

**2023 MA & PDP CAHPS Survey
Quality Assurance Protocols & Technical Specifications V13.0
Summary of Updates**

This document is a reference tool that highlights the major changes from the MA & PDP CAHPS *Quality Assurance Protocols & Technical Specifications (QAP&TS) V12.0 to V13.0*. This document is not a substitute for reviewing the MA & PDP CAHPS QAP&TS V13.0 in its entirety or, if applicable, the most recent Technical Corrections and Clarifications document posted on the MA & PDP CAHPS website. The MA & PDP CAHPS QAP&TS V13.0 manual is effective upon its release in October 2022. General format and minor wording revisions have occurred throughout the manual and are not included in the table below. Please contact MA & PDP CAHPS Survey Technical Assistance for any specific questions.

Section of the QAP&TS V13.0	Summary of Key Changes in V13.0
Miscellaneous	<ul style="list-style-type: none"> • Changed V12.0 to V13.0 • Revised dates as necessary, e.g., 2021 to 2022 • Minor wording or formatting updates as needed • The word “beneficiary” was changed to “enrollee”
I. Reader’s Guide	
	<ul style="list-style-type: none"> • Added a description for a new chapter, “Exception Requests” • Added a new appendix, Appendix Q, Vendor Report of Mail Survey Activity & Returns
II. Introduction and Overview	
	<p>Added items that are new for 2023 survey administration, including the following:</p> <ul style="list-style-type: none"> • Added a new chapter, Exception Requests, to describe the process for requesting an exception to conduct business operations off-site or remotely while still maintaining data integrity for standardized public reporting • Alphabetized the race categories in the 2023 English survey versions. For languages other than English, the race categories will appear in the same order as in the English language version. • Updated Q18 of the Spanish MA-Only and MA-PD survey to add the words “récord médico” • Added a formatting requirement that survey questionnaires must be printed as booklets and bound so there are no loose pages and specified that the survey may not be printed in any other format (i.e., trifold) • Added clarification regarding marketing of MA & PDP CAHPS survey data • Clarified that returned surveys must be tracked by the date of receipt from the post office and must be processed and data entered or scanned within three business days

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	<ul style="list-style-type: none"> • Added a new MA & PDP CAHPS Vendor Report of Mail Survey Activity & Returns that must be submitted 3/21/2023 and every two weeks after the first report until the end of data collection; more information may be found in Appendix Q • Added a second Vendor Report of Outbound CATI. Vendors may be required to submit additional follow-up reports during outbound CATI. • Revised the protocol for generating pre-notification letters. CMS will provide the pre-notification letter templates in each language and vendors will generate their own customized pre-notification letters that include the toll-free customer support number. • Provided two additional acceptable file formats for data submission, UTF-8 and UTF-16 • Renamed two sample variables in the sample file record layout: “Gender” has been renamed “Sex” and “Spanish Preference” has been renamed “Spanish Preference Indicator”
III. Program Requirements	
	<ul style="list-style-type: none"> • Added clarification regarding marketing of vendor MA & PDP CAHPS survey data, including: <ul style="list-style-type: none"> ○ Survey vendors must not use any MA & PDP CAHPS survey data, whether preliminary or results, for any purpose beyond client reports for quality improvement purposes ○ Survey results may not be published on public facing websites or in marketing materials ○ Vendor marketing materials should be limited to the vendor’s role in data collection activities and may not state or imply that the vendor can improve a client’s Star Ratings • Added reminder that DUA requirements apply to all client reports • Added clarification that vendors must receive CMS approval prior to performing any survey administration activities remotely • Added description of a test of the MA & PDP CAHPS Data Warehouse that the MA & PDP CAHPS Data Coordination team will conduct with each vendor to include an exchange of test files prior to sample delivery to confirm accounts are correctly set up

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IV. Sampling	
	<ul style="list-style-type: none"> • Added clarification that the survey version for MA contract enrollees is determined by the plan benefit package (PBP) at the time of the January sample draw • Added clarification that individuals enrolled in an MA-Only PBP within a contract also offering MA-PD PBPs must be sent the MA-Only survey version • Renamed two sample variables for 2023: “Gender” has been renamed “Sex” and “Spanish Preference” has been renamed “Spanish Preference Indicator” • Added clarification that the sample field LIS identifies the Low Income Subsidy indicator for those who are NOT Dual Eligible (DE). A value of Y identifies non-DE cases eligible for LIS. A value of N identifies cases that are either DE or non-DE not eligible for LIS.
V. Communications and Technical Support	
	<ul style="list-style-type: none"> • No changes
VI. Data Collection Protocol	
	<ul style="list-style-type: none"> • Modified the Data Collection Schedule to require vendors to submit English pre-notification letters with the other 2023 MA & PDP CAHPS mail survey materials and English MA-PD CATI screenshots • Removed the task “Survey vendors provide toll-free customer support telephone numbers for inclusion in pre-notification letter” from the Data Collection Schedule • Modified the Data Collection Schedule to require vendors to submit Spanish pre-notification letters with the other Spanish (and Chinese, Korean, Tagalog, and Vietnamese, if applicable) 2023 MA & PDP CAHPS mail survey materials • Revised Data Collection Schedule for 2023 survey administration to require vendors to provide a copy of their new or updated DUA from EPPE to the MA & PDP CAHPS Technical Assistance email • Revised Data Collection Schedule for 2023 survey administration to include Vendor Report of Mail Survey Activity & Returns starting on 3/21/2023 with additional reports due every two weeks after the first report until the end of data collection • Revised Data Collection Schedule for 2023 survey administration to include a second Vendor Report of Outbound CATI. The first Vendor Report of Outbound CATI is due 5/8/2023 and the second is due 5/15/2023.

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	<ul style="list-style-type: none"> • Clarified that CATI scripts and supporting programs must be fully operational for all survey types (including applicable supplemental questions) for inbound requests at the start of the mail administration protocol time period • Added Calibri and Helvetica 12 point to the list of acceptable fonts for pre-notification letters, cover letters, and mail questionnaires • Added requirement that mail questionnaires must be printed as booklets and bound so there are no loose pages. Questionnaires may not be printed in any other format (e.g., trifold format). • Added expiration date of OMB number to the OMB statement printed on the first page of mail questionnaires • Added clarification that page numbers must be printed at the bottom of each page of the mail questionnaires • Added clarification that supplemental questions must be fully programmed in the CATI version of the survey and operational by the start of inbound CATI protocol • Added requirement that returned questionnaires must be tracked by date of receipt (date received from post office), the survey data entered or scanned within three business days, and those records removed from further mail or CATI follow-up, as appropriate • Added the requirement that all vendors must complete and submit an MA & PDP CAHPS Vendor Report of Mail Survey Activity & Returns using the Excel template found in Appendix Q
VII. Data Coding and Data Preparation	
	<ul style="list-style-type: none"> • Clarified that survey vendors may use UTF-8 or UTF-16 file formats to submit MA & PDP CAHPS Survey data
VIII. Data Submission	
	<ul style="list-style-type: none"> • Added description of the test of the MA & PDP CAHPS Data Warehouse that the MA & PDP CAHPS Data Coordination team will conduct with each vendor prior to the delivery of the sample to confirm that accounts are correctly set up

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IX. Data Analysis and Public Reporting	<ul style="list-style-type: none"> • Added a section regarding Customer Service Composite Scoring for clarification • Clarified text that the case-mix model used for analyzing MA & PDP CAHPS Survey data includes the following variables (each of which has mutually exclusive categories): <ul style="list-style-type: none"> ○ Education ○ Self-reported general health status ○ Self-reported mental health status ○ Proxy completion of the survey or other proxy assistance ○ Dual eligibility*; Low income subsidy but not dual eligibility* ○ Age* (calculated as the difference between survey finalization year and year of birth) ○ Asian (Chinese, Korean, Tagalog, and Vietnamese) language survey completion * <i>Note: CMS Administrative Data</i> • Clarified that the comparison of a contract’s score to percentiles is based on rounded scores on the 0-100 scale, while the significance tests and test of 1 standard error (SE) difference are based on unrounded scores • Clarified that survey vendors must not use any MA & PDP CAHPS survey data, whether preliminary or final results, for any purpose beyond client reports for quality improvement purposes • Clarified that survey results may not be published on public facing websites or in marketing materials and that findings may not be shared beyond quality improvement reports to clients. • Clarified that vendor marketing materials should be limited to the vendor’s role in data collection activities and may not state or imply that the vendor can improve a client’s Star Ratings.
X. Oversight	
	<ul style="list-style-type: none"> • No changes

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XI. Event Reports	
	<ul style="list-style-type: none"> Clarified that the Event Report Form must be submitted within one business day of the survey vendor becoming aware of an event, regardless of whether the root cause, scope of issue, or a resolution has been identified, or whether or not data collection has ended
XII. Exception Requests	
	<ul style="list-style-type: none"> Added new chapter to describe the process for requesting an exception to conduct business operations off-site or remotely while still maintaining data integrity for standardized public reporting

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Appendix A – Minimum Business Requirements	
	<ul style="list-style-type: none"> • No changes
Appendix B – Vendor Access to MA & PDP CAHPS Data Warehouse Form	
	<ul style="list-style-type: none"> • No changes
Appendix C – Model Quality Assurance Plan	
	<ul style="list-style-type: none"> • Added that the pre-notification letter must be submitted to the MA & PDP CAHPS Survey project team for review at the same time as submission of the cover letters and mail questionnaires in all applicable languages • Added clarification that the description of personnel involved in MA & PDP CAHPS Survey administration must include remote staff as well as subcontractor(s), if applicable • Added requirement to describe in detail how remote operations are conducted if applicable, including oversight of remote staff • Added requirement to describe quality control checks to ensure programming is accurate and in accordance with survey protocols following any updates to the completed, quality control checked CATI script program (i.e., CATI has started and it has been determined a change to the script is required) • Added clarification that the description of the process for ensuring that telephone interviewers are following MA & PDP CAHPS Survey data collection protocols and procedures during the telephone survey administration phase should include subcontractor and remote interviewers, if applicable • Added requirement to describe the process to document calls to the customer support line from enrollees and from individuals calling on behalf of the sampled enrollees • Added requirement to describe the quality control process for confirming customer support calls are returned and dispositioned accurately • Added requirement to describe in detail how remote operations are conducted to assure compliance with HIPAA and data security requirements if vendor’s organization has received approval for remote administration activities from a residence or virtual office. If approval was

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	received after submission of vendor’s QAP, a revised QAP including the description must be submitted within one week.
Appendix D – General Interviewing Guidelines for Conducting Telephone Surveys	
	<ul style="list-style-type: none"> • No changes
Appendix D-1 – Tips for Training Telephone Interviewers	
	<ul style="list-style-type: none"> • No changes
Appendix E – Frequently Asked Questions for Customer Support	
	<ul style="list-style-type: none"> • Removed questions about COVID-19 vaccines and testing
Appendix F – Instructions for Survey Vendors on Accessing the MA & PDP CAHPS Data Warehouse	
	<ul style="list-style-type: none"> • Updated screenshots
Appendix G – Sample File Record Layout	
	<ul style="list-style-type: none"> • Renamed the “Gender” field name “Sex” • Renamed “Spanish Preference” field name “Spanish Preference Indicator” • Clarified that the field LIS identifies the Low Income Subsidy indicator for those who are NOT Dual Eligible (DE).
Appendix H – Vendor Survey File Record Layout	
	<ul style="list-style-type: none"> • Renamed “Spanish Preference” field name “Spanish Preference Indicator” • Clarified that the field LIS identifies the Low Income Subsidy indicator for those who are NOT Dual Eligible (DE).
Appendix H-1 – MA-Only Data Submission File Layout	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q58

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Appendix H-2 – MA-PD Data Submission File Layout	
	<ul style="list-style-type: none"> Alphabetized the race categories in Q63
Appendix H-3 – PDP Data Submission File Layout	
	<ul style="list-style-type: none"> Alphabetized the race categories in Q21
Appendix I – Event Report	
	<ul style="list-style-type: none"> No changes
Appendix J-1 – MA-Only Survey Items ATA	
	<ul style="list-style-type: none"> No changes
Appendix J-2 – MA-PD Survey Items ATA	
	<ul style="list-style-type: none"> No changes
Appendix J-3 – PD Survey Items ATA	
	<ul style="list-style-type: none"> No changes
Appendix K – List of Reportable Measures	
	<ul style="list-style-type: none"> No changes
Appendix L-1 – MA and MA-PD INITIAL Pre-Notification Letter	
	<ul style="list-style-type: none"> No changes
Appendix L-2 – PDP Pre-Notification Letter	
	<ul style="list-style-type: none"> No changes
Appendix L-3 – MA-Only and MA-PD 1st Mailing Cover Letter	
	<ul style="list-style-type: none"> No changes

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Appendix L-4 – PDP 1st Mailing Cover Letter	
	<ul style="list-style-type: none"> • No changes
Appendix L-5 – MA-Only and MA-PD 2nd Mailing Cover Letter	
	<ul style="list-style-type: none"> • No changes
Appendix L-6 – PDP 2nd Mailing Cover Letter	
	<ul style="list-style-type: none"> • No changes
Appendix L-7 – MA-Only Mail Survey	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q58
Appendix L-8 – MA-PD Mail Survey	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q63
Appendix L-9 – PDP Mail Survey	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q21
Appendix L-10 – MA and MA-PD INITIAL Pre-Notification Letter Spanish	
	<ul style="list-style-type: none"> • No changes
Appendix L-11 – PDP Pre-Notification Letter Spanish	
	<ul style="list-style-type: none"> • No changes
Appendix L-12 – MA-Only and MA-PD 1st Mailing Cover Letter Spanish	
	<ul style="list-style-type: none"> • No changes

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Appendix L-13 – PDP 1st Mailing Cover Letter Spanish	
	<ul style="list-style-type: none"> • No changes
Appendix L-14 – MA-Only and MA-PD 2nd Mailing Cover Letter Spanish	
	<ul style="list-style-type: none"> • No changes
Appendix L-15 – PDP 2nd Mailing Cover Letter Spanish	
	<ul style="list-style-type: none"> • No changes
Appendix L-16 – MA-Only Mail Survey Spanish	
	<ul style="list-style-type: none"> • Updated Q18 to add the words “récord médico,” • Revised the race categories in Q58 to follow the same order as in the English version
Appendix L-17 – MA-PD Mail Survey	
	<ul style="list-style-type: none"> • Updated Q18 to add the words “récord médico,” • Revised the race categories in Q63 to follow the same order as in the English version
Appendix L-18 – PDP Mail Survey Spanish	
	<ul style="list-style-type: none"> • Revised the race categories in Q21 to follow the same order as in the English version
Appendix M-1 – MA-Only CATI Script	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q58
Appendix M-2 – MA-PD CATI Script	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q63
Appendix M-3 – PDP CATI Script	
	<ul style="list-style-type: none"> • Alphabetized the race categories in Q21

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Appendix M-4 – MA-Only CATI Script Spanish	
	<ul style="list-style-type: none"> • Updated Q18 to add the words “récord médico,” • Revised the race categories in Q58 to follow the same order as in the English version
Appendix M-5 – MA-PD CATI Script Spanish	
	<ul style="list-style-type: none"> • Updated Q18 to add the words “récord médico,” • Revised the race categories in Q63 to follow the same order as in the English version
Appendix M-6 – PDP CATI Script Spanish	
	<ul style="list-style-type: none"> • Revised the race categories in Q21 to follow the same order as in the English version
Appendix N – Guidance on Supplemental Questions	
	<ul style="list-style-type: none"> • No changes
Appendix O – Guidance on Appending Data	
	<ul style="list-style-type: none"> • Updated the Excel template examples to reference quality improvement
Appendix P – Vendor Report of Outbound CATI	
	<ul style="list-style-type: none"> • No changes
Appendix Q – Vendor Report of Mail Survey Activity and Returns	
	<ul style="list-style-type: none"> • Added new Appendix to detail the Vendor Report of Mail Survey Activity & Returns • Added Excel template for vendors to use to submit the Report of Mail Survey Activity and Returns