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January 3, 2019

Sarah Way-Messer  
Quality Improvement Manager  
Care Wisconsin / Elder Care  
1617 Sherman Ave  
Madison, WI 53704

RE: 2019 Health Outcomes Survey for CMS contract **H5209**

Dear Ms. Way-Messer,

DataStat is most pleased to work with you as we conduct the 2019 HEDIS®1 Medicare Health Outcomes Survey (HOS) for Care Wisconsin. This letter serves to outline our agreement.

DataStat and Care Wisconsin have entered into a three-year agreement, starting in 2017, for DataStat to conduct the Medicare HOS on behalf of Care Wisconsin; this is the **third** and final year of the agreement. Care Wisconsin’s 2019 project will consist of one Cohort 22 Baseline survey and one Cohort 20 Follow-up survey for CMS contract H5209 for quality reporting. Care Wisconsin will also be reporting for frailty assessment for PBP 002, using data from the HOS survey.

Sample sizes are set by CMS at [redacted] for the Baseline survey, or all eligible cases if this sample size cannot be reached, and all eligible cases for the Follow-up survey. Using current CMS data, Care Wisconsin’s Baseline sample size is anticipated to be [redacted] the Follow-up sample is estimated at approximately [redacted] cases.

Care Wisconsin agrees to pay DataStat in the amount of [redacted] as the set-up fee and [redacted] per case as the field cost for the Baseline surveys, and [redacted] as the set-up fee and [redacted] per case as the field cost for the Follow-up survey. The cost estimate for the 2019 HOS administration is as follows:

	Set-up fee	Field cost/ case	Sample Size (est)	TOTALS
H5209: Baseline survey - Cohort 22	[redacted]	[redacted]	[redacted]	[redacted]
H5209: Follow-up survey - Cohort 20	[redacted]	[redacted]	[redacted]	[redacted]
TOTAL	[redacted]	[redacted]	[redacted]	[redacted]

Invoicing for this project will be based on this estimated total, adjusted as needed for the actual number of cases in the file from CMS that we field.

Either DataStat or Care or Wisconsin may cancel this agreement upon 30 days written notice in the event of a significant shift in services (e.g. DataStat declines the opportunity to remain certified to conduct the HOS studies or Care Wisconsin discontinues the Medicare portion of their services). Upon termination of the agreement, Care Wisconsin agrees to pay for any services completed by DataStat up

1 HEDIS® is a registered trademark of the National Committee for Quality Assurance (NCQA)

to the point of termination. DataStat will provide Care Wisconsin with a detailed accounting of those services and the related costs, as part of the final settlement.

This agreement may be amended in the event of a change in services, field requirements, or other unforeseen circumstances. Any such amendment, with any related modifications to projects costs, shall be documented in writing and agreed upon by both parties.

The **scope of work** is presented on the following pages: project-specific services first, then our standard survey services. Our invoicing schedule is half the cost at the start of the project to cover materials and postage, with issue anticipated in March 2019; the second invoice for the remainder will be issued after delivery of the data to CMS. Terms are net 30 days.

Please let me know if you have any questions. If this letter agrees with your understanding and expectations for the project, please sign and return one copy to me, by email, fax, or mail.

Thank you very much for this opportunity to participate in what promises to be a very interesting project. We look forward to working with you again!

Very truly yours,



Ellen Jennson  
Healthcare Research Manager  
DataStat, Inc.

  
Signature

Angela L. Seidl  
Name (printed)

1/7/2019  
Date

VP Quality & Regulatory  
Title

## Project Specifications: Care Wisconsin 2019 HOS

DataStat will conduct the 2019 Medicare Health Outcomes Survey (HOS) Project on behalf of Care Wisconsin, using the specifications and protocol prescribed by CMS in the current version of the *HEDIS Specifications for the Medicare Health Outcomes Survey Volume 6* (Volume 6). Data collection will follow a mixed-mode protocol, consisting of a pre-notification letter, two survey packet mailings, a reminder postcard, and telephone follow-up. All texts, mailing materials, and scripts will be provided by CMS, formatted and printed or programmed by DataStat. All translations will be done by CMS. Data will be submitted by DataStat to CMS at the close of the survey.

### A. Sampling

- For the 2019 administration, per CMS, the sample sizes for the HOS survey are as follows:
  - Baseline: [REDACTED] or all eligible cases
  - Follow-up: all eligible cases
- In 2019, Care Wisconsin will field the following surveys for CMS contract H5209, for **quality** and **frailty** reporting:
  - Cohort 22 Baseline sample of [REDACTED] cases, and
  - Cohort 20 Follow-up sample of all available cases, estimated at [REDACTED] cases
- Sample draw by CMS for each contract using January 2019 administrative data; forwarded directly to DataStat for processing
- Sample processing in accordance with DataStat current standards and CMS guidelines
- DataStat will work with NCQA, as necessary, to resolve any sample data file problems
- All sample cases received from CMS will be included in the survey project
- DataStat will forward a blinded sample to the plan to obtain telephone numbers for all enrollees
- NCOA and telephone verification/update (land numbers and cell flags)

### B. Fieldwork

#### Mail data collection:

- Mail: Pre-notification letter, 1<sup>st</sup> survey packet, postcard reminder, 2<sup>nd</sup> survey packet
- All mail materials and texts provided by NCQA; formatted and printed in-house by DataStat, approved by NCQA
- Pre-notification letter:
  - Standardized salutation: "Dear Medicare Beneficiary"
  - CMS logo and CMS Privacy Officer signature
  - CMS logo on envelope, printed in black
  - First class postage imprint
  - USPS Electronic address service
- Questionnaire:
  - Three 11x17 white sheets of paper, folded to produce 12-page booklet
  - Customized to respondent level with insertion of bar-coded tracking data
- Cover letters.
  - Custom laser printing for text insertions
  - DataStat logo, printed in black
  - Signature of senior DataStat official
- Outgoing survey packet envelope:
  - CMS logo, printed in black
  - DataStat return address
  - First class postage imprint
  - Includes white return envelope with DataStat address and business reply imprint

**Telephone data collection:**

- Phone follow-up: [redacted] call attempts, max of [redacted]
- All CATI scripts provided by NCQA; programmed in-house by DataStat, approved by NCQA
- Conducted with beneficiaries from whom we have received no usable returned mail questionnaire nor alternate final resolution
- Telephone follow-up in English and Spanish

**Languages:**

- English and Spanish; all translation by NCQA
- Language of mail materials to respondent or first potential proxy determined by language variable in the sample from NCQA
- Care Wisconsin may provide a language preference variable for all enrollees; DataStat will merge it onto the data file from NCQA and generate mail materials in English or Spanish using the language variable provided
- Data collection by language as follows:
  - If identified as Spanish-speaking: Spanish-language materials starting with the pre-notification letter; English as alternate option for second mailings and phone follow-up.
  - All others receive English-language materials starting with the pre-notification letter, with Spanish as the alternate option for second mailings and phone follow-up
- Mail material preparation by language:
  - Pre-notification letters
    - English letter: text on the front with instructions to call DataStat's toll-free respondent assistance number to request survey materials in Spanish
    - Spanish letter: text on the front with instructions to call DataStat's toll-free respondent assistance number to request survey materials in English.
  - Questionnaires
    - Printed in English or, for Follow-up, in Spanish, based on sample language variable
    - For plans providing language preference for their members: questionnaire in English or Spanish using plan-provided language variable
  - Cover letters
    - Printed in English or, for Follow-up, in Spanish, based on sample language variable
    - For plans providing language preference for their members: letters in English or Spanish using plan-provided language variable
    - English letters. English on front and Spanish on back; text on the front with instructions to see back side for non-customized Spanish translation. Instructions on both sides for respondents to call DataStat's toll-free respondent assistance number to request survey materials in Spanish
    - Spanish letters: Spanish on front and English on back; text on the front with instructions to see back side for non-customized English translation. Instructions on both sides for respondents to call DataStat's toll-free respondent assistance number to request survey materials in English
  - Reminder postcards
    - White standard-text postcard reminder, in English or Spanish, based on sample language variable, sent to each selected respondent
    - For plans providing language preference for their members. printed in English or Spanish based on plan-provided language variable
  - Second mailing
    - Sent to non-responders, same format as first mailing except cover letter text
    - Alternate language versions of letter and questionnaire sent if requested

**Completion criteria:**

- Per HOS QAP guidelines

**Respondent support:**

- Toll-free respondent support line: English, Spanish
- Alternate language requests received via toll-free line
- Answered live: 9am – 8pm ET

**C. Reporting and Data Retention**

- Status updates throughout the field period
- Dataset meeting all submission specifications submitted to NCQA on or before deadline
- All records and returned, completed surveys retained per HOS requirements
- No member-level data may be delivered to plans
- DataStat shall retain electronic records of the project for a period of three (3) years, per NCQA specifications. All survey results with client data shall be destroyed after the retention period.

**D. Data Collection Timeline**

Data collection timeframes and protocols will be in accordance with CMS 2019 specifications and standards in Volume 6. The 2019 timeline for administration will be forwarded upon its issue by CMS; approximate dates are shown below.

ACTIVITIES	DATES
<b>Baseline</b> —Pre-note postcard mailing	Late March 2019
<b>Baseline</b> —First questionnaire mailing	Early April 2019
<b>Baseline</b> —First reminder postcard mailing	Mid-April 2019
<b>Baseline</b> —Second questionnaire mailing	Early May 2019
<b>Follow-up</b> —Pre-note postcard mailing	Late April 2019
<b>Follow-Up</b> —First questionnaire mailing	Early May 2019
<b>Baseline</b> —Second reminder postcard mailing	Mid-May 2019
<b>Follow-Up</b> —First reminder postcard mailing	Mid-May 2019
<b>Baseline</b> —CATI interviewing	Mid-June to mid-July 2019
<b>Follow-Up</b> —Second questionnaire mailing	Early June 2019
<b>Follow-Up</b> —Second reminder postcard mailing	Mid-June 2019
<b>Follow-Up</b> —CATI interviewing	Early July to early August 2019
<b>Baseline &amp; Follow-Up</b> —Final data files to NCQA	Late August 2019

### ***Standard Services and Protocols***

***Services and protocols described below apply to all survey projects unless otherwise stated in the Project Specifications.***

#### ***A. Sampling***

1. The sample frame file shall be submitted to DataStat in a prescribed standard format with fixed fields, fixed length records, and no delimiters. All required data file elements must be included in the sample frame. A data file layout shall accompany the sample frame.
2. The sample frame shall be submitted to DataStat through the DataStat Transfer Center – a website utilizing 256-bit encryption through SSL to securely transfer files using a web browser, or on physical media (CD-ROM, diskette)
3. Upon receiving the sample frame representing all eligible enrollment data files, DataStat will check the file for accuracy and completeness, and will review and refine it for appropriateness as a sampling frame. DataStat will work with Client staff to resolve any sample frame data file problems, as needed.
4. DataStat will de-duplicate the data files to ensure that each member is represented only once in the sampling frame.
5. From the set of all eligible members, a sample will be drawn using standard random or other selection procedures, per project specifications.
6. After the sample has been selected, DataStat will use a National Change of Address (NCOA) service to update address information.
7. Selected sample(s) will be de-duplicated to ensure that only one member per household appears.

***B. Mail Data Collection*** -- If a project requires mail data collection, the following standards and protocols will apply.

8. Questionnaires will be formatted using DataStat's standard layout and design, which will produce an instrument of a length determined by project specifications.
9. Supplemental questions may be added to the questionnaire, if allowed by the survey protocol. We will work with the Client to arrive at the optimal language and placement for supplemental items, in accordance with any language, placement, and other protocol requirements.
10. Length of survey instruments is a key element in survey cost; DataStat will notify the Client to discuss any additional costs or timeline impact if the questionnaire layout results in an instrument longer than anticipated.
11. Letter text will be based on project specifications. The length of the text will allow for DataStat's standard formatting and accommodate the use of the DataStat standard outgoing envelope. DataStat will work with the Client to revise the text of this letter, as needed.
12. Cover letters will be customized with the name and verified address of the selected member, and other customizations per project specifications.

13. Prior to producing final materials to be mailed, DataStat will provide the Client with examples of all materials for approval, if allowed by the survey sponsor
  14. Using our in-house mail production equipment, and DataStat will create and mail to each individual in the sample their customized survey in a personalized survey packet with the following format:
    - a. **Outgoing envelope:**
      - White, appropriately sized envelope provided by DataStat
      - Black printing of Client name, DataStat return address, selected member's name and verified address and other customizations per project specifications
      - First class postage imprint
      - USPS "Electronic Address Service" used on the initial mail piece
    - b. **Questionnaire:**
      - Formatted Microsoft Word file
      - Printed in-house on white sheets of 11x17 paper, folded to produce a booklet per specified length
      - Customized to individual member level with insertion of bar-coded tracking data
    - c. **Cover letter:**
      - Laser printing, allowing for text insertions, member name and address, signature and other customizations per project specifications, printed in black
      - Text per project specifications; length will accommodate DataStat's format requirements
    - d. **Return envelope:**
      - Appropriately-sized, white return envelope with DataStat's address inserted into each outbound packet
      - Business reply imprint on the return envelope, using DataStat's business reply account
  15. As undeliverable surveys and alternate addresses are returned to DataStat by the postal service, DataStat will update internal records accordingly.
  16. DataStat will cease all subsequent follow-up efforts to any individual having expressed a desire not to participate in the survey project.
  17. As surveys are returned, DataStat will enter all received data into the appropriate computer system. After data entry has been completed, DataStat will conduct data cleaning and perform both format and outlier checks, according to DataStat standards.
  18. Completeness testing will be conducted per project specifications.
- C. Telephone Data Collection** - If a project requires electronic telephone data collection (Computer Assisted Telephone interviewing or CATI), the following standards and protocols apply.
19. DataStat will program the Client's customized telephone survey for our Computer Assisted Telephone Interviewing (CATI) system.
  20. DataStat will provide Client the programmed CATI instrument for previewing and approval, as needed and allowed, prior to fielding.
  21. DataStat will use a telephone number verification service to locate and update telephone numbers.



22. Consent to use all telephone numbers provided to DataStat by the Client to conduct the survey shall be assumed during electronic telephone data collection.
23. All telephone numbers, regardless of source, will be screened prior to use in electronic telephone data collection to identify those which are associated with cell phones, in order to dial them appropriately and according to TCPA regulations
24. Call attempts will be made to each sample case in the telephone follow-up database; calls will be distributed by our sample management system across daytimes, evenings and weekends to determine viability of the number.
25. Every effort will be made to interview difficult to reach respondents. This will include:
  - After determining that the telephone number in the sample database is incorrect, steps will be taken to find the correct number, up to and including accepting new telephone numbers for the respondent taken from another member of the household.
  - If a respondent is away from the household, a firm appointment will be made to attempt recontact when the respondent returns.
  - If a respondent is too ill at the time of the call, a firm appointment will be set to attempt recontact at a later date within the data collection period.
26. For survey projects requiring electronic telephone data collection, DataStat may, at our discretion, make use of subcontractors to assist in completing the required number of calls during the telephone field period. All such subcontractors have been vetted by DataStat and are subject to all provisions of our contracts with our Clients.

***D. Web Data Collection*** - If a project requires electronic web-based data collection, the following standards and protocols will apply.

27. DataStat will program a website to administer the screening survey in English.
28. DataStat will offer the Client the opportunity to review the Web-based survey tool for final approval.

***E. Respondent Support***

29. Throughout data collection, DataStat will maintain a project-specific, toll-free respondent assistance line from 9am to 8pm (EST) Monday through Friday. Calls outside these hours will be referred to voicemail.
30. The DataStat toll-free respondent assistance line will appear on mailed materials and will be available to telephone interviewers should it be requested by a respondent completing an interview via telephone
31. Alternate language or replacement survey requests may be collected via the toll-free respondent assistance line and/or incorporated into the data collection protocol per project specifications.
32. For survey projects requiring respondent support in languages other than English or Spanish, DataStat may, at our discretion, make use of subcontractors to assist in providing toll-free respondent support during data collection. All subcontractors have been vetted by DataStat and are subject to all provisions of our contracts with our Clients



***F. Deliverables and Reporting***

33. DataStat shall provide the Client with a project plan. The plan shall include a detailed schedule showing major activities and deliverables and will adhere to all survey sponsor requirements. The plan and schedule will be developed by mutual agreement between the Client and DataStat, as possible.
34. On a periodic basis as appropriate, DataStat shall provide the Client with status reports. The schedule will be determined by project milestones and, when possible, by mutual agreement between the Client and DataStat. During the data collection period, reports shall include the total survey completed to date and a summary of sample dispositions resolved since the previous report was issued.
35. After interviewing and data entry have been completed, a dataset will be prepared for the Client, as allowed. The dataset will include values for each questionnaire item by completed case and will be purged of any respondent identification information (i.e., name, address, and telephone number).
36. The dataset will be submitted in a choice of format (SAS, SPSS, Excel, etc), organized as a single record for each member composed of a string of fields containing data values. Weighting of the data is not included, but we can apply weights provided by the Client, at additional cost, if desired. A data file layout with defined labels and values will accompany each dataset.
37. Datasets delivered to an entity such as NCQA, CMS, RAND or other agency, shall be submitted on or before the required deadline using the prescribed format and the designated delivery pathway, per project specifications.
38. Banner book or graphical reporting, as allowed, will be conducted according to project specification. DataStat will work with the Client to develop and produce customized reports if the Client elects this option.
39. In all data presentations, such as banner books, overview reports, or graphical reports, any results or cells with less than 11 cases will be suppressed and replaced with 'NA', per CMS specifications.
40. DataStat will shred all returned questionnaires upon completion of the project, unless otherwise required by project specifications or other arrangements are made with the DataStat Project Manager.
41. DataStat shall retain electronic records of the project as described in the project specifications.