

Specification Updates

This document contains corrections and policy changes or clarifications for HEDIS® 2018 Volume 5: HEDIS Compliance Audit™: Standards, Policies and Procedures.

HEDIS® 2018 Volume 5: HEDIS Compliance Audit™: Standards, Policies and Procedures

Page	Section	Heading/Subtitle	Issue		
4	Reporting Hotline for Fraud and Misconduct	How to Report	Replace the language with the red text: <ul style="list-style-type: none"> • Toll-Free Telephone: <ul style="list-style-type: none"> – English-speaking USA and Canada: 844-440-0077 (not available from Mexico). 		
48	Audit Process: Offsite	HEDIS Audit Timeline (Row 11)	Add the red text between the March 30 and April 30 deadlines: <table border="1" style="margin-left: 20px;"> <tr> <td style="background-color: #f2f2f2;">Organization submits preliminary rates to the auditor for review.</td> <td style="background-color: #f2f2f2;">By April 13</td> </tr> </table>	Organization submits preliminary rates to the auditor for review.	By April 13
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49	Audit Process: Offsite	Roadmap Assessment	Add the red text at the end of the second paragraph: <p style="color: red;">The attestation may be signed and submitted before the supplemental data impact reports are submitted to the auditor.</p>		
1-1	Appendix 1 – Code of Professional Conduct	Appendix 1	Remove this Appendix in its entirety and replace with the updated Appendix 1 at the end of this document.		
2-1	HEDIS Roadmap	HEDIS Roadmap Attestation	Add the red text to the end of the first paragraph: <p>This signed form may not be submitted before January of the reporting year and until the entire Roadmap is complete, including attachments and requests for outstanding documentation. If you have attachments to submit after the Roadmap submission deadline, work with your auditor to determine when it is appropriate to sign and submit the attestation.</p> <p style="color: red;">The attestation may be signed and submitted before the supplemental data impact reports are submitted to the auditor.</p>		
2-70	HEDIS Roadmap	HEDIS Roadmap: Section 3A.2 Requested Documents – Document Details	Delete the red text: <p>Source code for the <i>Board Certification</i> measure, including provider specialty mapping, documentation of development and programmer assigned to the development, and indicate if certified measures or noncertified measures are used.</p>		

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2-89	HEDIS Roadmap	HEDIS Roadmap: Section 5 - Requested Documents 5.7	<p>Add the red text:</p> <p>A report that shows the impact of the supplemental data source on measure rates. <i>(Provide to auditor when available after data integration.)</i> The attestation may be signed and submitted before the supplemental data impact reports are submitted to the auditor.</p>

APPENDIX 1

CODE OF PROFESSIONAL CONDUCT FOR CERTIFIED HEDIS® COMPLIANCE AUDITORS

This code of conduct governs all NCQA HEDIS® audits; as a certified auditor, I agree to the following.

In promoting high standards of ethical conduct, I shall:

1. Avoid conflicts of interest and the appearance of conflicts of interest by:
 - Not performing an NCQA HEDIS Compliance Audit for the health care organization for which I, or another audit team member, have previously provided HEDIS consulting services or otherwise participated in the development of systems or processes related to HEDIS reporting.
 - **Not serving as a Certified Auditor and working for an NCQA certified measure vendor at the same time. If an auditor is employed by, or performs services for, a certified measure vendor, the auditor cannot perform HEDIS audits. Certification status will be suspended for a period not to exceed 24 months. During this time, the auditor may not audit or display the CHCA status.**
 - Not serving any private or special interest in fulfillment of the duties of Certified auditor, thereby excluding, by definition, auditing any company, division or business unit by which I am employed, with which I have a consulting arrangement or in which I have a significant interest, including financial, familial or personal.
 - Not serving as the Certified Auditor of a primary competitor of any company, division or business unit by which I am employed or with which I have a consulting arrangement in effect, unless I have written approval from both parties.
 - Not accepting retainers, commissions or valuable considerations from audited health care organizations, unless employed by such health care organization to undertake such auditing on their behalf.
 - Not accepting any inducement, commission, gift or any other benefit from audited organizations, their employees or any interested party, or knowingly allow colleagues to do so.
 - Upholding the principle that an NCQA-Licensed Organization may not audit any HEDIS reporting modules or algorithms it helped create.
 - Waiting 12 months after the final HEDIS Audit report has been issued and appeals are resolved before personally soliciting or performing consulting work related to HEDIS reporting or to any information systems supporting the collection and reporting of HEDIS data for the health care organization

- for which the Licensed Organization has performed a HEDIS Audit. This requirement applies to each member of a HEDIS Audit team, regardless NCQA certification.
- Upholding the principle that Licensed Organizations may not sell work until the final designations are given.
 - Disclosing to any client or employer any relationships that influence or give the appearance of influencing my judgment.
2. Conduct myself professionally, with truth, accuracy, fairness and responsibility to my clients.
 3. Act as a faithful agent/trustee for each employer and client.
 4. Strive to enhance the prestige and competence of the HEDIS auditing profession.
 5. Help those in my employment or under my supervision develop their HEDIS auditing skills.
 6. Ensure that the work of others is given credit.
 7. Not misrepresent my own or another audit team member's qualifications, competence or experience, or undertake auditing work beyond my qualifications.
 8. Maintain confidentiality of all information pertaining to the audit and not discuss or disclose any information, unless authorized in writing by the health care organization.
 9. Not accept retainers, commissions or valuable considerations from any interested parties in exchange for offering confidential information or disclosures that are in any way related to NCQA, clients, Licensed Organizations, audited health care organizations or the HEDIS Audit.
 10. Not intentionally communicate false or misleading information that may compromise the integrity of any audit or any NCQA's programs.
 11. Preface any public statements related to the HEDIS Audit that I might issue by clearly indicating on whose behalf they are made.
 12. Not accept compensation from more than one party for the same service without the consent of all parties.
 13. Not act in any way that would prejudice the reputation of NCQA or the HEDIS Audit.
 14. Notify NCQA immediately and fully cooperate with an inquiry in the event of an alleged breach of this code.
 15. **Not reproduce, transmit or use any NCQA intellectual property or copyrighted materials, including, but not limited to, any of NCQA's HEDIS publications (e.g., Volumes 2 and 5, including the Roadmap), NCQA-produced audit means and percentile data or any other proprietary documentation, in any form or by any means, for activities other than those performed under the HEDIS Audit Program. The use of these materials is granted solely to support collecting and reporting data audited under the HEDIS Audit Program which may be used by Healthcare Organizations for internal quality improvement, or for submitting audited data to NCQA or organizations with which NCQA has agreements to use data audited under the HEDIS Audit Program.**