



**Analysis & Planning Guide for Implementing the
CAQH CORE Claim Status Operating Rules
May 2022**

**CAQH Committee on Operating Rules for Information Exchange (CORE)
Analysis & Planning Guide for Implementing the CAQH CORE Claim Status Operating Rules**

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1. Introduction: Analysis & Planning for CAQH CORE Claim Status Operating Rule Adoption

This CAQH CORE Analysis & Planning Guide provides a resource for entities preparing to adopt the CAQH CORE Claim Status Operating Rules.¹ A solid understanding of the CAQH CORE Claim Status Operating Rules combined with an effective planning effort is the basis for a successful implementation project.

This document provides guidance for Project Managers, Business Analysts, System Analysts, Architects, and other project staff to complete the first step of a typical systems development life cycle: Systems Analysis & Planning. The purpose of this guide is to enable Project Managers and other staff to:

- Understand the applicability of the CAQH CORE Claim Status Operating Rule requirements to your organization's systems that conduct claim status transactions (e.g., need for internal testing, project management, etc.).
- Identify and inventory all impacted external and internal systems and outsourced vendors that process claim status transactions.
- Conduct a detailed rule requirements gap analysis to identify system(s) that may require remediation in order to conform to the CAQH CORE Claim Status Operating Rule requirements and to identify business process which may be impacted by the CAQH CORE Claim Status Operating Rules.

The appendices of this CAQH CORE Analysis & Planning Guide include the following:

- [Stakeholder & Business Type Evaluation](#): Use to determine your stakeholder type(s) and understand the role of your intermediaries that conduct the claim status transaction.
- [Systems Inventory & Impact Assessment Worksheet](#): Use to conduct a high-level inventory of all external and internal systems that conduct the claim status transaction and is impacted by the CAQH CORE Claim Status Operating Rules.
- [Gap Analysis Worksheet](#): Use to determine the level of system(s) remediation necessary for adopting the business requirements of the CAQH CORE Claim Status Operating Rules.
- A user-friendly, Excel workbook containing all of the analysis & planning forms is available [HERE](#).

NOTES:

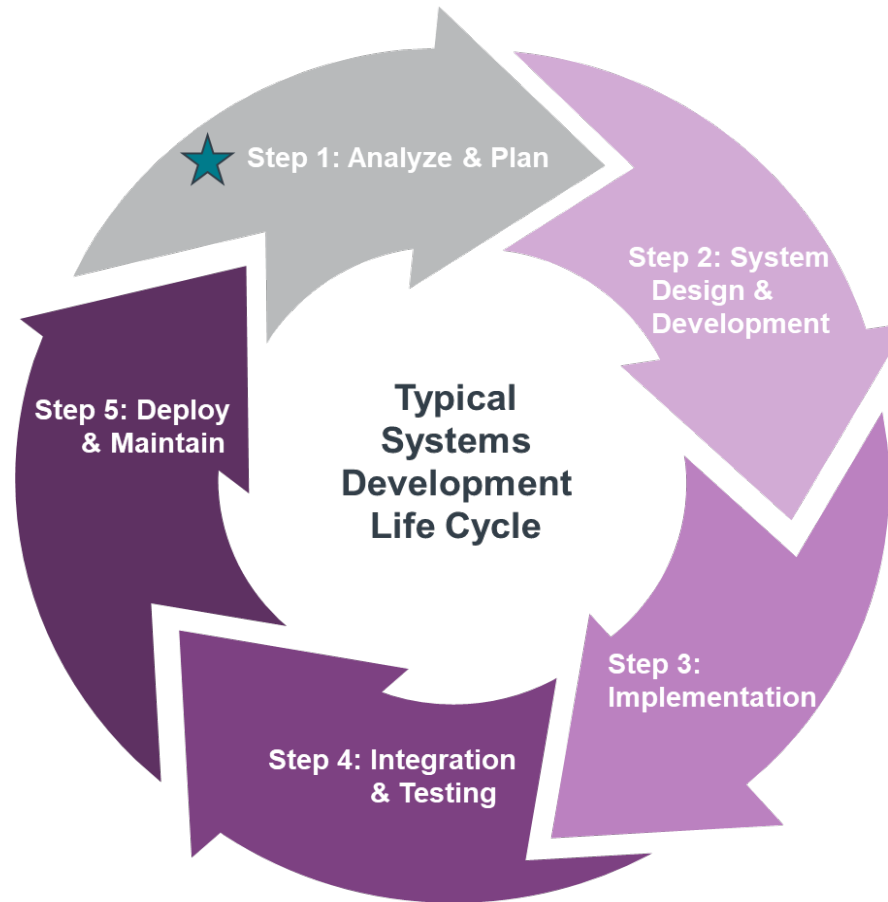
- This document is for educational purposes only; in the case of a question between this document and CAQH CORE Operating Rule text and/or Federal regulations, the latter take precedence.
- This Analysis & Planning Guide is scoped to *general* adoption of the CAQH CORE Claim Status Operating Rules and can assist with compliance with ACA Section 1104 mandate or detailed voluntary CORE Certification (*however* these are separate projects requiring analysis and planning beyond that described in this document).

2. Systems Development Life Cycle

The diagram below illustrates a typical systems development life cycle (SDLC) for developing or remediating information systems, SDLC includes five key steps, beginning with analysis and planning through deployment and ongoing maintenance. This Analysis & Planning Guide is scoped to assist you in the first step of an SDLC for the adoption of the CAQH CORE Claim Status Operating Rules given Step 1 sets the stage for all other steps.

¹ **NOTE:** The [HHS Final Rule for operating rules for the claim status transaction](#) adopts all the CAQH CORE Operating Rules for the claim status & transaction **except** those requirements pertaining to the use of Acknowledgements. ACA amends HIPAA, therefore, *all HIPAA covered entities* must be in compliance with operating rules by their effective dates.

Typical Systems Development Life Cycle



★ Focus and scope of this
Analysis and Planning
Guide

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3. Analysis & Planning for the CAQH CORE Claim Status Operating Rules: Key Tasks

The following table outlines the key tasks necessary to complete Step 1: Analyze & Plan of a Systems Development Life Cycle. When the analysis and planning is completed, you will have created a high-level systems impact analysis and developed a detailed project plan for adopting the CAQH CORE Operating Rule requirements.

Analysis and Planning: Key Tasks	
Task	Activity
<p>Task A - Complete Staff Education and Training on the CAQH CORE Claim Status Operating Rules</p>	<ul style="list-style-type: none"> • Thoroughly review and understand the CAQH CORE Claim Status Operating Rules. • Conduct general education and awareness of the CAQH CORE Claim Status Operating Rules for the impacted areas in your organization (see Section 4 of this document for additional resources available to educate staff on the CAQH CORE Operating Rules),
<p>Task B - Determine Your Organization’s Stakeholder & Business Type(s) (Stakeholder & Business Type Evaluation)</p> <p><i>CAQH CORE Claim Status Operating Rule requirements are tied to applicable stakeholder type(s): provider, health plan, clearinghouse, and vendor</i></p>	<ul style="list-style-type: none"> • Determine your stakeholder and business type(s) to understand which CAQH CORE Claim Status Operating Rules apply to your organization. • Understand the role of intermediaries that conduct the claim status transaction. • Consider the following based on your stakeholder type(s): <ul style="list-style-type: none"> • If your organization is a <u>health plan</u>: <ul style="list-style-type: none"> - The majority of the CAQH CORE Claim Status Operating Rule requirements will apply to your systems. - Health plans that outsource to a clearinghouse or other intermediary to process the claim status transaction from providers on their behalf may have some unique implementation considerations. Depending on the scenario between the health plan and its clearinghouse/intermediary, the health plan may not need to implement some rule requirements directly and the clearinghouse/intermediary will need to implement them on behalf of the health plan. • If your organization is a <u>provider</u>: <ul style="list-style-type: none"> - You likely are outsourcing some of the CAQH CORE Claim Status Operating Rule requirements to a clearinghouse or your software vendor. Provider organizations using a clearinghouse or software vendor to send and receive claim status transactions with health plans may have some unique implementation considerations since the clearinghouse/software vendor is performing some functions on behalf of the provider. • If your organization is a <u>clearinghouse</u>: <ul style="list-style-type: none"> - You are responsible for implementing the CAQH CORE Claim Status Operating Rule requirements applicable to you as a clearinghouse. - Additionally, if a health plan and/or provider outsources certain functions to you to perform on their behalf, you are responsible for implementing all CAQH CORE Claim Status Operating Rule requirements which have been outsourced to you. In this instance, your organization will need to work with your business partners to determine applicable rule requirements.

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Analysis and Planning: Key Tasks	
Task	Activity
	<ul style="list-style-type: none"> • If your organization is a <u>software or services vendor</u>: <ul style="list-style-type: none"> - You are responsible for implementing many of the CAQH CORE Claim Status Operating Rule Claim Status requirements into your services or software. - Note, if your services or software are provider-facing, you will have a unique set of requirements to implement that are different than a health plan-facing vendor's services or software.
Task C – Conduct a Systems Inventory (Systems Inventory & Impact Assessment Worksheet)	<p><i>Relative to your stakeholder type(s):</i></p> <ul style="list-style-type: none"> • Identify and inventory all impacted external and internal systems and outsourced vendors that process the X12 v5010 276/277 transaction. • Determine which functions for each identified impacted system/outsourced vendor are in-house developed and maintained, commercial off the shelf (COTS) system, or outsourced to a third party. • Determine potential options for addressing the CAQH CORE Claim Status Operating Rule requirements applicable to your stakeholder type(s) (e.g., remediate an in-house developed system, replace, or upgrade any COTS system, or work with third party vendor to ensure they meet CAQH CORE Claim Status Operating Rule requirements).
Task D - Conduct Detailed Rule Requirements Gap Analysis (Gap Analysis Worksheet)	<ul style="list-style-type: none"> • Identify the impacted systems (identified via the <i>Systems Inventory & Impact Assessment Worksheet</i>) responsible for satisfying each requirement of the CAQH CORE Claim Status Operating Rules. • Determine and document any gaps between the existing system's capability and each rule requirement. • Identify and document any business process which may also be impacted by each CAQH CORE Claim Status Operating Rule requirement and to what extent the process is impacted.
Task E - Develop a Detailed Project Plan	<ul style="list-style-type: none"> • A detailed project plan typically outlines steps for completion of the following key activities as Steps 2-5 of the System Development Life Cycle: <ul style="list-style-type: none"> - Determine required resources to complete the project (i.e., estimate resources, time, system release schedules, and money). - Develop a detailed Functional Requirements Document. - Create a detailed Systems Design Document describing, in detail, the required functions and capabilities necessary to implement the CAQH CORE Claim Status Operating Rules. - Implement necessary system(s) enhancements. - Test impacted systems to ensure conformance to the requirements set in the Functional Requirements Document. - Deploy (i.e., implement system(s) into production environment). - Conduct trading partners implementation testing.

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Analysis and Planning: Key Tasks	
Task	Activity
Other Considerations – CORE Certification	<ul style="list-style-type: none"> • Consider CORE Certification as part of your project plan² <ul style="list-style-type: none"> – CAQH CORE offers CORE Certification to the four stakeholder types that create, transmit or use claim status data: health plans, providers, software/services vendors, and clearinghouses. – Key benefits to completing CORE Certification: <ul style="list-style-type: none"> ▪ Certification testing provides an on-line mechanism for a stakeholder to test its systems ability to exchange claim status data with its trading partners using the CAQH CORE Operation Rules. ▪ Demonstrates via a recognized industry “Seal” your organization’s adoption of the CAQH CORE Claim Status Operating Rules to the industry. ▪ Encourages trading partners to work together on transaction data content, infrastructure, and connectivity needs. ▪ Promotes maximum ROI when all stakeholders in the information exchange are known to conform with the CAQH CORE Claim Status Operating Rules. • More information on the CORE Certification process is available on the CAQH website HERE.

² **NOTE:** The CORE Certification Program offered by CAQH CORE is separate from the CMS Federal operating rules compliance program mandated by the ACA. Information on the CMS compliance program regarding operating rules is under development and can be found [HERE](#).

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4. Additional Resources

Beyond the information provided in this CAQH CORE Analysis & Planning Guide, the CAQH website provides additional resources for entities preparing to implement the CAQH CORE Claim Status Operating Rules:

- [CAQH CORE Claim Status Operating Rules](#)
- [Operating Rules Implementation Resources](#) from CAQH CORE and its partners to help you implement the CAQH CORE Operating Rules (note: these resources were developed for CORE Certification, however, include the same concepts, e.g., role of trading partners, apply for general adoption of the CAQH CORE Operating Rules).
- [CAQH CORE FAQs](#) address typical questions regarding the CAQH CORE Claim Status Operating Rules.
 - If question not listed as an FAQ, email your question to core@caqh.org to have it submitted to the formal CAQH CORE Request Process.
- Upcoming CAQH CORE [Education Sessions](#) (as well as presentations and recordings from previous sessions) for further clarification on rule requirements.
- CAQH CORE Certification Test Suites (note: these resources were initially developed for CORE Certification, however include the same concepts, e.g., role of trading partners, apply for general adoption of the CAQH CORE Operating Rules).
 - [Claim Status CAQH CORE Certification Test Suite](#)
- [HHS Final Rule](#) for Health Plan Adoption of Operating Rules for Claim Status.
- [CMS FAQs](#) (FAQs related to Federally mandated operating rules are #10958-10971).

Entities seeking to implement the CAQH CORE Claim Status Operating Rules are encouraged to note the following:

- The CAQH CORE Claim Status Operating Rules assume that any HIPAA-covered entity implementing the operating rules is compliant with the most recently mandated version of HIPAA; HIPAA compliance is not defined by CAQH CORE.
- The CAQH CORE Claim Status Operating Rule requirements are tied to the applicable stakeholder type(s). The applicability of a specific CAQH CORE Claim Status Operating Rule requirement may vary according to trading partner relationship, contracted services, and other arrangements. If you have specific questions concerning applicability, please [contact CAQH CORE Staff](#).
- CAQH CORE staff is available to assist with questions about understanding the requirements of the CAQH CORE Claim Status Operating Rules in regard to your stakeholder type(s); implementing entities are responsible for gap analysis and systems remediation.

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5. Appendix

Appendix A: CAQH CORE Stakeholder & Business Type Evaluation

Purpose: After becoming educated on the CAQH CORE Claim Status Operating Rules, you will need to determine your stakeholder type(s). The *CAQH CORE Claim Status Stakeholder & Business Type Evaluation* below will assist you in determining which CAQH CORE Claim Status Operating Rules apply to your organization and which trading partners you need to work with on planning and implementation. Knowing your stakeholder type(s) will help you complete the *Systems Inventory & Assessment Worksheet*.

NOTE: Applicability of a specific rule requirement may vary according to trading partner relationship, contracted services, and other arrangements. Some example business models include:

- Provider direct-to-health plan connection:
 - Health plan implements all requirements of the CAQH CORE Claim Status Operating Rules.
- Single/dual clearinghouse-to-health plan connection:
 - Health plan outsources infrastructure and connectivity functions to a clearinghouse³.
 - Health plan-facing clearinghouse acts as a proxy for health plan's CAQH CORE conformance for the contracted services.
- Provider-to-clearinghouse/vendor connection:
 - Provider outsources claim status request submission function to clearinghouse/vendor.
 - Provider-facing clearinghouse or vendor solution acts as a proxy for provider's CAQH CORE conformance for the contracted services.

Key Takeaway: Understand what aspects of your business and/or outsourced functions are impacted by the CAQH CORE Claim Status Operating Rules (e.g., products, business lines, etc.).

³ In some cases, clearinghouse may offer full outsourcing services for claim status verification functions, inclusive of data hosting.

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Stakeholder & Business Type Evaluation		
Question	Points for Consideration	Your Response
1. What is your stakeholder type(s) (e.g., health plan, provider vendor, clearinghouse)?	The CAQH CORE Claim Status Operating Rules define four stakeholder types that implement the operating rules: health plan, clearinghouse, provider, and vendor; the applicability of specific CAQH CORE Claim Status Operating Rule requirements vary according to stakeholder type.	
2. What role and responsibilities does my organization have for implementing the CAQH CORE Claim Status Operating Rules, given our stakeholder type(s)?	The CAQH CORE Claim Status Operating Rules outline the specific roles and responsibilities for each stakeholder type, review CAQH CORE Claim Status Operating Rule text for more detail.	
3. Does my organization rely on trading partners (e.g., vendors or clearinghouses) to assist with claim processing and/or conduct of the claim status transaction?	The applicability of a specific CAQH CORE Claim Status Operating Rule's requirements may vary according to trading partner relationship, contracted services, and other arrangements. If your organization relies on a software vendor or a clearinghouse to meet any of the CAQH CORE Claim Status Operating Rule requirements, you will need to coordinate with that entity as part of your pre-implementation planning and outline the applicability of each requirement to the vendor or clearinghouse. See Section 4 of this document for additional resources that provide guidance on working with trading partners.	

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Appendix B: CAQH CORE Systems Inventory & Impact Assessment Worksheet

Purpose: After you complete the *Stakeholder & Business Type Evaluation*, your next step is to complete the *CAQH CORE Systems Inventory & Impact Assessment Worksheet* which enables you to identify and inventory all impacted systems that process the claim status transaction.

This assessment worksheet will help you identify your systems impacted by the adoption of the CAQH CORE Claim Status Operating Rules, including in-house developed and maintained systems, COTS systems, those functions outsourced to a third party. While completing this analysis you should also consider potential options for addressing applicable CAQH CORE Claim Status Operating Rule requirements (e.g., remediate an in-house developed system, replace, or upgrade any COTS system, or work with third party vendor).

Instructions:

1. In the second column of the worksheet, note if one of your system(s) is impacted by each rule and list the name of the impacted system(s).
 - **NOTE:** The impacted system(s) may include an in-house developed system, COTS system, or an outsourced solution from a third party.
2. In the third column, identify potential options for addressing the rule requirements for each impacted system(s).
3. Use the worksheet findings to inform completion of the *Gap Analysis Worksheet* for any identified system impacted by the rule requirements (Task D of the Key Analysis & Planning Tasks in Section 3 of this document).

Key Takeaway: Understand how many of your systems/products are impacted by each CAQH CORE Claim Status Operating Rule and understand with which vendors you will need to coordinate.

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CAQH CORE Systems Inventory & Impact Assessment Worksheet			
CAQH CORE Operating Rule Requirements	Is One or More Systems Impacted? <i>(Yes/No; Name of Impacted System)</i>	Is the System In-house, COTS, or Outsourced to a Third Party?	Potential Options to Address Rule Requirements <i>(e.g. remediate an in-house developed system, replace, or upgrade any COTS system, or work with third party vendor to ensure they meet CAQH CORE Operating Rule requirements)</i>
CAQH CORE Claim Status (276/277) Infrastructure Rule			
CAQH CORE Claim Status (276/277) Infrastructure Rule (ability to support X12 v5010 276/X12 v5010 277 processing)			
CAQH CORE Connectivity Rules			
CAQH CORE Connectivity Rule vC2.0.0 (HTTPS Safe Harbor, with two envelope options: SOAP with WSDL and MIME Multi-part; two authentication modes: digital certification and username/password)			
CAQH CORE Connectivity Rule vC4.0.0 (HTTPS Safe Harbor; continued support for SOAP and added support for REST; authorization: OAuth 2.0.; security: TLS 1.2)			

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Appendix C: CAQH CORE Gap Analysis Worksheet

Purpose: After the *Systems Inventory & Impact Assessment*, the next task is for entities to determine the level of system(s) remediation necessary for adopting the business requirements of the CAQH CORE Claim Status Operating Rules using the *CAQH CORE Gap Analysis Worksheet*. Each rule requirement in the *Gap Analysis Worksheet* includes a section reference to the corresponding operating rule for more detail.

NOTES:

- For more detail on rule requirements refer to the actual CAQH CORE Claim Status Operating Rule text which takes precedence over this worksheet.
- If your entity has identified more than one impacted system, you may need to complete a *Gap Analysis Worksheet* for each system.

Instructions:

1. The *Gap Analysis Worksheet* contains each CAQH CORE Claim Status Operating Rule Requirement in the first column by CAQH CORE Claim Status Operating Rule. In the second column, enter the system(s) impacted by the CAQH CORE Claim Status Operating Rule Requirement. If there is no system impacted by the requirement, enter N/A.
 - **NOTE:** The impacted system(s) may include an in-house developed system, a COTS system, or an outsourced solution from a third party.
2. In the third column, note if the system currently meets the CAQH CORE Claim Status Operating Rule Requirement or not.
3. In the fourth column, briefly describe any gap between the CAQH CORE Claim Status Operating Rule Requirement and the system under evaluation, if applicable. The high-level findings from the *Systems Inventory & Impact Assessment* will inform the input in this column.
4. In the fifth column, estimate the effort required to remediate the impacted system(s). This can include the type of skilled resource required, the number of such resources, and the potential hours required to fill the identified gap.
5. In the sixth column, identify and describe any impacted business process. These often include potential training and education of staff, clients, and other associates of the system's new capabilities.
6. In the seventh column, estimate and describe the effort required to revise the impacted business process. This can include the type of skilled resources required, the number of such resources, and the potential hours required to fill the gap identified.
7. The results of the completed *Gap Analysis Worksheet* will allow for the development of a detailed project plan (Task E of the Key Analysis & Planning Tasks in Section 3 of this document).

Key Takeaway: Understand the level of system(s) remediation necessary for adopting each CAQH CORE Claim Status Operating Rule.

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number of resources, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
<u>CAQH CORE Claim Status (276/227) Infrastructure Rule vCS2.0</u>							
<i>Connectivity Requirements (§4.1)</i>							
1	A HIPAA-covered entity must be able to support the most recent published and CAQH CORE adopted version of the CAQH CORE Connectivity Rule.						
<i>Batch Acknowledgements (§4.3.1, §4.3.2)</i>							
2	The receiver of a v5010 X12 276 or a v5010 X12 277 must always return a v5010 X12 999 implementation acknowledgement to indicate that the Functional Group was either accepted, accepted with errors, or rejected.						
3	The v5010 X12 999 must not be returned during the initial communications session in which the v5010 X12 276 batch is submitted.						
<i>Real-Time Acknowledgements (§4.2.1)</i>							
4	A v5010 X12 999 is returned only to indicate a v5010 X12 276 Functional Group (including the enclosed Transaction Set) error resulting in the rejection of the entire Functional Group. A v5010 X12 999 must not be returned if the v5010 X12 276 Functional Group and enclosed Transaction Set is not rejected.						
5	A v5010 X12 277 must always be returned for an Interchange, Functional Group and Transaction Set that complies with X12 v5010 276 requirements.						
<i>Companion Guide (§4.7.1)</i>							

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number of resources, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
6	All entities' Companion Guides covering the v5010 276/277 claim status inquiry and response transactions must follow the format/flow as defined in the CAQH CORE Master Companion Guide Template for HIPAA Transactions.						
7	This rule does not require any entity to modify any other existing companion guides that cover other HIPAA-adopted transaction implementation guides.						
<i>Batch Response Time (§4.5)</i>							
8	Maximum response time when processing in batch mode for the receipt of a v5010 X12 277 response to a v5010 X12 276 inquiry submitted by a provider or on a provider's behalf by a clearinghouse/switch by 9:00 pm Eastern time of a business day must be returned by 7:00 am Eastern time the following business day. A business day consists of the 24 hours commencing with 12:00 am (Midnight or 0000 hours) of each designated day through 11:59 pm (2359 hours) of that same designated day. The actual calendar day(s) constituting business days are defined by and at the discretion of each health plan or information source.						
9	v5010 X12 999 responses must be available to the submitter within one hour of receipt of the batch: to the provider in the case of a batch of v5010 X12 276 inquiries and to the health plan (or information source) in the case of a batch of v5010 X12 277 responses.						
10	Conformance with this maximum response time rule shall be considered achieved if 90 percent of						

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number of resources, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
	all required responses as specified in the CAQH CORE 276/277 Claims Status Rule Batch Acknowledgement are returned within the specified maximum response time as measured within a calendar month.						
11	Each entity must demonstrate its conformance with this maximum response time rule by demonstrating its ability to capture, log, audit, match and report the date (YYYYMMDD), time (HHMMSS) and control numbers from its own internal systems and the corresponding data received from its trading partners.						
<i>Real Time Response Time (§ 4.4)</i>							
12	Maximum response time when processing in real time mode for the receipt of a v5010 X12 277 (or in the case of an error, a v5010 X12 999 response from the time of submission of a v5010 X12 276 inquiry must be 20 seconds (or less). v5010 X12 999 response rejections must be returned within the same response timeframe.						
13	Conformance with this maximum response time rule shall be considered achieved if 90 percent of all required responses are returned within the specified maximum response time as measured within a calendar month.						
14	Each entity must demonstrate its conformance with this maximum response time rule by demonstrating its ability to capture, log, audit, match, and report the date (YYYYMMDD), time (HHMMSS) and control numbers from its own internal systems and						

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number of resources, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
	the corresponding data received from its trading partners.						
<i>System Availability: System Requirement (§4.6.1)</i>							
15	System availability must be no less than 90 percent per calendar week for both real-time and batch processing modes. This will allow for health plan (or other information source), clearinghouse/switch, or other intermediary system updates to take place within a maximum of 17 hours per calendar week for regularly scheduled downtime.						
<i>System Availability: Reporting Requirements (§4.6.2.1, §4.6.2.2, §4.6.2.3)</i>							
16	Scheduled Downtime: Health plans (or information sources), clearinghouses/switches, or other intermediaries must publish their regularly scheduled system downtime in an appropriate manner (e.g., on websites or in companion guides) such that the healthcare provider can determine the health plan's system availability so that staffing levels can be effectively managed.						
17	Non-Routine Downtime: For non-routine downtime (e.g., system upgrade), an information source must publish the schedule of non-routine downtime at least one week in advance.						
18	Unscheduled Downtime: For unscheduled/emergency downtime (e.g., system crash), an information source will be required to provide information within one hour of realizing downtime will be needed.						
<i>System Availability: Other Requirements (§4.6.2.4, 4.6.2.5)</i>							

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number of resources, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
19	No response is required during scheduled downtime(s).						
20	Each health plan (or other information source), clearinghouse/switch, or other intermediary will establish its own holiday schedule and publish it in accordance with the rule above.						

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Rule Req. #	CAQH CORE Operating Rule Requirement	System Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet-if no impact enter N/A)</i>	System Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System Remediation Effort <i>(Required number, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/ Documentation Revisions Required & Effort Estimates
<u>CAQH CORE Connectivity Rule vC2.2.0</u>							
<i>Requires a Health Plan and Health Plan Vendor to implement a server and to: (§4.1.1, §4.2, §4.3, §4.3.5.1, §4.3.5.2, §4.3.7, §6.3.1, §6.3.2)</i>							
1	Implement Server capability to support both Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						
2	Implement Server capability to support both Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						
3	Implement Server capability and enforce one of two specified Submitter Authentication Standards for both Real Time and/or Batch.						
4	Have a capacity plan such that it can receive and process a large number of single concurrent real-time transactions via an equivalent number of concurrent connections.						
5	Have the capability to receive and process large Batch transaction files if Batch is supported.						
6	Publish detailed specifications in a Connectivity Companion Guide on its public web site as required by the appropriate Companion Guide.						
<i>If a Health Plan and Health Plan Vendor elects to optionally implement a client, it is required to: (§4.1.1, §4.2, §6.3.1, §6.3.2)</i>							
7	Implement Client capability to support one of two Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						
8	Implement Client capability to support Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						

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9	Implement Client capability to support Submitter Authentication Standards for both Real Time and/or Batch.						
<i>Requires a Clearinghouse and Other Intermediaries to implement a server and to: (§4.1.1, §4.2, §4.3.5.1, §4.3.5.2, §4.3.7, §6.3.1)</i>							
10	Implement Server capability to support both Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						
11	Implement Server capability to support both Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						
12	Implement Server capability and enforce one of two specified Submitter Authentication Standards for both Real Time and/or Batch.						
13	Have a capacity plan such that it can receive and process a large number of single concurrent real-time transactions via an equivalent number of concurrent connections.						
14	Have the capability to receive and process large batch transaction files if batch is supported.						
15	Publish detailed specifications in a Connectivity Companion Guide on its public web site as required by the appropriate Companion Guide.						
<i>Requires a Clearinghouse and Other Intermediaries to implement a client and to: (§4.1.2, §4.2, §6.3.1, §6.3.2)</i>							
16	Implement Client capability to support one of two Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						

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17	Implement Client capability to support one of two Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						
18	Implement Client capability to support both specified Submitter Authentication Standards for both Real Time and/or Batch.						
<i>Requires a Provider and Provider Vendor to implement a client and to: (§4.1.2, §4.2, §6.3.1)</i>							
19	Implement Client capability to support one of two Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						
20	Implement Client capability to support one of two Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						
21	Implement Client capability to support both specified Submitter Authentication Standards for both Real Time and/or Batch.						
<i>If a Provider and Provider Vendor elects to optionally implement a server, it is required to: (§4.1.3, §4.2, §6.3.1)</i>							
22	Implement Server capability to support both Message Envelope Standards and Message Exchanges specified in the rule for Real Time.						
23	Implement Server capability to support one of two Message Envelope Standards and Message Exchanges specified for Batch if Batch is offered.						
24	Implement Server capability and enforce one of two specified Submitter Authentication Standards for both Real Time and/or Batch.						
<i>Requires all Message Receivers to: (§4.3.4.1)</i>							

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25	Track the times of any received inbound messages.						
26	Respond with the outbound message for the received inbound message.						
27	Include the date and time the message was sent in HTTP+MIME or SOAP+WSDL Message Header tags.						
<i>Specifies: (§4.2.1 §4.2.1.8, §4.2.2, §4.2.2.1, §4.2.2.2, §4.2.2.1.1, §4.3.1, §4.3.2, §4.3.3, §4.4)</i>							
28	Message Enveloping specifications for HTTP MIME Multipart (Envelope Standard A).						
29	HTTP MIME Multipart Payload attachment handling.						
30	Message Enveloping specifications for SOAP+WSDL (Envelope Standard B).						
31	XML Schema specification for SOAP.						
32	Web Services Definition Language (WSDL) specification.						
33	SOAP Payload attachment handling.						
34	Request and response handling for real time, batch, and batch response pickup.						
35	Submitter authentication and authorization handling.						
36	Error handling for both Envelope Messaging Standards.						
37	Envelope metadata fields, including descriptions, intended use syntax and value-sets applicable to both Enveloping Messaging Standards.						

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<u>CAQH CORE SOAP Connectivity Rule vC4.0.0</u>							
<i>Message Envelope Requirement (§4.1)</i>							
1	Requires the use of SOAP+WSDL.						
<i>Submitter Authentication Requirement (§4.1.1)</i>							
2	Requires the use of X.509 Client Authentication (mutual authentication) over TLS 1.2 or higher.						
<i>Submitter Authorization Requirements (§4.1.2)</i>							
3	Requires support for OAuth 2.0 Client Authorization over TLS 1.2 or higher.						
<i>Real Time and Batch Payload Attachment Handling (§4.1.4)</i>							
4	Payload must be sent as an MTOM encapsulated object.						
<i>Required Transport Method (§4.2.1)</i>							
5	HIPAA-covered entities or their agents must implement HTTP/S Version 1.1 over the public internet.						
6	Receivers must perform the role of an HTTP/S server; Senders must perform the role of an HTTP/S client.						
7	All information exchanged between the client and server is encrypted by a session-level private key negotiated at connection time.						
<i>Real Time Requests (§4.2.3)</i>							
8	Real Time requests must include a single inquiry or submission as specified in the transaction's corresponding CAQH CORE Infrastructure Rule.						
<i>Batch Submission (§4.2.4)</i>							

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9	Batch requests are sent in the same way as Real Time requests.						
10	Response must be only the standard HTTP message indicating whether the request was accepted or rejected.						
11	Message receivers must not respond to a batch submission with an ASC X12 response such as a 5010 X12 999 in the HTTP response to the batch request, even if their systems' capabilities allow such a response.						
12	All X12 responses must be available for pick up by the message sender (client) in accordance with the respective CAQH CORE Infrastructure Rule for the transaction.						
<i>Batch Response Pickup (§4.2.5)</i>							
13	Batch responses must be picked up after the message receiver has had a chance to process a Batch submission in the timeframes specified in the transaction's corresponding CAQH CORE Infrastructure Rule.						
<i>Error Handling (§4.2.6)</i>							
14	The appropriate HTTP error or status codes and SOAP Faults as applicable to the error/status situation must be used.						
<i>Tracking of Date and Time and Payload ID (§4.2.8)</i>							
15	Servers are required to track the times of any received inbound messages, and respond with the outbound message for that Payload ID.						

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16	Clients must include the date and time the message was sent in the CORE metadata element Time Stamp.						
<i>Capacity Plan (§4.2.9.1, §4.2.9.2)</i>							
17	A HIPAA-covered entity or its agent's messaging system must have a capacity plan such that it can receive and process a large number of single concurrent Real Time transactions via an equivalent number of concurrent connections which must be received, processed, and the appropriate response provided within response time requirements specified in the transaction's corresponding CAQH CORE Operating Rule.						
18	A HIPAA-covered entity or its agent's messaging system must have the capability to receive and process large Batch transaction files which must be received, processed, and the appropriate response provided within the time specified in the applicable CAQH CORE Operating Rule.						
<i>Response Time, Time Out Parameters, and Re-transmission (§4.2.10)</i>							
19	If the HTTP Post Reply Message is not received within the 60 second response period, the client system should send a duplicate transaction no sooner than 90 seconds after the original attempt was sent.						
20	Client system should submit no more than 5 duplicate transactions within the next 15 minutes if no response is received after the second attempt.						
21	If the additional attempts result in the same timeout termination, the client system should notify the						

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	submitter to contact the receiver directly to determine if system availability problems exist or if there are known internet traffic constraints causing the delay.						
<i>Publication of Entity-Specific Connectivity Companion Document (§4.3)</i>							
22	Servers must publish detailed specifications in a Connectivity Companion Document on the entity's public web site.						
<i>Envelope Metadata (§4.4.2)</i>							
23	The Envelope Metadata specified in Table 4.4.2 pertains to the Message Envelope SOAP+WSDL. With the exception of <i>ErrorCode</i> and <i>ErrorMessage</i> fields, which are only sent in the response, the CAQH CORE required envelope metadata for the request and response are required to be identical.						
<i>Processing Mode (§4.4.3.1)</i>							
24	A HIPAA-covered entity or its agent must support the transaction processing mode requirements specified in the <i>COREProcessingModePayloadTypeTables.docx</i> companion document when exchanging transactions in conformance with this CAQH CORE Connectivity Rule vC4.0.0.						
25	The Processing Mode requirements specified also apply when a HIPAA-covered entity or its agent are exchanging the transactions addressed by this rule using any other connectivity method as permitted by the CAQH CORE Safe Harbor.						
<i>Enumeration of Payload Type Fields (§4.4.3.2)</i>							

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26	A HIPAA-covered entity or its agent must support the requirements for identifying the Payload (<i>PayloadType</i>) carried within the content of the Message Envelope as specified in the <i>COREProcessingModePayloadTypeTables.docx</i> companion document to this CAQH CORE Connectivity Rule v4.0.0.						
<u>CAQH CORE REST Connectivity Rule vC4.0.0</u>							
<i>API Interface Format Requirement (§5.1.1)</i>							
1	HIPAA-covered entities and their agent must use JavaScript Object Notation (JSON) for REST Interfaces.						
<i>Authentication Requirement (§5.1.2)</i>							
2	Requires the use of X.509 Client Authentication (mutual authentication) over TLS 1.2 or higher.						
<i>Submitter Authorization Requirements (§4.1.2)</i>							
3	Requires support for OAuth 2.0 Client Authorization over TLS 1.2 or higher.						
<i>Transport Method (§5.2.1)</i>							
4	HIPAA-covered entities and their agents must be able to implement HTTP/S Version 1.1 over the public internet.						
<i>Request and Response Handling (§5.2.2)</i>							
5	Request and response handling for both Synchronous Real-time and Asynchronous Batch Process.						

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	<i>Error Handling (§5.2.6)</i>						
6	Message receiver must notify the message sender if the request was successfully handled during the processing of HTTP headers and processing of the Payload.						
	<i>Tracking of Date and Time and Payload (§5.2.8)</i>						
7	Servers are required to track the times of any received inbound messages and respond with the outbound message for that Payload.						
8	Clients must include the date and time the message was last modified.						
	<i>Capacity Plan (§5.2.9., §5.2.11)</i>						
9	A HIPAA-covered entity or its agent's messaging system must have a capacity plan such that it can receive and process a large number of single concurrent Synchronous Real Time transactions via an equivalent number of concurrent connections which must be received, processed, and the appropriate response provided within response time requirements specified in the transaction's corresponding CAQH CORE Operating Rule.						
10	A HIPAA-covered entity or its agent's messaging system must have the capability to receive and process large Batch transaction files which must be received, processed, and the appropriate response provided within the time specified in the applicable CAQH CORE Operating Rule.						

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<i>Specifications for REST API Uniform Resource Identifiers (URI) Paths (§5.3.1, §5.3.2)</i>							
11	Servers are required to communicate the version of the CAQH CORE Connectivity Rule implemented and version of the REST API through the URI Path, per Table 5.3.1.						
12	Requires entities to use standard naming conventions for REST API endpoints to streamline and support uniform REST implementations.						
<i>REST HTTP Request Method Requirements (§5.4)</i>							
13	Requires entities to use of HTTP Methods listed in Table 5.4 to indicate the desired action to be performed for a given resource.						
<i>REST HTTP Metadata, Descriptions, Intended Use and Values (§5.5)</i>							
14	Entities are required to use the metadata specified in Table 5.5 for HTTP Requests and HTTP Responses for REST Exchanges.						
<i>Publication of Entity-Specific Connectivity Companion Document (§5.7)</i>							
15	Servers must publish detailed specifications in a Connectivity Companion Document on the entity's website.						