health Facility,” then the appropriately skipped dependent questions should be coded as “8 – Not applicable”
  – If screener questions are not answered (“Missing/Don’t Know”), then the appropriately skipped dependent questions should be coded as “M – Missing/Don’t Know”
Final Survey Status/Disposition Codes

- **1 – Completed Survey**
  - At least 50 percent of the 18 questions applicable to all patients are answered
  - Questions applicable to all patients are *included*
    - Questions 1 through 10, 12, 15, 18, and 21-25
  - Questions not applicable to all patients (e.g., skip pattern and “About You” questions) are *excluded*
    - Questions 11, 13, 14, 16, 17, 19, 20, and 26–32
  - See Completed Survey Calculation Example in *QAG V12.0*
Ineligible

- 2 – Deceased
  - Patient was alive at the time of discharge but deceased by time of survey administration
Eligibility Criteria

- 18 years old or older at the time of hospital admission
- Admission includes at least one overnight stay in the hospital as an inpatient
- Non-psychiatric principal diagnosis at discharge
- Alive at the time of discharge

Exclusions

- “No-Publicity” patient
- Court/Law enforcement patient (i.e., prisoners) (does not apply to patients residing in halfway houses) (admission source code of 8; discharge status codes of 21, 87)
- Has a foreign home address
- Discharged to hospice (whether at home or another facility) (discharge status codes of 50, 51)
- Eliminated from participation based on State regulations
- Patients discharged to nursing home or skilled nursing facility (discharge status codes of 3, 61, 64, 83, 92)

Ineligible (cont’d)

- 3 – Not in Eligible Population
  - Patient’s ineligibility is determined after the sample is drawn
Final Survey Status/Disposition Codes (cont’d)

Ineligible (cont’d)

- 4 – Language barrier
  - Evidence that the patient does not read or speak the language in which the survey is being administered
Ineligible (cont’d)

• 5 – Mentally or physically incapacitated
  – Patient is unable to complete the survey because he/she is mentally or physically incapacitated, or visually/hearing impaired
  – Do not automatically assign this code to patients discharged to health care facilities (e.g., long-term care facilities, assisted living facilities, rehab, etc.)
    • Hospitals/Survey vendors must attempt to contact these patients
Non-Response

• 6 – Break-off
  – At least one HCAHPS Core question is answered, but too few questions are answered to meet the criteria for a completed survey
    • Includes patients who refuse to complete the survey, but answered at least one HCAHPS Core question
  – See Break-off Survey Calculation Example in QAG V12.0
Non-Response (cont’d)

- 7 – Refusal
  - When a patient returns a blank survey with a note stating they do not wish to participate, or when a patient verbally refuses to begin the survey
  - When it is determined a survey has been completed by a proxy respondent, which is not permitted for the HCAHPS Survey

Note: If the patient answered some HCAHPS Core questions, but refused to complete the survey, the “Final Survey Status” is coded as either “1 – Completed Survey” or “6 – Non-response: Break-off,” depending on the completion criteria.
Final Survey Status/Disposition Codes (cont’d)

Non-Response (cont’d)

• 8 – Non-response after maximum attempts
  – Patient has not completed the survey by the end of the survey administration time period
  – Lag time is greater than 84 days
  – If patient is selected for the sample and the discharge date is beyond the 42-day initial contact period

• Discrepancy Report must be filed
Final Survey Status/Disposition Codes (cont’d)

Non-Response (cont’d)

• 9 – Bad address
• 10 – Bad/no phone number
  – Assume the contact information is viable unless there is sufficient evidence to suggest the contrary
    • Attempts must be made to contact every sampled patient whether or not there is a complete mailing address and/or telephone number
    • Hospitals/Survey vendors have flexibility in not sending mail surveys to patients without mailing addresses (i.e., homeless) after making every reasonable attempt to obtain an address
Data Preparation

- File Specifications Version
- File Layout
- Preparing the Data File
- Data Submission Timeline
File Specifications Version

- Standardized file layouts
  - Appendix P – Data File Structure Version 3.9
  - Appendix Q – XML File Layout Version 3.9

Note: Version 3.9 applies to 3Q 2017 discharges and forward
File Layout

1. Header Record
   - Complete once per monthly file

2. Patient Administrative Data Record
   - Complete for every patient in the sample
     - Number of Patient Administrative Data Records must equal the number of sampled patients (“Sample Size”)

3. Patient Response/Survey Results Record
   - Complete for patients who responded to the survey
     - Number of Patient Response/Survey Results Records must equal the number of Final Survey Status codes of “1 – Completed Survey” and “6 – Non-response: Break-off”
     - Enter missing responses as “M – Missing/Don’t Know” or “8 – Not Applicable”
Header Record

- Contains hospital identification and sampling information
- All fields in the Header Record must have a valid value
  - Exceptions:
    - NPI (optional)
    - DSRS Strata Name (required only if DSRS)
    - DSRS Eligible (required only if DSRS)
    - DSRS Sample Size (required only if DSRS)
- Survey Mode and Sampling Type must be the same for all three months within a quarter
Header Record (cont’d)

- CMS Certification Number (CCN)
  - Valid 6-digit CCN (formerly known as Medicare Provider Number)
  - Sample per unique CCN
  - Hospitals that share a common CCN must obtain a combined total of at least 300 completes per CCN per 12-month reporting period
Header Record (cont’d)

• Eligible Discharges
  – Number of eligible discharges in the sample frame
    • All eligible discharges are included even if the patients’ information is received from the hospital with discharge dates that are beyond the 42-day initial contact period

A Discrepancy Report must be filed to account for patient information received beyond the 42-day initial contact protocol
• Eligible Discharges (cont’d)
  – In calculating the “Eligible Discharges” field, do not include patients later determined to be ineligible or excluded, regardless of whether they are selected for the survey sample.
Eligible Discharges (cont'd)

- If a patient was selected for the survey sample and later determined to be ineligible (i.e., “Final Survey Status” code of “3 – Ineligible: Not in eligible population”), the patient must be subtracted when reporting the “Eligible Discharges” field (number of eligible discharges in sample in the month)
  - Does NOT apply to “Final Survey Status” codes of:
    - “2 – Ineligible: Deceased”
    - “4 – Ineligible: Language barrier,“
    - “5 – Ineligible: Mental/Physical incapacity”

- “Sample Size” can therefore be larger than the number of “Eligible Discharges”
Example 1: Eligible Discharges Calculation

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>Number of eligible patients in original sample frame (Eligible Discharges)</td>
</tr>
<tr>
<td>100</td>
<td>Number of patients selected for sample (Sample size)</td>
</tr>
<tr>
<td>2</td>
<td>Number of patients with “Final Survey Status” code of “2 – Ineligible: Deceased”</td>
</tr>
<tr>
<td>-5</td>
<td>Number of patients with “Final Survey Status” code of “3 – Ineligible: Not in eligible population”</td>
</tr>
<tr>
<td>2</td>
<td>Number of patients with “Final Survey Status” code of “4 – Ineligible: Language Barrier”</td>
</tr>
<tr>
<td>4</td>
<td>Number of patients with “Final Survey Status” code of “5 – Ineligible: Mental/Physical incapacity”</td>
</tr>
<tr>
<td>95</td>
<td>Number reported in the “Eligible Discharges” field</td>
</tr>
</tbody>
</table>
• Eligible Discharges (cont’d)
  – If a patient was not selected for the survey sample, but later determined to be ineligible (i.e., received an update with an ineligible MS-DRG code for the patient), the patient must be subtracted when reporting the “Eligible Discharges”
**Example 2: Eligible Discharges Calculation**

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>Number of eligible patients in original sample frame (Eligible Discharges)</td>
</tr>
<tr>
<td>50</td>
<td>Number of patients selected for sample (Sample size)</td>
</tr>
<tr>
<td>2</td>
<td>Number of patients with “Final Survey Status” code of “2 – Ineligible: Deceased”</td>
</tr>
<tr>
<td>-5</td>
<td>Number of patients with “Final Survey Status” code of “3 – Ineligible: Not in eligible population”</td>
</tr>
<tr>
<td>2</td>
<td>Number of patients with “Final Survey Status” code of “4 – Ineligible: Language Barrier”</td>
</tr>
<tr>
<td>4</td>
<td>Number of patients with “Final Survey Status” code of “5 – Ineligible: Mental/Physical incapacity”</td>
</tr>
<tr>
<td>-10</td>
<td>Number of patients ineligible due to an updated MS-DRG code (These patients were NOT selected for the survey sample)</td>
</tr>
<tr>
<td>85</td>
<td>Number reported in the “Eligible Discharges” field</td>
</tr>
</tbody>
</table>
Header Record (cont’d)

- Sample Size
  - Number of sampled patient discharges in the month
    - Must equal the number of Patient Administrative Data Records
  - When 100% of the eligible population (census) is sampled, then “Eligible Discharges” equals the “Sample Size”
Patient Administrative Data Record

- All fields in the Patient Administrative Data Record must have a valid value
  - Use code “M – Missing/Don’t Know” for all missing fields, with the following exceptions:
    - “Point of Origin for Admission or Visit”— code as “9 – Information not available”
- Number of Patient Administrative Data Records must equal the number of sampled patients (“Sample Size”)

Introduction to HCAHPS Survey Training
• Patient administrative information must be submitted for all patients selected in the survey sample
  – If a sampled patient is later found to be ineligible or excluded, the patient administrative information still must be submitted
    • The patient should be assigned a “Final Survey Status” code of “3 – Ineligible: Not in eligible population”
Patient Administrative Data Record (cont’d)

• Patient Identification (ID) Number
  – Hospital/Survey vendor is responsible for assigning a random, unique, de-identified Patient ID Number for each patient in the sample
  – Used to track and report whether the patient has returned the survey, or needs a repeat mailing or phone call
  – Does not disclose the patient’s true identity
  – Does not include any existing identifiers that can be linked back to the patient (i.e., SSN, DOB, medical record number, discharge date, patient initials)
  – Assign a new Patient ID each month; numbers must not be repeated from month to month or used in a sequential numbering order unless the patient discharge list is randomized prior to the assignment of the Patient ID
  – Can be up to 16 characters in length (alphanumeric)
Patient Administrative Data Record (cont’d)

• Service Line (Reason for Admission)
  – Based on one of the accepted methodologies for Determination of Service Line in the Header Record
  – Should not be coded as “M – Missing/Don’t Know”
  – Male patients should not be reported in the “Maternity Care” service line
Introduction to HCAHPS Survey Training

Patient Administrative Data Record (cont’d)

• Final Survey Status
  – Disposition of survey
  – Patients with a “Discharge Status” of “Expired” (codes 20, 40, 41, 42)
    • Code “Final Survey Status” as “2 – Ineligible: Deceased”
    • Must not have “Final Survey Status” coded as “1 – Completed Survey” or “6 – Non-response: Break-off”
• Survey Completion Mode
  – Survey mode used to complete a survey administered in the Mixed or IVR modes
    1 – Mixed Mode-Mail
    2 – Mixed Mode-Phone
    3 – IVR Mode-IVR
    4 – IVR Mode-Phone
    8 – Not applicable
• Number Survey Attempts – Telephone
  – Telephone attempt upon which the final survey was completed or final survey status was determined
    1 - First telephone attempt
    2 - Second telephone attempt
    3 - Third telephone attempt
    4 - Fourth telephone attempt
    5 - Fifth telephone attempt
    8 - Not applicable
  – Required when:
    • “Survey Mode” is “2 – Telephone Only” or “4 – IVR”
    • “Survey Mode” is “3 – Mixed Mode” and “Survey Completion Mode” is “2 – Mixed Mode-Phone”
• **Number Survey Attempts – Mail**
  - Mail wave for which survey attempt was completed or final survey status determined
    1 - First wave mailing
    2 - Second wave mailing
    8 - Not applicable
  - Must differentiate between the first mail survey wave and the second mail survey wave in mailing materials
    • Unreturned surveys from the second wave mailing are coded as “2 – Second wave mailing”
  - **Required** when:
    • “Survey Mode” is “1 – Mail Only”
• Survey Language
  – Identify the language in which the survey was administered, even if the patient does not complete the survey
    • “1 – English” (All modes)
    • “2 – Spanish” (All modes)
    • “3 – Chinese” (Mail, Telephone)
    • “4 – Russian” (Mail, Telephone)
    • “5 – Vietnamese” (Mail only)
    • “6 – Portuguese” (Mail only)
  – All patient records should contain the actual Survey Language in which the survey was administered or attempted to be administered
• Lag Time
  – Calculated for each patient in the sample
  – Defined as the number of days between the patient’s discharge date from the hospital and the date that data collection activities ended for the patient
  – **All** patient records **must** contain the actual Lag Time
    • Do NOT use code “888 – Not Applicable”
• Supplemental Question Count
  – Count of maximum number of supplemental questions available to the patient regardless whether or not the questions are asked and/or answered
    • Include skip pattern questions
    • Include open-ended questions
    • Include questions asked as sub-questions (each response item counts as one question)
  – Must be submitted for all sampled patients even if they did not complete survey
Patient Response/Survey Results Record

- Required when “Final Survey Status” in the Patient Administrative Data Record is coded as “1 – Completed Survey” or “6 – Non-response: Break-off”
  - Number of Patient Response/Survey Results Records must equal the number of Final Survey Status codes of “1 – Completed Survey” and “6 – Non-response: Break-off”

- All fields must have a valid value, including “M – Missing/Don’t Know” or “8 – Not Applicable”
Preparing the Data File

- Check data file
  - Check for missing values
  - Check for out of range values
  - Check frequency distributions of values
  - Check for valid file structure

- Submit data file via the QualityNet Secure Portal

- Retain all survey-related documentation, e.g., paper surveys/scanned images, patient discharge files and de-identified electronic data files for a minimum of three years
# Data Submission Timeline

<table>
<thead>
<tr>
<th>Month of Patient Discharges</th>
<th>Data Submission Deadline</th>
<th>Review and Correct Period</th>
<th>File Specifications Version</th>
</tr>
</thead>
<tbody>
<tr>
<td>October, November and December 2016 (4Q16)</td>
<td>April 5, 2017</td>
<td>April 6–12, 2017</td>
<td>Version 3.8</td>
</tr>
<tr>
<td>January, February and March 2017 (1Q17)</td>
<td>July 5, 2017</td>
<td>July 6–12, 2017</td>
<td>Version 3.8</td>
</tr>
<tr>
<td>April, May and June 2017 (2Q17)</td>
<td>October 4, 2017</td>
<td>October 5–11, 2017</td>
<td>Version 3.8</td>
</tr>
<tr>
<td>July, August and September 2017 (3Q17)</td>
<td>January 3, 2018</td>
<td>January 4–10, 2018</td>
<td>Version 3.9</td>
</tr>
</tbody>
</table>
Questions?
Introduction to HCAHPS Survey Training

HCAHPS Data Submission via the QualityNet Secure Portal
Introduction to HCAHPS Survey Training

Overview

- Section XII  QAG V12.0
  - Public and Secure Page Access
  - Registration Process for QualityNet Security Administrators and Non-Administrators
  - Submission of HCAHPS Data via the QualityNet Secure Portal
  - Authorizing/Switching Survey Vendors
  - HCAHPS Warehouse Submission Reports
  - HCAHPS Warehouse Feedback Reports
Introduction to HCAHPS Survey Training

QualityNet
Public Access: https://www.qualitynet.org
QualityNet (cont’d)
QualityNet Resources

- QualityNet User’s Guide
- QualityNet Help Desk
- QualityNet WebEx Recorded Sessions
Introduction to HCAHPS Survey Training

QualityNet WebEx Training

Hospital (Inpatient) Training

To learn more about the features and functions of QualityNet, choose from the following recorded training sessions. (All presentations are in WRF format, unless otherwise indicated.)

For all users
- QualityNet for New Users, 31 min. (07/02/08)
- QualityNet Enhancement Overview for All Users, 28 min. (02/22/08)
- QualityNet Registration and Setup Overview, 29 min. (01/22/07)
- QualityNet Report Access, 18 min. (02/22/08)
- Send and Receive Files, 28 min. (06/12/09)
  - Transcript, PDF - 63 KB
- QualityNet Secure Portal: New User Enrollment Training, WMV-19 min. (07/16/14)
- QualityNet Secure Portal Reports Module, WMV-19 min. (04/15/14)

For users with special (authorized) roles
- Vendor Authorization, WMV-10 min. (06/19/15)
- Auto Route, 11 min. (02/22/08)
- Manage Security, 30 min. (02/22/08)
- Reset Password for Selected User, 6 min. (02/22/08)

For hospitals, health care systems, hospital data vendors
- Annual Payment Update (APU) Dashboard Overview, WMV-40 min. (06/28/13)
QualityNet Secure Portal

- URL: http://www.qualitynet.org
- The QualityNet Secure Portal is used to securely transmit patient Protected Health Information (PHI) over the Internet
- QualityNet account becomes deactivated after 120 days of inactivity
QualityNet Secure Portal (cont’d)
(Log in to Secure Location)
Introduction to HCAHPS Survey Training

QualityNet Secure Portal Registration

- Types of Users:
  1. Security Administrator (Primary and Backup)
  2. Non-Administrator

- Hospitals and Survey Vendors cannot delegate administrator role outside of their organization

- Check for existing Security Administrators within the organization
Administrator Registration for all *Hospitals*

- Obtain the QualityNet Security Administrator Registration Form and Instructions via the QualityNet Web site: [http://www.qualitynet.org](http://www.qualitynet.org)
- Complete the form
  - Highest-level executive at your organization sign and date the Administrator Authorization Form
Administrator Registration

Survey Vendor

- Request the QualityNet Security Administrator Form and Instructions from the HCAHPS Project Team
- Complete the form
  - Highest-level executive at your organization sign and date the Security Administrator Authorization Form
  - Mail the completed form to the HCAHPS Project Team
Non-Administrator Registration

Hospital/Survey Vendor

- Notify the Security Administrator at your organization that you need to become a new user
- Provide information to the Security Administrator or designee who enters the registration online and prints a registration form
- Mail the original registration form to the QualityNet Help Desk
Submission Option 1

- XML File Upload
  - XML File Format – conversion commercial software
  - 50MB file size limit
  - *Files must meet proper version specifications*
    - Version 3.8 through 2Q17 discharges
    - Version 3.9 for 3Q17 discharges and forward
Introduction to HCAHPS Survey Training

HCAHPS Data Upload – XML
HCAHPS Data Upload – XML (cont’d)

- Log-in to the QualityNet Secure Portal
- Verify status of files – HCAHPS Warehouse Submission Reports
- Files **must** be successfully accepted to the HCAHPS Data Warehouse before the HCAHPS Data Submission Deadline
HCAHPS Data Upload – XML (cont’d)

- One XML file per Month per Provider
  - File must include all data for the month

- Valid resubmitted data will overwrite previously submitted data

- Valid data included in the latest file upload will be the final data in the warehouse
Submission Option 2

**HCAHPS Online Data Entry Tool**
- An option for small self-administering hospitals who are not able to use XML File Upload
- Not to be used by survey vendors
- Steps
  - Log-in to the QualityNet Secure Portal
  - Click on the Patient Satisfaction (HCAHPS) Data Entry link
  - Create a new or edit an existing survey month
  - Click on Add Patient Survey
  - Enter Administrative data and Survey data results (if available)
  - Exit the HCAHPS Online Data Entry Tool
Introduction to HCAHPS Survey Training

HCAHPS Online Data Entry Tool
Authorizing Survey Vendor to Submit HCAHPS Data

- All hospitals must authorize their HCAHPS approved survey vendor via the QualityNet Secure Portal
  - Authorization updates in real time
  - The QualityNet Secure Portal – *Authorize Vendors to Submit Data*
  - Approved survey vendors are listed on [http://www.hcahpsonline.org](http://www.hcahpsonline.org)
Vendor Authorization - New

Authorizing a New HCAHPS Survey Vendor

<table>
<thead>
<tr>
<th></th>
<th>Discharge Date</th>
<th>Data Transmission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Start Date</strong></td>
<td>1/1/2017</td>
<td>1/1/2017</td>
</tr>
<tr>
<td><strong>End Date</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Strongly recommended that the End Date fields be left blank until survey authorization is terminated.
Switching Survey Vendors

• Know and understand the contract dates for current and new vendors
  – Current Vendor – Last discharge date for eligible patients
    • Must be at the end of a quarter
    • Submission deadline and review and correction period for that discharge quarter
  – New Vendor – First discharge date for eligible patients
    • Must be at the beginning of a quarter
    • First date that vendor can submit for those patients
**Vendor Authorization - Switch**

### Day 1 – Close Out “Current” HCAHPS Survey Vendor

<table>
<thead>
<tr>
<th>Discharge Date</th>
<th>Data Transmission Date (MM/DD/YYYY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date</td>
<td>07/01/2007</td>
</tr>
<tr>
<td></td>
<td>07/01/2007</td>
</tr>
<tr>
<td>End Date</td>
<td>09/30/2016</td>
</tr>
<tr>
<td></td>
<td>01/12/2017</td>
</tr>
</tbody>
</table>

(Discharge Dates CANNOT Overlap between old and new survey vendors)

(Data Transmission Dates CAN Overlap between old and new survey vendors)

(One day after HCAHPS Data Submission Deadline Review and Correct Period)

### Day 2 – Authorize “New” HCAHPS Survey Vendor

<table>
<thead>
<tr>
<th>Discharge Date</th>
<th>Data Transmission Date (MM/DD/YYYY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date</td>
<td>10/1/2016</td>
</tr>
<tr>
<td></td>
<td>10/1/2016</td>
</tr>
<tr>
<td>End Date</td>
<td></td>
</tr>
</tbody>
</table>

(Strongly recommend that the End Date fields be left blank until survey authorization is terminated)
HCAHPS Warehouse Submission Reports

1. Hospitals Authorizing Vendor to Upload Data
2. HCAHPS Warehouse Data Submission Detail
3. HCAHPS Warehouse Submission Summary
4. HCAHPS Review and Correction Report
   - HCAHPS Data Upload Role – **required**
   - Submission Reports available to submitter of data
Introduction to HCAHPS Survey Training

QualityNet Secure Portal

Established by the Centers for Medicare and Medicaid Services (CMS), QualityNet provides healthcare quality improvement news, resources, data reporting tools and applications for use by healthcare providers and others. QualityNet is the only CMS-approved site for secure communications and healthcare quality data exchange between: Quality Improvement Organizations (QIOs), Hospitals, Physician offices, Nursing homes, End Stage Renal Disease (ESRD) networks, facilities, and data vendors.

To Request Access to a specific report and/or application select Access Instructions.

If you need further assistance contact the QualityNet Help Desk.

CMS.gov

March 2017
Introduction to HCAHPS Survey Training
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CMS.gov

Select Program, Category and Report

The available reports are grouped by program and category combination. If you have access to a single program, your program is pre-selected, and if the category related to the selected program has a single value, then it too will be pre-selected. Choose a program, then category, and then click on VIEW REPORTS to view your report choices. Select the report you wish to run from the table below by clicking on its name.

Report Program
- IQR

Report Category
- HCAHPS Warehouse Feedback Reports

REPORT NAME
- HCAHPS Data Review and Correction Report
- HCAHPS Hospital Authorizing Vendor to Upload Data
- HCAHPS Warehouse Data Submission Detail Report
- HCAHPS Warehouse Provider Survey Status Summary Report
- Hospital Reporting - Provider Participation Report

REPORT DESCRIPTION
- The HCAHPS Data Review and Correction report displays a frequency distribution of every variable submitted as part of the Patients' Perspective on Hospital Care Survey.
- The HCAHPS Hospital Authorizing Vendor to Upload Data report displays hospitals that have authorized the vendor to upload HCAHPS data. The report includes authorized transmission information.
- The HCAHPS Data Submission Detail report displays detailed file information of selected uploaded data.
- Summary of HCAHPS Warehouse provider survey submission status per Discharge Month (number of Admin and Survey data accepted).
- The Provider Participation report displays a summary of requirements data for participation in the Hospital Quality Reporting Program.
HCAHPS Warehouse Feedback Reports

1. Provider Survey Status Summary
2. Data Submission Detail
3. Hospital Inpatient Quality Reporting (IQR) Provider Participation Report
4. HCAHPS Review and Correction Report
Summary

- QualityNet Secure Portal registration required to participate
- Two types of QualityNet Secure Portal users
  - HCAHPS-specific roles
- Two options to submit HCAHPS data
  - Submitter has access to HCAHPS Warehouse Submission Reports to check status of uploaded files
  - Hospital should review HCAHPS Warehouse Feedback Reports – ultimate responsibility
QualityNet Help Desk

Phone: 866-288-8912
Fax: 888-329-7377
E-mail: qnetsupport@hcqis.org
Availability: 8 AM – 8 PM ET, Mon – Fri
Address: QualityNet Help Desk
12000 Ridgemont Dr.
Urbandale, IA 50323
Data Quality Checks
Goals

- Ensure integrity of HCAHPS data
  - Data collection
  - Minimize errors in data handling
  - Identify and explain unusual changes in data
  - Submission of complete and accurate final data files
Suggested Quality Checks

- Traceable Data Trail
- Review of Data Files
- Accuracy of Data Processing Activities
Introduction to HCAHPS Survey Training

Traceable Data Trail

- **Save** both original and processed versions of HCAHPS data files
  - Allows for easier backtracking when possible errors are found
- Version control for data files, reports, and software code
- Do not delete old data files
  - Keep for a minimum of three years
### Traceable Data Trail (cont’d)

- Track data file receipts with summary tables:

<table>
<thead>
<tr>
<th>Received</th>
<th>CCN</th>
<th>Discharge Month</th>
<th>Patient Records</th>
<th>Comments/Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-12-2017</td>
<td>A</td>
<td>1</td>
<td>30</td>
<td>First receipt</td>
</tr>
<tr>
<td>2-15-2017</td>
<td>B</td>
<td>1</td>
<td>110</td>
<td>Substantial change in # of records from previous month. <em>Investigate.</em></td>
</tr>
<tr>
<td>2-16-2017</td>
<td>C</td>
<td>1</td>
<td>72</td>
<td>Count of patients as expected</td>
</tr>
</tbody>
</table>
Review of Data Files

• Unusual or unexpected changes in HCAHPS data elements
  – Verify that data is associated with the correct hospital CCN
  – Trending data for a hospital over time
    • Examine hospital-level counts (e.g., eligible counts), patient administrative records and survey responses
Introduction to HCAHPS Survey Training

Review of Data Files (cont’d)

• Sampling protocol example:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>All Patients</td>
<td>418</td>
<td>438</td>
<td>456</td>
<td>441</td>
<td>428</td>
<td>150</td>
</tr>
<tr>
<td>Ineligible Patients</td>
<td>40</td>
<td>51</td>
<td>61</td>
<td>50</td>
<td>44</td>
<td>5</td>
</tr>
<tr>
<td>Exclusions</td>
<td>34</td>
<td>25</td>
<td>27</td>
<td>31</td>
<td>38</td>
<td>3</td>
</tr>
<tr>
<td>De-Duplicated Patients</td>
<td>4</td>
<td>2</td>
<td>3</td>
<td>5</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>HCAHPS Sample Frame</td>
<td>340</td>
<td>360</td>
<td>365</td>
<td>355</td>
<td>340</td>
<td>142</td>
</tr>
<tr>
<td>Sampled Patients</td>
<td>255</td>
<td>270</td>
<td>274</td>
<td>266</td>
<td>255</td>
<td>107</td>
</tr>
</tbody>
</table>

- Look for inconsistent patient counts and investigate substantial variation
• Patient administrative data example:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sample Size</td>
<td>247</td>
<td>284</td>
<td>265</td>
<td>254</td>
<td>291</td>
<td>257</td>
</tr>
<tr>
<td>Maternity</td>
<td>8%</td>
<td>11%</td>
<td>9%</td>
<td>12%</td>
<td><strong>31%</strong></td>
<td><strong>30%</strong></td>
</tr>
<tr>
<td>Medical</td>
<td>74%</td>
<td>71%</td>
<td>72%</td>
<td>70%</td>
<td>53%</td>
<td>43%</td>
</tr>
<tr>
<td>Surgical</td>
<td>18%</td>
<td>19%</td>
<td>17%</td>
<td>18%</td>
<td>15%</td>
<td>4%</td>
</tr>
<tr>
<td>Missing</td>
<td>1%</td>
<td>&lt;1%</td>
<td>2%</td>
<td>&lt;1%</td>
<td>1%</td>
<td><strong>23%</strong></td>
</tr>
</tbody>
</table>

- Notice a large increase in Maternity % for Feb 2017 and Mar 2017
- Why was Service Line coded as Missing for 23% of sampled patients in Mar 2017?
### Survey example: Question 1 – Nurse Courtesy and Respect

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed Surveys</td>
<td>140</td>
<td>134</td>
<td>157</td>
<td>127</td>
<td>132</td>
<td>139</td>
</tr>
<tr>
<td>Q1 = Never</td>
<td>2%</td>
<td>1%</td>
<td>2%</td>
<td>1%</td>
<td>2%</td>
<td>1%</td>
</tr>
<tr>
<td>Q1 = Sometimes</td>
<td>3%</td>
<td>4%</td>
<td>3%</td>
<td>2%</td>
<td>4%</td>
<td>2%</td>
</tr>
<tr>
<td>Q1 = Usually</td>
<td>13%</td>
<td>12%</td>
<td>14%</td>
<td>11%</td>
<td>13%</td>
<td>9%</td>
</tr>
<tr>
<td>Q1 = Always</td>
<td>81%</td>
<td>82%</td>
<td>80%</td>
<td>82%</td>
<td>81%</td>
<td>70%</td>
</tr>
<tr>
<td>Q1 Missing</td>
<td>0%</td>
<td>1%</td>
<td>0%</td>
<td>1%</td>
<td>0%</td>
<td><strong>18%</strong></td>
</tr>
</tbody>
</table>

- Note that Missing rate is high for Mar 2017
Accuracy of Data Processing Activities

• Ensure data processing was conducted in accordance with required HCAHPS protocols
  – Basic quality checks related to sampling
  – Evaluate frequency of break-off surveys and/or unanswered questions
  – Verification that errors did not occur during data submission process

• HCAHPS Warehouse
  – Feedback Reports
  – Submission Reports
  – Review and Correction Report
Introduction to HCAHPS Survey Training

Accuracy of Data Processing Activities (cont’d)

• Sampling quality checks
  – Verify that each eligible discharge has a chance of being sampled
    • For SRS and PSRS, each eligible discharge should have the same probability of being sampled
    • For DSRS, eligible discharges may have unequal probabilities of being sampled
      – Verify that each stratum contains at least 10 sampled patients per month
Accuracy of Data Processing Activities (cont’d)

- Monitor Response Rates every month
  
  Response Rate = Completed Surveys/(Sample Size – Ineligible Patients*)

  *Determined Ineligible after sampling

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sample Size</td>
<td>247</td>
<td>284</td>
<td>265</td>
<td>254</td>
<td>291</td>
<td>68</td>
</tr>
<tr>
<td>Ineligible Patients (post-sampling)</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Completed Surveys</td>
<td>75</td>
<td>78</td>
<td>71</td>
<td>73</td>
<td>85</td>
<td>68</td>
</tr>
<tr>
<td>Response Rate</td>
<td>30%</td>
<td>28%</td>
<td>27%</td>
<td>29%</td>
<td>29%</td>
<td>100%</td>
</tr>
</tbody>
</table>

- Notice changes in Sample Size and Response Rate
Accuracy of Data Processing Activities (cont’d)

- HCAHPS Warehouse Submission Reports
  - Summary and detail information about each data file submitted to the HCAHPS Warehouse

- HCAHPS Warehouse Feedback Reports
  - For hospitals to check the status of data being submitted on their behalf
Accuracy of Data Processing Activities (cont’d)

- **HCAHPS Review and Correction Report**
  - To check the status of submitted data
  - Reports show frequencies for all HCAHPS data elements
  - Available within 48 hours after data submission via QualityNet
    - Available after *every* data upload

- **HCAHPS Review and Correct Period**
  - Review and Correct is the seven days after the warehouse closes for a given quarter
  - May re-submit data *previously submitted* based on issues discovered during the Review and Correct Period
Accuracy of Data Processing Activities (cont’d)

- HCAHPS Review and Correction Report

### HCAHPS Data Review and Correction Report

**Submitter:** 888888
**Provider:** 999999
**Discharge Quarter:** mm/dd/yyyy – mm/dd/yyyy

#### Survey Record Data

<table>
<thead>
<tr>
<th>Q1 &lt;nurse-courtesy-respect&gt;</th>
<th>Valid Value</th>
<th>Frequency</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Never</td>
<td>1</td>
<td>3</td>
<td>2.27%</td>
</tr>
<tr>
<td>Sometimes</td>
<td>2</td>
<td>5</td>
<td>3.79%</td>
</tr>
<tr>
<td>Usually</td>
<td>3</td>
<td>17</td>
<td>12.88%</td>
</tr>
<tr>
<td>Always</td>
<td>4</td>
<td>107</td>
<td>81.06%</td>
</tr>
<tr>
<td>Missing/Don’t Know</td>
<td>M</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>132</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
Summary of Data Quality Checks

• Traceable Data Trail
  – Detailed data file receipts
  – Data file storage and retention

• Review of Data Files
  – Unusual/Unexpected changes in HCAHPS data elements (use of trending)

• Accuracy of Data Processing Activities
  – Sampling protocols
  – HCAHPS Warehouse reports
Data Adjustment and Public Reporting
Introduction to HCAHPS Survey Training

Overview

• CMS Hospital Compare Web site and Measures Reported
• Data Adjustment
  - Adjust for Patient-Mix
  - Adjust for Mode of Survey Administration
• Reporting HCAHPS Results
• Hospitals with Five or Fewer HCAHPS Eligible Patients
• Footnotes
• Forms for Public Reporting
• Suppression of Results
Measures Reported

• Results updated on a quarterly basis
• Composite measures
  – Communication with nurses (Q1, Q2, Q3)
  – Communication with doctors (Q5, Q6, Q7)
  – Responsiveness of hospital staff (Q4, Q11)
  – Pain management (Q13, Q14)
  – Communication about medicines (Q16, Q17)
  – Discharge information (Q19, Q20)
  – Care transition (Q23, Q24, Q25)
• Individual items
  – Cleanliness of hospital environment (Q8)
  – Quietness of hospital environment (Q9)
• Global items
  – Overall rating of hospital (Q21)
  – Willingness to recommend hospital (Q22)
Introduction to HCAHPS Survey Training

Data Adjustment

• Purpose
  – Differences in hospital ratings should reflect differences in quality only
  – To permit valid comparison of all hospitals regardless of the mode

• Will adjust the results to “level the playing field”
  – That is, adjust for factors not directly related to hospital performance

• Adjusted as needed for data comparability:
  – Patient-mix
  – Mode of administration
Introduction to HCAHPS Survey Training

Adjust for Patient-Mix

• Purpose
  – Certain patient characteristics impact how someone might respond to the survey

• Patient-Mix Adjuster Variables
  – Type of **Service** (medical, surgical and maternity care)
  – **Age**
  – **Education**
  – Self-reported **general health status**
  – **Language** – English, Spanish, Chinese, RVPO (Russian, Vietnamese, Portuguese, Other)
  – **Response Percentile** (All completed surveys for a given month and hospital are ranked by Lag Time)

• Adjustments updated quarterly and published on [http://www.hcahpsonline.org](http://www.hcahpsonline.org)
Mode Experiments

- Conducted a Mode Experiment in Spring 2006 to test mode effects
  - Summary document of Mode Experiment results is available on HCAHPS Web site (http://www.hcahpsonline.org)
- Conducted a Mode Experiment in late 2008 to test possibility of Internet mode of survey administration
- Conducted a Mode Experiment in 2012 to test new Care Transition survey items
- Conducted a Mode Experiment in 2016 to assess the effect of mode of survey administration on response propensity and response patterns
Introduction to HCAHPS Survey Training

Adjust for Survey Mode

• **Purpose**
  – Patient responses are affected by mode of survey administration
  – Choice of mode affects cross-hospital comparisons

• **Survey modes**
  – Mail Only
  – Telephone Only
  – Mixed Mode (Mail with Telephone follow-up)
  – Active Interactive Voice Response (IVR)
Reporting HCAHPS Results

- Official HCAHPS Scores are publicly reported on Hospital Compare [https://www.medicare.gov/hospitalcompare](https://www.medicare.gov/hospitalcompare)
  - Also available in the Downloadable Data Base (DDB) located on [https://Data.Medicare.gov](https://Data.Medicare.gov)
- Results are reported for the seven composites, two individual items and two global items
- Number of completed surveys and response rate also reported
- HCAHPS scores are reported
  - Top-box, middle-box, bottom-box
  - HCAHPS Star Ratings
    - 11 HCAHPS measures
    - HCAHPS summary Star Rating
    - Linear mean scores
Reporting HCAHPS Results (cont’d)

- Results aggregated into rolling four quarters (12 months) by hospital
- Hospital’s results are displayed with national and state averages
- Results are updated quarterly
Public Reporting Periods

- Reporting is based on 12 months of discharges
- Public Reporting occurs in April, July, October, and December

**HCAHPS PUBLIC REPORTING: April 2017**

- **QUARTERS INCLUDED:** 3Q15, 4Q15, 1Q16, 2Q16
- **PREVIEW PERIOD:** January 2017
- **PUBLIC REPORTING:** April 2017
Introduction to HCAHPS Survey Training

Hospital Compare

Medicare.gov | Hospital Compare

The Official U.S. Government Site for Medicare

Hospital Compare Home | About Hospital Compare | About the data | Resources | Help

The Department of Veterans Affairs (VA) hospital data are available here.
VA data are temporarily not available through the City, State and Zip code search below.

Find a hospital

A field with an asterisk (*) is required.
Example: 48502 or Lima, OH or Ohio
ZIP code or City, State or State

Hospital name (optional)
Full or Partial Hospital Name

Search

Spotlight

NEW Compare hospitals based on their overall star rating, summarizing up to 27 measures of quality shown on Hospital Compare. Learn more here.


Review hospital survey reports.

NEW Inpatient Psychiatric Facility Quality Reporting measures are now available. Data updated December 2015.

View American College of Surgeons (ACS) surgical outcomes measures – voluntary reporting by hospitals in the ACS National Surgical Quality Improvement Program (NSQIP®). Data updated December 2016.

Additional information

Hospital Compare data last updated: December 19, 2015. Go to updates.

Download the Hospital Compare database.

Get Hospital Compare data archive.

Linking quality to payment:

Hospital Value-Based Purchasing Program (Hospital VBP):

- Fiscal Year 2017 data and scoring
- Fiscal Year 2015 incentive payment adjustments

Hospital-Readmission Reduction Program:

- Hospital-Acquired Condition Reduction Program

Tools and Tips

- Learn how Medicare covers inpatient and outpatient hospital services.
- Use The Guide to Choosing a Hospital when comparing hospitals.
- Get tips for printing hospital information.
- Compare other providers and plans
  - Visit Physician Compare to learn what hospitals your physicians and other healthcare professionals are affiliated with.
  - Nursing Home Compare
  - Home Health Compare
  - Dialysis Facility Compare
  - Medicare Plan Finder
  - Supplier Directory

March 2017
Introduction to HCAHPS Survey Training

Hospital Compare Profile

HOSPITAL NAME
Hospital Information
Distance: 1.2 miles
Add to my Favorites
Map and directions
Hospital type:
Provides emergency services:

Survey of patients’ experiences
HCAHPS (Hospital Consumer Assessment of Healthcare Providers and Systems) is a national survey that asks patients about their experiences during a recent hospital stay. Use the results shown here to compare hospitals based on 11 important hospital quality topics.

- Find out why these measures and the star ratings are important.
- Learn more about the data and star ratings.
- Get the current data collection period.
- Get tips for printing star images (Internet Explorer 8.9).

HOSPITAL NAME | STATE AVERAGE | NATIONAL AVERAGE
---|---|---
Patient survey summary star rating. More stars are better. Learn more | ★★★★✩ |  |
Patients who reported that their nurses “Always” communicated well | 84% | 79% | 79%
Patients who reported that their doctors “Always” communicated well | 92% | 91% | 82%
Hospitals with Five or Fewer HCAHPS Eligible Patients in a Given Month

- Hospitals are not required to collect and submit HCAHPS data for that month
  - A header record must be submitted to the QualityNet Secure Portal through the HCAHPS Online Data Entry Tool or XML file submission
- These hospitals can voluntarily collect and submit data for these months
Public Reporting Footnotes

• Footnote 1
  - *The number of cases/patients is too few to report*
  • Since December 2016, Hospital Compare no longer displays HCAHPS scores for hospitals with fewer than 25 completed HCAHPS Surveys
    – In their stead, “N/A” and Footnote 1 will appear
    – However, these hospitals will continue to see their HCAHPS scores on their Hospital Compare Preview Reports

• Footnote 3
  - *Results are based on a shorter time period than required*

• Footnote 5
  - *Results are not available for this reporting period*
Public Reporting Footnotes (cont’d)

- **Footnote 6**
  - Fewer than 100 patients completed the HCAHPS Survey. Use these scores with caution, as the number of surveys may be too low to reliably assess hospital performance.

- **Footnote 10**
  - Very few patients were eligible for the HCAHPS Survey. The scores shown reflect fewer than 50 completed surveys. Use these scores with caution, as the number of surveys may be too low to reliably assess hospital performance.
• Footnote 11
  – *There were discrepancies in the data collection process*
    • Footnote 11 is applied when there have been deviations from HCAHPS data collection protocols. CMS is working with survey vendors and/or hospitals to correct any discrepancies.

• Footnote 15
  – *The number of cases/patients is too few to report a star rating*
Forms for Public Reporting

- Hospitals must submit the appropriate pledge form to have their data displayed on Hospital Compare
  
  https://www.Medicare.gov/HospitalCompare

- Forms are accessible on the QualityNet Secure Portal
  
  https://www.qualitynet.org
Suppression of Results: IPPS Hospitals

- IPPS hospitals **cannot** suppress their results from Hospital Compare
  - Must withdraw from Hospital Inpatient Quality Reporting (IQR) program to suppress
Suppression of Results: CAHs

- CAHs *may* suppress their results
  - Must suppress complete set of HCAHPS results
    - Will receive Footnote 5
- To suppress results, a CAH must complete the appropriate pledge form and submit it to QualityNet Help Desk
Exceptions Request and Discrepancy Report
Introduction to HCAHPS Survey Training

Purpose

• Exceptions Request
  – Request alternative methodologies
  – Approval, if granted, will be for up to 2 years

• Discrepancy Report
  – Notification of variation from HCAHPS protocols during survey administration
Exceptions Request

• Common Exceptions Requests
  – Disproportionate Stratified Random Sampling (DSRS)
  – HCAHPS Service Line determination
  – Notification of participation in another CMS/CMS-sponsored inpatient initiative

• Exceptions Request must include how the proposed exception will maintain the integrity of data collection

• Exceptions not allowed for alternative modes of survey administration
Exceptions Request (cont’d)

- Request for exceptions
  - Submit Exceptions Request Form(s) online
    - Submit Exceptions Request Form through [http://www.hcahpsonline.org](http://www.hcahpsonline.org)
  - Exceptions Request must be submitted and approved prior to implementing
  - Exceptions must be submitted by survey vendors on behalf of their contracted hospitals
## Introduction to HCAHPS Survey Training

### HCAHPS Survey

**EXCEPTIONS REQUEST FORM**

To complete and submit the Exceptions Request Form online, visit the HCAHPS Web site at [www.hcahpsonline.org](http://www.hcahpsonline.org). Section I is to be completed by the organization submitting this form. The hospital(s) for which this Exceptions Request relates to must be listed in Section II along with each hospital’s CMS Certification Number (CCN). All required fields are indicated with an asterisk (*).

### I. General Information

#### 1. Organization

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1a. Organization Name: *</td>
<td>Name</td>
</tr>
<tr>
<td>1c. Mailing Address 1: *</td>
<td>Address</td>
</tr>
<tr>
<td>1e. City: *</td>
<td>City</td>
</tr>
<tr>
<td>1h. Telephone: * (xxx-xxx-xxxx)</td>
<td>Telephone number</td>
</tr>
<tr>
<td>1b. Medical Provider Number (CCN): *</td>
<td>Provider number</td>
</tr>
<tr>
<td>1d. Mailing Address 2:</td>
<td></td>
</tr>
<tr>
<td>1f. State: *</td>
<td>State</td>
</tr>
<tr>
<td>1g. Zip Code: *</td>
<td>Zip Code</td>
</tr>
<tr>
<td>1i. Website:</td>
<td>Website</td>
</tr>
</tbody>
</table>

#### 2. Contact Person

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2a. First Name: *</td>
<td>First name</td>
</tr>
<tr>
<td>2b. Title: *</td>
<td>Title</td>
</tr>
<tr>
<td>2d. Mailing Address 1: *</td>
<td>Address</td>
</tr>
<tr>
<td>2f. City: *</td>
<td>City</td>
</tr>
<tr>
<td>2i. Telephone: * EXT:</td>
<td>Telephone</td>
</tr>
<tr>
<td>2a. Middle Initial:</td>
<td>Middle initial</td>
</tr>
<tr>
<td>2c. Degree (e.g., RN, MD):</td>
<td>Degree</td>
</tr>
<tr>
<td>2e. Mailing Address 2:</td>
<td></td>
</tr>
<tr>
<td>2g. State: *</td>
<td>State</td>
</tr>
<tr>
<td>2h. Zip Code: *</td>
<td>Zip Code</td>
</tr>
<tr>
<td>2l. Email Address: *</td>
<td>Email address</td>
</tr>
</tbody>
</table>

---

*March 2017*
Introduction to HCAHPS Survey Training

3. Survey Vendor Organization
This section is to be completed for hospitals using survey vendor to conduct the survey.

<table>
<thead>
<tr>
<th>3a. Organization Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3b. Contact Person:</th>
<th>3c. Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name:</td>
<td>Middle Initial:</td>
</tr>
<tr>
<td></td>
<td>Last Name:</td>
</tr>
<tr>
<td></td>
<td>3d. Degree (e.g., RN, MD)</td>
</tr>
<tr>
<td></td>
<td>3e. Mailing Address 1:</td>
</tr>
<tr>
<td></td>
<td>3f. Mailing Address 2:</td>
</tr>
<tr>
<td></td>
<td>3g. City:</td>
</tr>
<tr>
<td></td>
<td>3h. State</td>
</tr>
<tr>
<td></td>
<td>3i. Zip Code:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3j. Telephone: EXT.</th>
<th>3k. E-mail Address</th>
</tr>
</thead>
</table>

II. Exception Request
Please complete items 1, 2 and 3 below for each requested exception.

1. Exception Request For (Check one in each box):

- [ ] New Exception
- [ ] Update of List of Applicable Hospitals
- [ ] Appeal of Exception Denial
- [ ] Disproportionate Stratified Random Sampling
- [ ] Determination of Service Line
- [ ] Participating in Another CMS or CMS-sponsored Inpatient Initiative
- [ ] Other Exception (specify)
Introduction to HCAHPS Survey Training

2. List of Hospitals applicable to this exception request
This section is to be completed by survey vendors or hospitals administering the survey for multiple sites.

Do you currently have hospitals applicable to this exception request?  Yes  No

Note: the fields to add detailed information for each hospital will appear after completing section 3
“Description of Exception Request” below and clicking the “Submit Form” button.

3. Description of Exception Request

3a. Purpose of Proposed Exception Requested (e.g., sampling, other): *

3b. Rationale for Proposed Exception Requested: *

3c. Explanation of Implementation of Proposed Exception Requested: *

3d. Evidence that Exception Will Not Affect Results: *

Submit Form

Hospital Name: *
CCN: *

The Exceptions Request Form must be completed and submitted online at www.hcahpsonline.org.
Exceptions Request (cont’d)

• Request to use Disproportionate Stratified Random Sampling (DSRS)
  – The following information must be submitted for each hospital
    • Name of each stratum to be used in the DSRS sample
    • Estimated number of eligible patients for each stratum in a given month
    • Estimated number of sampled patients for each stratum
    • A plan for sampling a minimum of 10 eligible discharges in each stratum
Exceptions Request (cont’d)

- Appeals process for unapproved exception
  - Written notification with explanation provided by HCAHPS Project Team
  - Hospital/Survey vendor has five business days to appeal an unapproved exception
  - Use Exceptions Request Form
Discrepancy Report

- Notification of deviations from HCAHPS data collection protocols
  - Examples: missing eligible discharges from a particular date or computer programming issues that caused an otherwise eligible discharge to be excluded from the sample frame

- Discrepancy Reports must be submitted by survey vendors on behalf of their contracted hospitals
Discrepancy Report (cont’d)

- Complete and submit report immediately upon discovery of issue
  - Provide sufficient detail
    - Hospital CCN
    - How issue was discovered
    - Average monthly eligible count
    - Number of eligible discharges affected
    - Average monthly sample size
    - Number of sampled patients affected
    - Corrective action plan
    - Other details and information, including time period affected
    - Initial and follow up DR numbers
HCAHPS Survey
DISCREPANCY REPORT FORM

Section 1 is to be completed by the organization submitting this form. The requested information regarding the affected hospitals must be provided in Section 4 in order to complete the HCAHPS Discrepancy Report. THIS FORM MUST BE SUBMITTED ONLINE (www.hcahpsonline.org). All required fields are indicated with an asterisk (*). Enter “To be updated” in “*” required fields, only if an updated Discrepancy Report submission will be necessary.

Indicate whether this report is an Initial Discrepancy Report or an Updated Discrepancy Report.

☐ Initial Discrepancy Report (Must be submitted within 24 hours after the discrepancy has been discovered.)
☐ Updated Discrepancy Report (If needed, must be submitted within two weeks of initial Discrepancy Report submission:

Date of Initial Discrepancy Report
Initial Discrepancy Report ID:

1. General Information

Unique ID Submission Date 1a. Name of organization submitting Discrepancy Report*

1b. Type of Organization: *
   Check one:
   □ Survey Vendor
   □ Multi-Site
   □ Self-Administering Hospital
   □ Hospital Contracted with a Survey Vendor:
      Name of Survey Vendor
   □ Other

2. Contact Person for this Discrepancy Report (Confirm email will be sent to the Contact Person.)

2a. First Name: *
2b. Last Name: *
2c. Mailing Address 1: *
2d. Mailing Address 2:
2e. City: *
2f. State: *
2g. Zip Code: *
2h. Telephone: *(xxx-xxx-xxxx)
2i. Fax Number:
2j. Email Address: *
3. Information About the Discrepancy

3a. Description of the discrepancy: *

3b. Description of how the discrepancy was identified: *

3c. Description of the corrective action to fix the discrepancy, including estimated time for implementation: *

3d. Additional information that would be helpful that has not been included above: *
### Introduction to HCAHPS Survey Training

#### 4. List of Hospitals Applicable to this Discrepancy

4a. Total number of affected hospitals: *

4b. Add the information for the affected hospitals by populating the following 10 fields. A hospital may be added more than once if there are multiple time frames for the hospital. It is important that the affects of the Discrepancy Report are quantified; however “unknown” will be accepted as a valid response.

<table>
<thead>
<tr>
<th>Name of Hospital</th>
<th>CCN</th>
<th>Hospital Contact Person</th>
<th>Email Address</th>
<th>Eligible Discharges Affected</th>
<th>Avg. Eligible Discharges/Month</th>
<th>Sampled Patients Affected</th>
<th>Avg. Surveys Admin/Month</th>
<th>Time Frame Begin Date</th>
<th>Time Frame End Date</th>
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Note: Please print completed Discrepancy Report form before submitting.

- Print Discrepancy Report
- Submit Form

This form must be submitted online via the HCAHPS Web site (www.hcahpsonline.org).
Discrepancy Report (cont’d)

• Review Process
  – Assessment of actual or potential impact on publicly reported results, therefore there may be a delay before results of review are communicated
  – Reviews may result in assignment of footnotes to publicly reported results
  – Additional information may be requested
  – Notification of review outcome
Oversight Activities
Overview

• Purpose of Oversight
• Description of Oversight Activities
• Quality Assurance Plan (QAP) Requirements
• On-Site Visits and Conference Calls
• Oversight and Compliance
Introduction to HCAHPS Survey Training

Purpose of Oversight

- To ensure **compliance** with HCAHPS protocols
- To ensure that all data collected and submitted are complete, valid and timely
- To ensure standardization and transparency of publicly reported results
- *Increasing scrutiny with Hospital VBP*
Description of Oversight Activities

- The HCAHPS Project Team (HPT):
  - Reviews Quality Assurance Plans
  - Reviews survey materials
  - Analyzes submitted data
  - Conducts on-site visits and conference calls
Quality Assurance Plan

- Documents understanding, application and compliance with HCAHPS protocols
- Serves as an organization-specific guide for administering and training project staff to conduct the HCAHPS Survey
  - Describes role of subcontractors, if any
- Must reflect *actual* survey processes and practices
- Provides a guide for the HPT on-site visit or call
- Ensures high quality data collection and continuity in survey processes
Quality Assurance Plan *(cont’d)*

- New QAP submitted *after participation approval* by CMS as self-administering hospital, hospital administering multiple sites or survey vendor.
- QAP must be *updated annually* and when changes in key events or key project staff occur.
- HPT "accepts" the QAP
  - Acceptance does not imply approval of data collection processes.
On-Site Visits/Conference Calls

- Purpose: To ensure compliance with HCAHPS Survey protocols
  - Visits and calls are scheduled by the HPT
- Site visits must be conducted at formal business locations

FY 2014 IPPS Final Rule codified that:

"Approved HCAHPS survey vendors and self-administering hospitals must fully comply with all HCAHPS oversight activities, including allowing CMS and its HCAHPS Project Team to perform site visits at the hospitals’ and survey vendors’ company locations."
On-Site Visits/Conference Calls (cont’d)

- HPT reviews survey systems, resources and facilities
- Discussions with project staff, including subcontractors
  - HCAHPS Project Manager/Director must be physically present during the site visit
- All materials related to survey administration are subject to review
  - Including survey forms, letters, outgoing survey envelopes, scripts, screen shots, monitoring procedures and practices, etc.
- HPT also reviews reports that survey vendors produce for client hospitals
• **Feedback Report** will include the HPT’s observations on topics including:
  – Survey administration
  – Data preparation, specifications, coding and submission
  – Data quality checks
  – Staff training
  – Action items for follow-up

• Documentation of any corrections is required

• Follow-up review may occur
Analysis of Submitted Data

- Each quarter, the HCAHPS Project Team carefully examines all data submitted to HCAHPS warehouse
  - Outliers, anomalies, trends, unusual patterns, etc.
- High rates of missingness
- Unusually high/low response rates
- High rates of “break-offs”
- Contact hospitals/survey vendors regarding submitted data and HCAHPS scores, as necessary
HCAHPS Oversight

• If a hospital (or its survey vendor) fails to adhere to HCAHPS protocols, it must develop and implement corrective actions
  – *Footnotes may be added to publicly reported HCAHPS scores, as appropriate*

• If problems persist, the hospital may not qualify as meeting the Annual Payment Update (APU) requirements for HCAHPS
  – The hospital’s APU may be jeopardized
  – Possible consequences for Hospital VBP

• Survey vendors that are non-compliant with HCAHPS protocols may lose their approval status
HCAHPS Oversight (cont’d)

• HCAHPS and **Hospital VBP** Program
  – With pay-for-performance (Hospital VBP), increased scrutiny and greater emphasis on compliance for:
    • All participating hospitals
    • Multi-site hospitals
    • Survey vendors
HCAHPS Oversight (cont’d)

• A participating hospital should:
  – Work closely with its survey vendor (if using one)
  – Monitor HCAHPS Warehouse Feedback Reports
    • Including Review and Correct Period
  – Read the HCAHPS QAG
  – Visit the HCAHPS Web site for news, updates and announcements
  – Comply with all HCAHPS oversight activities
Questions?
Next Steps

• Hospitals/Survey vendors:
  – Submit Program Participation Form
    • March 2 – 23, 2017
  – If approved:
    • Submit QAP and survey materials
    • Submit QNet Registration Form
    • Begin data collection
    • Monitor Submission/Feedback Reports
    • Participate in future HCAHPS Update Training
    • Monitor our Web site http://www.hcahpsonline.org
    • Contact us
More Information and Resources

• Registration, applications, background information, reports, and HCAHPS Executive Insight can be found on the official HCAHPS Survey Web site:
  
  http://www.hcahpsonline.org

• Submitting HCAHPS data:
  
  https://www.qualitynet.org

• Publicly reported HCAHPS results:
  
  https://www.medicare.gov/hospitalcompare

• HCAHPS results DDB:
  
  https://Data.Medicare.gov
Introduction to HCAHPS Survey Training

Contact Us

HCAHPS Information and Technical Support

• Web site: http://www.hcahpsonline.org
• Email: hcahps@hcqis.org
• Telephone: 1-888-884-4007
Complete Evaluation Form