



Phase III CAQH CORE 302 Certification Policy
version 3.0.1 May 2014

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GUIDING PRINCIPLES

- *After signing the CORE Certification Pledge and/or Addendum, the entity has 180 days to complete CORE Certification testing.*
- *CAQH CORE will not certify Phases that CORE has not clearly defined and voted upon.*
- *CORE Certification testing will be required by any entity seeking CORE Certification. CAQH CORE will authorize testing entities to conduct CORE Certification testing. All CAQH CORE-authorized testing entities will need to be capable of testing for all Phase III rules.*
- *Entities pursuing Phase III CORE Certification will be required to test for the batch processing mode required by the Phase III rules.*
- *Upon successful completion of CORE Certification testing, CORE-certified entities will receive a CORE Certification “Seal” from CAQH.*
- *Entities undergoing Phase III CORE Certification testing must be Phase I and Phase II CORE-certified, if applicable.*
- *Entities seeking CORE Certification will be required to adopt all of Phase III rules that apply to their business and will be responsible for all their own company-related testing costs.*
- *CAQH CORE will not oversee trading partner relationships. CORE-certified entities may work with non-CORE-certified entities if they so desire.*
- *Role of HIPAA compliance:*
 - *It will be assumed by CAQH CORE that any covered entity under HIPAA applying for CORE Certification will be HIPAA compliant; when submitting testing certification documentation to CAQH, covered entities will be asked to sign an attestation form attesting that they are HIPAA compliant to the best of their knowledge (“Attestation Form”) for security, privacy, and the X12 270/271, the X12 276/277, and the X12 835 transaction(s), and the Healthcare EFT Standards (NACHA CCD+ and X12 v5010 TR3 TRN Segment) as they are applicable to the HIPAA covered entity. HIPAA compliance will not be defined by CAQH CORE.*
- *Role of CAQH CORE-authorized testing vendors:*
 - *CAQH CORE-authorized testing vendors will be expected to sign the Attestation Form on their own behalf as well, demonstrating that they support compliant transactions.*
- *Who will be certified:*
 - *Certification testing will vary based on participant type. Associations, medical societies and the like will not be certified; instead, these entities will receive a CORE Endorser “Seal” after signing the Pledge. Entities successfully achieving CORE Certification will receive the CORE Certification “Seal” that corresponds with their testing application as testing varies by stakeholder type. There will be five different types of CORE “Seals”:*
 - *CORE-certified health plan*
 - *CORE-certified vendor (product specific)*
 - *CORE-certified clearinghouse (product specific)*
 - *CORE-certified provider*
 - *CORE Endorser (for entities that do not create, use, or transmit eligibility, claim status, payment, and/or remittance advice information)*

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- *A parent corporation seeking certification will not be certified unless all subsidiaries of the corporation are compliant with CAQH CORE Operating Rules. Otherwise, each subsidiary of the parent must individually seek certification. For vendors, CORE Certification will apply only to specific vendor products rather than corporate entities.*
- *Ancillary services are not assumed to be subsidiaries, as a subsidiary is a legal entity of its own that serves as one of the types of key stakeholders that can become certified, e.g., health plan, vendor, or clearinghouse.*
- *If a CORE-certified entity is acquired by an entity that is not CORE-certified, that company will only be allowed to be CORE-certified if the acquired company is the only business that is applicable to the CORE operating rules. If this is not the case, then the newly merged company will be required to seek certification.*
- *If a CORE-certified entity begins offering a new transaction for which CORE Certification exists, or it acquires an organization that offers the transaction, the entity will have 12 months to certify that new transaction; if the CORE-certified entity does not certify for the new transaction, it will lose its CORE Certification Seal. (Note: An entity has 180 days to complete CORE Certification testing once the Pledge has been signed.)*
- *Endorsers will not become certified, but will be expected to participate in the CAQH CORE public relations campaign, provide CORE feedback and input when requested to do so, and encourage their members to consider participating in CAQH CORE.*

POLICY

Section 1: Fees

- Entities seeking CORE Certification will be charged two fees: fees related to CORE Certification testing as determined by the CAQH CORE-authorized certification testing entities and the fee for the CORE Certification Seal as determined by CAQH CORE. The goal of CAQH CORE is to develop a low-cost certification process in order to support CAQH CORE market adoption by small and large entities.

Section 2: Period for Which Certification Applies

- Once certified, CORE-certified entities will remain compliant with applicable CAQH CORE Operating Rules throughout any system upgrades. When vendors release new versions of their products that affect the functionality of CAQH CORE Operating Rules, such versions will need to become CORE-certified in order to maintain the CORE Certification Seal.
- Assuming certification is not revoked, CORE Certification, except for vendor products, will remain valid until a new version of the CAQH CORE Operating Rules is established by vote. Revisions will not be made to the rules more than once (1) per year. Revisions to approved rules, if necessary, will become official 20 business days after enacted by CAQH CORE. (Version is defined as a substantive change to any approved CORE Phase that requires full CORE member approval.)

Section 3: Key Steps

The five key steps of CORE Certification are presented below:

Subsection 3.1: Step 1: Existing entities currently engaged in HIPAA testing will be “authorized” by CAQH CORE as CAQH CORE-authorized testing entities if they meet certain criteria.

- CAQH CORE-authorized testing entities will test entities using the CORE Certification Test Suite.
- CAQH CORE will allow any interested entity to apply to CAQH CORE to become a CAQH CORE-authorized testing entity. However, to become a CAQH CORE-authorized testing entity, an interested testing entity must be capable of testing for all Phase I, Phase II and Phase III CAQH CORE Operating

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Rules and must meet a CORE-developed set of criteria. An RFP and beta approval process will identify authorized companies.

- CORE will list any testing entity that is a CORE-authorized testing entity on its website.

Subsection 3.2: Step 2: CORE Participants seeking certification will work with the CAQH CORE-authorized testing entity of their choice to test for CORE compliance.

- Certification testing will differ by the role the entity undergoing certification testing plays in any of the transactions addressed by the Phase I, Phase II and Phase III CAQH CORE Operating Rules.
- Any fee/cost imposed by authorized testing entity will be independent and separate from the fee CORE will charge to obtain the CORE Certification Seal. Certification testing fees will be established by each CAQH CORE-authorized testing entity; thus prices will be market-driven.
- If a vendor or clearinghouse does not offer a product/service for which CORE Certification exists in Phase III, it must submit an attestation to this fact.
- A CAQH CORE-authorized testing entity will only provide paperwork to an entity seeking certification after that entity has successfully demonstrated its ability to conform to the rules.

Subsection 3.3: Step 3: CORE will grant the appropriate CORE Certification Seal after an entity provides all documentation required, including documentation from a CAQH CORE-authorized testing entity demonstrating the entity's compliance with CAQH CORE Operating Rules through successful testing.

- CORE will be responsible for providing the official Seal (after compliance is proven).
- CORE (or its agents) will review test results and maintain a record of CORE-certified entities.
- Applicants will be responsible for ensuring that an authorized person signs the final CORE Certification application and the HIPAA attestation, indicating that to the best of the person's knowledge, the applicant is HIPAA compliant for security, privacy, and the transaction(s) addressed by the Phase I, Phase II and Phase III CAQH CORE Operating Rules (or, in the case of a vendor, supports these transaction(s)).
 - See attached Attestation form.
- Upon receiving documentation of successful completion of CORE Certification testing from an applicant, CAQH CORE will have a maximum of 20 business days to respond to the applicant with a clear response of approval or need for clarification. CAQH CORE will inform those who apply for certification of the "certification" queue status at the time of their application submission. CAQH CORE will complete its assessment within 30 business days unless there are extenuating circumstances. CAQH CORE will report on its website:
 - List of certified entities.
 - In the case of vendors and clearinghouses, the CORE-certified transaction(s) processed by their product.
- The fee for the Phase III CORE Certification Seal will be the same as the Phase I and Phase II CORE Certification Seal fees, regardless of the number of transactions for which an entity has completed Phase III testing.
- The cost of the Certification Seal will be a one-time fee, unlike the CORE Participation fee, which is an annual fee. The Seal indicates that an entity/product is CORE-certified. The CORE Participation fee is separate from the Seal fee and allows entities to participate in the CORE rule writing and voting process. CORE Participants may voluntarily decide whether or not to become CORE-certified entities.
- CORE Certification will be effective until a new version of the CAQH CORE Operating Rules is made available, provided an organization has no complaints filed against it, except for vendors, who will be

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required to seek new CORE certification when a new version of a previously CORE-certified product is released.

- If an entity removes its name from the Pledge, it automatically loses CORE Certification.
- When new phases are approved by the CORE Participants, re-certification by a CORE-certified entity is not required for an already certified phase.
- As stated in the CORE Certification Pledge, a CORE-certified entity is permitted to market its CORE Certification Seal only if the entity's Seal is valid and current.

Subsection 3.4: (Potential) Step 4: Re-certification will be required if an entity's Seal is revoked as a result of a validated complaint of non-compliance. (See enforcement for steps involved in the complaint process.)

- See enforcement process regarding how a validated complaint of non-compliance will be defined and pursued.

Subsection 3.5: Step 5: Re-certification when CAQH CORE Operating Rules are modified.

- Rules will become official 20 business days after being approved by CAQH CORE; however, adoption of the rules is not required by an entity until 180 business days after signing the Pledge. A similar timeframe for an entity's adoption will be added for revisions.
- CAQH CORE reserves the right to revise the rules.
- Minor modifications that would improve a rule will not require re-certification (see CORE version control document).
- Major substantive changes, e.g., new phases, will require re-certification and re-signing of the Certification Pledge relative to the new phase, should the entity choose to pursue certification for the new phase.
- Except for vendors and entities with validated non-compliance, re-certification will be required only after the CORE Participants approve, by vote, major modifications, changes, or deletions to CAQH CORE Operating Rules.
- Generally, CAQH CORE Operating Rules will not be amended between CAQH CORE rule phases unless government regulations are issued that impact the rules or as necessary to address problems that arise upon implementation. In this scenario, adoption of the modified rule(s) by CORE Participants will be within a reasonable timeframe and will acknowledge/comply with Federal mandates.

Section 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 CAQH CORE-authorized testing vendor, but efforts have not succeeded.
- In the event an entity seeking CORE Certification is not satisfied with its testing results, it is permitted to file an appeal of the results to CORE.
- 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 entity to re-test the results in question within 21 business days of request.
- The Enforcement Committee will have oversight of this process. Please see the Phase III CAQH CORE 305 Enforcement Policy version 3.0.0 for more details.

Phase III CAQH CORE® HIPAA Attestation Form*
version 3.0.0 July 2013



A CAQH Initiative

[_____] (“Entity”), in consideration of the Committee on Operating Rules for Information Exchange (“CORE”) deeming Entity eligible to apply to participate in the CORE Certification Program, hereby submits this attestation to compliance with applicable provisions of the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) as amended by the Health Information Technology for Economic and Clinical Health Act (“HITECH”) (enacted as part of the American Recovery and Reinvestment Act of 2009) and the Affordable Care Act (“ACA”) (Public Law Nos. 111-148 and 111-152, enacted in March 2010) and the standards, operating rules, and related regulations and guidance promulgated thereunder (referred to collectively, hereinafter, as “the HIPAA requirements”), as may be amended from time to time.

Entity recognizes that CAQH CORE does not certify for all aspects of the HIPAA requirements or define “HIPAA Compliance.” Entity will not rely on CAQH CORE for these determinations but will look to the Federal government for its various requirements.

With this attestation, the Entity hereby represents and warrants the following:

- (a) it is, and shall remain, to the best of its knowledge, compliant with standards, operating rules, and related regulations promulgated by the Secretary of the U.S. Department of Health and Human Services (the “Secretary”) under HIPAA that govern health care electronic funds transfers (“EFT”) and remittance advice, including, as applicable, the standards, operating rules, and related regulations adopted under Parts 160 and 162 of Title 45 of the Code of Federal Regulations, as may be amended from time to time;
- (b) it can send and receive, as applicable, or, in the case of a software vendor, support the Accredited Standards Committee (“ASC”) X12 Standards for Electronic Data Interchange Technical Report Type 3—Health Care Claim Payment/Advice (835), April 2006, ASC X12N/005010X221, the National Automated Clearing House Association (“NACHA”) Corporate Credit or Deposit Entry with Addenda Record (“CCD+”) implementation specifications as contained in the 2011 NACHA Operating Rules & Guidelines, A Complete Guide to the Rules Governing the ACH Network, and the ASC X12 Standards for Electronic Data Interchange Technical Report Type 3—Health Care Claim Payment/Advice (835), April 2006: Section 2.4: 835 Segment Detail: “TRN Reassociation Trace Number,” Washington Publishing Company, 005010X221, that together are the Health Care EFT Standards or the current version of such standards, as may be updated or amended from time to time (the “Transactions”);
- (c) it is, and shall remain, to the best of its knowledge, compliant with applicable provisions of the HIPAA Privacy and Security requirements of Parts 160 and 164 of Title 45 of the Code of Federal Regulations, as may be amended from time to time.

Entity acknowledges that CAQH CORE will rely on this attestation and that any omissions, misrepresentations, or inaccuracies may be a basis for CAQH CORE to deny or revoke CORE Certification.

Entity agrees to notify CAQH CORE if it discovers that any of the representations and warranties were not true when made or if it fails to remain compliant with any of the applicable standards, operating rules, and related regulations and guidance set forth above. Entity understands that a loss of compliance with the standards set forth above, or in the case of a software vendor, the ability to support the Transactions, may affect CORE Certification.

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Phase III CAQH CORE® HIPAA Attestation Form*
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The undersigned representative of Entity affirms that he or she is duly empowered to represent the Entity for purposes of this attestation and has knowledge confirming the accuracy of this attestation.

Signature

Printed Name

Position

Date

Please submit this form along with your organization's Phase III CORE Certification Seal Application.

**For entities seeking Phase III CORE Certification. If your organization is seeking a Phase III CORE Endorser Seal, please refer to the CORE Endorsement Overview.*