

NCQA Corrections, Clarifications and Policy Changes to the 2016 WHP Standards and Guidelines

November 25, 2019

This document includes the corrections, clarifications and policy changes to the 2016 WHP standards and guidelines. NCQA has identified the appropriate page number in the printed publication and the standard and head—subhead for each update. Updates have been incorporated into the Interactive Review Tool (IRT). NCQA operational definitions for correction, clarification and policy changes are as follows:

- A **correction (CO)** is a change made to rectify an error in the standards and guidelines.
- A **clarification (CL)** is additional information that explains an existing requirement.
- A **policy change (PC)** is a modification of an existing requirement.

An organization undergoing a survey under the 2016 WHP standards and guidelines must implement corrections and policy changes within 90 calendar days of the IRT release date, unless otherwise specified. The 90-calendar-day advance notice does not apply to clarifications or FAQs because they are not changes to existing requirements.

Page	Standard/Element	Head/Subhead	Update	Type of Update	IRT Release Date
3	Overview	The WHP Standards—WHP 12: Reporting WHP Performance	Revise the text to read: The organization measures its performance using NCQA WHP Performance Measures (drawn from HA results) and submits measure results to NCQA annually. These results are not required to be audited.	PC	11/25/2019
16	Policies and Procedures—Section 1: Eligibility and the Application Process	Organization Obligations	Revise the third bullet to read: <ul style="list-style-type: none"> • Report the required NCQA WHP performance measure results by the specified reporting date for the applicable standards year, if the organization seeks AWPR status. These results are not required to be audited. 	PC	11/25/2019
22	Policies and Procedures—Section 2: Accreditation, Scoring and Status Requirements	Must-Pass Elements	Remove the third paragraph, which reads: If an organization does not meet the must-pass threshold for any must-pass element, a status modifier of “Under Corrective Action” will be displayed after the applicable status (e.g., Accredited—Under Corrective Action) until NCQA confirms that the organization has completed a corrective action plan.	CO	11/25/2019
29	Policies and Procedures—Section 4: WHP Performance Measure Results	AWPR Status	Revise the first sentence of the first paragraph to read: All organizations coming through WHP Accreditation for the first time, or that hold current NCQA Accreditation status, and decide to apply for AWPR status with their Renewal Survey, must submit performance measures when they submit the survey in the IRT. The performance measure results are not required to be audited.	PC	11/25/2019

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29	Policies and Procedures—Section 4: WHP Performance Measure Results	AWPR Status—Annual resubmission of results	Revise the last paragraph to read: Organizations are required to comply with any requirements for measure submission implemented by NCQA during the course of Accreditation.	PC	11/25/2019
32	Policies and Procedures—Section 5: Reporting Results	NCQA WHP Report Card	Add the following subhead and text under the “Expiration date” subhead: Expired The organization was previously Accredited/Certified and has chosen not to undergo a survey to renew its status or the organization has chosen to withdraw its status before expiration of its Accreditation/Certification cycle.	PC	11/25/2019
125	WHP 12, Element A	Explanation	Revise the second paragraph of the explanation to read: To achieve NCQA Accredited With Performance Reporting status, the organization submits performance measure results to NCQA and achieves a score of 50 percent or higher on this element. The performance measure results are not required to be audited.	PC	11/25/2019
PREVIOUSLY POSTED UPDATES					
NA	Policies and Procedures	Acknowledgments	Update the NCQA address on the page preceding the Acknowledgments page to read: 1100 13th Street NW, Third Floor Washington, DC 20005 Update the Policy Clarification Support link to read: http://my.ncqa.org	CL	11/20/2017
15	Policies and Procedures—Section 4	Applying for an NCQA Survey—Application request	Update the NCQA address to read: National Committee for Quality Assurance 1100 13th Street NW, Third Floor Washington, DC 20005 Updated the issue on March 26, 2018.	CL	11/20/2017

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15	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Application request	<p>Revise the section to read:</p> <p>NCQA has implemented a new web-based application process. Organizations with current NCQA Accreditation/Certification can apply for a Renewal Survey at http://my.ncqa.org. Log in, click My Apps and then click Go To Site for the accreditation/certification application tool. Review and edit the prepopulated application information and submit the application directly to NCQA.</p> <p>Contact the application and scheduling account representative (ASAR) with questions or go to http://www.ncqa.org/programs/accreditation/online-application-process for information on NCQA's new application process.</p> <p>Organizations without current accreditation/certification or that are applying for WHP accreditation/certification for the first time can contact Customer Support at 888-275-7585 or submit a question in the My Questions section at http://my.ncqa.org to begin the prequalification and application process.</p>	CL	3/26/2018
15	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Survey application	<p>Revise the section to read:</p> <p>The completed application for accreditation contains relevant information about an organization (e.g., its structure, functions performed by the organization or its delegates). This information helps NCQA structure a survey around the operational characteristics of the organization.</p>	CL	3/26/2018
15	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Processing criteria	<p>Revise the section to read:</p> <p>NCQA only processes a complete application, which comprises:</p> <ul style="list-style-type: none"> • The web-based application for an NCQA WHP Accreditation/Certification Survey. • A current, signed Agreement for an NCQA WHP Accreditation/Certification Survey ("the Agreement"). <p>Note: <i>Unless state or other applicable law requires modifications, all organizations are required to sign the Agreement. Requests to change the standard Agreement due to legal conflicts must be approved by NCQA, and must be submitted with evidence of the legal conflict at least 12 months before the requested survey date.</i></p> <ul style="list-style-type: none"> • The application fee. 	CL	3/26/2018

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15	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Application timeline	Revise the section to read: Organizations submit the complete application, a <i>minimum of nine months</i> before the requested survey date. If an organization submits complete materials less than nine months before it wants to be surveyed, NCQA may not be able to accommodate the requested survey date.	CL	3/26/2018
15	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Survey fee	Revise the section to read: All pricing policies and survey fees are specified in Exhibit A of the Agreement.	CL	3/26/2018
16	Policies and Procedures—Section 1: Eligibility and the Application Process	Organization Obligations	Add the following as sub-bullets under the fourth bullet: <ul style="list-style-type: none"> — An organization that ceases to do business before the end of its NCQA Accreditation/Certification cycle will be removed from the NCQA Wellness and Health Promotion Report Card. — An organization that continues to operate and elects to withdraw from accreditation/certification and not continue to meet NCQA requirements before the end of its NCQA Accreditation/Certification cycle, will be reported as “Revoked” on the NCQA Wellness and Health Promotion Report Card. 	CL	7/30/2018
16	Policies and Procedures—Section 1	Eligibility and the Application Process—Organization Obligations	Add the following note as a separate paragraph under the last bullet: Note: <i>If NCQA conducts a Discretionary Survey, it reviews the organization against the standards in effect at the time of the Discretionary Survey.</i>	CL	11/20/2017
17	Policies and Procedures—Section 2	Accreditation, Scoring and Status Requirements—Accreditation and Certification Surveys	Add the following subhead and text to Section 2 under the subhead and text for Renewal Survey: Add-On Survey The Add-On Survey is required when an organization adds a new program to an existing accreditation/certification status. NCQA reviews relevant standards and elements for the new program under the same standards year as the existing accreditation/certification status. An organization may undergo an Add-On Survey only once during the accreditation/ certification cycle. The look-back period for the Add-On Survey is six months.	CL	11/20/2017

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20	Policies and Procedures—Section 2: Accreditation, Scoring and Status Requirements	Determining Accreditation and Certification Status	<p>Add the following subhead and text under the Minimum requirements subhead and text:</p> <p>Corrective Action</p> <p>In certain circumstances, NCQA may require corrective action by the organization. Corrective action are steps taken to improve performance when an organization does not meet specific NCQA accreditation or certification requirements. Failure to comply timely with requested corrective action may result in a lower score or reduction or loss of accreditation or certification status.</p>	PC	7/29/2019
22	Policies and Procedures—Section 2: Accreditation, Scoring and Status Requirements	Must Pass Elements	<p>Add the following as the second paragraph under the table:</p> <p>If an organization does not meet the must pass threshold for any must pass element, a status modifier of “Under Corrective Action” will be displayed after the applicable status (e.g., Accredited—Under Corrective Action) until NCQA confirms that the organization has completed a corrective action plan.</p> <p>Updated the issue on November 25, 2019.</p>	PC	7/29/2019
26	Policies and Procedures—Section 3: The Survey Process	Reconsideration—Reconsideration request	<p>Add the following as the last sentence:</p> <p>The request may be mailed to NCQA Office of Program Integrity, 1100 13th Street NW, 3rd Floor, Washington DC 20005 or submitted via email to Reconsiderations@ncqa.org.</p>	CL	7/30/2018
27	Policies and Procedures—Section 3: The Survey Process	Reconsideration—Documentation that supports Reconsideration	<p>Delete the last sentence of the note, which reads:</p> <p>The organization must provide NCQA with 12 copies of such materials.</p>	CL	7/30/2018
30	Policies and Procedures—Section 5: Reporting Results	Reporting results—Releasing information	<p>Revise the first sentence to read:</p> <p>NCQA releases survey results to the public (unless an organization declines its accreditation or certification status under the Introductory Survey option).</p>	CL	7/29/2019
31	Policies and Procedures—Section 5: Reporting Results	Reporting Accreditation or Certification Status to the Public—Right to release and publish	<p>Revise the last paragraph to read:</p> <p>NCQA publicly reports Denied Accreditation or Certification status for one year (unless the organization declines its status under the Introductory Survey option) or until the status is replaced as the result of another survey. An organization that dissolves or ceases to exist is removed from public reporting.</p>	CL	7/29/2019

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31	Policies and Procedures—Section 5: Reporting Results	NCQA WHP Report Card	Add the following subhead and text under the Next review date subhead and text: Under corrective action NCQA requires the organization to complete corrective actions. Failure to comply timely with requested corrective action may result in a lower score or reduction or loss of accreditation or certification status.	PC	7/29/2019
32	Policies and Procedures—Section 6	Reporting Hotline for Fraud and Misconduct—How to Report	Replace the “English-speaking USA and Canada” toll free telephone number with 844-440-0077 .	CO	11/20/2017
33	Policies and Procedures—Section 6: Additional Information	Notifying NCQA of Reportable Events	Revise the third subbullet under the first bullet to read: Request for corrective action where the substance of such corrective action relates to the organization’s handling of important patient safety matters.	CL	7/29/2019
33	Policies and Procedures—Section 6	Notifying NCQA of Reportable Events	Update the language under the subhead Notifying NCQA of Reportable Events . See the attached Policies and Procedures to review updates to this section, which includes the definition of Reportable Events, the process for notifying NCQA of Reportable Events and a description of the investigative process that NCQA may initiate following a Reportable Event.	PC	11/20/2017
33	Policies and Procedures—Section 6: Additional Information	Notifying NCQA of Reportable Events—Annual Attestation of Compliance With Reportable Events	Revise the second sentence in the second paragraph to read: Submit Reportable Events via email to ReportableEvents@ncqa.org and annual attestations electronically to Attestations@ncqa.org, by fax to 202-955-3599 or by mail to the address below:	CL	7/30/2018
33	Policies and Procedures—Section 6	Discretionary Survey—Time frame	Revise the first sentence to read: The Discretionary Survey is generally conducted within 60 calendar days of notification by NCQA of its intent to conduct a Discretionary Survey, but may include an unannounced survey.	PC	11/20/2017
33	Policies and Procedures—Section 6	Discretionary Survey	Revise the <i>Discretionary Survey</i> section to read: NCQA may survey an organization while an accreditation/certification status is in effect. This survey is called a Discretionary Survey and its purpose is to validate the appropriateness of the organization’s ongoing accreditation/certification.	PC	11/21/2016

Key = CO—Correction, CL—Clarification, PC—Policy Change

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			<p>Structure</p> <p>NCQA determines the scope and content of Discretionary Surveys, which may consist of one or more of the following:</p> <ul style="list-style-type: none"> • An offsite document review. • An onsite survey. • A teleconference. <p>Target</p> <p>Discretionary Surveys address issues regarding the organization's continued performance against NCQA's standards and other considerations that may pose an imminent threat to participants. <u>During a discretionary review, an accredited/certified organization will be reviewed under the NCQA standards in effect at the time of the discretionary review.</u></p> <p>The Discretionary Survey may include file review (encompassing a sample of targeted follow-up files, as appropriate) and interviews with organization staff. <u>Any relevant look-back period for file review standards will be determined at the time of the Discretionary Survey and may or may not reflect the full look-back period identified in the standards.</u></p> <p>Time frame</p> <p>The Discretionary Survey is generally conducted within 60 calendar days of notification by NCQA of its intent to conduct a Discretionary Survey. Discretionary Survey costs are borne by the organization and correspond to the complexity and scope of the Discretionary Survey and NCQA pricing policies in effect at the time of the Discretionary Survey.</p> <p>Change in status</p> <p>When NCQA notifies the organization in writing of its intent to conduct a Discretionary Survey, the organization's existing accreditation/certification status is listed with the notation "Under Review by NCQA."</p> <p>NCQA may suspend the organization's accreditation/certification status pending completion of a Discretionary Survey. Upon completion of the Discretionary Survey and after the ROC's decision, the organization's status may change. The organization has the right to Reconsideration if its accreditation/certification status changes because of the Discretionary Survey.</p>		

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34	Policies and Procedures—Section 6	Mergers and Acquisitions	<p>Replace the language with the following:</p> <p>An NCQA-Accredited/Certified organization involved in a merger, acquisition, consolidation or other form of corporate reorganization, including filing for dissolution, must submit written notice of such action to NCQA within 30 calendar days following the date of the merger, acquisition, consolidation or reorganization, or earlier, if possible. Refer to <i>Appendix 5: Mergers, Acquisitions and Consolidations</i>.</p> <p>An NCQA-Accredited/Certified organization must also notify NCQA in writing within 30 calendar days of any change in operational structure or the organization's status that affects the scope of review under NCQA's standards for Accreditation and Certification of Wellness and Health Promotion, such as a program name change or material restructuring or consolidation of functions. Notices can be submitted electronically to NCQA-Accreditation@ncqa.org; by fax to 202-955-3599 or by mail to the address below:</p> <p style="text-align: center;">National Committee for Quality Assurance 1100 13th Street NW, Third Floor Washington, DC 20005 Attention: AVP Accreditation</p>	PC	11/20/2017
59, 63	WHP 3, Elements A, C		Refer to the <u>memo</u> to review requirements that were eliminated for the 2017 Standards Year and will be scored NA for the 2016 Standards Year.	PC	7/25/2016
74, 78, 93	WHP 5, Elements A, C WHP 7, Element A	Scope of review	<p>Add as the third sentence to the second paragraph:</p> <p>If screen shots provided include detailed explanations of how the site works, there is no need to provide supplemental documents.</p>	CL	11/20/2017
76	WHP 5, Element B	Scope of review	<p>Add as the fourth sentence to the second paragraph:</p> <p>If screen shots provided include detailed explanations of how the site works, there is no need to provide supplemental documents.</p>	CL	11/20/2017
135	WHP 14, Element B	Scope of review	<p>Add the following as the first sentence of the scope of review:</p> <p>Because this element is being retired for the 2019 standards year, NCQA will score it NA for surveys beginning on or after July 1, 2018.</p>	CL	7/30/2018

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135	WHP 14, Element B	Factor 5	Revise the factor to read: 5. A stipulation that the delegate informs the organization if inappropriate uses of the information occur.	CO	7/25/2016
137	WHP 14, Element C	Explanation-Predelegation evaluation	Revise the fourth paragraph to read: If the organization amends the delegation agreement to include additional WHP activities within the look-back period, it performs a predelegation evaluation for the additional activities.	CL	7/30/2018
4-8	Appendix 4	Delegating to an NCQA-Accredited/Certified Organization—General requirements	Add the following as the last sentence of the fourth bullet before the sub-bullets: If there are two or more delegates, “70 percent” is cumulative.	CL	12/3/2018
5-1	Appendix 5: Merger, Acquisition and Consolidation Policy for WHP Organizations	The MAC Policy	Revise the second and third sentence in the first paragraph to read: Mergers, acquisitions, consolidations and corporate reorganizations are treated the same under NCQA’s MAC Policy. The terms merge, merged and merger also refer to acquisitions, consolidations and reorganizations.	CL	11/20/2017
5-2	Appendix 5: Merger, Acquisition and Consolidation Policy for WHP Organizations	Definitions	Add the following definitions for “reorganization” and “reorganization date” as follows: reorganization The process of reorganizing or altering the corporate structure of an organization, including the creation of a new organization or the dissolution of the organization as an entity. The filing for petition of bankruptcy or the initiation of receivership, liquidation or state insurance supervision should be reported to NCQA as Reportable Events under NCQA Accreditation/Certification program policy and not under the MAC Policy. reorganization date The effective date of the new entity, dissolution or corporate restructuring plan.	CL	11/20/2017

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5-2	Appendix 5: Merger, Acquisition and Consolidation Policy for WHP Organizations	Written Notice— Timing of written notice	Revise the first paragraph, second paragraph and the NCQA address to read: An NCQA-Accredited or NCQA-Certified WHP organization involved in a merger, acquisition, consolidation or reorganization must submit written notice of such action to NCQA within 30 calendar days following the merger, acquisition, consolidation or reorganization date, or earlier, if possible. Send the written notice to the following address: National Committee for Quality Assurance 1100 13th Street NW, Third Floor Washington, DC 20005	CL	11/20/2017