



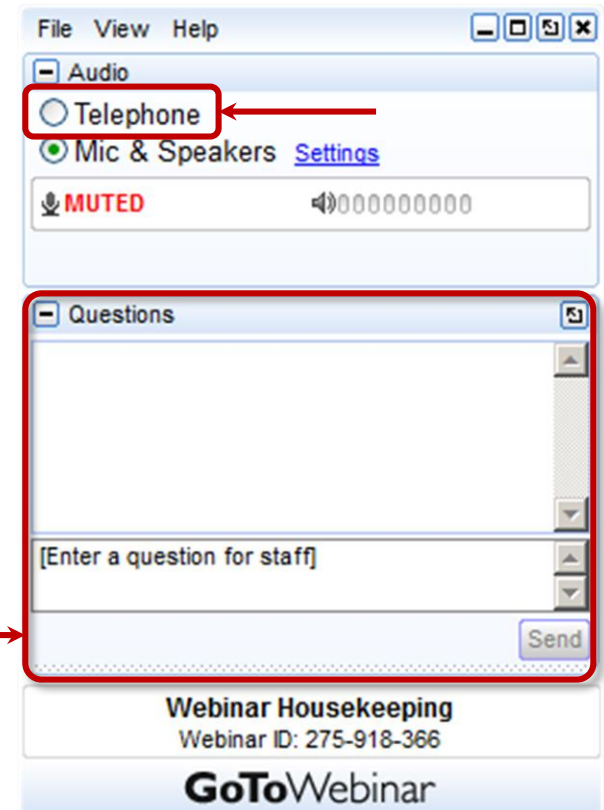
# New Phase IV CAQH CORE Operating Rules

Thursday,  
December 10<sup>th</sup>, 2015  
2:00-3:00pm ET

# Logistics – *How to Participate in Today's Session*

- Download a copy of today's presentation on the [CAQH.org website](http://CAQH.org)
  - Navigate to the CORE Education Events page and access a pdf version of today's presentation under the list for today's event
- The phones will be muted upon entry and during the presentation portion of the session
- At any time throughout the session, you may communicate a question via the web

- Questions can be submitted **at any time** with the **Questions panel on the right side of the GoToWebinar desktop**



# Session Outline

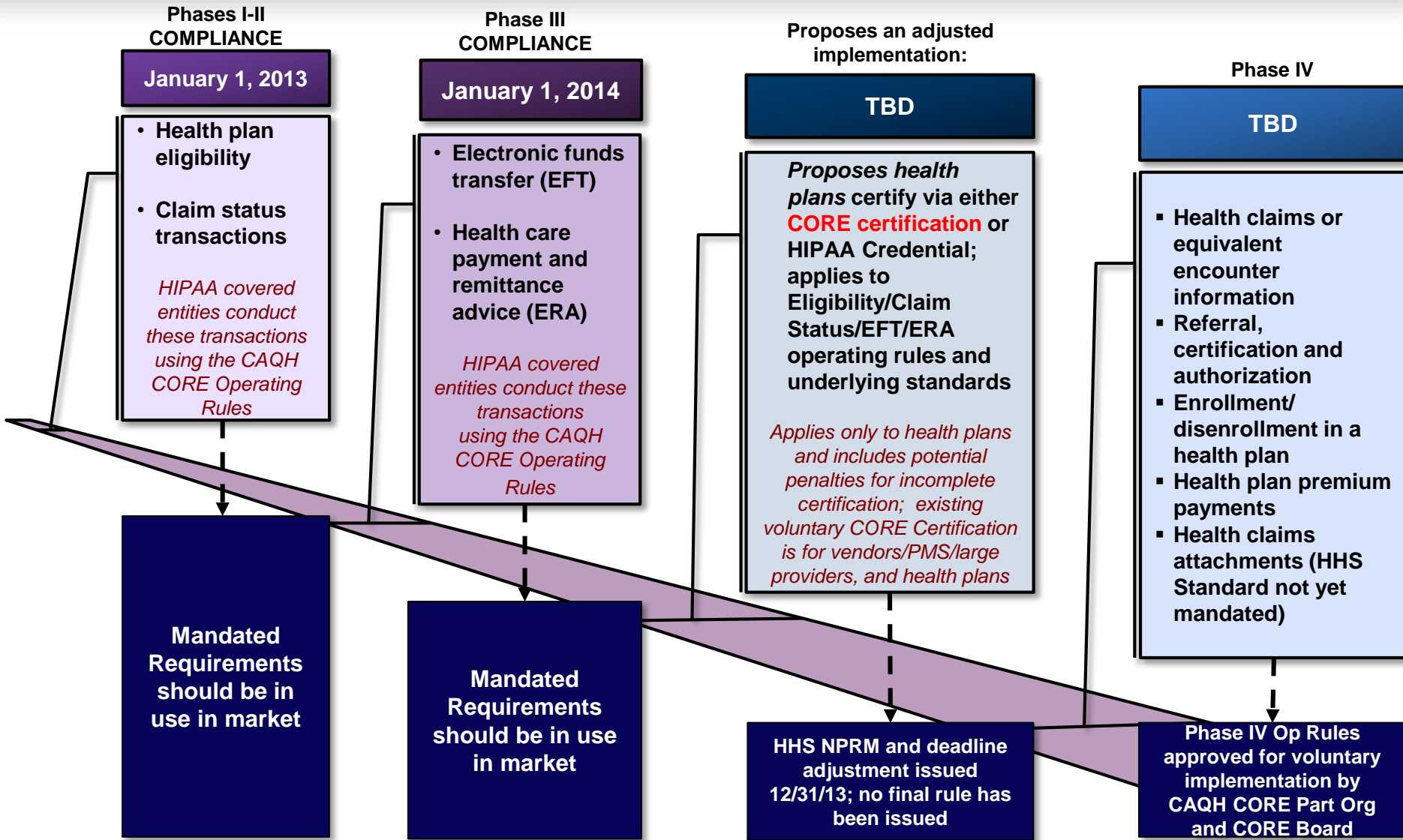
1. Welcome and Introduction
2. Status of Phase IV CAQH CORE Operating Rules
3. Scope of the Phase IV CAQH CORE Operating Rules
4. Phase IV CAQH CORE Connectivity Rule
5. Phase IV CORE Certification
6. Resources and Additional Information
7. Q & A

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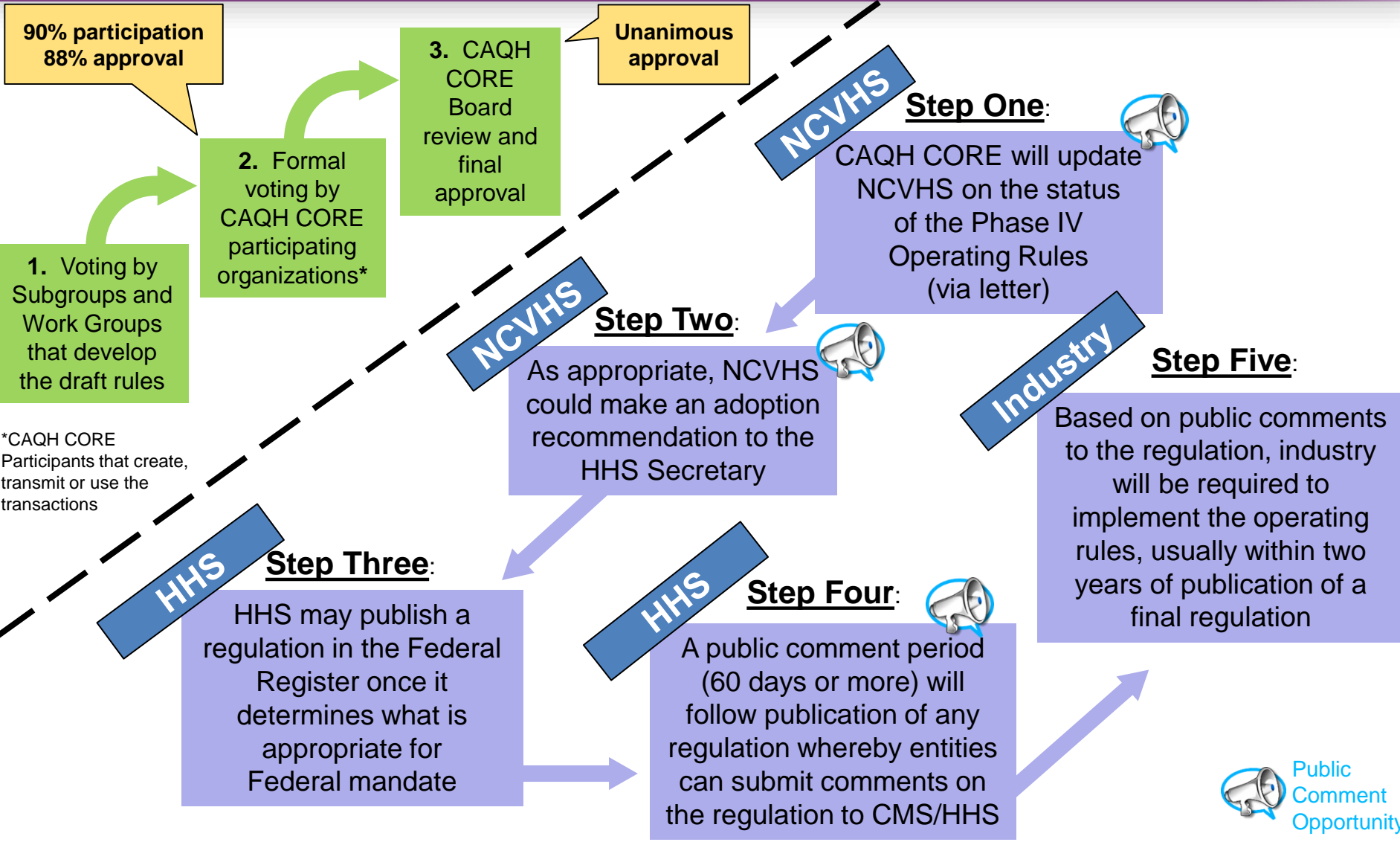
# Update on Phase IV CAQH CORE Operating Rules

**Erin Richter Weber**  
Senior Manager

# ACA Mandated Operating Rules and Certification Compliance Dates



# Phase IV CAQH CORE Voting Process and Next Steps



\*CAQH CORE Participants that create, transmit or use the transactions



# Complete Set of Phase IV CAQH CORE Operating Rules

The Phase IV CAQH CORE Operating Rule set includes four infrastructure rules for each of the transactions and a connectivity rule.

Phase IV CAQH CORE  
450 Health Care Claim  
(837) Infrastructure Rule  
v4.0.0

Phase IV CAQH CORE  
452 Health Care Services  
Review – Request for  
Review and Response  
(278) Infrastructure Rule  
v4.0.0

Phase IV CAQH CORE  
454 Benefit Enrollment and  
Maintenance (834)  
Infrastructure Rule v4.0.0

Phase IV CAQH CORE  
456 Premium Payment  
(820) Infrastructure Rule  
v4.0.0

Phase IV CAQH CORE  
470 Connectivity Rule  
v4.0.0

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# Scope of the Phase IV CAQH CORE Operating Rules

**Robert Bowman**  
Senior Manager



# Scope of Phase IV CAQH CORE Rule Requirements

Reminder: Health Claims Attachments transaction not included; there is no formal HIPAA Health Claims Attachments standard(s).

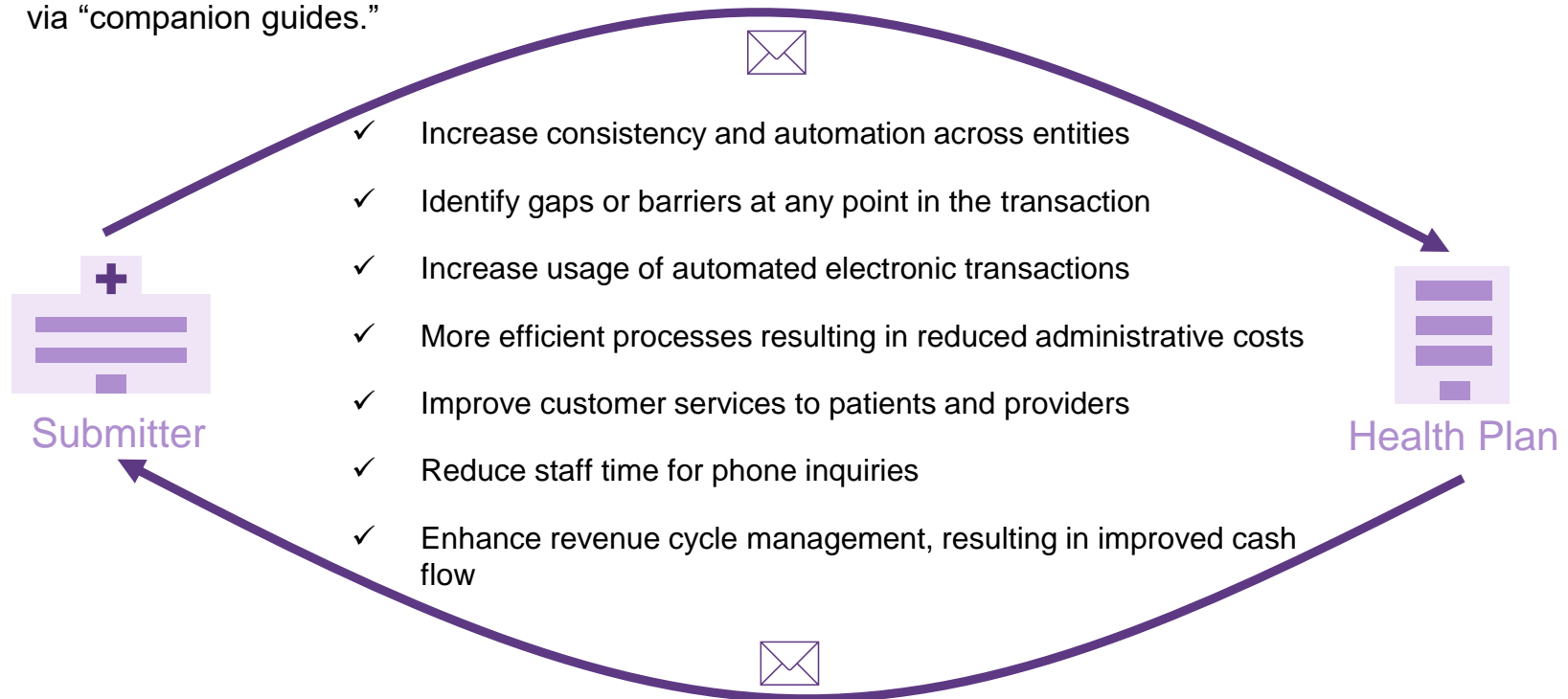
Infrastructure Requirement	Prior Authorization	Claims	Enrollment/ Disenrollment	Premium Payment
Processing Mode	<i>Batch OR Real Time Required</i>	<i>Batch Required; Real Time Optional</i>	<i>Batch Required; Real Time Optional</i>	<i>Batch Required; Real Time Optional</i>
Batch Processing Mode Response Time	<i>If Batch Offered</i>	<b>X</b>	<b>X</b>	<b>X</b>
Batch Acknowledgements	<i>If Batch Offered</i>	<b>X</b>	<b>X</b>	<b>X</b>
Real Time Processing Mode Response Time	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>
Real Time Acknowledgements	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>	<i>If Real Time Offered</i>
Safe Harbor Connectivity and Security	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
System Availability	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
Companion Guide Template	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
Other	N/A	Include guidance for COB in companion guide	Timeframe requirements to process data after successful receipt and verification of transaction	Timeframe requirements to process data after successful receipt and verification of transaction

**X = Required**

# Impact of Phase IV CAQH CORE Operating Rules

*Rules address four HIPAA transactions including Claims, Prior Authorization, Enrollment, & Premium Payment*

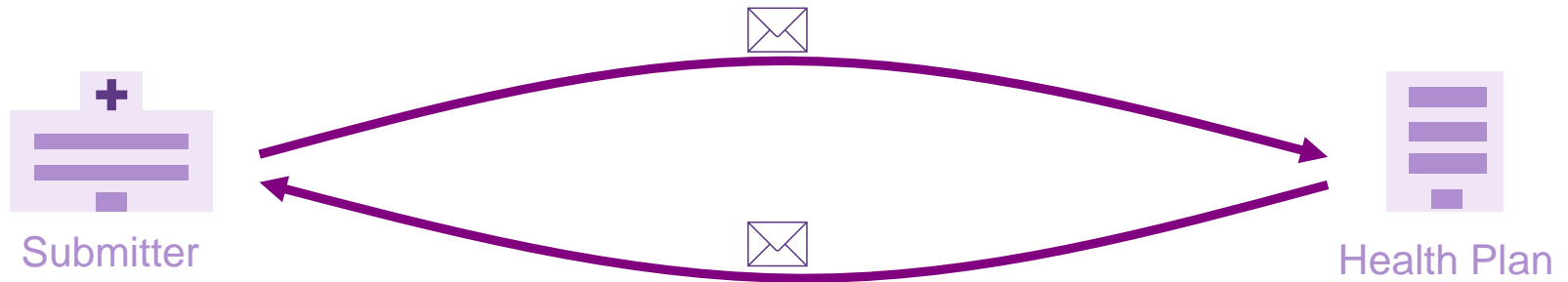
- Offering at least one common method of **connectivity** (i.e., a “safe harbor”) among entities transmitting data electronically.
- A minimal amount of time for **system availability** to receive and send data.
- An **acknowledgement** to ensure the transaction has been received, has not been lost between entities, and will be addressed.
- Required **response times** for acknowledgement and processing for both real-time and large record “batch” submissions.
- A common format that entities must use when providing information about their proprietary data exchange systems via “companion guides.”



# Batch Processing Mode Response Time Requirements

Batch Processing Mode Response Time requirements specify the overall length of elapsed time from when a transaction is sent to a health plan and when the acknowledgement(s) or response to the transaction is available for pick up (retrieval) by the sender.

- 1 Sent by 9 pm ET on a business day



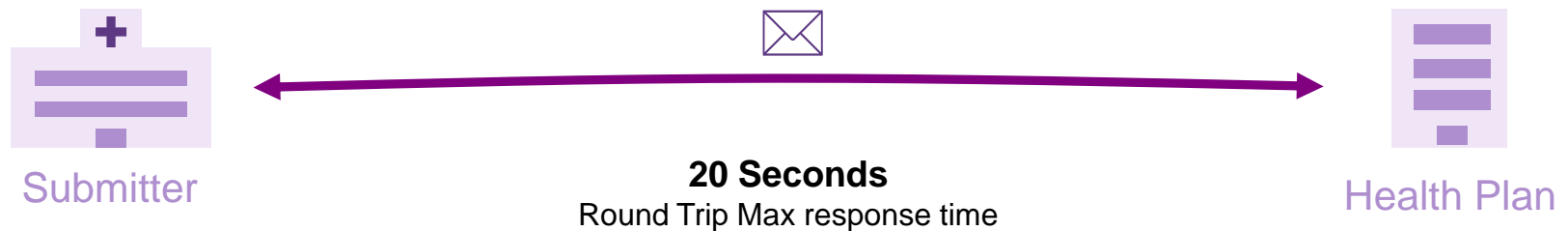
- 2 Available by 7 am ET within specified # of business days

Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
Batch Processing Mode Response Time	X	X	X	X

# Real Time Processing Mode Response Time Requirements

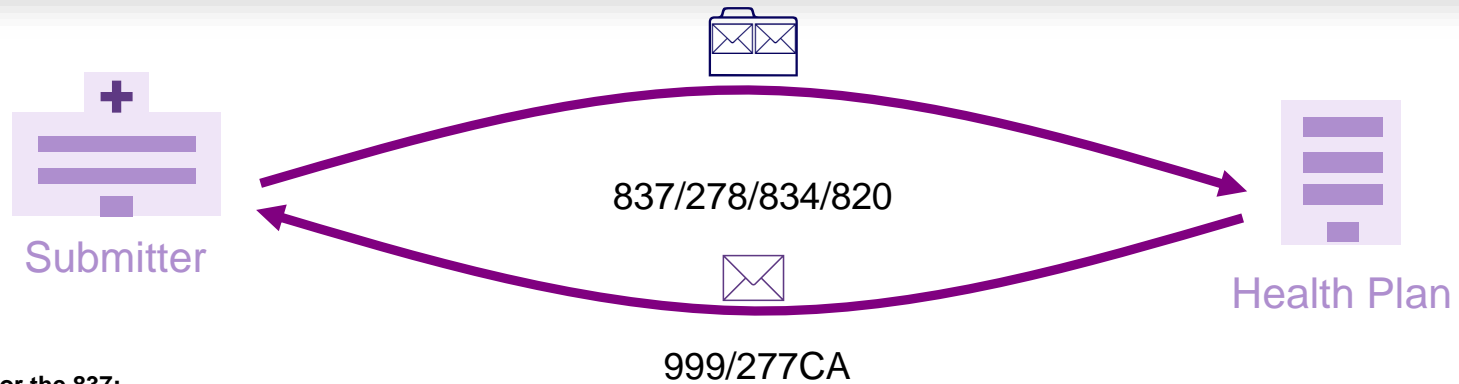
Real Time Processing Mode Response Time requirements specify the overall length of elapsed time from when a provider/health plan purchaser (sender) sends a transaction to a health plan and the related response transaction is received by the sender.



## Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
Real Time Processing Mode Response Time	If Real Time Offered	If Real Time Offered	If Real Time Offered	If Real Time Offered

# Batch Acknowledgement Requirements



## Requirements for the 837:

- A health plan must return an ASC X12C v5010 999 for each Functional Group of any ASC X12N v5010 837 Transaction Set to indicate that the Functional Group was either accepted, accepted with errors, or rejected and to specify for each included ASC X12N v5010 837 Transaction Set that the Transaction Set was either accepted, accepted with errors, or rejected
- A health plan must acknowledge each claim received in any institutional, professional, or dental ASC X12N v5010 837 Transaction Set using the ASC X12N v5010 277CA unless previous processing resulted in a rejection of the Interchange or a Transaction Set in a Functional Group

## Requirements for the 278:

- An entity must return an ASC X12C v5010 999 for each Functional Group of ASC X12N v5010 278 Request or Response transactions to indicate that the Functional Group(s) was either accepted, accepted with errors, or rejected to specify for each included ASC X12N v5010 278 Request or Response transaction set that the transaction set was either accepted, accepted with errors, or rejected

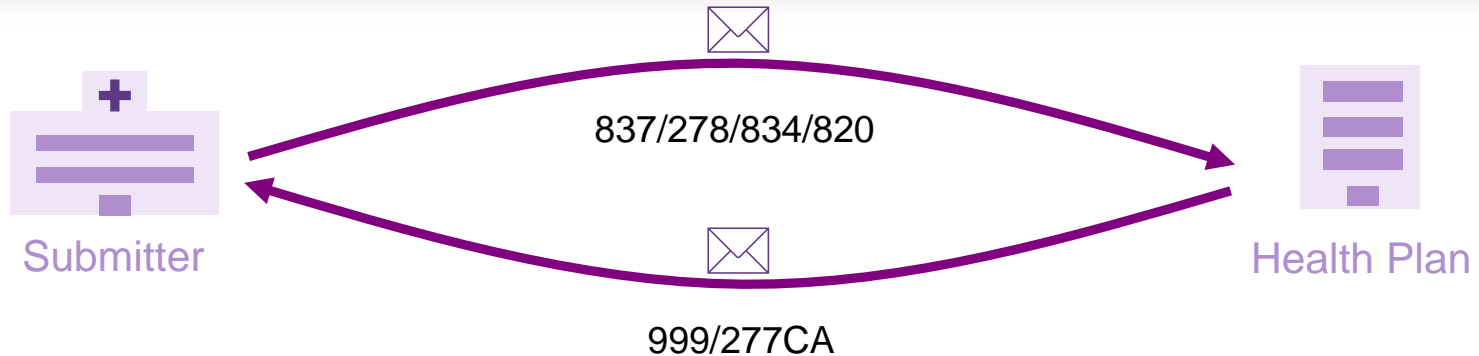
## Requirements for the 834 & 820:

- A health plan must return an ASC X12C v5010 999 for any Functional Group of any ASC X12N v5010 834 Benefit Enrollment & Maintenance Transaction Set or 820 Health Plan Premium Payment & Remittance Advice Transaction Set to indicate if the Functional Group is accepted, accepted with errors, or rejected

## Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
Batch Acknowledgement	X	If Batch Offered	X	X

# Real Time Acknowledgement Requirements



When a claim is submitted in real time processing mode without adjudication a health plan

- must return an ASC X12C v5010 999 only when the Functional Group is rejected
- must return an ASC X12N v5010 277CA only when the Functional Group is accepted or accepted with errors

A health plan must return one response to an ASC X12N v5010 278 request: either an ASC X12C v5010 999 rejection or an ASC X12N v5010 278 response

A health plan must return an ASC X12C v5010 999 for any Functional Group of any ASC X12N v5010

- 834 Benefit Enrollment & Maintenance Transaction Set, or
- 820 Health Plan Premium Payment & Remittance Advice Transaction Set

To indicate if the Functional Group is accepted, accepted with errors, or rejected

## Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
Real Time Acknowledgement	If Real Time Offered	If Real Time Offered	If Real Time Offered	If Real Time Offered

# Safe Harbor Connectivity & Security Requirements

## Connectivity

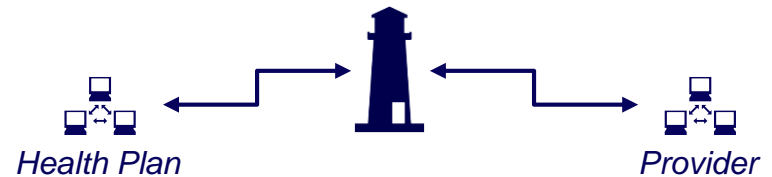
HTTP 1.1



### Other key rule requirements:

- Rule applicable to HIPAA mandated ASC X12N v5010 837, 278, 834, 820 transactions
- Transport Layer Security (SSL minimum/TLS instead of SSL when required by HIPAA covered entity's security policy)
- Single Message Envelope Standard (SOAP v1.2)
- Single Submitter Authentication Method (X.509)
- Normative Message Envelope Metadata
- Standard CORE-specified Schema (.xsd)
- Standard CORE-specified Web Services Description Language (.wsdl)
- Transaction Specific Required/Optional Processing Modes
- Standard Payload Type Identifiers for each transaction for each processing mode
- Process for maintaining Processing Mode and Payload Type Identifiers

## Safe Harbor

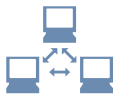


**Enables trading partners to use different communications and security methods than what is specified in rule:**

- HIPAA covered entities must support CORE rule requirements for real time and batch processing modes
- Can offer other communications and security methods
- Does not require trading partners to deimplement any existing connectivity methods not compliant with CORE rule

# System Availability Requirements

The System Availability requirements establish the amount of time a system must be available to process the specified transactions:



Minimum of **86 percent system availability** (per calendar week)



Provide **one week** advance notice on non-routine downtime



Publish regularly scheduled **downtime**



Provide information within **one hour** of emergency downtime

Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
System Availability	X	X	X	X



# Companion Guide Requirements

When an entity publishes a Companion Guide, the CAQH CORE Companion Guide requirements establish the format and flow of Companion Guides



## CORE v5010 Master Companion Guide Template

### Format & Flow Specified in Template

- Introduction
- Getting Started
- Testing with the Payer
- Connectivity with Payer/Communications
- Contact Information
- Control Segment/Envelopes
- Payer Specific Business Rules and Limitations
- Acknowledgements and/or Reports
- Trading Partner Agreements
- Transaction Specific Information

### Applicability of Requirements

Infrastructure Requirement	X12N v5010 837	X12N v5010 278	X12N v5010 834	X12N v5010 820
Companion Guide	X	X	X	X

# Polling Question #1: Phase IV CAQH CORE Operating Rules

Please indicate whether your organization intends to voluntarily implement the Phase IV CAQH CORE Operating Rules:

1. Yes, we plan on implementing all of them
2. Yes, we plan on implementing some of them
3. Need to learn more
4. Not at this time

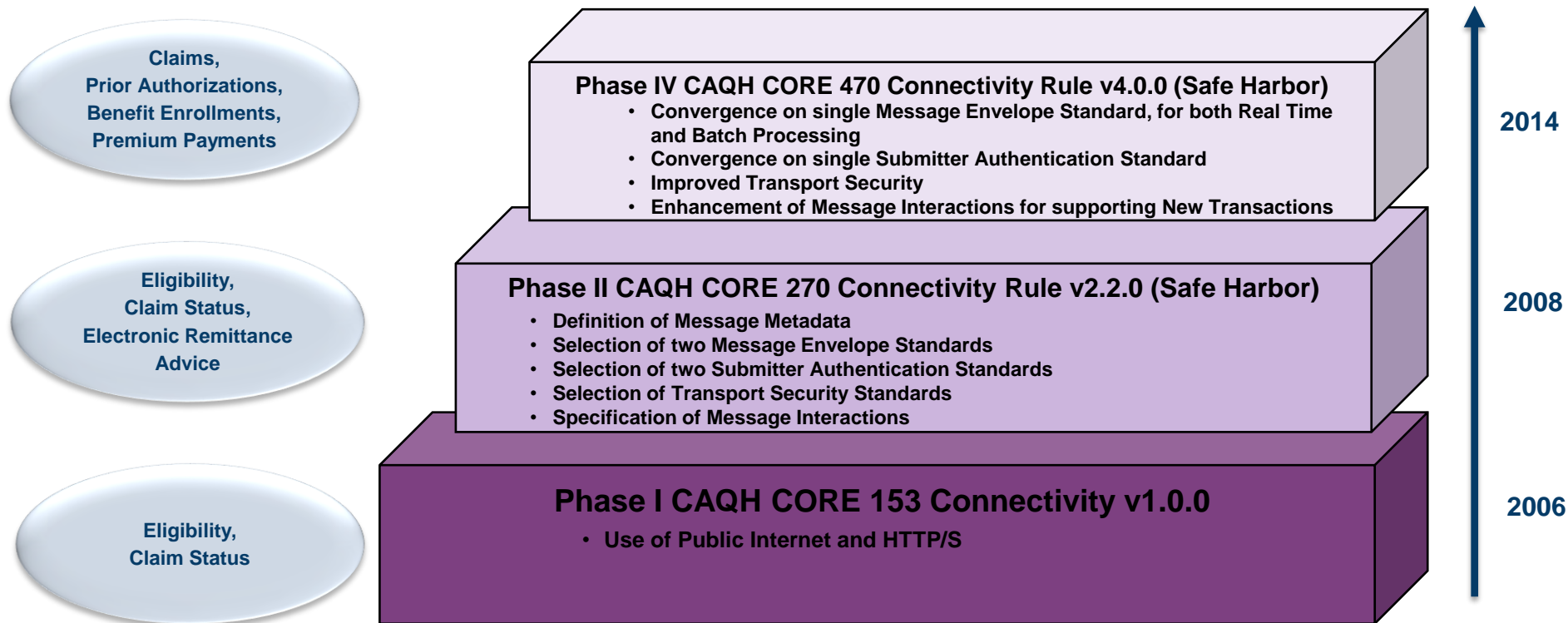
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# Phase IV CAQH CORE Connectivity Rule

**Robert Bowman**  
Senior Manager

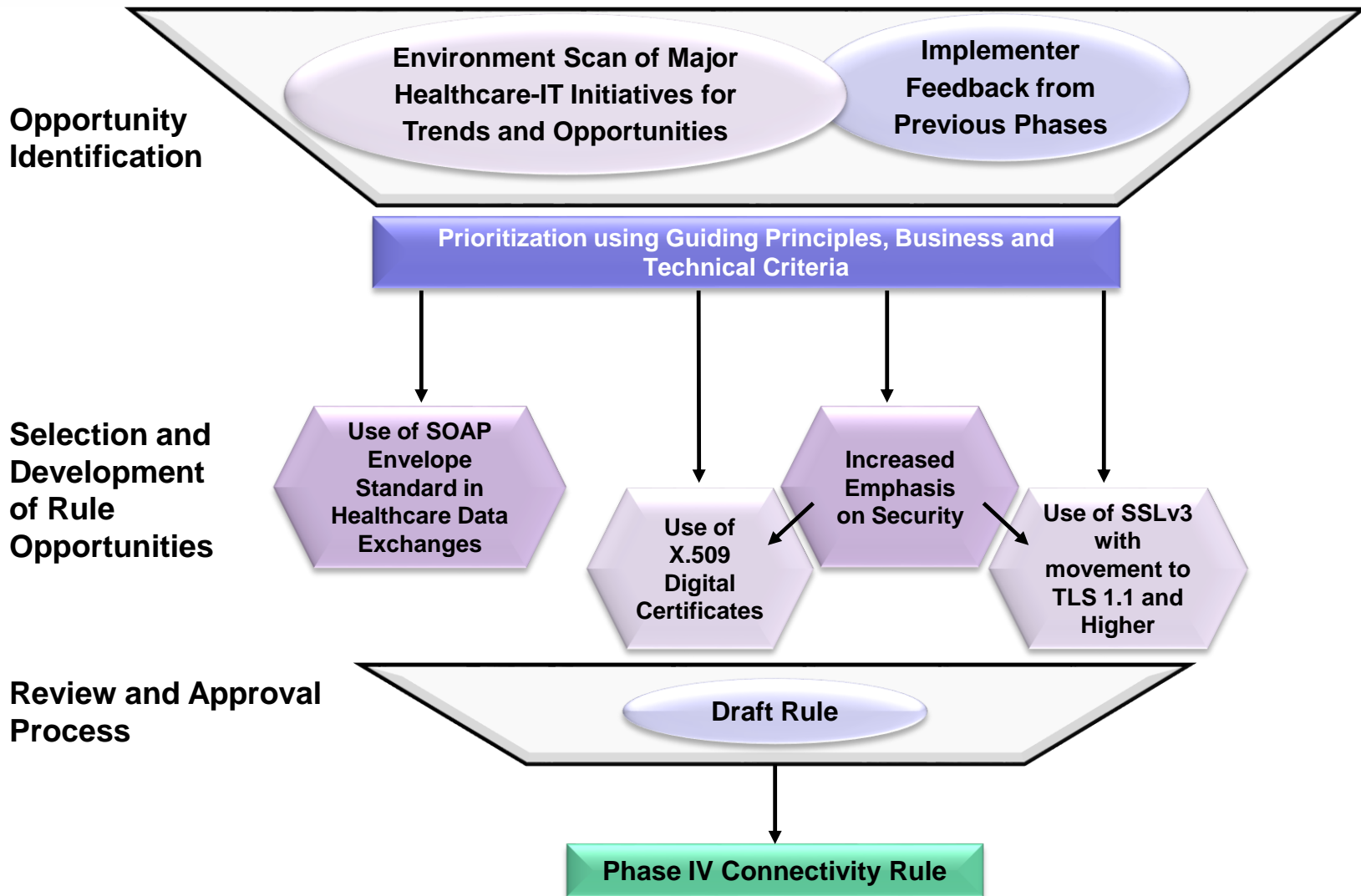
# CAQH CORE Connectivity Rules Phases & Applicability to X12 Transactions

## Each Phase Builds on Previous Phases



- In addition, in April 2013 CMS announces the Administrative Simplification: Adoption of Operating Rules for Health Care Electronic Funds Transfers (EFT) and Remittance Advice Transactions Interim Final Rule ([CMS-0028-IFC](#)) should be considered the Final Rule, with a compliance date of January 1, 2014.
- The Phase III CAQH CORE Operating Rules include requirements to support the Phase II CAQH CORE 270 Connectivity Rule v2.2.0 for the v5010 835.

# CAQH CORE Phase IV Connectivity Rule Development Process



# Phase IV CAQH CORE 470 Connectivity Rule v4.0.0

## Key Features

### Technical Improvements

Address Implementer Feedback to Improve Clarity

Increased Transport Security

Separate Payload and Processing Mode Document for Easier Maintenance

Simplified Interoperability  
(Convergence to Single Envelope and Authentication Standard)

Additional Message Interactions for Conducting New Transactions

### Transaction Support

Added Support for Premium Payments, Claims, Prior Authorizations and Benefit Enrollments

CORE Safe Harbor Allows Entities to Implement Phase IV Connectivity for Eligibility, Claim Status, and Remittance Advice; Same Connectivity Used for All Transactions

# CAQH CORE Connectivity Rule Features: Detailed View & Comparison of Phases

## Phase II CORE Connectivity Rule Mandated under ACA

Payload(s)	X12 Administrative Transactions NCPDP, HL7 V2.x or V3 Messages Other
Submitter (Client) Authentication	Username/Password (WS-Security Token) x.509 Digital Certificate
Message Interactions	Real Time and Batch Interactions
Message Envelope Metadata	CORE Specified Message Envelop Metadata
Message Envelope(s)	MIME Multipart SOAP + WSDL
Communications Channel Security	Secure Sockets Layer - (SSL)
Transport Layer	HTTP over TCP
Network	Public Internet

## Phase IV CORE Connectivity Rule

X12 Administrative Transactions NCPDP, HL7 V2.x or V3 Messages Other	
x.509 Digital Certificate over SSL TLS	★
Real Time, Batch, Generic Push and Pull Interactions	★
CORE Specified Message Envelop Metadata	
SOAP + WSDL	★
Secure Sockets Layer (SSLv3.0 with optional use of TLS1.1 or higher. Entities needing higher security can use TLS1.1 in lieu of SSLv3.0)	★
HTTP over TCP	
Public Internet	

★ = Revised from Phase II

# Polling Question #2:

## Phase IV Implementation

**Which of the following would you consider to be the biggest challenge to your organization's implementation of the Phase IV CAQH CORE Operating Rules:**

1. Not applicable
2. Fully understanding my organization's role and/or responsibility in the implementation process
3. Need to learn more to fully understand the Phase IV CAQH CORE Operating Rules
4. Overcoming resource constraints (i.e. time, staff, internal expertise)
5. No major challenges - we plan on implementing all/some of the Phase IV CAQH CORE Operating Rules



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# Phase IV CORE Certification

**Matthew Albright**  
Senior Manager

# Phase IV CORE Certification



**Phase IV CORE Certification** will be offered in late summer, 2016

**Certification Test Suites** list the specific tests (test scripts) that an entity or a product must pass in order to demonstrate conformance with the Phase IV CAQH CORE Operating Rules. CORE-authorized Testing Vendor, Edifecs, is currently building a platform that implements and automates the Certification Test Suite and the required test scripts.

The Phase IV CAQH CORE Certification Test Suite was developed and **approved** by CAQH CORE Participating Organizations as part of the Phase IV CAQH CORE Operating Rule development and voting process.

# Phase IV CORE Certification

As in previous Phases, health plans, clearinghouses, providers, and vendor products or solutions **can become CORE-certified for Phase IV**

If you're a health plan, clearinghouse, or provider, or if you have a product or solution that helps those entities conduct transactions, come join us **IN EARLY SPRING as a Beta Tester** for Phase IV CORE Certification... and get CORE Certified in the process

**Be the first** of your competitors to be CORE-certified in the Phase IV CAQH CORE Operating Rules in late summer 2016!

**Contact** [CORE@CAQH.org](mailto:CORE@CAQH.org) if you're interested, or if you have further questions about CORE Certification

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# Resources & Additional Information

**Erin Richter Weber**  
Senior Manager

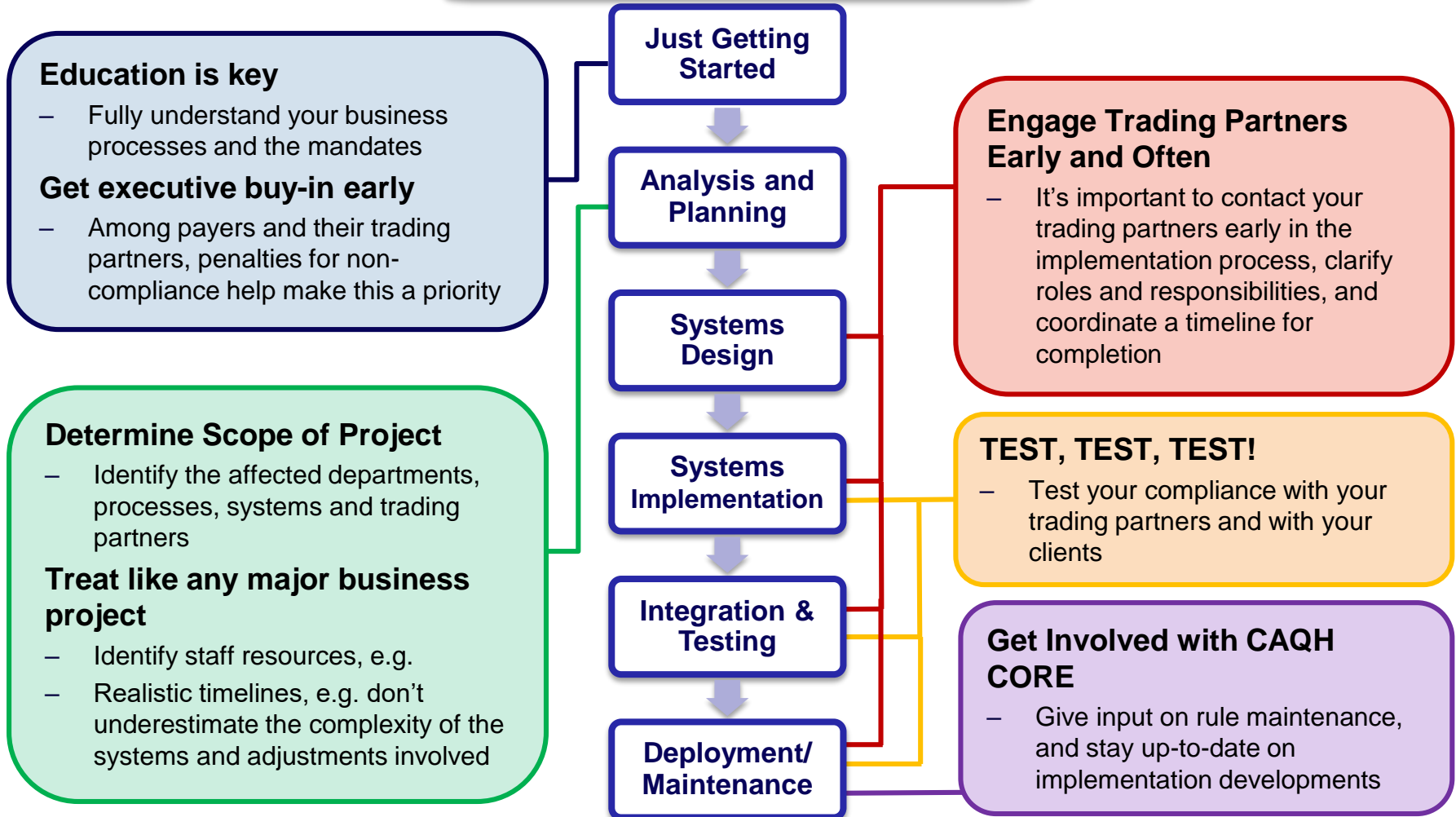
# Value of Implementing the Phase IV CAQH CORE Voluntary Operating Rules

There is value in implementing the Phase IV CAQH CORE Voluntary Operating Rules, such as:

- ✓ Builds on work that has been implemented in previous Phases
- ✓ Starting early allows for the determination of your own timeline rather than a mandated one
- ✓ Demonstrates your organization's commitment to administrative simplification
- ✓ Establishes your organization's leadership in the industry as an early adopter
- ✓ Results in greater ROI from implementation of CAQH CORE Infrastructure and Connectivity requirements across all HIPAA-mandated transactions

# Implementation Steps for HIPAA Covered Entities: *Best Practices and Lessons Learned from Past Phases*

## Communication is Critical



# Implementation Steps for HIPAA Covered Entities: *Where Are You?*

*Coming Soon*  
FAQs will be posted regularly

Just Getting Started

Analysis and planning  
(budgeted, resources assigned, impact analysis)

Systems design  
(software or hardware upgrades identified, coordinating with vendors)

Systems implementation  
(software/hardware and vendor services upgrades fully implemented)

Integration & testing  
(internal and trading partners testing)

Deployment/maintenance  
(full production use with one or more trading partners)

*Available Now!*  
Free CAQH CORE  
Analysis and Planning  
Guide

*Coming Soon*  
Voluntary CORE Certification Test  
Site for conformance testing of  
the Phase IV Operating Rules

# Where do I start?

1. Review the Phase IV CAQH CORE Operating Rules. Final versions of each rule are available for free on our website:

- [Phase IV CAQH CORE 450 Health Care Claim \(837\) Infrastructure Rule version 4.0.0](#)
- [Phase IV CAQH CORE 452 Health Care Services Review – Request for Review and Response \(278\) Infrastructure Rule version 4.0.0](#)
- [Phase IV CAQH CORE 454 Benefit Enrollment & Maintenance \(834\) Infrastructure Rule version 4.0.0](#)
- [Phase IV CAQH CORE 456 Premium Payment \(820\) Infrastructure Rule version 4.0.0](#)
- [Phase IV CAQH CORE 470 Connectivity Rule v4.0.0](#)
  - [XML Schema Specification \(normative\)](#)
  - [Web Services Definition Language \(WSDL\) Specification \(normative\)](#)
  - [Phase IV CAQH CORE-Required Processing Mode and Payload Type Tables v4.0.0](#)



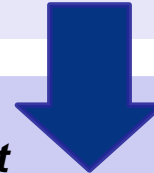
# Analysis & Planning Guide Assists in Understanding Applicability of Rules to Various Trading Partners

- CAQH CORE has an [Analysis & Planning Guide](#) for the Phase IV CAQH CORE Operating Rules
- Guide should be used by project staff to:
  - **Understand applicability of the Phase IV CAQH CORE Operating Rule requirements** to organization's systems and processes that conduct the transactions
  - **Identify all impacted external and internal systems** and outsourced vendors that process the transactions
  - **Conduct detailed rule requirements gap analysis** to identify system(s) that may require remediation and business processes which may be impacted
- The Planning Guides includes three tools to assist entities in completing analysis and planning:
  1. **Stakeholder & Business Type Evaluation**
  2. **Systems Inventory & Impact Assessment Worksheet**
  3. **Gap Analysis Worksheet**

# CAQH CORE Analysis & Planning Tools in Guide

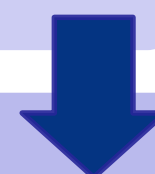
## **Stakeholder & Business Type Evaluation**

**Objective:** Understand what aspects of your business and/or outsourced functions are impacted by the Phase IV CAQH CORE Operating Rules (e.g., products, business lines, etc.)



## **Systems Inventory & Impact Assessment Worksheet**

**Objective:** Understand how many of your systems/products are impacted by each CAQH CORE Operating Rule and understand with which vendors you will need to coordinate

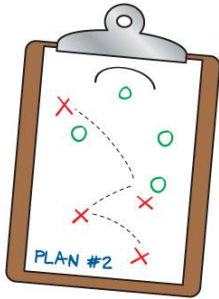


## **Gap Analysis Worksheet**

**Objective:** Understand the level of system(s) remediation necessary for adopting each Phase IV CAQH CORE Operating Rule requirement; the results of completed *Gap Analysis Worksheet* will allow for development of a detailed project plan

# Phase IV Implementation Support

As with previous Phases, over the next few months CAQH CORE will roll out a set of Phase IV CAQH CORE Operating Rules education resources and implementation tools to support industry implementation of the new operating rules



**Analysis and Planning  
Guide**



**Dedicated Phase IV  
Webpage**



**FAQ's**



**Informational Webinars**  
with downloadable recording  
and presentations



**“Cheat Sheets”** and other  
unique Phase IV Tools

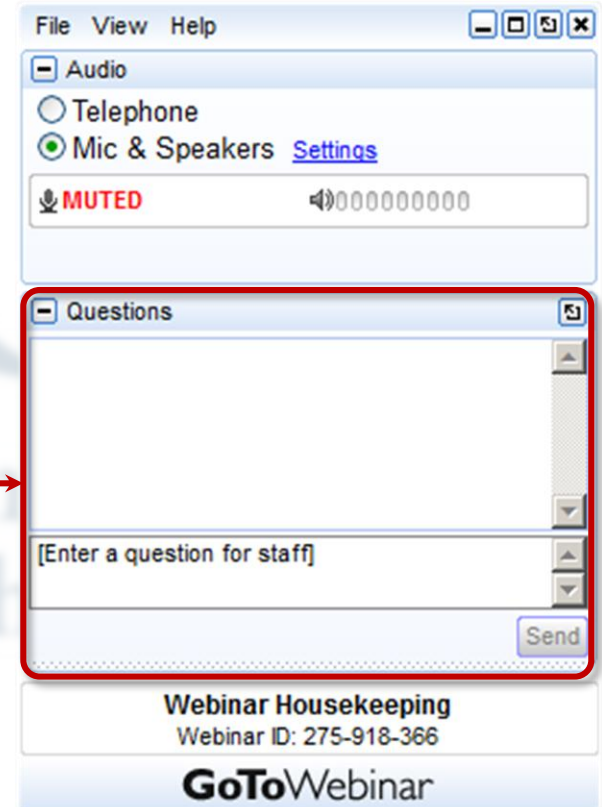


**Staff Experts** available to  
answer your questions

# Audience Q & A

**Please submit your questions**

Enter your question into the “Questions” pane in the lower right hand corner of your screen.



# Key Takeaways

- ✓ The Phase IV CAQH CORE Voluntary Operating Rules build upon Phases I-III implementation.
- ✓ There is value in planning for implementation now.
- ✓ CAQH CORE is available to answer your questions and provide implementation resources for the Phase IV CAQH CORE Operating Rules as well as for Phases I-III.

# Upcoming CAQH CORE Educational Webinars

Our next [CAQH CORE Educational Webinars](#):

- **Training Session on Annual Industry Opportunity to Make Changes to the CAQH CORE Code Combinations – the 2015 Market Based Review**

Wednesday, December 16, 2015 | 2:00 - 3:30 pm ET

- **CAQH CORE January Town Hall National Webinar – Jumpstart 2016**

Thursday, January 7, 2016 | 2:00 - 3:30 pm ET

- **New Phase IV CAQH CORE Operating Rules National Webinar**

Thursday, January 21, 2016 | 2:00 - 3:30 pm ET

- **Voluntary CORE Certification National Webinar with Alabama Medicaid Agency**

Tuesday, January 26, 2016 | 2:00 - 3:30 pm ET

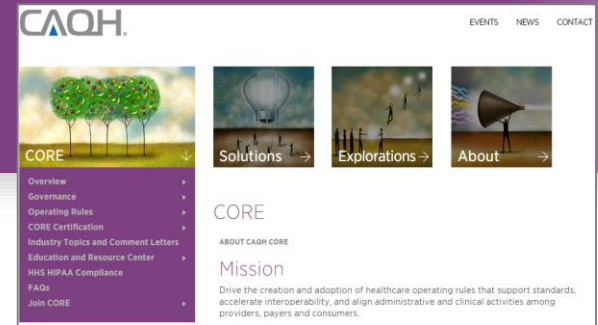
***We want to hear from you!***

If you have ideas for educational sessions that you would like to see in the future, contact Education and Outreach staff directly by emailing [dvoystal@caqh.org](mailto:dvoystal@caqh.org) or provide comments on today's Post-Event Survey.

# Engage with CAQH CORE!

## [CAQH CORE Website](#)

or contact us at [CORE@CAQH.org](mailto:CORE@CAQH.org)



**Participate** in the CAQH CORE Code Combinations Task Group (CCTG) or the Enrollment Data Task Group

**Become** a [CAQH CORE Participating Organization](#)

**Explore** Voluntary CORE Certification

**Register** for our educational [webinars](#)

Dedicated webpages:

- ✓ [Code Combination Maintenance](#)
- ✓ [EFT/ERA Enrollment Maintenance](#)
- ✓ [Voluntary CORE Certification](#)
- ✓ [CAQH CORE Phase IV Operating Rules](#)

# Thank you for joining us!

Website: [www.CAQH.org/CORE](http://www.CAQH.org/CORE)

Email: [CORE@CAQH.org](mailto:CORE@CAQH.org)



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