

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

March 30, 2020

This document includes the corrections, clarifications and policy changes to the 2016 HIP 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 HIP 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
11	Policies and Procedures—Section 1: The Application Process	Applying for an NCQA Survey—Processing criteria	<p>Replace the text with the following: NCQA only processes a complete application, which includes:</p> <ul style="list-style-type: none"> • The application for NCQA Health Information Product Certification Survey. • A signed Agreement for NCQA Health Information Product Certification Survey ("the Agreement"). • The application fee. <p>Note: <i>The signed legal agreement establishes the terms and conditions that all organizations must accept to participate in the survey, and that will apply for the length of the Certification. NCQA does not accept edits to the Agreement unless state or other applicable law requires modifications.</i></p> <p><i>An organization that has a legal conflict with a term or provision may submit to NCQA for review and consideration of a waiver or revision. Requests must be submitted with evidence of the legal conflict at least 12 months before the requested survey date and must be approved by NCQA. Signed Agreements will remain in effect for resurveys and any subsequent renewals. An organization may be required to resign the Agreement if there is lapse in its Certification status.</i></p>	CL	3/30/2020

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Page	Standard/Element	Head/Subhead	Update	Type of Update	IRT Release Date
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
10	Policies and Procedures—Section 1: The Application Process	Organization Obligations—Survey agreement	Add the following as sub-bullets under the second bullet: – An organization that ceases to do business before the end of its NCQA Certification cycle will be removed from the NCQA Health Information Product Report Card. – An organization that continues to operate and elects to withdraw from certification and not continue to meet NCQA requirements before the end of its NCQA Certification cycle, will be reported as “Revoked” on the NCQA Health Information Product Report Card.	CL	7/30/2018
10	Policies and Procedures—Section 1	Organization Obligations—Survey contract agreement	Revise the section title to “Survey agreement.” Replace the last sentence with the following: 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> Organizations must complete the certification process once the survey begins.	CL	11/20/2017
40	Policies and Procedures—Section 1	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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11	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 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 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 certification or that are applying for Health Information Product 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
11	Policies and Procedures—Section 1	Applying for an NCQA Survey—Survey application	<p>Revise the section to read:</p> <p>Organizations identify the certification options for which it seeks certification. The completed application includes relevant information about an organization (e.g., its structure, preferred survey dates). This information helps NCQA structure a survey around the operational characteristics of the organization.</p>	CL	11/20/2017
11	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Survey application	<p>Revise the second sentence to read:</p> <p>The completed application for certification contains relevant information about an organization (e.g., its structure, preferred survey dates).</p>	CL	3/26/2018
11	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 Health Information Product Certification Survey. • A current, signed Agreement for NCQA Health Information Product Certification Survey ("the Agreement"). <p>Note: 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</p>	CL	3/26/2018

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			<p><i>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. 		
11	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Application timeline	<p>Revise the first sentence to read:</p> <p>Organizations submit the complete application a <i>minimum of nine months</i> before the requested survey date.</p>	CL	3/26/2018
11	Policies and Procedures—Section 1: Eligibility and the Application Process	Applying for an NCQA Survey—Survey fee	<p>Revise the section to read:</p> <p>All pricing policies and survey fees are specified in Exhibit A of the Agreement.</p>	CL	3/26/2018
11	Policies and Procedures—Section 1	Applying for an NCQA Survey—Processing criteria	<p>Revise the section to read:</p> <p>NCQA only processes a complete application, which consists of:</p> <ul style="list-style-type: none"> • The application for HIP Survey and supporting attachments: <ul style="list-style-type: none"> —A current, signed Agreement for NCQA Health Information Product Certification Survey (“the Agreement”). —The application fee. <p>Note: Unless state or other applicable law requires modifications, all organizations are expected 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.</p> <p>Updated the issue on March 26, 2018.</p>	CL	11/20/2017
11	Policies and Procedures—Section 1	Applying for an NCQA Survey—Application timeline	<p>Revise the section to read:</p> <p>Organizations should 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.</p> <p>Updated the first sentence of this issue on March 26, 2018.</p>	CL	11/20/2017

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Page	Standard/Element	Head/Subhead	Update	Type of Update	IRT Release Date
13	Policies and Procedures—Section 2: Certification, Scoring and Status Requirements	How Organizations Are Evaluated	<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 certification requirements. Failure to comply timely with requested corrective action may result in a lower score or reduction or loss of certification status.</p>	PC	7/29/2019
14	Policies and Procedures—Section 2: Certification, Scoring and Status Requirements	Must-Pass Elements	<p>Remove the second paragraph, which reads:</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., Certified—Under Corrective Action) until NCQA confirms that the organization has completed a corrective action plan.</p>	CO	11/25/2019
13	Policies and Procedures—Section 2: Certification, Scoring and Status Requirements	Must-Pass Elements	<p>Add the following as the second paragraph:</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., Certified—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
21	Policies and Procedures—Section 3	Reconsideration—Reconsideration request	<p>Revise the language to read:</p> <p>The organization must send a written request for Reconsideration to NCQA within 30 calendar days after the date of the certification decision. There is a fee for Reconsideration (Exhibit A of the <i>Agreement for Survey</i>). The Reconsideration request must state at least one of the criteria listed above, and must include a list of standards and elements for which Reconsideration is being requested. The request must not exceed five pages in length.</p>	CL	11/20/2017
21	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

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21	Policies and Procedures—Section 3: The Survey Process	Reconsideration—Documentation that supports Reconsideration	Delete the last sentence of the note, which reads: The organization must provide NCQA with 12 copies of materials.	CL	7/30/2018
23	Policies and Procedures—Section 4: Reporting Results	Releasing information	Revise the first sentence to read: NCQA releases Certification Survey results to the public (unless an organization declines its status under the Introductory Survey option).	CL	7/29/2019
23	Policies and Procedures—Section 4	Reporting Results—Marketing certification results	Revise the second sentence to read: Marketing materials must not imply that individual certification decisions apply beyond the certified program.	CL	11/20/2017
24	Policies and Procedures—Section 4	Reporting Certification Status to the Public—NCQA's Right to release and publish	Revise the second paragraph to read: NCQA reserves the right to use aggregate data collected from Certification Surveys, and to authorize others to use such aggregate data for NCQA's research and development purposes and for other purposes, as agreed to by the organization in the Agreement.	CL	11/20/2017
24	Policies and Procedures—Section 4: Reporting Results	Reporting Certification Status to the Public	Add the following as the last paragraph: NCQA publicly reports Denied 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.	PC	7/29/2019
24	Policies and Procedures—Section 4	Reporting Certification Status to the Public—NCQA's Right to release and publish	Add the following as the fourth paragraph: NCQA publicly reports expired status and that the organization was previously 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 Certification cycle.	PC	11/25/2019

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25	Policies and Procedures—Section 4: Reporting Results	NCQA Health Information Product Report Card	Add the following subhead and text under the <i>Next Review Date</i> 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 certification status.	PC	7/29/2019
27	Policies and Procedures—Section 5	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
27	Policies and Procedures—Section 5	Reporting Hotline for Fraud and Misconduct	Add a new section, “Notifying NCQA of Reportable Events”, after the subhead. See the attached Policies and Procedures to review the 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
27	Policies and Procedures—Section 5: Additional Information	Notifying NCQA of Reportable Events	Revise the third subbullet of 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
27	Policies and Procedures—Section 5: 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
28	Policies and Procedures—Section 5	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
28	Policies and Procedures—Section 5	Discretionary Survey	Revise the <i>Discretionary Survey</i> section to read: NCQA may survey an organization while 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 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 organization will be reviewed under the NCQA standards in effect at the time of the discretionary review.</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 certification status is listed with the notation "Under Review by NCQA."</p> <p>NCQA may suspend the organization's 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 certification status changes because of the Discretionary Survey.</p>		
30	Policies and Procedures—Section 5	Mergers and Acquisitions	<p>Replace the language with the following:</p> <p>An NCQA-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</p>	PC	11/20/2017

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			<p>the merger, acquisition, consolidation or reorganization, or earlier, if possible. Refer to <i>Appendix 3: Mergers, Acquisitions and Consolidations</i>.</p> <p>An NCQA-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 Health Information Product certification, such as 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>		
36	HIP 2, Element A	Explanation—Related information	<p>Remove the last two sentences, which read:</p> <p>A covered entity may use e-mail to communicate with patients, but should ensure that adequate safeguards are used, such as encryption. The organization may use an alternative means of electronic communication, such as a secure Web-based messaging system (via HTTPS).</p>	CL	7/30/2018
36	HIP 2, Element A	Examples—Factor 2: Safeguards to electronic transmissions	<p>Revise the bullets to read:</p> <ul style="list-style-type: none"> • Send electronic communications through a secure method. • Consider using an email system that encrypts messages or requires patient login. <p>Set the email "send" option to request an automatic return receipt to document delivery to the intended recipient.</p>	CL	7/30/2018
42	HIP 3, Element 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
2-1	Appendix 2	NCQA-Certified HIP Organization	<p>Add the following as the second sentence of the fifth bullet:</p> <p>If there are two or more delegates, "70 percent" is cumulative.</p>	CL	12/3/2018

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3-1	Appendix 3: Merger, Acquisition and Consolidation Policy for Health Information Products	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 <i>merge</i> , <i>merged</i> and <i>merger</i> also refer to acquisitions, consolidations and reorganizations.	CL	11/20/2017
3-2	Appendix 3: Merger, Acquisition and Consolidation Policy for Health Information Products	Definitions	Add the following definitions for "reorganization" and "reorganization date": 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 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
3-2	Appendix 3: Merger, Acquisition and Consolidation Policy for Health Information Products	Written Notice— Timing of written notice	Revise the first paragraph, the second paragraph and the NCQA address to read: An NCQA-Certified 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