

# Chapter 5: Instructions for the Accreditation Application Section

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## 1. Overview

In this section of the Qualified Health Plan (QHP) Application, issuers enter information to satisfy the accreditation QHP certification requirement. Issuers can enter information for an accredited product in the Commercial, Medicaid, or Marketplace markets. This section collects information on accredited market type, accredited product type (if applicable), accreditation status, and accreditation expiration date. Issuers entering their second or later year of Marketplace participation must be accredited by one of the Department of Health and Human Services (HHS)-recognized accrediting entities. Issuers entering their initial year of QHP certification must schedule (or plan to schedule) a review with a recognized accrediting entity. Issuers entering their fourth year or later of Marketplace participation must be accredited in the Marketplace market with the following status: Accreditation Association for Ambulatory Health Care (AAAHC)—**Accredited**; National Committee for Quality Assurance (NCQA)—**Excellent, Commendable, Accredited**, or **Provisional**; or URAC—**Full** or **Conditional**.

Any information provided on accredited products must be for the same legal entity in the same state that submits the QHP Application. Accredited issuers must complete templates and upload their current and relevant accreditation certificates issued by any of the accrediting entities recognized for the purposes of QHP certification for the 2017 coverage year: NCQA, URAC, or AAAHC. Issuers accredited by AAAHC must e-mail their accreditation data to [Marketplace\\_Quality@cms.hhs.gov](mailto:Marketplace_Quality@cms.hhs.gov). HHS verifies issuers' submitted accreditation information with the applicable accrediting entities. Only data that can be validated are displayed in the Health Insurance Oversight System (HIOS).

All issuers must complete the accreditation attestations in the Accreditation section of the Issuer Module of the QHP Application System and authorize the release of their accreditation survey data from the recognized accrediting entity to the Marketplace, if applicable. The accrediting entities (NCQA, URAC, and AAAHC) set the length of accreditation. Contact the accrediting entities to determine how frequently you need to renew your accreditation.

### **1.1 Applicability to States Performing Plan Management Functions (Including State-based Marketplaces)**

States performing plan management (SPM) and State-based Marketplace (SBM) issuers do not need to submit the Accreditation Templates if they are submitting a QHP Application through the System for Electronic Rate and Form Filing (SERFF), and the state does not require the templates. Instead, the issuer should comply with the requirements for accreditation data collection specified by the SPM or SBM.

## **2. Purpose**

The purpose of the Accreditation section of the QHP Application is to collect information related to each issuer's accreditation and its status. This chapter guides you through the steps to complete the Accreditation section of your QHP Application.

## **3. Data Requirements**

To complete this section, you need the following:

1. For NCQA:
  - a. HIOS Issuer ID (also referred to as "Issuer ID")
  - b. Product ID, which is your HIOS Product ID
  - c. NCQA organization ID (Org ID) and Submission ID (Sub ID) for existing NCQA-accredited health plans, if applicable
  - d. Current accreditation market type, status, and expiration date for your NCQA-accredited products (found on your accreditation certificate)
  - e. NCQA accreditation certificates or a copy of your NCQA Interactive Survey System (ISS) results pages for each existing accredited health plan in the state in which you are applying to offer coverage, if applicable.
2. For URAC:
  - a. HIOS Issuer ID (also referred to as "Issuer ID")
  - b. URAC certificate number (referred to as the "application number" on the template) for existing URAC-accredited health plans, if applicable
  - c. URAC accreditation certificates for each existing accredited health plan in the state in which you are applying to offer coverage, if applicable
  - d. Current accreditation market type, status, and expiration date for your URAC-accredited products (found on your accreditation certificate).

3. For AAAHC:
  - a. HIOS Issuer ID (also referred to as “Issuer ID”)
  - b. AAAHC organization identification number for existing AAAHC-accredited health plans, if applicable
  - c. AAAHC accreditation certificates for existing accredited health plans in the state in which you are applying to offer coverage, if applicable
  - d. Current accreditation market type, status, and expiration date for your AAAHC-accredited products (found on your accreditation certificate).

#### 4. Application Instructions

The Accreditation section of the QHP Application comprises three parts: (1) a template for identifying your accredited products, (2) accreditation questions to be completed in the Accreditation section of the Issuer Module in the HIOS QHP Application System, and (3) accreditation supporting documents (accreditation certificates or ISS reports).

Figure 5-1 shows key items in these instructions for completing the Accreditation section.

**Figure 5-1. Accreditation Section Highlights**

- To initiate the template and allow data entry, enable the template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**. Please refer to Appendix C for enabling macros.
- All header fields in the template marked with an asterisk (\*) are required.
- If you are a registered HIOS user, your template may have prepopulated fields highlighted in yellow that cannot be changed.
- Issuers with AAAHC accreditation cannot submit accreditation information in the Accreditation section of the Issuer Module in the QHP Application System; they must instead e-mail their documents to [Marketplace\\_Quality@cms.hhs.gov](mailto:Marketplace_Quality@cms.hhs.gov). (See Section 4.1, Part C.)
- You must provide your accrediting entities with the issuer legal name and HIOS ID used in your QHP Application to ensure the correct name is used on your accreditation certificates.
- Issuers entering their fourth or later year of Marketplace participation must be accredited in the Marketplace market with the following status: AAAHC—“Accredited,” NCQA—“Excellent,” “Commendable,” “Accredited,” or “Provisional,” URAC—“Full” or “Conditional.”
- Begin entering information in the first available blank row in the template (row 10, column A). Validation errors occur if the template contains blank rows.

(continued on next page)

- For any row entry (10 or higher), you must enter or select a value in the related fields, including *NCQA Org ID/URAC Application Number, Market Type, Product Type, Product ID, Accreditation Status, and Expiration Date*.
- The system requires the Product ID to be formatted as follows: five-digit Issuer ID + two-letter state abbreviation + three digits, for example, 12345MD001. If the Product ID does not match this format, you will receive errors during template validation.
- The market types for your Product ID and your accredited product do not need to match. If you do not have a Product ID that matches the accredited product type, fill in any valid Product ID associated with your Issuer ID.
- The NCQA Template requires that **Interim** be selected for the accreditation status for all Exchange/Marketplace products, even if the actual status is accredited. Selection of **Interim** does not affect your application, but it helps avoid validation errors on the template.
- If you have an NCQA accreditation status of Accredited on an identified product, but your organization has not yet submitted Healthcare Effectiveness Data and Information Set (HEDIS) or Consumer Assessment of Healthcare Providers and Systems (CAHPS) data for this product and does not have a NCQA Sub ID, enter 99999 in the *Sub ID* field for this product.
- If you have an NCQA accreditation status of New Health Plan, select **Accredited** from the accreditation drop-down on the NCQA Template. The selection of **Accredited** does not affect your application, but it helps to avoid validation errors in the template.
- If you have an NCQA accreditation status of Provisional, select **Accredited** from the accreditation drop-down on the NCQA Template (unless the accreditation is for the Exchange/Marketplace market, in which case you must select **Interim**). The selection of **Accredited** does not affect your application, but it helps to avoid validation errors in the template.
- Upload your accreditation certificates in the Accreditation section of the Issuer Module in the QHP Application System. Use the following naming convention for your certificates: [Issuer ID]-[Name of Accrediting entity]-Accreditation, for example, “12345-NCQA-Accreditation.pdf.”
- Using the correct template versions is critical in completing the Accreditation section of the QHP Application. The current and correct versions of the templates show 2017 in the banner. Download the latest versions of the NCQA and URAC Templates (as appropriate) from <https://www.cms.gov/ccio/programs-and-initiatives/health-insurance-marketplaces/qhp.html>.

All accredited issuers must complete the Accreditation Template and provide any required supporting documentation. In addition to completing the template, you must also answer the Accreditation questions that follow in the Accreditation section of the Issuer Module in the QHP Application System and upload your template and supporting documents (accreditation certificates or ISS reports). Issuers accredited by AAAHC submit their accreditation data via e-mail to [Marketplace\\_Quality@cms.hhs.gov](mailto:Marketplace_Quality@cms.hhs.gov). (See Section 4.1, Part C.)

#### 4.1 HIOS User Interface Instructions

When completing the Accreditation section of the QHP Application, you will be asked to respond to the following user interface questions for the Accreditation section:

1. Does the applicant currently have any commercial, Medicaid or Marketplace health plans in this state, [state of issuer identified], accredited by a HHS recognized accrediting entity? If you have existing health plan accreditation on any products in the Marketplace, Commercial, or Medicaid market from NCQA or URAC, select **Yes** for the first question. If you are accredited by AAAHC, select **No**. If you are an issuer offering stand-alone dental plans only, select **No**. If you are a dual issuer with an accredited medical plan, select **Yes**.
2. If you selected **No** to the first question, you do not need to complete any Accreditation Templates, but a box outlining the Accreditation Terms and Conditions (Figure 5-2) appears on your screen. Issuers complete the Terms and Conditions attestation by checking the **\*I attest to the terms and conditions** box.

**Figure 5-2. Accreditation Terms and Conditions for Issuers Not Accredited**

<p><b>Terms and Conditions</b></p> <p>The QHP issuer authorizes the release of its accreditation data from its accrediting entity to the Federally Facilitated Marketplace (FFM) (if applicable).</p> <p>* I attest to the terms and conditions</p>
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3. If you selected **Yes** to the first question (meaning you are accredited), you must select which accrediting entity (NCQA, URAC, or NCQA & URAC). Additionally, a box outlining the Accreditation Terms and Conditions (Figure 5-3) appears on your screen. Issuers complete the Terms and Conditions attestation by checking the **\*I attest to the terms and conditions** box.

**Figure 5-3. Accreditation Terms and Conditions for Accredited Issuers**

<p><b>Terms and Conditions</b></p> <p>The QHP issuer authorizes the release of its accreditation data from its accrediting entity to the Federally Facilitated Marketplace (FFM) (if applicable).</p> <p>* I attest to the terms and conditions</p>
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## 4.2 Template Instructions

Using the 2017 versions of the NCQA and URAC Templates,<sup>1</sup> downloaded from the Accreditation section of the Issuer Module in the QHP Application System, follow the instructions below to complete the Accreditation Template. Include accreditation information for at least one market (Commercial, Medicaid, or Exchange/Marketplace) for which you have accredited products by NCQA and/or URAC in the state. If you are an issuer entering your fourth or later year of Marketplace participation, include accreditation information for the Marketplace market. You must complete a separate template for NCQA and URAC. (See Part C for AAAHC.)

### 4.2.1 Entering Data

**Part A: NCQA Template Instructions.** These instructions apply to all issuers accredited by NCQA (see Part B for URAC and Part C for AAAHC). Figure 5-4 shows a sample of a completed NCQA Template.

**Figure 5-4. Completed NCQA Template**

2017 NCQA Template v6.0						
<i>All fields with an asterisk ( * ) are required. To validate the template, use the Validate button or Ctrl + Shift + I. To finalize the template, use the Finalize button or Ctrl + Shift + F.</i> <i>The information for the accredited products must be for the same legal entity as is submitting the QHP application.</i> <i>Please follow the instructions provided in the Accreditation Chapter (Chapter 5) of the QHP Application Instructions Manual closely and carefully.</i> <i>The Department of Health and Human Services (DHHS) will verify the information that you have provided about your existing accreditation with NCQA, URAC, or both.</i> <i>Only data that can be verified will be displayed on the website.</i> <i>It is only necessary to enter one accreditation entry per product/market type, using the product with the largest number of covered lives.</i>						
HIOS Issuer ID* 12345						
NCQA Org ID*	Market Type*	NCQA Sub ID	Product Type*	Product ID*	Accreditation Status*	Expiration Date*
<i>Required:</i> Enter the 2-5-digit NCQA Org ID number	<i>Required:</i> Select the Market Type from list	<i>Required if Market is NOT Exchange:</i> Enter the 2-5-digit NCQA Sub ID number	<i>Required:</i> Select the Product Type from list	<i>Required:</i> Enter the 10-character Product ID	<i>Required:</i> Select the Accreditation Status from list	<i>Required:</i> Enter a future date in mm/dd/yyyy format
234	Commercial	100	PPO Only	12345MD001	Excellent	6/10/2018
9876	Exchange		POS Only	12345MD003	Interim	8/12/2018
45678	Medicaid	300	HMO Only	12345MD005	Accredited	9/30/2018

Follow the instructions below for completing the NCQA Template for each accredited market type:

1. Enable template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**. If you do not enable macros before entering data, the template does not recognize these data and you have to reenter them.
2. *HIOS Issuer ID* (required). Enter your five-digit HIOS issuer ID, if not prepopulated.
3. If you are an NCQA-accredited issuer with one or more accredited products in the **Commercial and/or Medicaid** markets, enter only one accredited product for each applicable Commercial and/or Medicaid product type—preferred provider organization (**PPO Only**), health maintenance organization (**HMO Only**), preferred provider point of service (**POS Only**) plan, **HMO/POS Combined**, **PPO/POS Combined**, or **HMO/POS/PPO Combined**. (If you are accredited for the Commercial market, you should list one product for the Commercial market. If you are accredited for the Medicaid market, you can list either.) Differentiating between Small Business Health Options Program (SHOP) and Individual market plans is unnecessary on the NCQA Template, as accreditation is at the issuer level. Entering only one product ID for each plan type will not affect your plan certification or display.

<sup>1</sup> The 2017 version of the templates must be used. The banner section of each template will specify 2017.

- a. If you have an NCQA-accreditation status for a Commercial and/or Medicaid product, complete the following information:
  - i. *NCQA Org ID* (required). Enter the NCQA Org ID.
  - ii. *Market Type* (required). Use the drop-down menu to select **Commercial** or **Medicaid**. Enter additional rows if you are accredited for both market types.
  - iii. *NCQA Sub ID* (required). Enter the Sub ID.
  - iv. *Product Type* (required). Use the drop-down menu to select the appropriate product type.
  - v. *Product ID* (required). Enter a product ID (HIOS Product ID). See Figure 5-1 for information on how to format your product ID. If you have multiple product IDs per product type, you only need to use any one product ID.
  - vi. *Accreditation Status* (required). Use the drop-down menu to select the correct accreditation status.
  - vii. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.
  
4. If you are an NCQA-accredited issuer with one or more accredited products in the **Exchange/Marketplace** market, enter only one accredited product. Differentiating between SHOP and Individual market plans is unnecessary on the NCQA Template, as accreditation is at the issuer level. Entering only one product ID for each plan type will not affect your plan certification or display.
  - a. If you have an NCQA-accreditation status for an Exchange/Marketplace product, complete the following:
    - i. *NCQA Org ID* (required). Enter the NCQA Org ID.
    - ii. *Market Type* (required). Use the drop-down menu to select **Exchange**.
    - iii. *NCQA Sub ID* (required). Sub ID does not apply to the Exchange/Marketplace market. Leave this field blank.
    - iv. *Product Type* (required). Use the drop-down menu to select the appropriate product type.
    - v. *Product ID* (required). Enter a product ID (HIOS Product ID). See Figure 5-1 for information on how to format your product ID. If you have multiple product IDs per product type, you only need to use any one product ID.

- vi. *Accreditation Status* (required). Use the drop-down menu to select **Interim**. The template only allows **Interim** as the selection for any Exchange/Marketplace products.
- vii. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.

**Part B: URAC Template Instructions:** These instructions apply to all issuers accredited by URAC. (See Part A for NCQA and Part C for AAAHC.) Figure 5-5 shows a sample completed URAC Template.

**Figure 5-5. Completed URAC Template**

	A	B	C	D
1	<b>2017 URAC Template v6.0</b>	<i>All fields with an asterisk (*) are required. To validate the template, use the Validate button</i>		
2	<input type="button" value="Validate"/>	<i>The information for the accredited products must be for the same legal entity as is submitted</i>		
3		<i>Please follow the instructions provided in the Accreditation Chapter (Chapter 5) of the QH</i>		
4	<input type="button" value="Finalize"/>	<i>The Department of Health and Human Services (HHS) will verify the information that you t</i>		
5		<i>Only data that can be verified will be displayed on the website.</i>		
6				
7	<b>HIOS Issuer ID*</b>			
8	<b>URAC Application Number*</b> Required: Enter the 9-10 alphanumeric URAC Application Number	<b>Market Type*</b> Required: Select the Market Type from list	<b>Accreditation Status*</b> Required: Select the Accreditation Status from list	<b>Expiration Date*</b> Required: Enter a future date in mm/dd/yyyy format
9				
10	abc133000	Exchange	Full	10/10/2018
11	abc133000	Exchange	Provisional	12/30/2018
12	abc133000	Commercial	Conditional	11/22/2018

Complete the following required fields in the URAC Template for each accredited product:

1. Enable template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**. If macros are not enabled before entering data, the template does not recognize your data and you will have to reenter it.
2. *HIOS Issuer ID* (required). Enter your five-digit HIOS issuer ID, if not prepopulated.
3. If you have a URAC-accreditation status with one or more products in the Commercial and/or Medicaid market, complete the following data fields:
  - a. *URAC Application Number* (required). Enter the URAC certificate number printed on the accreditation certificate.
  - b. *Market Type* (required). Use the drop-down menu to select the appropriate market.
  - c. *Accreditation Status* (required). Use the drop-down menu to select the correct accreditation status.
  - d. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.

4. If you have a URAC-accreditation status with one or more products in the Exchange/Marketplace market, complete the following data fields:
  - a. *URAC Application Number* (required). Enter the URAC certificate number printed on the Exchange/Marketplace market accreditation certificate.
  - b. *Market Type* (required). Use the drop-down menu to select **Exchange**.
  - c. *Accreditation Status* (required). Use the drop-down menu to select the correct accreditation status.
  - d. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.

**Part C: AAAHC Template Instructions:** These instructions apply to all issuers accredited by AAAHC. (See Part A for NCQA and Part B for URAC.) The AAAHC Template can be found at <https://www.cms.gov/CCIIO/Programs-and-Initiatives/Health-Insurance-Marketplaces/qhp.html>. Figure 5-6 shows a sample completed AAAHC Template.

**Figure 5-6. Completed AAAHC Template**

	A	B	C	D	E
1	<b>AAAHC Template v1.0</b>	<i>All fields with an asterisk (*) are required. To validate the template, use the Validate button or Ctrl + Shift + V.</i>			
2	Validate	<i>Please reference Chapter 5 of the QHP Instructions for instructions on completing this template</i>			
3					
4					
5					
6					
7	<b>HIOS Issuer ID*</b>	12345			
8	<b>AAAHC Org ID*</b>	<b>Market Type*</b>	<b>Accreditation Status*</b>	<b>Expiration Date*</b>	
9	<b>Required:</b> Enter the 3 to 6 digit AAAHC Org ID	<b>Required:</b> Select the Market Type from list	<b>Required:</b> Select the Accreditation Status from list	<b>Required:</b> Enter a date after 05/27/2014 in mm/dd/yyyy format	
10	123456	Exchange	Accredited	10/10/2015	
11	123456	Commercial	Accredited	12/10/2016	
12	123456	Medicaid	Accredited	05/07/2015	

Complete the following required fields in the AAAHC Template for each accredited product:

1. Enable template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**. If macros are not enabled before entering data, the template does not recognize your data and you will have to reenter it.
2. *HIOS Issuer ID* (required). Enter your five-digit HIOS issuer ID.
3. If you have an AAAHC-accreditation status with one or more products in the Commercial and/or Medicaid market, complete the following:
  - a. *AAAHC Org ID* (required). Enter the AAAHC organization identification number printed on the Medicaid market accreditation certificate.
  - b. *Market Type* (required). Use the drop-down menu to select the appropriate market.

- c. *Accreditation Status* (required). Use the drop-down menu to select **Accredited**.
  - d. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.
4. If you have an AAAHC-accreditation status with one or more products in the Exchange/Marketplace market, complete the following:
- a. *AAAHC Org ID* (required). Enter the AAAHC Org ID number printed on the Exchange/Marketplace market accreditation certificate.
  - b. *Market Type* (required). Use the drop-down menu to select **Exchange**.
  - c. *Accreditation Status* (required). Use the drop-down menu to select **Accredited**.
  - d. *Expiration Date* (required). Enter the accreditation expiration date using the mm/dd/yyyy format. The template only accepts an expiration date in the future.

#### 4.2.2 Finalizing Template

Once you have completed the applicable Accreditation Template, follow these steps to finalize the template.

Part A: NCQA Template: These instructions apply to all issuers accredited by NCQA (see Part B for URAC and Part C for AAAHC).

1. Ensure the information (market type, product type, accreditation status, and expiration date) entered on the template matches the information on each NCQA accreditation certificate.
2. Click the **Validate** button at the top left of the template. The validation process identifies any data issues that need to be resolved. If no errors are identified, proceed directly to step 4.
3. If the template has any errors, a Validation Report will appear in a pop-up box showing the data element and cell location of each error. Correct any identified errors and click **Validate** again. Continue this process until all errors are resolved. Once the template is valid, proceed to the next step.
4. Click the **Finalize** button in the template. The **Finalize** function creates the XML file of the template that you need to upload in the applicable QHP Application System.
5. **Save** the XML Template. We recommend saving the validated template on your computer as a standard Excel.XLSM file and the finalized.XML file in the same folder.
6. Upload the saved file in the Issuer Module of the QHP Application System. Refer to the Issuer Module User Guide for details on how to complete this upload. The user guide is available in the HIOS Issuer Module.

Part B: URAC Template: These instructions apply to all issuers accredited by URAC (see Part A for NCQA and Part C for AAAHC).

1. Ensure the information (URAC application/certificate number, market type, accreditation status, and expiration date) entered on the template matches the information on each URAC accreditation certificate.
2. Click the **Validate** button in the top left of the template. The validation process identifies any data issues that need to be resolved. If no errors are identified, proceed directly to step 4.
3. If the template has any errors, a Validation Report will appear in a pop-up box showing the data element and cell location of each error. Correct any identified errors and click **Validate** again. Continue this process until all errors are resolved. Once the template is valid, proceed to the next step.
4. Click the **Finalize** button in the template. The **Finalize** function creates the XML file of the template that you need to upload in the applicable QHP Application System.
5. **Save** the XML Template. We recommend saving the validated template on your computer as a standard Excel.XLSM file and the finalized.XML file in the same folder.
6. Upload the saved file in the Issuer Module of the QHP Application System. Refer to the Issuer Module User Guide for details on how to complete this upload. The user guide is available in the HIOS Issuer Module.

Part C: AAAHC Template: These instructions apply to all issuers accredited by AAAHC (see Part A for NCQA and Part B for URAC).

1. Ensure the information (AAAHC Org ID, market type, accreditation status, and expiration date) entered on the template matches the information on each AAAHC accreditation certificate.
2. Click the **Validate** button in the template. The template identifies any data issues that require attention. Resolve any identified errors and click **Validate** again. Repeat until all errors are resolved.
3. Save the template.
4. E-mail the template along with supporting documentation to [Marketplace\\_Quality@cms.hhs.gov](mailto:Marketplace_Quality@cms.hhs.gov).

#### **4.3 Supporting Documentation and Justification Instructions**

All accredited issuers must submit supporting documentation (accreditation certificates) with their QHP Application. **You must provide your HIOS ID to your accrediting entity to ensure the correct name is used on each accreditation certificate.** Upload your accreditation certificates in the Accreditation section of the Issuer Module in the QHP Application System. You *must* use the following naming conventions for your files: If you are accredited by NCQA,

scan and upload a PDF version of *each* accreditation certificate (one per accredited product/market type) to the Accreditation section of the Issuer Module in the QHP Application System. You *must* use the following naming convention for your certificate(s): [Issuer ID]-[Name of Accrediting entity]-Accreditation, for example, “12345-NCQA-Accreditation.pdf.” If you are accredited by NCQA and do not have a copy of your accreditation certificate, use the NCQA ISS to get a copy of your survey results. Log into ISS, click on the Results tab, view the survey results, and print the results screen. Scan and upload a PDF version of the results screen to the Accreditation section of the Issuer Module in the QHP Application System. You *must* use the following naming convention for your ISS survey results: [Issuer ID]-[Name of Accrediting entity]-Accreditation, for example, “12345-NCQA-Accreditation.pdf.”

2. If you are accredited by URAC, scan and upload a PDF version of *each* accreditation certificate (one per accredited market type) to the Accreditation section of the Issuer Module in the QHP Application System. You *must* use the following naming convention for your certificate(s): [Issuer ID]-[Name of Accrediting entity]-Accreditation, for example, “12345-URAC-Accreditation.pdf.”

Ensure that your URAC certificate specifies the market type on the certificate. Certificates that only identify the name of the accreditation program—such as “Health Plan for Health Exchange (HIX)” or “Health Plan Accreditation”—will not be accepted. Contact URAC if you have questions regarding the correct certificate.

3. If you are accredited by AAAHC, scan and e-mail a PDF version of *each* accreditation certificate (one per accredited market type) to [Marketplace\\_Quality@cms.hhs.gov](mailto:Marketplace_Quality@cms.hhs.gov). You *must* use the following naming convention for your certificate(s): [Issuer ID]-[Name of Accrediting entity]-Accreditation, for example, “12345-AAAHC-Accreditation.pdf.”

Figures 5-7 through 5-10 show sample accreditation certificates.

Figure 5-7. Sample NCQA Accreditation Certificate



Figure 5-8. Sample Preferred URAC Accreditation Certificate



**CERTIFICATE OF FULL ACCREDITATION**

*is awarded to*

**[Company Name]**

**[Address]**

Offering the following

**[Market Type] [Product Type], [State]**

for compliance with

Health Plan for Health Insurance Marketplace Accreditation Program

pursuant to the

**Health Plan for Health Insurance Marketplace, Version [#]**

Effective from Start [DATE] through the End [DATE]

Certificate Number: App #  
 HIOS Issue Identifier: #  
 NAIC Company Code: #  
 NAIC Group Code: #



**ACCREDITED**

**Health Plan for Health Insurance Marketplace Accreditation**

URAC accreditation is assigned to the organization and address named in this certificate and is not transferable to subcontractors or other affiliated entities not accredited by URAC.

URAC accreditation is subject to the representations contained in the organization's application for accreditation. URAC must be advised of any changes made after the granting of accreditation. Failure to report changes can affect accreditation status.

This certificate is the property of URAC and shall be returned upon request.



William R. Vandervennet  
Chief Operating Officer



Susan M. DeMarino  
Vice President, Accreditation Services

Note: The preferred certificate is more detailed, identifying the market and product type. These certificates are available by contacting URAC. Issuers entering their fourth year of certification must submit this detailed version during the certification process; all issuers accredited with URAC are strongly encouraged to use this version.

Figure 5-9. Sample Alternate URAC Accreditation Certificate

 <b>CERTIFICATE OF FULL ACCREDITATION</b> is awarded to <b>[Company Name]</b> <b>[Address]</b> for compliance with <b>[Program Name]</b> Accreditation Program pursuant to the <b>[Program Name], Version [#]</b> Effective from Start [DATE] through the End [DATE]	<p>Certificate Number: App #</p>  <b>ACCREDITED</b> <b>[Program Name]</b>
 William R. Vandervennet Chief Operating Officer	 Susan M. DeMarino Vice President, Accreditation Services
	<p>URAC accreditation is assigned to the organization and address named in this certificate and is not transferrable to subcontractors or other affiliated entities not accredited by URAC.</p> <p>URAC accreditation is subject to the representations contained in the organization's application for accreditation. URAC must be advised of any changes made after the granting of accreditation. Failure to report changes can affect accreditation status.</p> <p>This certificate is the property of URAC and shall be returned upon request.</p>

Note: The alternate certificate will not be accepted during the certification process for plan year 2017 for issuers entering their fourth year of QHP certification.

Figure 5-10. Sample AAAHC Accreditation Certificate



ACCREDITATION  
ASSOCIATION  
*for* AMBULATORY HEALTH CARE, INC.

*grants this*

# CERTIFICATE OF ACCREDITATION

to  
 <<ORG NAME>>  
 <<DBA>>  
 <<ADDRESS 1>> <<ADDRESS 2>>  
 <<CITY>>, <<ST>> <<ZIP>>

*In recognition of its commitment to high quality of care and substantial compliance  
with the Accreditation Association for Ambulatory Health Care standards for Health Plans.*

<<ORG ID>>  
*Organization Identification Number*



MARGARET E. SPEAR, M.D.  
*Chair of the Board*



<<EXPIRATION>>  
*The Award of Accreditation expires on the above date*



JOHN E. BURKE, PH.D.  
*President and CEO*

ASSOCIATION MEMBERS

*Ambulatory Surgery Foundation • American Academy of Cosmetic Surgery • American Academy of Dental Group Practice • American Academy of Dermatology  
American Academy of Facial Plastic and Reconstructive Surgery • American Association of Oral and Maxillofacial Surgeons • American College of Gastroenterology  
American College Health Association • American College of Mohs Surgery • American Congress of Obstetricians & Gynecologists • American Dental Association  
American Gastroenterological Association • American Society of Anesthesiologists • American Society for Dermatologic Surgery Association  
American Society for Gastrointestinal Endoscopy • Association of periOperative Registered Nurses • Medical Group Management Association • Society for Ambulatory Anesthesia*

 5250 OLD ORCHARD ROAD, SUITE 200 • SKOKIE, IL 60077  
PHONE: 847/853.6060 • E-MAIL: INFO@AAAHC.ORG • WEB SITE: WWW.AAAHC.ORG

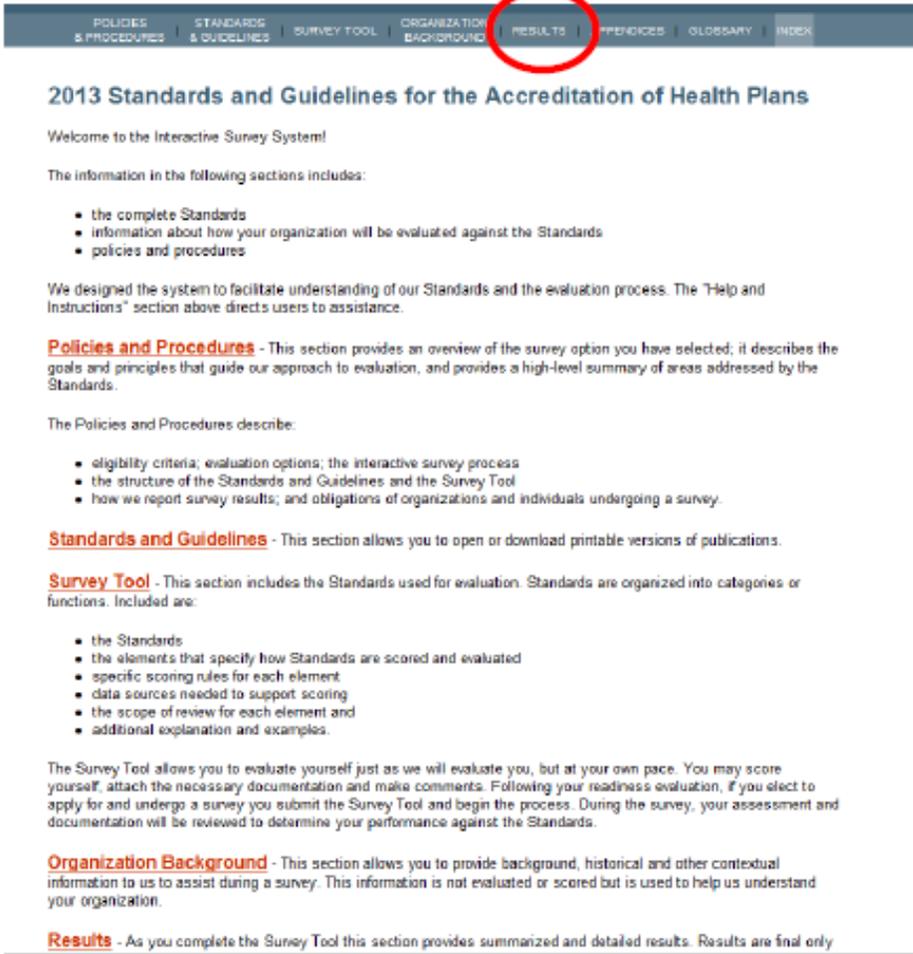
Figures 5-11 and 5-12 show sample NCQA ISS survey results.

Figure 5-11. Sample NCQA ISS Survey Results, page 1

**How to View Results?**

**Step 1:**      *Login to ISS*

**Step 2:**      *Click Results Tab to View*



**2013 Standards and Guidelines for the Accreditation of Health Plans**

Welcome to the Interactive Survey System!

The information in the following sections includes:

- the complete Standards
- information about how your organization will be evaluated against the Standards
- policies and procedures

We designed the system to facilitate understanding of our Standards and the evaluation process. The "Help and Instructions" section above directs users to assistance.

**Policies and Procedures** - This section provides an overview of the survey option you have selected; it describes the goals and principles that guide our approach to evaluation, and provides a high-level summary of areas addressed by the Standards.

The Policies and Procedures describe:

- eligibility criteria; evaluation options; the interactive survey process
- the structure of the Standards and Guidelines and the Survey Tool
- how we report survey results; and obligations of organizations and individuals undergoing a survey.

**Standards and Guidelines** - This section allows you to open or download printable versions of publications.

**Survey Tool** - This section includes the Standards used for evaluation. Standards are organized into categories or functions. Included are:

- the Standards
- the elements that specify how Standards are scored and evaluated
- specific scoring rules for each element
- data sources needed to support scoring
- the scope of review for each element and
- additional explanation and examples.

The Survey Tool allows you to evaluate yourself just as we will evaluate you, but at your own pace. You may score yourself, attach the necessary documentation and make comments. Following your readiness evaluation, if you elect to apply for and undergo a survey you submit the Survey Tool and begin the process. During the survey, your assessment and documentation will be reviewed to determine your performance against the Standards.

**Organization Background** - This section allows you to provide background, historical and other contextual information to us to assist during a survey. This information is not evaluated or scored but is used to help us understand your organization.

**Results** - As you complete the Survey Tool this section provides summarized and detailed results. Results are final only

Figure 5-12. Sample NCQA ISS Survey Results, page 2

**Step 3: View Results Page**

**2013 Standards and Guidelines for the Accreditation of Health Plans**

Select an evaluation option for which to view results.

Name:

Evaluation Option: Interim Survey

Standards Year: 2013

Product Line/Product	Overall Score	Status	Valid Dates
<hr/>			

\*Reports and numeric results are not final and may not be made public until NCQA's Review Oversight Committee evaluates them. The organization may not represent that it has achieved any endorsement or approval, or that it is in compliance with any standards or is NCQA Accredited based on reports or numeric results from the readiness evaluation without a final decision as described in the Policies and Procedures.

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