



# Phase IV CAQH CORE Operating Rules

Implementation Value  
Proposition and  
Infrastructure  
Requirements

Friday, June 10<sup>th</sup>, 2016

2:00 – 3:00 PM ET

# Logistics

## Presentation Slides & How to Participate in Today's Session

- **Download a copy of today's presentation slides at [caqh.org/core/events](http://caqh.org/core/events)**
  - Navigate to the Resources section for today's event to find a PDF version of today's presentation slides
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- [Presentation Slides](#)

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# Session Outline

- Welcome and Introduction
- Case Study with Humana Inc. – A Phase IV CAQH CORE Operating Rules Early Implementer
- Benefits and Value Proposition for Implementation
- Free CORE Implementation Resources and Phase IV Certification
- Infrastructure Requirements
- Audience Q&A

# Phase IV CAQH CORE Operating Rules: Early Implementer Case Study

**Kim Peters**  
Process Owner, Provider Process Implementation,  
Humana Inc.



## Who is Humana?

- ❖ **Longevity:** Celebrating over 50 years.
- ❖ **Lifelong Well-being:** Dedicated to providing solutions to enhance the wellness of each employee no matter what stage of life.
- ❖ **Financially Stable:** 58 on Fortune 500 with revenues of \$54 billion; total assets of approximately \$25 billion.
- ❖ **Multi-faceted:** Commercial, Individual, Medicare, Medicaid, Specialty Benefits and Well-being Solutions.
- ❖ **Personal:** Dedicated to providing personalized and exceptional service at every level.



# Why is Humana Implementing the Phase IV CAQH CORE Operating Rules?

- ❖ Supports Administrative Simplification.
- ❖ Strives to be a leader to drive healthcare to a new paradigm.
- ❖ Humana believes in the industry-led process that culminated in the development of the Phase IV CAQH CORE Operating Rules.

## Why is Humana a Phase IV Certification Beta Tester?

- ❖ One of the first entities to achieve Phase I-II CORE Certification.
- ❖ The first health plan to achieve Phase III CORE Certification.
- ❖ Humana wants to lead the path in achieving Phase IV CORE Certification.

# Polling Question #1

**Which stage(s) of implementing the Phase IV CAQH CORE Operating Rules are you voluntarily planning to complete in 2016? (Select all that apply)**

1. Internal Education and Awareness
2. Analysis and Planning/Systems Design
3. Systems Implementation/Integration and Testing
4. Deployment/Maintenance
5. We do not plan to start voluntary implementation in 2016



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# Phase IV CAQH CORE Operating Rules: Benefits and Value Proposition for Implementation

**Robert Bowman**  
CAQH CORE Associate Director

# Implementing the Phase IV CAQH CORE Operating Rules in 2016

By voluntarily implementing the Phase IV CAQH CORE Operating Rules in 2016, your organization will:

- ✓ Establish your leadership in the industry as an early adopter.
- ✓ Determine your own timeline rather than a mandated one.
- ✓ Demonstrate your organization's commitment to administrative simplification.
- ✓ Build on work that has been implemented in previous Phases.

***Early adoption  
means efficiencies  
for you and your  
customers will be  
realized sooner.***



# Implementing Phase IV CAQH CORE Operating Rules

## *Message to Business Level Decision-Makers & Executives*

- The Phase IV CAQH CORE Operating Rules Improve Business Processes by...
  - Applying consistent infrastructure across transactions to achieve economies of scale
  - Recognizing that the steps in financial management are a set of interrelated processes
  - Addressing the interrelatedness of clinical and financial data
  - Moving to electronic processes
  - Eliminating redundancy in financial processes
  - Ensuring processes support efficiency gains and greater transparency for patients



# Value Proposition: Cost Reductions and Increased Efficiency

## *Rule requirements will save time and money*

- Response time and acknowledgment requirements ensure nothing falls into a black hole and that providers are informed.
- Less time is spent verifying information over the phone.
- Providers can immediately learn if their claim submissions were successfully received by plan and moved into the adjudication system.
- Providers can immediately learn whether the plan has received and is reviewing prior authorization request.
- CAQH CORE safe harbor ensures providers can connect online for all of their transactions using their preferred connection method.
- Providers can improve coordination of benefits (COB) through more timely eligibility information from health plan and knowledge of plan's requirement for COB in their companion guide.
- Health plans can build on investments already made in infrastructure for eligibility, claim status, EFT and ERA.



# Value Proposition: Improved Customer Service

## *Rule requirements will improve customer satisfaction*

- Safe harbor connectivity allows you to conduct the transactions with any trading partner upon request – reducing trading partner onboarding.
- Use of the CORE Companion Guide Template makes it easier to engage trading partners.
- Timely data will lead to faster treatment and consolidation of clinical and financial transactions – improving patient satisfaction.



# Value Proposition: Improve Quality

*Rule requirements will improve quality by reducing errors and confusion*

- Use of digital certificate authentication improves security.
- Providers are assured that PHI is transmitted through secure connectivity that meets the national standards.
- Real time connectivity requirement specification lays the tracks for future development.
- Health plans have a common set of infrastructure rules across all transactions on which providers can rely including:
  - Secure connectivity
  - Standardized use of acknowledgements which decreases burden to help desks
  - Consistency in companion guide formats across all transactions
  - Consistency in system availability across all transactions
  - Common expectations around processing mode and response times for each transaction



errors



## Polling Question #2

**What are the anticipated benefits to your organization's implementation of the Phase IV CAQH CORE Operating Rules? (Select all that apply)**

1. Work flow improvements
2. Cost reductions
3. Improved services
4. Don't know
5. Not applicable

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# Phase IV CAQH CORE Operating Rules: Implementation Resources and Certification

**Tyler Schultz**  
CAQH CORE Senior Project Associate

# Phase IV CAQH CORE Operating Rule Implementation Challenges

## Challenges:

- *Busy Team, Competing Priorities*
- *Industry “Regulatory Fatigue”*
- *Many Deliverables*
- *Competing Resources*

## CAQH CORE Commitment to Operating Rule Implementation:

The [CAQH CORE Implementation Resources](#) webpage has a number of resources and tools available at no cost to assist entities with implementation of the CAQH CORE Operating Rules. Additionally, CAQH CORE offers [CORE Certification](#) to entities that create, transmit or use the administrative transactions addressed by the CAQH CORE Operating Rules. CORE Certification means an entity has demonstrated that its IT system or product is operating in conformance with a specific phase(s) of the CAQH CORE Operating Rules and underlying standards.

# Phase IV CAQH CORE Analysis & Planning Guide

*Understand the applicability of rules to various trading partners*

As with previous Phases, CAQH CORE now has an [Analysis & Planning Guide](#) for the Phase IV CAQH CORE Operating Rules



**Planning 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.

# Stakeholder & Business Type Evaluation

*Know what aspects of your business or outsourced functions are impacted*

**CAQH Committee on Operating Rules for Information Exchange (CORE)  
Analysis & Planning Guide for Implementing the Phase IV CAQH CORE Operating Rules  
Version 4.0.0**

A user-friendly Excel workbook containing the *Stakeholder & Business Type Evaluation* is available [HERE](#).

Stakeholder & Business Type Evaluation		
Question	Points for Consideration	Your Response
1. What is your stakeholder type(s)? (e.g., health plan, provider, vendor, clearinghouse; see question 3 for more information on other trading partners)	The <a href="#">Phase IV CAQH CORE Voluntary Certification Test Suite</a> defines four stakeholder types that implement the operating rules: health plan, clearinghouse, provider, and vendor; the applicability of specific Phase IV CAQH CORE Operating Rule requirements vary according to stakeholder type. Please reference <a href="#">Section 2</a> of the Phase IV CAQH CORE Voluntary Certification Test Suite for further information.	
2. What role and responsibilities does my organization have for implementing the Phase IV CAQH CORE Operating Rules, given our stakeholder type(s) (e.g., ASC X12N v5010 837 Claim, ASC X12N v5010 278 Request and Response, ASC X12N v5010 834, and ASC X12N v5010 820)?	The Phase IV CAQH CORE Operating Rules outline the specific roles and responsibilities for each stakeholder type; review Phase IV CAQH CORE Operating Rule text for more detail.	
3. Does my organization rely on other organizations (e.g., software vendors, clearinghouses, business associates) to assist with ASC X12N v5010 837 Claim, ASC X12N v5010 278 Request and Response, ASC X12N v5010 834, and ASC X12N v5010 820 processing?	<p>The applicability of a specific Phase IV CAQH CORE Operating Rule requirement may vary according to trading partner relationship, contracted services, and other arrangements. If your organization relies on a software vendor or a clearinghouse or other business associate to meet any of the Phase IV CAQH CORE Operating Rule requirements, you will need to coordinate with that entity as part of your pre-implementation planning and outline applicability of each requirement to the vendor, clearinghouse or business associate. See Section 4 of this document (above) for additional resources.</p> <p>Ensure appropriate business associate agreements are in place with necessary stakeholders</p>	



**Key Takeaway:**  
Coordinate planning and implementation.  
Determine your stakeholder type and which Phase IV rules apply to you and your trading partners.

# System Inventory & Impact Assessment Worksheet

## Identify and inventory all impacted systems and products

**CAQH Committee on Operating Rules for Information Exchange (CORE)**  
**Analysis & Planning Guide for Implementing the Phase IV CAQH CORE Operating Rules**  
 Version 4.0.0

A user-friendly Excel workbook containing the *Systems Inventory & Impact Assessment Worksheet* is available [HERE](#).



CAQH CORE Systems Inventory & Impact Assessment Worksheet			
Phase IV CAQH CORE Operating Rule	Are One or More Systems/Processes Impacted? <i>(Yes/No; Name of Impacted System/Process)</i>	Is the System/Process In-House, COTS/Cloud-based, or Outsourced to a Third Party?	Potential Options to Address Rule Requirement <i>(e.g. remediate an in-house developed system, replace any COTS/cloud-based system, work with third party ensure they meet CAQH CORE Operating Rule requirement, update manual processes)</i>
<b>Infrastructure Rule</b>			
<a href="#">450: Health Care Claim (837) Infrastructure Rule v4.0.0</a> (ability to support ASC X12N v5010 837 Claim processing)			
<a href="#">452: Health Care Services Review – Request for Review and Response (278) Infrastructure Rule v4.0.0</a> (ability to support ASC X12N v5010 278 Request and Response processing)			
<a href="#">454: Benefit Enrollment &amp; Maintenance (834) Infrastructure Rule v4.0.0</a> (ability to support ASC X12N v5010 834 processing)			
<a href="#">456: Premium Payment (820) Infrastructure Rule v4.0.0</a> (ability to support ASC X12N v5010 820 processing)			
<a href="#">470: Connectivity Rule v4.0.0</a> (ability to support updated Connectivity Rule; please also refer to the <a href="#">Phase IV CAQH CORE-Required Processing Mode and Payload Type Tables v4.0.0</a> )			

**Key Takeaway:**  
 Understand how many of your systems/ products are impacted by each Phase IV rule requirement and with which vendors you will need to communicate and coordinate.



# Gap Analysis Worksheet

Determine the level of system remediation needed to adopt the rule requirements

**CAQH Committee on Operating Rules for Information Exchange (CORE)  
Analysis & Planning Guide for Implementing the Phase IV CAQH CORE Operating Rules  
Version 4.0.0**

A user-friendly, Excel workbook containing the *Gap Analysis Worksheet* is available [HERE](#).

Rule Req. #	CAQH CORE Operating Rule Requirement	System/Process Impacted <i>(Based on results from System Inventory and Impact Analysis Worksheet; if no impact enter N/A)</i>	System/Process Currently Meets the Requirement <i>(Yes/No)</i>	Gap <i>(Briefly describe gap)</i>	Estimated System/Process Remediation Effort <i>(Required number, type of skilled resource, person hours required)</i>	Business Processes Impacted <i>(Briefly describe)</i>	Business Processes/Documentation Revisions Required & Effort Estimates
<b>Phase IV CAQH CORE 450 Health Care Claim (837) Infrastructure Rule v4.0.0</b>							
<i>Processing Mode Requirements (§4.1)</i>							
1	Health plan must support server requirements for Batch processing mode.						
2	Health plan may optionally also support server requirements for Real Time processing mode.						
<i>Connectivity Requirements (§4.2)</i>							
3	A HIPAA-covered entity must be able to support the Phase IV CAQH CORE 470 Connectivity Rule v4.0.0.						
<i>System Availability Requirements (§4.3.1)</i>							
4	Publication of regularly scheduled downtime, including holidays and method(s) for such publication.						
5	Publication of non-routine downtime notice and method(s) for such publication.						
6	Publication of unscheduled/emergency downtime notice and method(s) for such publication.						
<i>Acknowledgement Requirements (§4.4.1)</i>							
7	An ASC X12C v5010 999 is returned on a rejected ASC X12 Functional Group of ASC X12N v5010 837 in either Real Time Processing Mode or Batch Processing Mode.						
8	An ASC X12C v5010 999 is not returned on an accepted ASC X12 Functional Group of an ASC X12N v5010 837 in Real Time Processing Mode.						
9	An ASC X12C v5010 999 is returned on any accepted ASC X12 Functional Group of an ASC X12N v5010 837 in Batch Processing Mode.						
10	An ASC X12N v5010 277CA transaction is returned for a transaction set that complies with the ASC X12N v5010 837 TR3 implementation guide.						



**Key Takeaway:**  
Understand the level of system remediation necessary for adopting the business and technical requirements of the Phase IV CAQH CORE Operating Rules.

# Phase IV CAQH CORE Operating Rules - Frequently Asked Questions (FAQs)

## [CAQH CORE FAQ Website](#)

Includes more than 100 Phase IV CAQH CORE Operating Rule FAQs, from general concepts to technical questions

CAQH CORE offers more than 700 frequently asked questions (FAQs) addressing all four phases of the CAQH CORE Operating Rules, general CAQH CORE information, CORE Certification and future development of operating rules. You may find your FAQ by clicking on the links below or using the search bar above to identify key words.

Additional CAQH CORE Resources are available for implementing the CAQH CORE Operating Rules: See CAQH CORE Implementation Resources and CAQH CORE Events. If you have any questions not addressed by the CAQH CORE Online Resources, please email [CORE@caqh.org](mailto:CORE@caqh.org).

NOTE: The CAQH CORE FAQs are for informational purposes only; in the case of a discrepancy between this document and CAQH CORE Operating Rule text and/or Federal regulations, the latter take(s) precedence. No adjustments to CAQH CORE rule requirements will be made via the FAQ process.

- PART A: GENERAL CAQH CORE FAQs
- PART B: ACA SECTION 1104 MANDATE FOR FEDERAL OPERATING RULES
- PART C: PHASE I & II CAQH CORE ELIGIBILITY & CLAIM STATUS OPERATING RULES
- PART D: PHASE III CAQH CORE EFT & ERA OPERATING RULES
- PART E: PHASE IV CAQH CORE OPERATING RULES**
- PART F: CAQH CORE OPERATING RULES IN DEVELOPMENT
- PART G: CERTIFICATION: ACA SECTION 1104 CERTIFICATION, CORE CERTIFICATION, PROPOSED CORE HIPAA CREDENTIAL, AND CORE ENDORSEMENT

## **Part E: Phase IV CAQH CORE Operating Rules**

### [I. Overview of Phase IV CAQH CORE Operating Rules](#)

### [II. CAQH CORE 450: Health Care Claim \(837\) Infrastructure Rule](#)

### [III. CAQH CORE 452: Health Care Services Review - Request for Review and Response \(278\) Infrastructure Rule](#)

### [IV. CAQH CORE 454: Benefit Enrollment and Maintenance \(834\) Infrastructure Rule](#)

### [V. CAQH CORE 456: Premium Payment \(820\) Infrastructure Rule](#)

### [VI. CAQH CORE 470: Connectivity Rule](#)

### [VII. Resources for Implementing the Phase IV CAQH CORE Operating Rules](#)

More FAQs are added every month!

# Voluntary CORE Certification





*Developed BY Industry, FOR Industry*

[CORE Certification](#) is the most robust and widely-recognized industry program of its kind. Its approach assures an independent, industry-developed confirmation of conformance with operating rules and underlying standards:

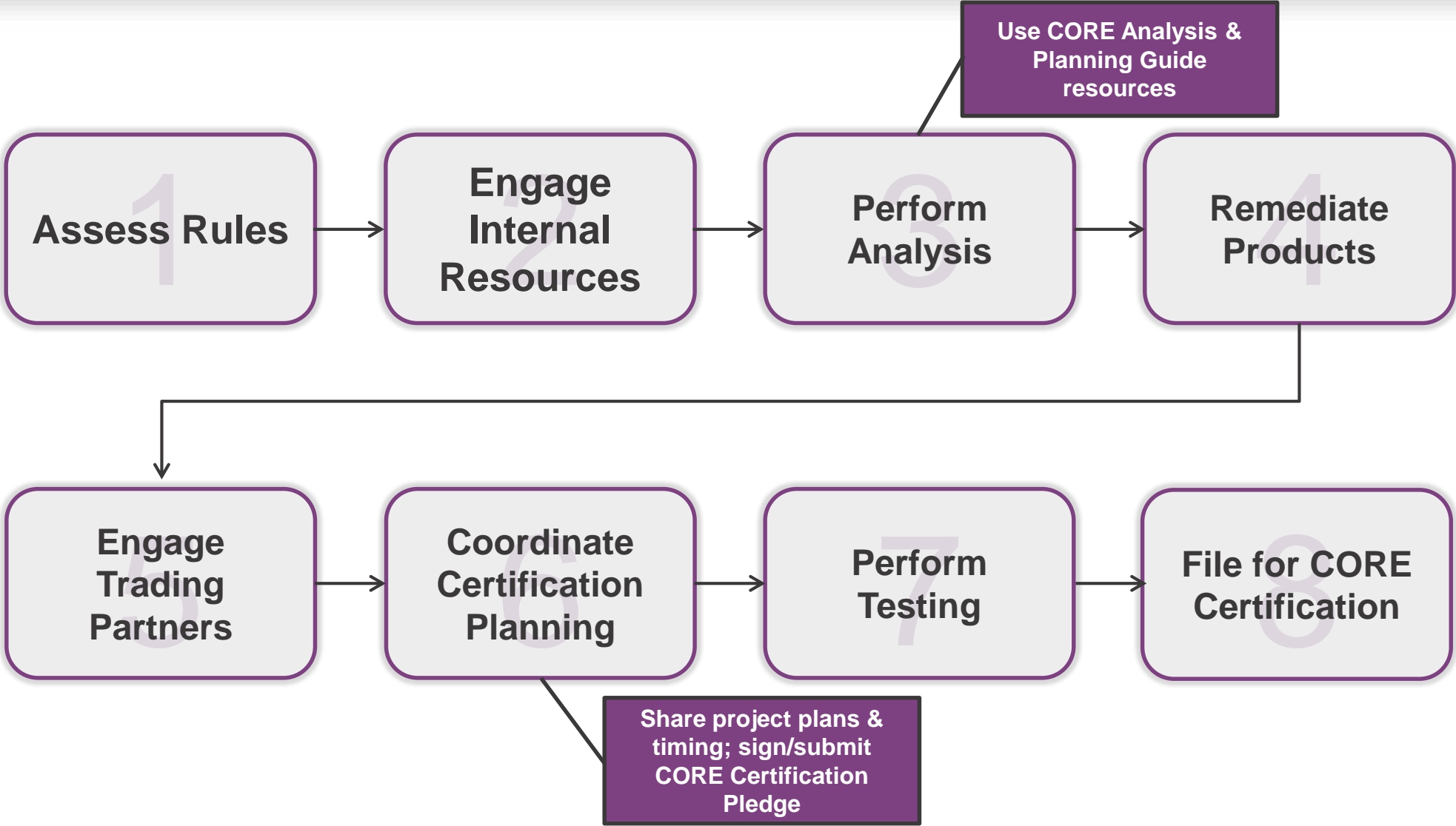
- Requirements are developed by broad, multi-stakeholder **industry representation** through transparent discussion and polling process.
- Required conformance testing is conducted by **third party testing vendors** that are experts in EDI and testing.
- CAQH CORE serves as a neutral, **non-commercial administrator**:
  - Authorizes the conformance testing vendors.
  - Reviews and approves the Certification applications and conformance test reports before Certification Seal is awarded.



# Voluntary CORE Certification is Good for Business

<b>HEALTH PLANS</b> 	<b>PROVIDERS</b> 	<b>CLEARINGHOUSES</b> 	<b>VENDOR SOLUTIONS</b> 
<p>Conduct secure, timely, and streamlined electronic transactions.</p>	<p>Eliminate time-consuming calls/paperwork</p>	<p>Add value for current customers and attract new customers.</p>	
<p>Demonstrate conformance with federally mandated operating rules and underlying standards.</p>	<p>Increase patient satisfaction through efficient patient services</p>	<p>Meet expectations: CORE Certification is becoming a trading partner contract expectation by health plans and providers.</p>	
<p>Show that you are maximizing the efficiencies afforded by the operating rules and underlying standards.</p>	<p>Show that you are maximizing the efficiencies afforded by the operating rules and underlying standards.</p>	<p>Guarantee that your systems, products, or services are conformant with the operating rules and underlying standards.</p>	<p>Help your customers: CORE Certification allows your customers the value-add of “drafting” behind your certification and also becoming CORE-certified.</p>
<p>Achieve these goals through CORE Certification, a process that uses industry-developed conformance requirements, a third-party tester, and a neutral, non-commercial administrator.</p>			

# Phase IV CAQH CORE Operating Rule Implementation Approach



# Phase IV CAQH CORE Operating Rule Implementation Keys to Success

- **Establish Open Communication with Trading Partner(s)**
  - Continuation of CORE Certification relationship established in prior Phases
- **Have the Right Plan – Set Yourself up for Success!**
  - Start with the Certification goal in mind
  - Document all necessary actions, not just testing
  - Base your approach on CAQH CORE implementation tools
  - Open and frequent communication with trading partners regarding planning and testing approaches



## Polling Question #3

**Which of the following is the biggest challenge to your organization's implementation of the Phase IV CAQH CORE Operating Rules?**

1. Fully understanding the requirements of the Phase IV CAQH CORE Operating Rules
2. Having enough resources (time/staff/\$) for implementation
3. Decision makers in my organization have not given the go ahead
4. No major challenges
5. Not applicable

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# Phase IV CAQH CORE Operating Rules: Infrastructure Requirements

**Robert Bowman**  
CAQH CORE Associate Director

# Complete Set of Phase IV CAQH CORE Operating Rules

## [Phase IV CAQH CORE Operating Rules](#)



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

# 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**

# 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	If Batch Offered	X	X

# Batch Acknowledgement Requirements

## ASC X12N v5010 837 Transaction

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

## ACS X12N v5010 278 Transaction

- An entity must return an ASC X12C v5010 999 to indicate the Functional Group(s) was accepted, accepted with errors, or rejected and to specify the Transaction Set was accepted, accepted with errors, or rejected

## ACS X12N v5010 834 & 820 Transaction

- A health plan must return an ASC X12C v5010 999 to indicate 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 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.

**20 Seconds**  
Round Trip Max Response Time

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

# Real Time Acknowledgement Requirements

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

- ASC X12N v5010 837 Transaction**
  - A health plan must return an ACS X12C v5010 999 to indicate Functional Group is rejected
  - A health plan must return an ASC X12N v5010 277CA to indicate Functional Group is accepted or accepted with errors
  
- ASC X12C v5010 278 Transaction**
  - A health plan must return an ASC X12C v5010 999 to indicate Functional Group was rejected
  
- ACS X12N v5010 834 & 820 Transaction**
  - A health plan must return an ASC X12C v5010 999 to indicate 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

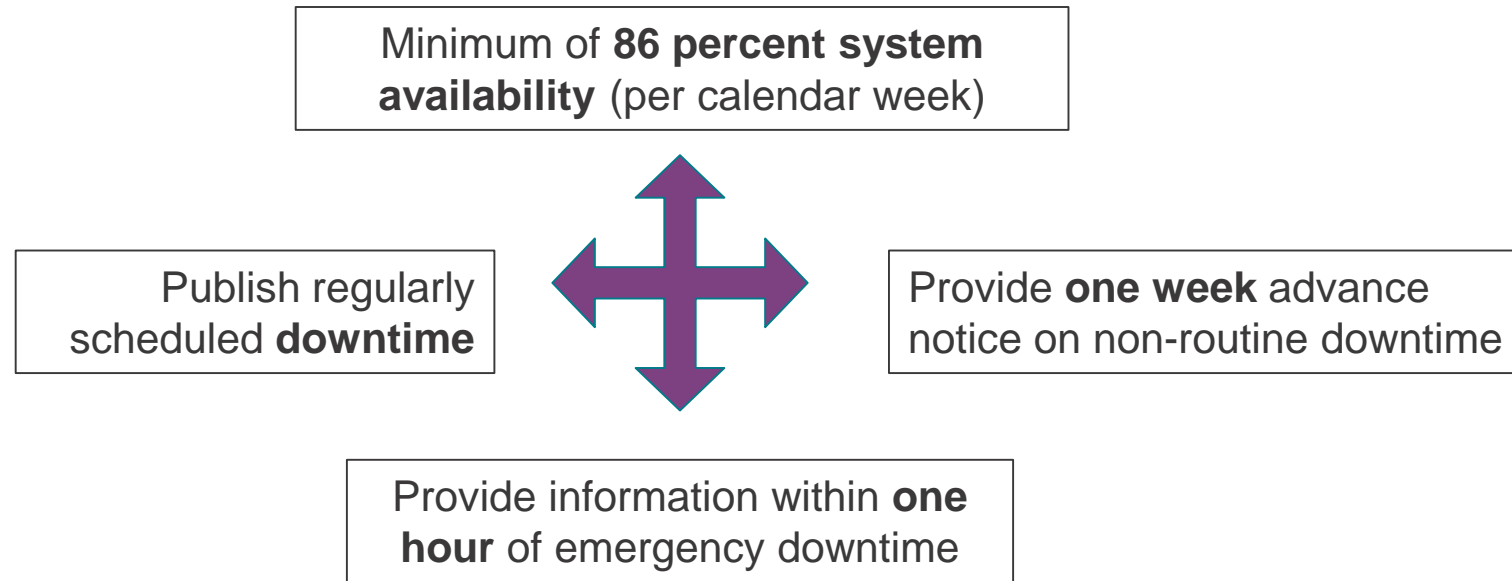


**Enables trading partners to use different communications and security methods than what is specified in rule:**

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

# System Availability Requirements

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



**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.

## 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

# Unique Phase IV Infrastructure Requirements

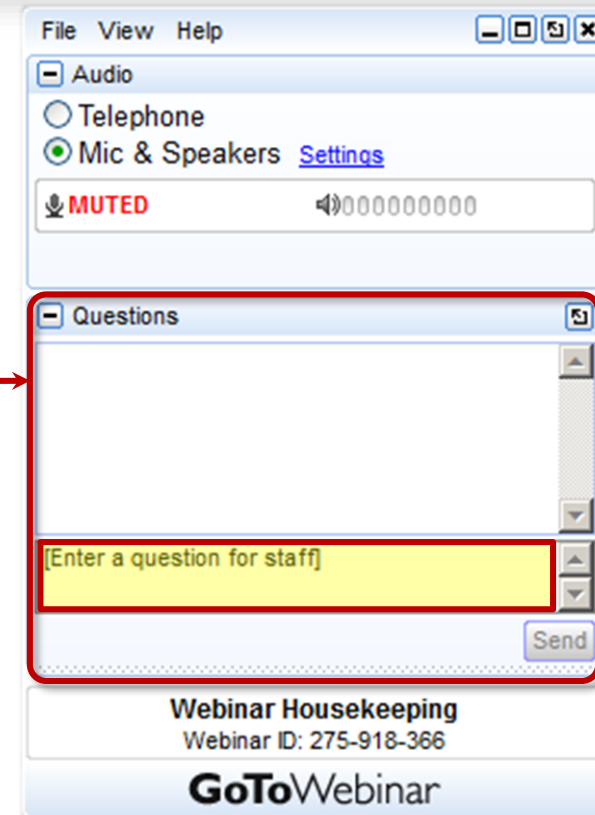
Phase IV Operating Rule	Unique Phase IV Infrastructure Requirement (e.g. not included in previous CAQH CORE Rules)
<p><b>Health Care Claim</b> Infrastructure Rule</p>	<p>The receiver (defined as the HIPAA-covered provider or its agent) of ASC X12C v5010 999 transaction and ASC X12N v5010 277CA transaction is required to:</p> <ul style="list-style-type: none"> <li>▪ Process any ASC X12C v5010 999 or ASC X12N v5010 277CA transaction <i>within one business day</i> of its receipt.</li> <li>▪ <i>Recognize all error conditions</i> that can be specified using all standard acknowledgements named in this rule and to <i>pass all such error conditions</i> to the end user as appropriate OR to <i>display to the end user</i> text that uniquely describes the specific error condition(s), ensuring that the actual wording of the text displayed accurately represents the error code and the corresponding error description specified in the related ASC X12 acknowledgement specification without changing the meaning and intent of the error condition description.</li> </ul>
<p><b>Benefit Enrollment and Maintenance</b> Infrastructure Rule</p>	<p>A HIPAA-covered health plan or its agent must process benefit enrollment/maintenance data by its system <b><i>within five business days</i></b> following the receipt and validation of the data.</p>
<p><b>Payroll Deducted and Other Group Premium Payment for Insurance Products</b> Infrastructure Rule</p>	<p>A HIPAA-covered health plan or its agent must process the Payroll Deducted and Other Group Premium Payment for Insurance Products data by its internal application system <b><i>within five business days</i></b> following the successful receipt and validation of the data.</p>

# Audience Q&A

**Please submit your questions**

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

**You can also submit questions at any time to [CORE@caqh.org](mailto:CORE@caqh.org)**



**Reminder - Download a copy of today's presentation slides at [caqh.org/core/events](http://caqh.org/core/events)**

- Navigate to the Resources section for today's event to find a PDF version of today's presentation slides
- Also, a copy of the slides and the webinar recording will be emailed to all attendees in the next 1-2 business days

## Resources

- [Presentation Slides](#)

# Key Takeaways

- There is value in planning for implementation now. Be a leader in the healthcare industry.
- The Phase IV CAQH CORE Voluntary Operating Rules build upon Phases I-III.
- Phase IV CAQH CORE Operating Rules are a first step for these transactions – prior authorization, claims, enrollment/disenrollment and premium payment – and establish key infrastructure; data content will be addressed in future phases.
- 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 Education Sessions

**Certifying Local Government Plans: Voluntary CORE  
Certification Webinar with San Francisco Health Plan**

**WEDNESDAY, JUNE 29, 2016 – 1 PM ET**

To register, please go to [www.caqh.org/core/events](http://www.caqh.org/core/events)

# Engage With Us!

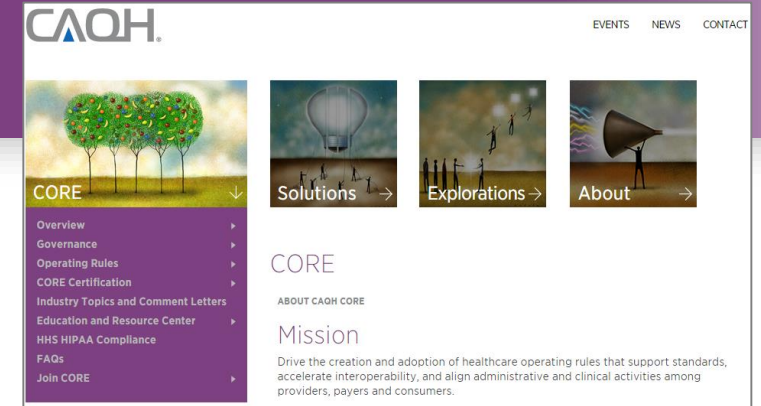
Visit us at the [CAQH CORE Website](http://CAQH CORE Website) or contact us at [CORE@CAQH.org](mailto:CORE@CAQH.org)

**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 upcoming [webinars](#)



Dedicated webpages:

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

# Thank you for joining us!

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