

**ATTACHMENT K.1**

**RECRUITING LETTER AND CONSENT FORMS FOR ALL KEY INFORMANT INTERVIEWS  
CONDUCTED AS PART OF CASE STUDIES AND COST/ENROLLMENT STUDY**



**DEPARTMENT OF HEALTH & HUMAN SERVICES**

Office of the Secretary

Washington, D.C. 20201

**RECRUITING LETTER FOR PARTICIPATION  
THIS LETTER COVERS COST/ENROLLMENT/CASE STUDY RECRUITING**

DATE

STATE CONTACT

TITLE

MAILING ADDRESS

Dear STATE CONTACT:

The U.S. Department of Health and Human Services' (DHHS) Office of the Assistant Secretary for Planning and Evaluation (ASPE) is launching a congressionally-mandated evaluation of the Express Lane Eligibility (ELE) policy authorized by the Children's Health Insurance Program Reauthorization Act of 2009 (CHIPRA). The goals of the evaluation are to understand and document ELE implementation, to assess the changes in coverage or administrative costs that may have resulted from the new ELE policy, and to identify and share lessons on best practices and promising approaches. This study is also mandated to assess simplifications in states that have *not* implemented ELE, to understand alternatives to ELE that might likewise have cost and enrollment advantages for families and states.

As a state that has implemented [*insert ELE/non-ELE policy of interest name*], [*insert State name*] has been selected to participate in this evaluation so that we may examine the effects of this policy. ASPE has contracted with Mathematica Policy Research and its subcontractors, the Urban Institute and Health Management Associates, to conduct this study. Over the next twelve months, evaluation staff will ask you and your colleagues to provide information concerning important aspects of your program with regards to the [*insert ELE/non-ELE policy of interest name*] policy. We ask for your cooperation in responding to their requests for data and information necessary to conduct this evaluation. The study will yield two major reports to Congress - an interim report in September 2012 and a final report in September 2013 - which will inform and shape policy on enrollment strategies.

The evaluation team's first task is an analysis of changes in administrative costs and enrollment trends. Mathematica will be in touch in the next few weeks to begin this component of the study. They will need to consult your staff to understand the differences between your [*insert ELE/non-ELE policy of interest*] and traditional enrollment processes and the changes in costs that may be associated with the different methods. They will also request that your staff populate data tables showing monthly enrollment counts and aggregate demographic characteristics for ELE and non-ELE enrollees.

*INSERT THE NEXT SENTENCES FOR ELE STATES ONLY:* Next year, Mathematica will again consult with your staff to update the cost analysis, and they will need to arrange for access to individual-level data files that allow the identification of ELE enrollees. Alternatively, if your state submits data through the Medicaid Statistical Information System (MSIS) that include an identifier for ELE enrollees, evaluation staff may be able to obtain individual-level data through an arrangement with the Centers for Medicare & Medicaid Services (CMS). They will pursue the option that imposes the least burden on your staff while still providing access to adequate data.

We recognize that your state's participation will require valuable time and resources, and our evaluation budget includes [FOR ELE STATES: \$50,000; FOR NON-ELE STATES: \$35,000] to compensate the state for this effort. In the event your state documents expenses beyond this amount, funds are available to reimburse some additional costs.

In addition to the cost and enrollment study, evaluation staff will need your assistance with case studies involving site visits and focus groups. For the case studies, evaluation staff will need to interview state and local staff and will need access to documents describing your program and aspects of [*Insert ELE/non-ELE*] policy in your state. For the focus groups, they will need your assistance in identifying participants and places to conduct the sessions planned for your state. The evaluation team anticipates that the case studies and focus groups will occur at your convenience, sometime between September 2012 and March 2013.

We appreciate that you receive many requests for information and we will make every effort to minimize the burden of this evaluation on you and your staff. We expect this evaluation will produce a wealth of new information that can help guide critical program and policy decisions at both the state and federal level. We look forward to working with you on this project of national importance, and we welcome your support and assistance. If you have any questions about this study, please contact either of the two ASPE project officers: Carrie Shelton (phone 202-690-7804, email [Carrie.Shelton@hhs.gov](mailto:Carrie.Shelton@hhs.gov)) or Rose Chu (phone 202 401-6119, email [Rose.Chu@hhs.gov](mailto:Rose.Chu@hhs.gov)).

Sincerely,

Sherry Glied  
Assistant Secretary for Planning and Evaluation  
U.S. Department of Health and Human Services

Cynthia Mann  
Director of the CMS Center for Medicaid and CHIP  
Services  
Centers for Medicare and Medicaid Service

cc: CMS Regional Administrators; Associate Regional Administrators for Medicaid and State Operations

**ADMINISTRATIVE COST AND ENROLLMENT INTERVIEWS/DATA**  
**COLLECTION: PARTICIPANT INFORMED CONSENT**  
**Study Title: Children’s Health Insurance Program Reauthorization Act**  
**Evaluation of Express Lane Eligibility**  
**Principal Investigators: Maggie Colby, MPP, Sean Orzol, Ph.D.**  
**Sponsor’s Name: U.S. Department of Health and Human Services**

### **Introduction/Purpose**

You are invited to participate in the Department of Health and Human Services (DHHS) evaluation of the Children’s Health Insurance Program’s (CHIP) and Medicaid Express Lane Eligibility (ELE) process. This study is funded by the U.S. Department of Health and Human Services (HHS). HHS has contracted with Mathematica Policy Research, the Urban Institute, and the Health Management Associates to conduct the evaluation for them. Results from this evaluation are intended to inform policymakers how ELE, as well alternate approaches to simplifying enrollment and/or retention in CHIP and Medicaid (called non-ELE approaches), is working for children and families.

### **Procedure**

You are being asked to participate in an interview that will last approximately one hour. During the interview, we will discuss the outcomes of the simplification policy you adopted (ELE or another simplified policy) on costs and enrollment, and ask you to document the cost and enrollment pre- and post-policy implementation. A colleague and I will be taking written notes of your answers. The interview will be audio recorded with your permission. You will not be personally identified in any report or publication of this study without your prior permission. Any data you provide to us electronically on costs and enrollment should be encrypted; we will store such data on a secure internal drive; only those who need access to analyze the data will have access to it; the data will be destroyed when the project is completed. Any data you provide to us via paper will be kept in a locked cabinet. We do not anticipate any harm from the collection of this data, as the numbers requested are aggregate cost and enrollment data, with no personally identifiable information within them.

There are no “right” or “wrong” answers to any of our questions; we are only interested in learning about your experiences and opinions. You may choose to not answer any and all questions that I ask. We will send you a write-up of our notes from the interview, and will ask you to verify the accuracy of the data collected.

### **Privacy**

To protect your privacy, all of the information that you provide us will be kept private to the extent permitted by law as we develop our notes and evaluation reports. You will not be personally identified in any report or publication of this study without your prior permission. Recordings from each interview will be stored in a project password protected folder that can only be accessed by the study's research team. The interview notes/summaries will be locked in a file folder in a locked project office. Records can be opened by court order or produced in response to a subpoena or a request for production of

documents. We will keep any records that we produce private to the extent we are required to do so by law. The records will be destroyed after the completion of the project by deleting them from the password protected project folder on the evaluation team's research network. All documents created from the interview will be shredded after the end of the project.

We typically do not quote anything a key informant tells us during an interview in our reports, nor do we identify who says what. If the situation arises where we would like to quote something that you tell us, we will ask your permission before doing so. And if you would rather us not quote you, that is fine. We will respect your wishes. Similarly, while we typically do not directly attribute statements or opinions to individual key informants, we do like to include in an appendix, a listing of the people we speak with, and their affiliations. We would like to do so with you, but if you'd rather not be listed, just say so. We will respect your anonymity. Your state will be identified in the reports we produce, but you will only be identified in an appendix if you so choose.

### **Participation is Voluntary**

Your participation in this interview is entirely voluntary. You have the right to withdraw your consent or stop your participation at any time without penalty. You also have the right to refuse to answer any questions during the interview. Your participation will remain completely anonymous. The researchers involved in the study will protect the privacy of your responses, even if you make negative statements, or otherwise complain about the CHIP program or the government agencies overseeing.

### **Questions**

If you have any questions about this interview, including any questions that concern your rights as a participant on the project, you can contact Sheila Hoag at (609) 275-2252, the study director. Mathematica uses Public/Private Ventures (P/PV) in Philadelphia, PA, as their Institutional Review Board. You also may call Melissia Billarrial of P/PV at (800) 755-4778 (x4482) if you have questions about your rights as a participant in this study. This Review Board oversees the protection of human research participants. You will receive a copy of this consent form for your records.

### **Agreement Statement**

Do you agree to participate in the Department of Health and Human Services Evaluation of Express Lane Eligibility?

Yes \_\_\_\_ No \_\_\_\_

Do you agree to have this interview recorded?

Yes \_\_\_\_ No \_\_\_\_

Do you agree to having your name listed as a key informant who was interviewed for this study in

the appendix of the report we will develop?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Date of Consent: \_\_\_\_\_

Name of Interviewer (print): \_\_\_\_\_

Signature of Participant: \_\_\_\_\_

Participant Name (print): \_\_\_\_\_

## **CASE STUDIES KEY INFORMANT INTERVIEWS: PARTICIPANT INFORMED CONSENT**

### **Study Title: Children’s Health Insurance Program Reauthorization Act Evaluation of Express Lane Eligibility**

**Principal Investigators: Ian Hill, MSW, MPA, Sheila Hoag, MA  
Sponsor’s Name: U.S. Department of Health and Human Services**

### **Introduction/Purpose**

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### **Procedure**

You are being asked to participate in an interview that will last approximately one hour. During the interview, we will discuss a broad range of issues, including the history and development of your state’s approaches to outreach, enrollment, and retention policies, development of the ELE/non-ELE policy in your state and how it works in practice, outcomes of this policy on costs and enrollment, other simplified enrollment and retention approaches your state uses, and lessons learned that might be useful for implementation of the Affordable Care Act. A colleague and I will be taking written notes of your answers. The interview will be audio recorded with your permission.

There are no “right” or “wrong” answers to any of our questions; we are only interested in learning about your experiences and opinions. You may choose to not answer any and all questions that I ask.

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Date of Consent: \_\_\_\_\_

Name of Interviewer (print): \_\_\_\_\_

Signature of Participant: \_\_\_\_\_

Participant Name (print): \_\_\_\_\_