Phase II CAQH CORE 204 Testing Policy
version 2.1.0 March 2011
GUIDING PRINCIPLES

- The CORE testing policy will be used to gain CORE certification only; it does not outline trading partner implementation interoperability testing activities.

- Third parties that have become CORE-authorized Testing Vendors through a standard CORE evaluation process will be used by interested parties to test for CORE Operating Rules compliance. CORE will authorize any testing vendor that meets CORE’s testing vendor criteria. A key criteria in becoming a CORE-authorized Testing Vendor will be that the entity is capable of testing for all Phase I and Phase II Operating Rules.

- A prerequisite for obtaining a stakeholder-specific CORE Seal will be the successful completion of a stakeholder-specific Phase II CORE Certification Test Suite, which will be demonstrated through proper documentation from a CORE-authorized Testing Vendor.

- All parties essential to the success of the transaction will be addressed in the CORE certification testing process: providers, health plans, clearinghouses, and vendors. CORE testing will vary by stakeholder type, e.g., provider, health plan, clearinghouses, vendors. Associations, medical societies and the like will not undergo certification testing as they are endorsers of CORE rather than certified entities.

- The CORE testing protocol will be scoped only to demonstrate conformance with CORE Operating Rules, and not overall compliance with HIPAA; however, each entity submitting an application for CORE certification will sign a statement affirming that it is HIPAA compliant to the best of its knowledge.

- The CORE testing policy will be used to gain CORE Certification only; it does not outline trading partner implementation interoperability testing activities.

- Third parties that have become CAQH CORE-authorized certification testing entities through a standard CORE evaluation process will be used by interested parties to test for CAQH CORE Operating Rules compliance. CAQH CORE will authorize any testing entity that meets CAQH CORE’s testing entity criteria. A key criterion in becoming a CAQH CORE-authorized testing entity will be that the entity is capable of testing for all Phase I and Phase II CAQH CORE Operating Rules.

- A prerequisite for obtaining a stakeholder-specific CORE-certified Seal will be the successful completion of a stakeholder-specific Phase II CORE CORE Certification Test Suite, which will be demonstrated through proper documentation from a CAQH CORE-authorized testing entity.

- All parties essential to the success of the transactions will be addressed in the CORE Certification testing process: providers, health plans, clearinghouses, and vendors. CORE Certification testing will vary by stakeholder type, e.g., provider, health plan, clearinghouses, vendors. Associations, medical societies and the like will not undergo certification testing as they are endorsers of CAQH CORE rather than certified entities.

- The CORE Certification testing protocol will be scoped only to demonstrate conformance with CAQH CORE Operating Rules, and not overall compliance with HIPAA; however, each entity submitting an application for CORE Certification will sign a statement attesting that it is HIPAA compliant to the best of its knowledge.

POLICY

Section 1: Key Steps

Subsection 1.1: Step 1: CORE precertification, self-testing
- To prepare for certification, entities seeking CORE Certification can review rules and conduct internal testing as they see appropriate.
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Subsection 1.2: Step 2: CORE Certification Testing Process

- A CORE-authorized Testing Vendor performs testing with an entity seeking CORE certification based upon Phase II CORE testing criteria specific to the participant’s stakeholder type.

- Entities seeking CORE certification can work with the CORE-authorized Testing Vendor of their choice to test and/or use a testing website developed by one or more of the companies to conduct their Phase II CORE certification testing. If website approach is taken, individual company testing results would not be shared publicly. The Phase II CORE Certification Test Suite includes scenario-based testing and expected outcomes.

- The Phase II CORE Certification Test Suite focuses on current industry eligibility and claim status ‘pain points’ and therefore includes testing that builds on the Phase I CORE Operating Rules as well as new Phase II Operating Rules for claim status requests and improved patient identification, including the following:
Phase II CORE 204 Testing Policy
version 2.1.0 March 2011

<table>
<thead>
<tr>
<th>Phase II CORE Operating Rule</th>
<th>Key Aspect of CORE Stakeholder-Specific Testing¹²</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Providers</td>
</tr>
<tr>
<td>ELIGIBILITY</td>
<td></td>
</tr>
<tr>
<td>Connectivity Rule⁴</td>
<td>Yes</td>
</tr>
<tr>
<td>V5010 270/271 Data Content Rule⁴</td>
<td>Yes</td>
</tr>
<tr>
<td>Last Name Normalization Rule</td>
<td>Yes</td>
</tr>
<tr>
<td>Use of AAA Error Codes Rule</td>
<td>Yes</td>
</tr>
<tr>
<td>CLAIM STATUS</td>
<td></td>
</tr>
<tr>
<td>Acknowledgements Rule: Batch and Real Time</td>
<td>Yes</td>
</tr>
<tr>
<td>Companion Guide</td>
<td>Yes</td>
</tr>
<tr>
<td>Connectivity</td>
<td>Yes</td>
</tr>
<tr>
<td>Response Time: Batch and Real Time</td>
<td>Yes</td>
</tr>
<tr>
<td>System Availability</td>
<td>No</td>
</tr>
</tbody>
</table>

Subsection 1.3: Step 3: CORE-authorized Testing Vendor verifies, with documentation, that an entity seeking CORE certification has successfully completed testing; participant can apply to CORE to obtain the Phase II CORE Seal by sending documentation to CORE.

Subsection 1.3: Step 3: CAQH CORE-Authorized Testing Vendor Verifies Testing Completion
CAQH CORE-authorized Testing Vendor verifies, with documentation, that an entity seeking CORE Certification has successfully completed testing; entity can apply to CAQH CORE to obtain the CORE Seal Certification by submitting documentation to CAQH CORE. (See Phase III CAQH CORE 302 Certification Policy version 3.0.0.) (Certification Process begins, please see Phase II CORE 202 Certification Policy version 2.1.0.)

Subsection 1.4: Step 4: Certification Testing Appeals Process

- Prior to any appeal being submitted, it is assumed efforts have already been taken to try to resolve the issue privately between an entity seeking certification and a CORE-authorized Testing Vendor, but efforts have not succeeded.
- In the event an entity seeking Phase II CORE certification is not satisfied with its testing results, it will be permitted to file a written appeal of the results to CORE, under the guidance of the CORE Enforcement Committee (please see Phase II CORE 205 Enforcement Policy version 2.1.0.)
- CORE will have 20 business days to investigate the issue. If the appeal is deemed valid, CORE will ask the CORE-authorized Testing Vendor to re-test the results in question within 21 business days of request.

- Prior to any appeal being submitted, it is assumed efforts have already been taken to try to resolve the issue privately between an entity seeking certification and the CAQH CORE-authorized testing entity, and such efforts have not succeeded.

¹ Entities will be tested under the stakeholder-specific test bed for which they want to receive CORE certification, e.g. health plan gets tested on health plan test bed in order to receive CORE Health Plan Seal.
² As in Phase I, certification in Phase II is not exhaustive.
³ Compliance is only required for the transaction(s) offered by the entity. If a Vendor or clearinghouse does not offer a product/service for which CORE certification exists in Phase II, it must submit an attestation to this fact.
⁴ Phase II CORE Operating Rule builds upon the Phase I CORE Operating Rule.

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In the event an entity seeking CORE Certification is not satisfied with its testing results, it will be permitted to file a written appeal of the results to CORE, under the guidance of the Enforcement Committee (See Phase II CAQH CORE 205 Enforcement Policy version 2.2.0.)

CAQH CORE will have 20 business days to investigate the issue. If the appeal is deemed valid, CAQH CORE will ask the CAQH CORE-authorized Testing Vendor to re-test the test scripts in question within 21 business days of request.