



Phase V CAQH CORE Guiding Principles v5.0.0

March 2019

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1 PURPOSE OF THIS DOCUMENT

This document provides the Phase V CAQH CORE Guiding Principles and underlying assumptions applicable to all Phase V CAQH CORE Operating Rules.

2 CAQH CORE GUIDING PRINCIPLES

- All CAQH CORE Participating Organizations and CORE-certified entities will work towards achieving CAQH CORE's mission.
- All stakeholders are key to CAQH CORE's success; no single organization, nor any one segment of the industry, can do it alone.
- CAQH CORE will strive to include participation of all key stakeholders in the CAQH CORE rule-making process. CAQH CORE has established the [CAQH CORE Governance Model](#); under this model, each CAQH CORE Participating Organization that meets CAQH CORE voting criteria will have one vote on CAQH CORE issues and CAQH CORE Operating Rules.
- CAQH CORE Participating Organizations draft and vote on the CAQH CORE Operating Rules.
- Becoming a CAQH CORE Participating Organization does not commit an organization to adopt the resulting CAQH CORE Operating Rules.
- Use of CAQH CORE Operating Rules and participating as a CAQH CORE Participating Organization is non-exclusive.
- CAQH CORE will not be involved in trading partner relationships and will not dictate relationships between trading partners.
- To promote interoperability, CAQH CORE Operating Rules will be built upon HIPAA requirements; CAQH CORE will coordinate with other key industry bodies.
- Where appropriate, CAQH CORE will address interest in emerging and evolving standards.
- Whenever possible, CAQH CORE uses existing market research and proven rules. CAQH CORE Operating Rules reflect lessons learned from other organizations that have addressed similar issues.
- CAQH CORE Operating Rules will support the Guiding Principles of the Department of Health and Human Services Office of the National Coordinator for Health Information Technology (ONC).
- CAQH research indicated there will be benefit to the healthcare industry as a result of adopting operating rules. CAQH CORE will highlight measures of success that quantify cost savings and efficiencies that have been realized through the CAQH CORE Operating Rules.
- CAQH CORE will provide guidance to stakeholders regarding implementation of CAQH CORE Operating Rules and will address education needs.
- Safeguards will be put in place to make sure that a health plan's benefit and payment information is shared only with the requested provider and is not available to other participating health plans.
- CAQH CORE will not build a switch, database or central repository of information.
- All CAQH CORE recommendations and CAQH CORE Operating Rules will be vendor neutral.
- All CAQH CORE Operating Rules are expected to evolve; Phase I was a starting point and each phase builds upon earlier phases.
- CAQH CORE Operating Rules will not be based on the least common denominator but rather will encourage feasible progress.
- CAQH CORE will promote and encourage voluntary adoption of the rules.
- CAQH CORE Participating Organizations do not support "phishing."

3 UNDERLYING ASSUMPTIONS FOR ALL PHASE V CAQH CORE OPERATING RULES

- Phase V CAQH CORE Operating Rules apply to the healthcare prior authorization transaction.
- All Phase V CAQH CORE Operating Rules assume a successful communication connection has been established and that all parties in the transaction routing path are CORE-certified.
- Phase V CAQH CORE Operating Rules are a floor, not a ceiling; entities can go beyond the Phase V CAQH CORE Operating Rules.
- CAQH CORE complies with all antitrust provisions of the law.
- Organizations may sign the CAQH CORE Pledge at any time after the CAQH CORE Operating Rules are developed and approved by the CAQH CORE Board and may withdraw from the CAQH CORE Pledge at any time.
- No individual CAQH CORE Participating Organization owns the CAQH CORE Operating Rules or the underlying intellectual property; CAQH CORE owns the CAQH CORE Operating Rules and underlying intellectual property.
- The CAQH CORE Operating Rules will not specify how participants implement any changes to current processes and procedures. CAQH CORE will not assume any of the expenses that an organization incurs in making such changes.
- Neither CAQH CORE nor CAQH CORE Participating Organizations will be liable if incorrect information is transmitted.
- Complying with CAQH CORE Operating Rules does not release any organization adopting the rules from ensuring that it is in compliance with all other applicable rules, regulations and legal requirements.
- CAQH CORE assumes that all organizations that operate under the CAQH CORE Operating Rules are HIPAA compliant, and organizations intending to become CORE-certified will be asked to attest to this fact. However, CAQH CORE will not test for HIPAA compliance.
- CAQH CORE Operating Rules address both Real Time and Batch Processing Modes of the transactions, with movement towards Real Time Processing Mode.
- There will not be any substantive changes or amendments to the CAQH CORE Operating Rules unless approved according to [CAQH CORE Governance Model](#). CAQH CORE Operating Rules will support mandated standards and implementation guides of the HIPAA transactions.

4 UNDERLYING PRINCIPLES AND ASSUMPTIONS FOR SPECIFIC OPERATING RULES

4.1 CAQH CORE PLEDGE

- Signing the CAQH CORE Pledge does not automatically allow the organization to participate in the CORE rule-making process; to become involved in the CAQH CORE rule-making process the organization must be a CAQH CORE Participating Organization.
- All stakeholders that sign the CAQH CORE Pledge will be added to a web-based listing of entities that have signed the Pledge.

4.2 CORE CERTIFICATION

- There will be a web-based listing of entities that are CORE-certified.
- Vendors and clearinghouses need only certify for the transaction type(s) offered.

4.3 CAQH CORE ENFORCEMENT

- An organization certified under the CAQH CORE Operating Rules may be party to the [CAQH CORE Enforcement Policy](#).
- The CAQH CORE Enforcement Process requires complainants to be a party to the transaction for which they are submitting a complaint. Except for healthcare providers, complainants must be CORE-certified. Any healthcare provider that is an end-user of a CORE-certified system/product/service may lodge a complaint against a CORE-certified entity. CORE-certified entities are permitted to work with any entity of their choice, including organizations not participating in CAQH CORE.