Appendix 1

Code of Professional Conduct for Certified HEDIS Compliance Auditors

APPENDIX 1

CODE OF PROFESSIONAL CONDUCT   
FOR CERTIFIED HEDIS COMPLIANCE AUDITORS

In promoting high standards of ethical conduct, I shall:

* Avoid conflicts of interest and the appearance of conflicts of interest by:
* Upholding the principle that an NCQA-Licensed Organization may not audit any HEDIS reporting modules or algorithms it helped create.
* 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 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.
* 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 of whether the auditor is certified by NCQA.
* 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.
* Upholding the principle that Licensed Organizations may not sell work until the final designations are given.
* 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.
* Disclosing to any client or employer any relationships that influence or give the appearance of influencing my judgment.
* Conduct myself professionally, with truth, accuracy, fairness and responsibility to my clients.
* Act as a faithful agent/trustee for each employer and client.
* Strive to enhance the prestige and competence of the HEDIS auditing profession.
* Help those in my employment or under my supervision develop their HEDIS auditing skills.
* Ensure that the work of others is given credit.
* Not misrepresent my own or another audit team member’s qualifications, competence or experience, or undertake auditing work beyond my qualifications.
* 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.
* 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.
* Not intentionally communicate false or misleading information that may compromise the integrity of any audit or any NCQA programs.
* Preface any public statements related to the HEDIS Audit that I might issue by clearly indicating on whose behalf they are made.
* Not accept compensation from more than one party for the same service without the consent of all parties.
* Not act in any way that would prejudice the reputation of NCQA or the HEDIS Audit.
* Notify NCQA immediately and fully cooperate with an inquiry in the event of an alleged breach of this code.
* Not reproduce, transmit or use any NCQA copyrighted materials in any form or by any means for activities other than NCQA Audits contracted for by an organization with an NCQA-Licensed Organization.