



Health Equity and Quality Program Submission Instructions

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Table of Contents

Introduction	2
e-Filing Web Portal Overview and Submission Process.....	2
I. Exhibit E-1.....	2
II. Pre-Filing Form Submission.....	3
III. HEQMS Reporting	3
A. HEDIS Measure Indicators Collection and Submission Process.....	3
B. CAHPS Measure Indicators Collection and Submission Process	4
IV. Health Plan Demographic Data Metric Submission	5
V. Confidentiality Protocol	5
VI. Amendments and Late Filings.....	5

Introduction

California Health and Safety Code (HSC) section 1399.872 requires health care service plans (health plans) to annually submit Health Equity and Quality (HEQ) data and information to the Department of Managed Health Care (DMHC). The purpose of these instructions is to inform health plans of the DMHC's procedures for submitting HEQ data and information, including the Health Equity and Quality Measure Set (HEQMS) established by the DMHC in consultation with the HEQ Committee (HSC section 1399.870, et seq.) through the e-Filing Web Portal. The instructions provided herein are intended to be read in concert with any previous guidance published by the DMHC.

Health plans must only submit data pertaining to products licensed and regulated by the DMHC.

e-Filing Web Portal Overview and Submission Process

To begin the reporting process, go to the [e-Filing Web Portal](#) and select the name of your health plan from the drop-down menu, then enter your Login and Password. Click the Login button and a window will appear for a two-step authentication. Click the "Send me the code" or "Send code" button to have a verification code sent to your preferred method of authentication. Type the verification code into the text box, then click "Verify."

After logging into the [e-Filing Web Portal](#), select application: "e-Filing" and then click the "Downloads" link on the top menu to download the Health Equity and Quality – e-Filing User Guide which can be found under the "Compliance" section and "Assembly Bill 133 – Health Equity and Quality" subsection. The Health Equity and Quality Program – e-Filing User Guide provides detailed e-Filing instructions for submitting HEQ data and information to the DMHC.

I. Exhibit E-1

Each e-Filing must include an Exhibit E-1, Summary of eFiling Information, providing a summary description of the filing. PDF and Word are the preferred formats for an Exhibit E-1. Within the Exhibit E-1, please include the following:

1. The purpose of the filing.

Examples:

- The purpose of this filing is to submit the HEQ Pre-Filing Form for measurement year (MY) 2023 data submitted in reporting year (RY) 2024.
- The purpose of this filing is to report HEQMS data and the Health Plan Demographic Data Metric (HPDDM) Template(s) for MY 2023 data submitted in RY 2024.

2. A list of all documents submitted as part of the filing, identified by name and exhibit type.¹
3. Any other information you think would help the DMHC review this filing.

II. Pre-Filing Form Submission

The Pre-Filing Form will be available on the “**Downloads**” page of the e-Filing Web Portal under the “Compliance” section and “Assembly Bill 133 – Health Equity and Quality” subsection. Health plans must download, complete, and save the Pre-Filing Form as instructed. Health plans must then submit the Pre-Filing Form to the DMHC via the e-Filing Web Portal as an Exhibit E-10 Health Equity and Quality – Miscellaneous, by the first Friday of September of the RY. This separate Pre-Filing submission will require its own Exhibit E-1.

III. HEQMS Reporting

To report HEQMS data to the DMHC, access applicable files available for download from the NCQA Interactive Data Submission System (IDSS). General steps for accessing files from IDSS are provided below, but plans should go to [NCQA's Data Submission website](#) or contact [NCQA](#) directly for detailed instructions or to ask specific questions regarding IDSS file downloads. Health plans must submit their NCQA summary level aggregate and stratified measure results file(s) received from NCQA to the DMHC via the DMHC e-Filing Web Portal between October 1 and December 31 of each RY.

A. HEDIS Measure Indicators Collection and Submission Process

Applicable HEDIS measures and applicable measure indicators must be collected from the NCQA results files. From “**Bulk Downloads**” on the left side of the IDSS interface, choose HEDIS. Select the health plan’s organization ID, click NEXT, select all applicable Commercial, Medicaid, and Exchange submissions, then click NEXT. Select both the Result File (XML) and Data-filled Excel Workbook (EXCEL), and then click DOWNLOAD SUBMISSIONS. The files will be saved to the computer’s Downloads folders. Health plans will need to save all the files in a format that will then allow the files to be submitted via the DMHC’s e-Filing Web Portal.

The HEDIS files downloaded from IDSS must then be uploaded to the DMHC via the e-Filing Web Portal in the following formats:

¹ Any additional exhibits that do not fall within the exhibit types identified elsewhere in these instructions must be filed as “Exhibit E-10 Health Equity and Quality – Miscellaneous.” An Exhibit E-10 may be filed in any format accepted by the e-Filing Web Portal.

HEQ Document Type	Source	Accepted Format
Exhibit HEQ-A-1 NCQA HEDIS Results File - Commercial ²	IDSS download	XML
Exhibit HEQ-A-2 NCQA HEDIS Results File - Medicaid ³	IDSS download	XML
Exhibit HEQ-A-3 NCQA HEDIS Results File - Exchange ⁴	IDSS download	XML
Exhibit HEQ-F-1 NCQA HEDIS Data Workbook – Commercial ⁵	IDSS download	XLS (Excel)
Exhibit HEQ-F-2 NCQA HEDIS Data Workbook – Medicaid ⁶	IDSS download	XLS (Excel)
Exhibit HEQ-F-3 NCQA HEDIS Data Workbook – Exchange ⁷	IDSS download	XLS (Excel)

B. CAHPS Measure Indicators Collection and Submission Process

Applicable CAHPS measure indicators must be collected from the NCQA results files. From “**Bulk Downloads**” on the left side of the IDSS interface, choose CAHPS. Select the health plan’s organization ID, click NEXT, then select all applicable Commercial and Medicaid submissions, then click NEXT. Select EXCEL, or “Download All” only if Excel is unavailable, then click DOWNLOAD SUBMISSIONS. The files will be saved to the computer’s Downloads folders. Health plans will need to save all the files in a format that will then allow the files to be submitted via the DMHC’s e-Filing Web Portal.

The CAHPS files downloaded from IDSS must then be uploaded to the DMHC via the e-Filing Web Portal in the following formats:

HEQ Document Type	Source	Accepted Format(s)
Exhibit HEQ-B-1 CAHPS Health Plan Survey Results - Commercial ⁸	IDSS download	XLS (Excel), ⁹ PDF, or CSV

² This exhibit type was previously referred to as HEQ-1 but has since changed.

³ This exhibit type was previously referred to as HEQ-2 but has since changed.

⁴ This exhibit type was previously referred to as HEQ-3 but has since changed.

⁵ This exhibit type was previously referred to as HEQ-8 but has since changed.

⁶ This exhibit type was previously referred to as HEQ-9 but has since changed.

⁷ This exhibit type was previously referred to as HEQ-10 but has since changed.

⁸ This exhibit type was previously referred to as HEQ-4 but has since changed.

⁹ Although the e-Filing Web Portal accepts other file formats for this document type, the DMHC prefers Excel format for this document type. Please only submit one file for this document type.

HEQ Document Type	Source	Accepted Format(s)
Exhibit HEQ-B-2 CAHPS Health Plan Survey Results - Medicaid ¹⁰	IDSS download	XLS (Excel), ¹¹ PDF, or CSV

IV. Health Plan Demographic Data Metric Submission

The HPDDM template is available on the “**Downloads**” page of the e-Filing Web Portal under the “Compliance” section and “Assembly Bill 133 – Health Equity and Quality” subsection. Health plans will download the HPDDM template and complete it, according to the Template Instructions tab, for each applicable NCQA product line (i.e., Commercial, Medicaid, and/or Exchange). Health plans must submit the completed HPDDM template(s), in the same filing as the HEQMS data, to the DMHC via the DMHC e-Filing Web Portal using the document types and format referenced in the table below by December 31 of each RY.

HEQ Document Type	Accepted Format
Exhibit HEQ-C-1 Health Plan Demographic Data Metric – Commercial ¹²	XLS (Excel)
Exhibit HEQ-C-2 Health Plan Demographic Data Metric – Medicaid ¹³	XLS (Excel)
Exhibit HEQ-C-3 Health Plan Demographic Data Metric – Exchange ¹⁴	XLS (Excel)

V. Confidentiality Protocol

If a health plan wants to treat an exhibit or any portion thereof as confidential, the health plan must follow the guidance set out in [APL 18-007](#), submit a Request for Confidentiality, and follow the instructions for locking a document provided in Section III(4)(f) of the Health Equity and Quality Program – e-Filing User Guide. The DMHC’s Request for Confidentiality form can be obtained from the “**Downloads**” page of the e-Filing Web Portal under the “Forms” section. Once completed, the Request for Confidentiality form must be submitted as a “Request for Confidentiality - Public (MSC04)” Exhibit.

VI. Amendments and Late Filings

Health plans may amend a filing at any time before the deadline. To amend a filing, select “Amendment to Prior Filing” as the Filing Type on the “File Documents” page, and then select the original filing number from the drop-down menu under “Original Filing.” Please note, closed prior filings cannot be amended. If the health plan is attempting to

¹⁰ This exhibit type was previously referred to as HEQ-5 but has since changed.

¹¹ Although the e-Filing Web Portal accepts other file formats for this document type, the DMHC prefers Excel format for this document type. Please only submit one file for this document type.

¹² This exhibit type was previously referred to as HEQ-6 but has since changed.

¹³ This exhibit type was previously referred to as HEQ-6 but has since changed.

¹⁴ This exhibit type was previously referred to as HEQ-6 but has since changed.

Health Equity and Quality Program Submission Instructions (Revised 10/24/2024)

file an amendment to a prior filing but the file number does not appear in the drop-down menu, please send an email to wps@dmhc.ca.gov.

Health plans must submit all required filings, even if they fail to meet the deadline. Health plans must also amend a filing if they discover that they previously filed information that was materially inaccurate or incomplete. Health plans must file an amendment within thirty (30) calendar days of discovering the material inaccuracy or omission, even if the filing deadline has passed. Health plans must include their reasons for submitting a late filing or amended filing in an Exhibit E-1.

If you have any questions or concerns regarding your Health Equity and Quality e-Filing submission, please contact HEQ@dmhc.ca.gov.