



Phase III CAQH CORE 305 Enforcement Policy
version 3.0.0 January 2013

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CAQH CORE GUIDING PRINCIPLES

- *CORE Participants will be encouraged to privately resolve disputes before submitting a formal complaint of non-compliance against a CORE-certified entity.*
- *Enforcement will be a complaint-driven process that will require documentation (electronic or paper) demonstrating multiple instances of non-compliance.*
- *Any healthcare provider that is an end-user of a CORE-certified product/service may lodge a complaint against a CORE-certified entity. Beyond end-users of a CORE-certified product/service, only an organization that is CORE-certified and involved in the alleged non-compliant transactions may file a complaint.*
- *The details of a specific complaint will remain confidential. Names or other identifying information will not be publicly released. This information will only be used and disclosed by CAQH CORE for its non-compliance review. If an entity is found to be in actual violation of a CAQH CORE Rule(s), its certification will be terminated and its name removed from the CAQH CORE website if the complaint is not remedied per the CORE enforcement timeline.*
- *The complaint process will be progressive, but will last no more than six (6) months between filing of complaint and resolution. Extensions may be granted on a case-by-case basis due to mitigating factors decided upon by the Enforcement Committee.*
- *The Enforcement Committee will consist of a balance of stakeholder types from the CORE Participants (certified health plans, provider PMS vendors, clearinghouses, and providers). No one stakeholder type will be permitted to have a dominant representation.*
- *Entities are permitted to withdraw a complaint at any time during the complaint process.*
- *Personal health information (PHI) must not be submitted without appropriate authorization.*
- *CORE will accept and review any submitted complaint that contains the required documentation.*

POLICY

Section 1: Complaint Filing

Every effort must be made to resolve problems before a complaint is filed. Conformance language for each rule should assist entities with what is required of CORE-certified entities.

Subsection 1.1: Step 1: Complaint formally filed with CAQH CORE, including proper documentation.

- Includes a completed CORE-developed form, Request for Review of Possible Non-Compliance, which outlines the violation, and at least five documented examples of the violation(s) over a 30-day period, demonstrating that the violation was not a one-time occurrence but occurred in multiple instances.
- Organization filing complaint must do so within 90 days of the most recent compliance violation(s) for which the complaint is being filed.

Subsection 1.2: Step 2: CAQH CORE, under the guidance of the Enforcement Committee, reviews complaint form for completeness and timeliness, and verifies/dismisses complaint.

- Information gathered from entity filing complaint.
- Organization in question given an opportunity to respond to complaint in writing.
- CAQH CORE must respond to the complaint within 20 business days.

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- All organizations involved in the complaint must respond to requests for information by CAQH CORE within 20 business days. The complaint must be deemed valid or invalid within 30 business days after all documentation is reviewed by CAQH CORE and requests for information are received.

(Process ends if inquiry dismissed. If inquiry verified, process continues.)

Section 2: For Verified Complaints Only

Subsection 2.1: Step 1: Entities found to be out of compliance with a CAQH CORE Rule(s) will be informed by CORE that they have a defined grace period (40 business days) in order to remedy the problem by successfully re-testing for compliance with the rule(s) or be de-certified.

- An Enforcement Committee composed of objective members will review verified complaints, and will be responsible for providing any extension to this grace period.
- Enforcement Committee terms will be limited to one year from date of appointment.
- Conflicts of interest will be avoided on a case-specific basis at the request of the entity being reviewed for non-compliance. If a member of the Enforcement Committee is party to a complaint, then he/she will recuse him/herself for the duration of the resolution of the complaint.
- The membership of the Enforcement Committee will be appointed by the CORE Board from nominations made by the CORE Board members and/or CORE Participants. Until there is an equal representation of stakeholders, or until a sufficient number of certified entities exist, Subgroup and/or Work Group Chairs will serve on the Enforcement Committee.
- 10 business days after the grace period, entities will prove they have remedied the problem by presenting to the Enforcement Committee documentation of at least five instances on five different business days over a span of 10 business days in which there was no issue of compliance with the entity that filed the complaint, in addition to providing documentation of successful re-testing.
- The Enforcement Committee will be responsible for granting variances to the 40 business day grace period.

Section 3: For Complaints not Remedied

Subsection 3.1: Step 1: De-certification/removal of CORE Certification Seal.

Section 4: For De-Certified Entities Interested in Re-Certification

Subsection 4.1: Step 1: A de-certified entity may seek re-certification; entities are responsible for all fees associated with re-certification, including any fees for a new CORE Certification Seal.

- Entities seeking re-certification due to non-compliance will only need to do so for the rule with respect to which they were found to be non-compliant. CAQH CORE-authorized Testing Vendors will provide documentation on the entity's compliance with the rule specific to the applicable CORE Certification Test Suite.

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Request for Review of Possible Non-Compliance Form

PREREQUISITES

- 1) Entity filing complaint must be party to the transaction and with the exception of providers, CORE-certified. Any healthcare provider that is an end-user of a CORE-certified product/service may lodge a complaint against a CORE-certified entity.
- 2) Entities being filed against must be CORE-certified.
- 3) Filing this form assumes reasonable steps have already been taken by your company to try to resolve the issue privately with your trading partner, and such efforts were not successful.
- 4) At least five documented examples of the violation(s) over a 30-day period must be provided with this form.
- 5) Entity must file a complaint within 90 days of the most recent compliance violation(s) for which it is being filed.
- 6) The details of a specific complaint remain private. Names or other identifying information will not be publicly released. This information will only be used and disclosed by CAQH CORE for its non-compliance review. If an entity is found to be in actual violation of a CAQH CORE Rule(s), its certification will be terminated and its name removed from the CAQH CORE website if the complaint is not remedied per the CORE enforcement timeline.
- 7) Entities are permitted to withdraw a complaint any time during the complaint process.

If you have any questions about this form, contact CAQH at: (202) 861-6380 or CORE@caqh.org

CAQH CORE: Non-Compliance Complaint Form			
Please provide your contact information (All fields required.)			
Organization Name and Type (Health Plan, Provider, Clearinghouse, Vendor)			
Name (First and Last)			
Street Address	City/Town	State	Zip
Telephone Number		Email Address	
Organization filing complaint against (All fields required.)			
Organization Name and Type (Health Plan, Provider, Clearinghouse, Vendor)			
Name (First and Last)			

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CAQH CORE: Non-Compliance Complaint Form			
Street Address	City/Town	State	Zip
Telephone Number		Email Address	
When did this alleged violation occur? mm/dd/yyyy (Required field) 1. 2. 3. 4. 5.			
Have efforts been made to address the problem? Who at the company in question have you been working with to resolve the issue?			
Identify the rule complaint category. (Required field.) Select one category listed below per complaint submission. Complete this form again to file a complaint for another category.			
Eligibility <input type="checkbox"/> Response Time <input type="checkbox"/> System Availability <input type="checkbox"/> Service Type and Benefit Summary <input type="checkbox"/> Patient Financial Responsibility <input type="checkbox"/> Acknowledgements <input type="checkbox"/> Connectivity <input type="checkbox"/> Companion Guide <input type="checkbox"/> Last Name Normalization <input type="checkbox"/> Use of AAA Error Codes			
Claim Status <input type="checkbox"/> Acknowledgements <input type="checkbox"/> Companion Guide <input type="checkbox"/> Connectivity <input type="checkbox"/> Response Time <input type="checkbox"/> System availability			

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CAQH CORE: Non-Compliance Complaint Form	
EFT & ERA	
<input type="checkbox"/> Uniform Use of CARCs and RARCs	
<input type="checkbox"/> 835 Infrastructure	
<input type="checkbox"/> Connectivity	
<input type="checkbox"/> Acknowledgements	
<input type="checkbox"/> Companion Guide	
<input type="checkbox"/> Dual Delivery	
<input type="checkbox"/> EFT/ERA Reassociation	
<input type="checkbox"/> EFT Enrollment	
<input type="checkbox"/> ERA Enrollment	
Describe, in detail, the alleged violation. (Required field.) You may attach/upload additional pages as needed. Please enclose at least five examples of your complaint.	
Please sign and date this complaint. (Required field)	
SIGNATURE:	DATE:

SUBMISSION PROCESS

Filing a complaint with CAQH CORE is voluntary. However, without the information required on the Non-Compliance Complaint Form, CAQH CORE may not be able to proceed with a complaint. Names or other identifying information will remain private unless an entity is found to be in actual violation of a CAQH CORE Rule(s), at which time their certification will be terminated and their name removed from the CAQH CORE website if the complaint is not remedied per the CORE enforcement timeline.

To submit a complaint electronically please:

- Send as an attachment by email to CORE@caqh.org;
- Submit by fax 202-861-1454;
- Mail to:

CAQH re: CORE Compliance Review

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601 Pennsylvania Ave, NW
South Building, Suite 500
Washington, DC 20004.

Note: All signatures must be hand-written. Electronic signatures will not be accepted.

NEXT STEPS

See Phase III CAQH CORE 305 Enforcement Policy version 3.0.0 Section 2.