

CAHPS Hospice Survey Quality Assurance Guidelines Version 9.0

Summary of Updates and Emphasis

This document is a reference tool that highlights the major changes from the *CAHPS Hospice Survey Quality Assurance Guidelines Version 8.0 to 9.0*. This document is not a substitute for reviewing the *CAHPS Hospice Survey Quality Assurance Guidelines V9.0* in its entirety. The *CAHPS Hospice Survey Quality Assurance Guidelines V9.0* manual is effective upon its release in September 2022. General formatting and minor wording revisions have occurred throughout the manual and are not included in this change matrix. Please contact the CAHPS Hospice Survey Project Team for any specific questions.

QAG Section	Summary of Key Changes in V9.0
Chapters	
Miscellaneous	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Revised V8.0 to V9.0 ○ Revised dates as necessary (e.g., 2021 to 2022; 2022 to 2023) ○ Minor formatting and wording revisions throughout the manual ○ Updated references to appendices as needed ○ References to XML File Specification V8.0 have been updated to XML File Specification V9.0
II. Introduction and Overview	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Updated CAHPS Hospice Survey Mode Experiment section ○ Updated section regarding the public reporting of CAHPS Hospice Survey results ○ Updated Compare Tool Refresh Date Timeline table ○ Updated CAHPS Hospice Survey Star Ratings section ○ Updated CAHPS Hospice Survey Development and National Implementation Timeline ○ Updated Data Collection and Submission Timeline

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III. Program Requirements	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Clarified that hospices may not contact caregivers directly regarding survey responses provided by the caregiver in the survey ○ Clarified that caregivers should not be given any formal, CAHPS Hospice Survey-like, patient experience/satisfaction surveys before they receive the official CAHPS Hospice Survey ○ Clarified that a hospice must begin participating during January of the year after their CCN is assigned ○ Clarified that CMS approval is required prior to performing any survey administrative activities outside of a secure commercial environment ○ Clarified that survey vendors conducting Telephone Only survey administration must have a process in place to address caregivers’ requests to verify the legitimacy of the survey and/or answer questions about the survey ○ Added guidance regarding the option of providing customer support via the internet ○ Clarified how hospices or survey vendors must indicate that survey vendor provided scores are not official CMS scores ○ Added additional descriptions regarding the Minimum Business Requirement sections ○ Added that home-based or virtual interviewers cannot be used to administer the CAHPS Hospice Survey, nor may they conduct any survey administration processes unless an Exception Request has been submitted and approved by CMS ○ Added that mail survey administration and telephone interviews are not to be conducted from a residence, nor from a virtual office unless an Exception Request has been submitted and approved by CMS ○ Clarified that survey vendors must successfully complete the post-training quiz measuring comprehension of CAHPS Hospice Survey protocols ○ Clarified that the CAHPS Hospice Survey Participation Form for Survey Vendors is available on the CAHPS Hospice Survey Web site at (www.hospicecahpsurvey.org) on an annual basis several months prior to training • Emphasis: <ul style="list-style-type: none"> ○ Clarified that CMS strongly suggests that if patients or their caregivers are asked questions during their hospice care, such questions be worded in a neutral tone and not slanted toward a particular outcome ○ Clarified that hospices must authorize the contracted survey vendor by submitting the CAHPS Hospice Survey Vendor Authorization Form (refer to Appendix B) 90 days prior to the data submission deadline ○ Clarified that a survey vendor must immediately notify the CAHPS Hospice Survey Project Team of changes in its organizational structure or ownership (i.e., changes due to mergers or acquisitions, name, or address) ○ Clarified that a survey vendor must immediately notify the CAHPS Hospice Survey Project Team of changes in its contact person or key staff
IV. Communications and Technical Support	<ul style="list-style-type: none"> • No revisions

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V. Sampling Protocol	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Clarified that the hospice is responsible for identifying one primary informal caregiver who is eligible to receive and respond to the CAHPS Hospice Survey for each decedent ○ Clarified the Final Survey Status code of “11 – Non-response: Bad/No Telephone Number” for Telephone Only Mode • Emphasis: <ul style="list-style-type: none"> ○ Clarified that all decedents/caregivers in the month with the exception of non-publicity decedents/caregivers must be submitted to the survey vendor ○ Clarified that staff members, employees of the hospice or the care setting in which the patient received hospice care, non-familial legal guardians, or contracted/hired non-familial caregivers are not eligible to be sampled for the CAHPS Hospice Survey
VI. Mail Only Survey Administration	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that mail survey activities are not to be conducted from a residence, nor from a virtual office, unless an Exception Request has been submitted and approved by CMS ○ Added that an optional “Reply-by-Date” (35 days from initial mailing) may be added to the follow-up cover letter ○ Added VPN for preventing unauthorized access to the electronic files • Emphasis <ul style="list-style-type: none"> ○ Clarified that the survey vendors who were approved for remote operations must ensure that actions to secure data apply to all remote activities

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VII. Telephone Only Survey Administration	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that telephone survey activities are not to be conducted from a residence, nor from a virtual office, unless an Exception Request has been submitted and approved by CMS ○ Clarified that if the caregiver will not be available during the data collection period, and no proxy is identified, the caregiver should not receive any further telephone attempts and the case should be coded appropriately (8 – Non-response: Refusal) ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer must clarify the caregiver response if accepting alternative positive and/or negative responses (Definitely yes, Probably yes, etc.) ○ Added that silent monitoring capability must include the ability to monitor calls live, both on-site and from remote locations ○ Added VPN for preventing unauthorized access to the electronic files • Emphasis <ul style="list-style-type: none"> ○ Clarified that a proxy respondent must be within the sampled caregiver’s household ○ Clarified that survey vendors using a subcontractor(s) or any other organization(s) must monitor at least 10 percent of calls through silent monitoring of interviewer calls live, both on-site and from remote locations ○ Clarified that the survey vendors who were approved for remote operations must ensure that actions to secure data apply to all remote activities

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VIII. Mixed Mode Survey Administration	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that mail survey activities are not to be conducted from a residence, nor from a virtual office, unless an Exception Request has been submitted and approved by CMS ○ Added that telephone survey activities are not to be conducted from a residence, nor from a virtual office, unless an Exception Request has been submitted and approved by CMS ○ Clarified that if the caregiver will not be available during the data collection period, and no proxy is identified, the caregiver should not receive any further telephone attempts and the case should be coded appropriately (8 – Non-response: Refusal) ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer must clarify the caregiver response if accepting alternative positive and/or negative responses (Definitely yes, Probably yes, etc.) ○ Added that silent monitoring capability must include the ability to monitor calls live, both on-site and from remote locations ○ Added VPN for preventing unauthorized access to the electronic files • Emphasis <ul style="list-style-type: none"> ○ Clarified that a proxy respondent must be within the sampled caregiver’s household ○ Clarified that survey vendors using a subcontractor(s) or any other organization(s) must monitor at least 10 percent of calls through silent monitoring of interviewer calls live, both on-site and from remote locations ○ Clarified that the survey vendors who were approved for remote operations must ensure that actions to secure data apply to all remote activities
IX. Data Coding and Data File Preparation	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Clarified the assignment of the Final Survey Status code “9 - Non-response: Non-response after Maximum Attempts” for Mail Only and Mixed Modes
X. Data Submission	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Updated the Vendor Authorization Form Deadline dates ○ Clarified that if an uploaded file does not have the “.pgp” extension, the file will be deleted and an email will be sent to the survey vendor’s Data Administrators, informing them they have uploaded a file that does not comply with the established submission standards • Emphasis: <ul style="list-style-type: none"> ○ Clarified that hospices must authorize the contracted survey vendor by submitting the CAHPS Hospice Survey Vendor Authorization Form (refer to Appendix B) 90 days prior to the data submission deadline

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XI. Oversight Activities	<ul style="list-style-type: none"> • No Revisions
XII. Data Reporting	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Updated the Public Reporting Provider Preview Period and Refresh Date table ○ Clarified that the Provider Preview Reports will include Star Ratings ○ Clarified that hospices have 30 days to preview their CAHPS Hospice Survey measure results beginning on the date the reports are made available and to request a review of the data if the hospice provider believes the data are inaccurate ○ Added information regarding Star Ratings and the calculation of Star Ratings
XIII. Exception Request Process	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added guidance regarding the submission of an Exception Request for requests for remote operations ○ Added guidance that survey vendors must thoroughly discuss how remote operations will be conducted to assure compliance with HIPAA, data security, and quality assurance requirements ○ Added guidance that survey vendors must submit an Exception Request to conduct any CAHPS Hospice Survey administration activities from a residence or virtual office • Emphasis: <ul style="list-style-type: none"> ○ Clarified that survey vendors who were approved for remote operations during the public health emergency must resubmit an Exception Request for approval to conduct remote operations past December 31, 2022 (i.e., beginning January 1, 2023)
XIV. Discrepancy Report Process	<ul style="list-style-type: none"> • No revisions
XV. Data Quality Checks	<ul style="list-style-type: none"> • No revisions
Appendices	
Appendix A Minimum Business Requirements	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added additional descriptions regarding the Minimum Business Requirement sections ○ Clarified that survey vendors must successfully complete the post-training quiz measuring comprehension of CAHPS Hospice Survey protocols
Appendix B Survey Vendor Authorization Form	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Updated dates in the Survey Vendor Authorization Form ○ Created table for the submission form deadlines ○ Added additional information regarding previous survey vendors
Appendix C Data Warehouse Access Form for Vendors and Hospices	<ul style="list-style-type: none"> • No revisions

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Appendix D Sample File Layout	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added “7- No Secondary Payer” and “7- No Other Payer”
Appendix E XML File Layout Version 9.0	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Revised dates as necessary (e.g., 2022 to 2023) ○ Added “7- No Secondary Payer” and “7- No Other Payer” ○ Alphabetized Questions 42 – Decedent Latino responses ○ Alphabetized Question 43 – Race responses
Appendix F Interviewing Guidelines for Telephone Surveys	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer must clarify the caregiver response if accepting alternative positive and/or negative responses (Definitely yes, Probably yes, etc.)
Appendix G Frequently Asked Questions for Customer Support	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that the CAHPS Hospice Survey data are publicly reported on Care Compare ○ Added that the summary Star Rating results will be updated twice a year ○ Added guidance for questions of whether the survey might be a “scam”
Appendix H Model Quality Assurance Plan	<ul style="list-style-type: none"> • No Revisions
Appendix I Exception Request Form	<ul style="list-style-type: none"> • No Revisions
Appendix J Discrepancy Report Form	<ul style="list-style-type: none"> • No Revisions
Appendix K Participation Exemption for Size Form	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Updated dates within the form
Appendix L Attestation Statement	<ul style="list-style-type: none"> • No Revisions

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Appendix M Examples of Additional Supplemental Questions for Survey Vendor Use	<ul style="list-style-type: none"> • No Revisions
Appendix N Mail Survey Materials (English)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the response choices for Hispanic ethnicity to be in alphabetical order ○ Changed the response choices for race to be in alphabetical order ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix O Mail Survey Materials (Spanish)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix P Mail Survey Materials (Traditional Chinese)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix Q Mail Survey Materials (Simplified Chinese)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix R Mail Survey Materials (Russian)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix S Mail Survey Materials (Portuguese)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Revised the instructions for the oval and circle response surveys ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix T Mail Survey Materials (Vietnamese)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter

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Appendix U Mail Survey Materials (Polish)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix V Mail Survey Materials (Korean)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses ○ Added an optional “Reply by Date” text to the follow-up cover letter
Appendix W Telephone Script (English)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Changed the response choices for Hispanic ethnicity to be in alphabetical order ○ Changed the response choices for race to be in alphabetical order
Appendix X Telephone Script (Spanish)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses
Appendix Y Telephone Script (Russian)	<ul style="list-style-type: none"> • Updates: <ul style="list-style-type: none"> ○ Added that the interviewer may accept any alternative positive or negative response from the caregiver ○ Added that the interviewer may use the pronoun appropriate to the decedent’s gender (“he or she” or “him or her”) if the caregiver mentions the decedent’s gender ○ Changed the order for Questions 42 – Hispanic ethnicity responses ○ Changed the order for Question 43 – Race responses