**AUC EXECUTIVE COMMITTEE AGENDA and Meeting Materials**

**Monday, February 2, 2015**
**8:30 – 10:30 a.m.**
HealthPartners-Bloomington
8170 Building, Monday **1W Walnut (1st floor)**

*Teleconference and WebEx **OPTION***
Dial-in # 1-857-232-0300, Access Code: 337213
WebEx, Password: Exc2010!

**Meeting Objectives:**

- Review and discuss several updates and follow-up
- Initial planning for March Operations meeting

**TENTATIVE AGENDA (DRAFT)**

| Agenda Item | Page of this handout |
|---|---|
| 1. Meeting to order – Ann Hale | |
| 2. Anti-trust statement | |
| 3. Review of notes from the previous meeting | 2 |
| 4. Updates/Old business<br>a. Discussion with DHS, Trish Schirmers re 4 digit PMAP codes (Trish and DHS will be calling in about 8:30)<br>b. Companion Guides Update<br>c. Eligibility TAG co-chairs<br>d. CORE phase IV operating rules (Rules and Infrastructure Workgroup)<br>e. ACO data analytics follow-up | 4 |
| 5. New business<br>a. SBAR process<br>b. Initial planning for March 10, 2015 Operations meeting | 7 |
| 6. Other business | |
| 7. Next meeting: March 2, 2015, 8:30am - 10:30am<br>HealthPartners Walnut room | |

## 3. Review of notes from the previous meeting

**AUC Executive Committee**
**January 6, 2015**
**Meeting notes**

| January 6, 2015 Agenda Item | Notes/Follow-up |
|---|---|
| 1. Meeting to order – Ann Hale | Ann Hale chaired the meeting and called the meeting to order at approximately 8:30 a.m. |
| 2. Anti-trust statement | Ann noted the AUC anti-trust statement. |
| 3. Review of notes from the previous meeting | The notes from the December 1, 2014 Executive Committee were reviewed and approved. |
| 4. Updates<br>a. Follow up to MDH-DLI Worker's Compensation Symposium – update, next steps | Dave Haugen of the Minnesota Department of Health (MDH) reported that MDH has been in contact with the national trade associations for health care clearinghouses (the "Cooperative Exchange") and for practice management systems (the Healthcare Administrative Technology Association – HATA) to discuss findings of the November 5 workers' compensation e-transactions symposium and follow-up.<br><br>A key emphasis in planning follow-up to the symposium will be the development of best practices and education to improve compliance with Minnesota's e-transactions requirements. In addition, MDH will continue working with stakeholders to help address a key issue raised at the symposium regarding the lack of a single "one stop shop" for information needed for establishing electronic exchange connectivity and addressing problems. One possible model of interest is to develop a page on the AUC website linking to payer website pages with information on the payer's clearinghouses, payer identification numbers, points of contact, and other information. |
| b. Companion Guides Update | Dave reported that the latest round of "annual maintenance" (updates and corrections) of the Minnesota Uniform Companion Guides (MUCGs) to ensure that they remain current and correct is nearing completion. A 30-day public comment period for proposed updates to the Eligibility (270-271) and Remittance Advice (835) guides ended recently with only comments regarding minor changes, and the proposed changes will be moving forward as final, adopted rules in the near future. Changes have also been proposed for the claims MUCG, which were published on December 15, 2014 along with a notice of a public comment period through January 22, 2015. |
| c. ACO data analytics follow-up | Dave noted that the Executive Committee had helped an AUC member with interests in assuring that data analytics provided to Accountable Care Organizations (ACOs) be standard connect with the state's State Innovation Model (SIM) Data Analytics Subgroup. He was not aware of any further developments but will check to provide any additional updates. |

| January 6, 2015 Agenda Item | Notes/Follow-up |
|---|---|
| d. MDH customer satisfaction survey of the AUC | Dave explained that MDH has adopted a system of "results based accountability" to determine progress toward goals and to use for performance improvement purposes. In order to measure MDH's performance in staffing and supporting the AUC as part of the state's health care administrative simplification initiative, MDH conducted a "customer satisfaction survey" of AUC members in December 2014. Fourteen responses were received from a total of 49 possible. Ninety-three percent of the responses rated MDH overall as "excellent" or "very good" in its work with the AUC. |
| e. Ed Stroot gathering/recognition? | Ann Hale reported that a gathering is being held for Ed Stroot, long-time AUC member and Eligibility TAG co-chair, in honor of his retirement. The gathering starts at 5:00 p.m. at "Grumpy's" in Roseville, January 15, 2015. Ann said she would notify AUC members that Ed had previously informed of his retirement to ensure that they were aware of the gathering. |
| 5. New business<br>a. 4 digit PMAP codes | Dave Haugen noted that Trish Schirmers had requested assistance from the AUC to help address hospitals' need for additional information to correctly assign patients covered by public programs to the correct program and correct state/federal funding. The information is needed as part of required audits of Disproportionate Share Hospitals (DHS) payments by the state's Medical Assistance (Medicaid) program.<br><br>The AUC previously addressed the issue by developing companion guide requirements and best practices for reporting of "two-digit PMAP codes" to help link patients to codes for public programs administered by the Minnesota Department of Human Services (DHS). However, additional more detailed information, including not only the two-digit PMAP code, but an additional two-digit code indicating the level of federal financial participation, is needed for audit purposes.<br><br>Dave said he emailed DHS and that they were aware of the issue and were working with Trish and gathering additional background information. The Executive Committee requested that Dave contact Trish and DHS to invite them, as well as anyone else they felt should be included, to the next Exec Committee meeting to discuss the issue and any possible next steps with the Committee. |
| 6. Other business | There was no other business and the meeting was adjourned at approximately 10:00 a.m. |
| 7. Next meeting: February 2, 2015, 8:30am - 10:30am HealthPartners St. Croix room | |

## 4. Updates/Old business

### a. *Discussion with DHS, Trish Schirmers re 4 digit PMAP codes (Trish and DHS will be calling in about 8:30)*

- Trish and several DHS staff will be joining the call about 8:30 to discuss the 4 digit PMAP issue.

### b. *Companion Guides Update*

- Dave Haugen will provide a brief companion guide update.

### c. *Eligibility TAG co-chairs*

- If the Eligibility TAG is to continue, new co-chairs are needed. A request for volunteers was sent earlier, but we are not aware of any responses.

### d. *CORE phase IV operating rules (Rules and Infrastructure Workgroup)*

- MDH was asked to learn more about the opportunities and process for participating in CORE's development of phase IV operating rules. Below is CORE's response to our request for the information:

Dave,

Happy New Year and thanks for your email. We appreciate your efforts to coordinate participation by the Minnesota Administrative Uniformity Committee (AUC) and understand you are asking the following questions:

- Status of Rules and CAQH CORE Rules Work Group and Technical Work Groups
  - What is the focus and timeframe for the CAQH CORE Rules Work Group and Technical Work Groups?
  - How long are the meetings?
  - Who is eligible to participate?
- Will Phase IV include any work on data content operating rules and/or companion guide templates?
- Will Phase IV include any work on operating rules for attachments?
- Are the draft Phase IV Operating Rules available online?
- What is the regulatory process for adoption of the ACA mandated third set of operating rules (e.g. the Phase IV CAQH CORE Operating Rules)?

**Status of Rules and CAQH CORE Rules Work Group and Technical Work Groups**

The table below outlines the focus and timeframe for the CAQH CORE Rules and Technical Work Groups. All calls will be held on Thursdays from 3-4:30pm ET unless otherwise noted. Anyone from a CORE Participating entity may join the Work Groups and any entity may become a CORE Participating entity. For a list of CORE Participating entities and more information on how to join CAQH CORE click HERE.

| Work Group | Call Dates/Activities | Charge/Goal | Transactions being Addressed |
|---|---|---|---|
| Rules Work | The RWG will hold eight | From 01/22/15-04/16/15 the RWG | • Health claims or |

| | | | |
|---|---|---|---|
| Group (RWG) | calls from 3-4:30 pm ET on the following Thursdays:<br>• 01/22/15<br>• 02/19/15<br>• 03/05/15<br>• 04/16/15<br>• 05/07/15<br>• 05/14/15<br>• 06/11/15<br>• 07/02/15<br>The RWG will also complete two Straw Polls and two formal Ballots during this timeframe on four draft rules. | will review and ballot the following draft rules:<br>• *Draft Phase IV CAQH CORE 450 Health Care Claim (837) Infrastructure Rule version 4.0.0*<br>• *Draft Phase IV CAQH CORE 452 Health Care Services Review - Request for Review and Response (278) Infrastructure Rule version 4.0.0*<br>From 04/16/15 – 07/02/15 the RWG will review and ballot the following draft rules:<br>• *Draft Phase IV CAQH CORE Benefit Enrollment & Maintenance (834) Infrastructure Rule version 4.0.0*<br>• *Draft Phase IV CAQH CORE Premium Payment (820) Infrastructure Rule version 4.0.0* | equivalent encounter information<br>• Referral certification and authorization<br>• Enrollment and disenrollment in a health plan<br>• Health plan premium payments |
| Technical Work Group (TWG) | The TWG will hold four calls from 3-4:30 pm ET on the following Thursdays:<br>• 02/12/15<br>• 03/19/15<br>• 04/23/15<br>• 04/30/15<br>The TWG will also complete one Straw Poll and one formal Ballot during this timeframe on one draft rule. | From 02/12/15 – 04/30/15 the TWG will review and ballot the following draft rules:<br>• *Draft Phase IV CAQH CORE 470 Connectivity Rule version 4.0.0* | • Health claims or equivalent encounter information<br>• Referral certification and authorization<br>• Enrollment and disenrollment in a health plan<br>• Health plan premium payments |

**Status of Data Content Operating Rules and/or Companion Guide Templates**

As you know, CAQH CORE Operating Rules address both transaction data content and infrastructure (e.g., connectivity, response time, system availability, etc.) requirements. The Draft Phase IV CAQH CORE Operating Rules address infrastructure requirements only based on a range of input. By focusing on developing infrastructure requirements, CAQH CORE is able to build on industry familiarity and resources to implement and integrate the existing CAQH CORE infrastructure requirements. Additionally, the focus on infrastructure requirements was strongly supported in the 2013 CAQH CORE Industry Surveys pertaining to the scope of the Phase IV Operating Rules.

With regarding to Companion Guide, currently the common template is included in the draft rules with some specific requirements by transactions, e.g. Coordination of Benefits section proposed in Claims Companion Guide given a very high percentage of claims are electronic and a real challenge with those that aren't relate to COB. As part of its review, the Claims/Prior Authorization Subgroup reviewed the link to the CORE v5010 Master Companion Guide Template and did not have comments. As with other rules, Work Group will review this as well.

**Status of Operating Rules for Attachments**

Section 1104 of the ACA includes the health claims attachment transaction to the list of electronic healthcare transactions for which the HHS Secretary must adopt a standard under HIPAA. The ACA requires the health claims attachment transaction standard to be adopted by January 1, 2014, in a manner ensuring that it is effective by January 1, 2016. To date, HHS has not adopted a standard for health claims attachments or indicated what standard(s) it might consider for the transaction, and an effective date for these operating rules is not included in the ACA. As such, the immediate focus of the Phase IV CAQH CORE Operating Rules will not include health claims attachments.

Since 2012, CAQH CORE has conducted extensive research to identify how regulatory requirements can help drive the adoption of electronic attachments. A market assessment was conducted in 2013 to identify business needs, data content and format requirements, technical infrastructure, and priorities for the exchange of attachments/additional information using administrative transactions. In 2014, CAQH CORE held listening sessions with over 300 participants to continue dialogue, discuss trends, and obtain data from current industry activities and experience. The findings of this research indicate that the vast majority of entities are still using paper to provide clinical data on a claim or other administrative transactions, and, when attachments are electronic, the most common formats are PDF, JPG, TIF, and Word.

Based on these findings, CAQH CORE supports an incremental, flexible use of operating rules to move attachments from paper to electronic documents, as recommended by NCVHS in its June 21, 2013 letter to the Secretary. For example, CAQH CORE Operating Rules could adopt requirements around a limited set of industry-neutral electronic document formats to quickly (two years) provide the industry with efficiencies and movement toward electronic formats; e.g., use of JPG and requiring a trace number or other tracing mechanism to link an attachment to its request. Additionally, based on CAQH CORE research, it is evident that industry-wide education will be key given the current level of knowledge of specific attachment-related standards such as HL7 C-CDA. CAQH CORE will support such industry education and coordinate with key stakeholders. After HHS adopts a standard for health claims attachments, there are a range of opportunities for CAQH CORE Operating Rules, such as:

- Use of LOINC attachment type codes to identify specific document/information needed
- Workflow/business rules for unsolicited attachments
- Business rules for using Direct Data Entry (DDE) or other source
- Scenario-based adoption of structured documents
- Potential ways to reduce the number of attachments

**Availability of the Draft Phase IV CAQH CORE Operating Rules**

Links to the Draft Phase IV CAQH CORE Operating Rules are available on the CAQH CORE website once they are approved and updated by the CAQH CORE Subgroups for Work Group review HERE. Two of the five Draft Phase IV CAQH CORE Operating Rules are currently under development by CAQH CORE Subgroups. The remaining three Draft Phase IV CAQH CORE Operating Rules are currently drafted and under review by the CAQH CORE Rules Work Group or CAQH CORE Technical Work Group. *Please note: the links are to DRAFT versions of the Phase IV CAQH CORE Operating Rules*

*only. The draft rules are subject to change throughout the formal CORE Voting Process.* CAQH CORE will update the industry once the draft rules are finalized via the CORE Voting Process and highlight any adjustments. Additionally, CAQH CORE will be holding public, free education sessions in the first half of 2015 to highlight the contents of the Draft Phase IV CAQH CORE Operating Rules in more detail. Announcements of dates/times of such education sessions will be forthcoming.

**Regulatory Process for Adoption of the ACA Mandated Third Set of Operating Rules**
It is anticipated that the regulatory process for adoption of the ACA-mandated third set of operating rules (e.g. the CAQH CORE Phase IV Operating Rules) will be similar to the process for EFT & ERA and include opportunities for public comment. That process includes the following key steps:

- CAQH CORE will update NCVHS on the status of the draft Phase IV Operating Rules at its February 2015 meeting
    - Public comments may be shared with NCVHS at their meetings
- As appropriate, NCVHS will make an adoption recommendation to the HHS Secretary or ask for CORE to return to NCVHS later in 2015 before NCVHS makes its recommendation
- HHS will publish a regulation in the Federal Register once it receives a final set of rules from CORE and determines what is appropriate for Federal mandate
- A public comment period (60 days or more) will follow publication of the regulation whereby entities can submit comments on the regulation to CMS/HHS
- Once comments have been reviewed, HHS will publish a Final Rule that may or may not include adjustments based on the public comments

I hope this answers your questions. Please let us know if you have additional questions. We invite the Minnesota AUC and associated entities to join CAQH CORE and participate directly in the rule development process.

Best,
Erin

Erin Richter Weber
CORE Senior Manager
202.517.0435

e. ACO data analytics follow-up

At Exec's request I contacted Nancy Garrett for any updates regarding the ACO data analytics issue she brought to the AUC. She said that SIM Data Analytics subgroup had one meeting where the issue was addressed tangentially.

## 5. New business

a. SBAR process – MDH recently forwarded several SBARs that had been sent to the Medical Code TAG. Ann asked for a review of the SBAR policy and forms, and discussion of the process for completing and responding to SBARs. MDH will prepare for the discussion the Exec meeting.

b. Initial planning for March 10, 2015 Operations meeting. The next regularly scheduled quarterly Operations meeting is March 10. At this time there are only relatively routine updates planned.

6. **Other business**

7. **Next Exec Committee meeting:**
   - March 2, 8:30am - 10:30am, HealthPartners – Walnut room