

# HIPAA Transactions

## The Next Generation

7 April 2005

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*Intelligently Linking Information Systems*

# Today's Session

Objective: Provide information that allows impacted organizations to track and participate in future HIPAA TCS activities; thereby managing their futures

## Topics:

- ✓ Materials Used in HIPAA TCS
- ✓ Processes for Creating Materials
- ✓ Status and Predictions
- ✓ Obtaining Further Information

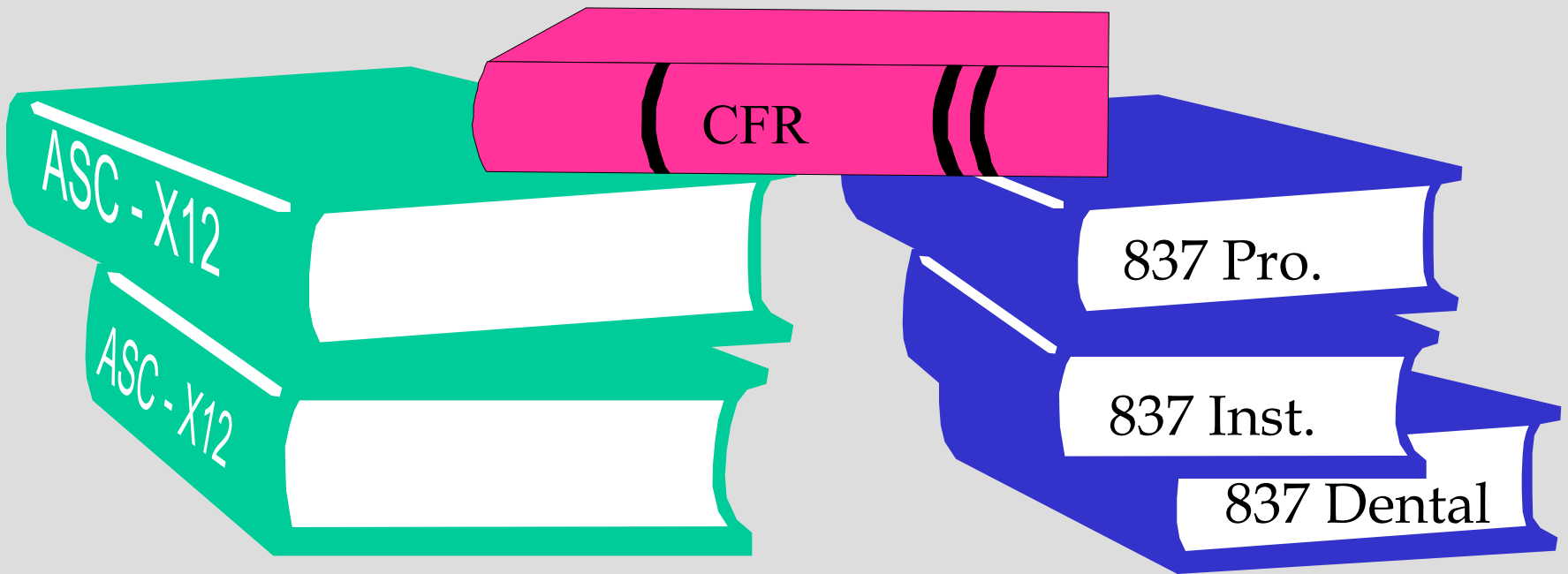


# Caveats

For clarity and simplicity, today's discussion primarily illustrates the ANSI SDO processes of Accredited Standards Committee X12. Similar but differing processes also exist at other HIPAA SSO's.

*The predictions contained in today's presentation are solely those of the author and do not represent the views, official or unofficial, of anybody else.*

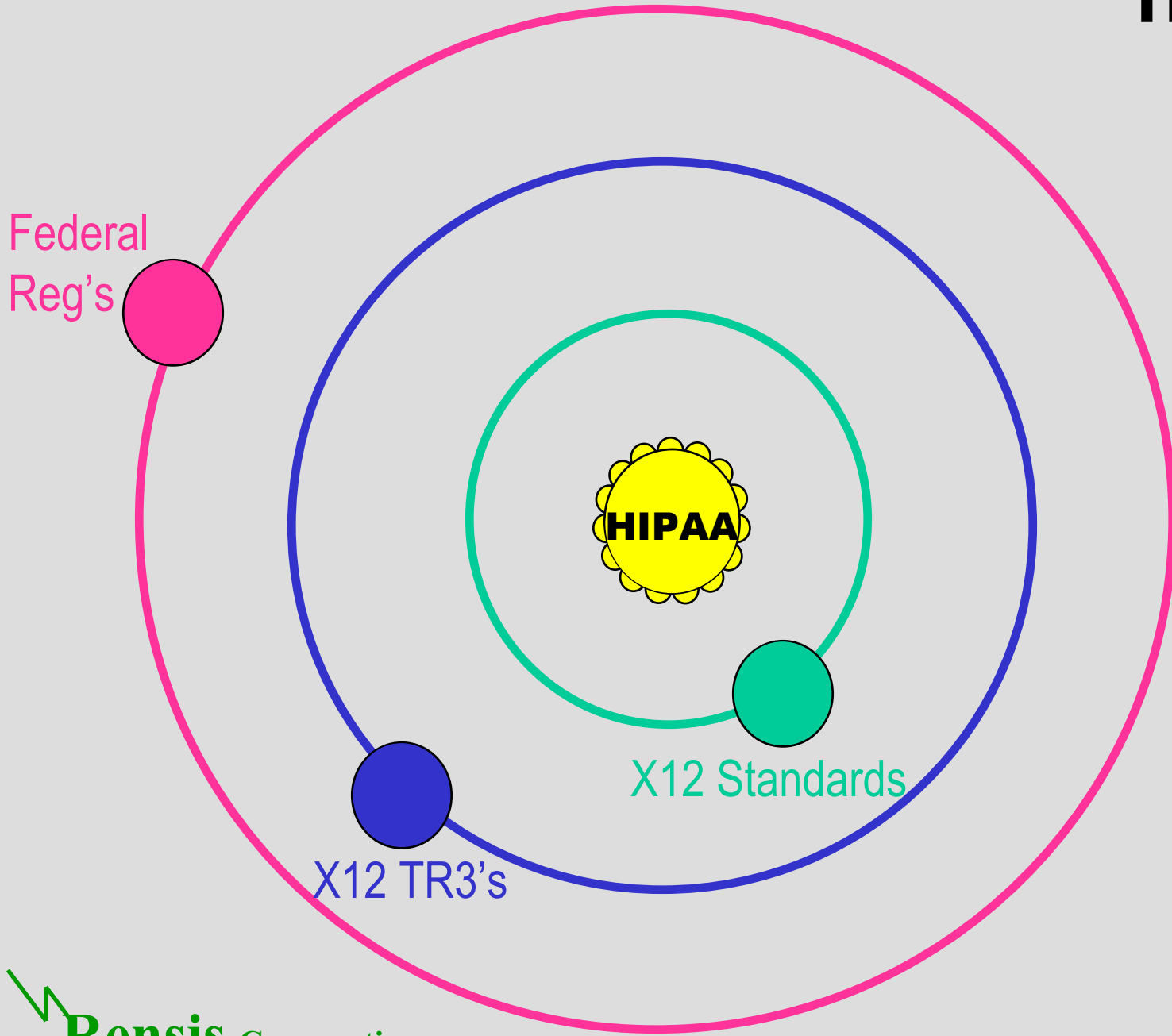
# Materials



# HIPAA Transactions Specifications

- Mandatory **Federal Regulations** [“Rules”]  
*which “adopt” and promulgate*
- Voluntarily published X12 (and equivalent)  
**Type 3 Technical Reports (TR3’s)**  
*a.k.a. “HIPAA Standards”*  
*which define precise uses of*
- Voluntarily published **X12 Standards**

# THE HIPAA SOLAR SYSTEM



# X12 Standards

- Publication Cycle            3 times a year
- Publisher                      Data Interchange  
   Standards Association
- Governing Materials        Standing Doc. 2 (SD2)
- Authoring Entities            X12N Workgroups
- Supporting Entities           X12N / TG8 (Architecture)  
   X12J (Tech. Assessment)  
   Procedures Review Board  
   (PRB)

# X12 Type 3 Technical Reports

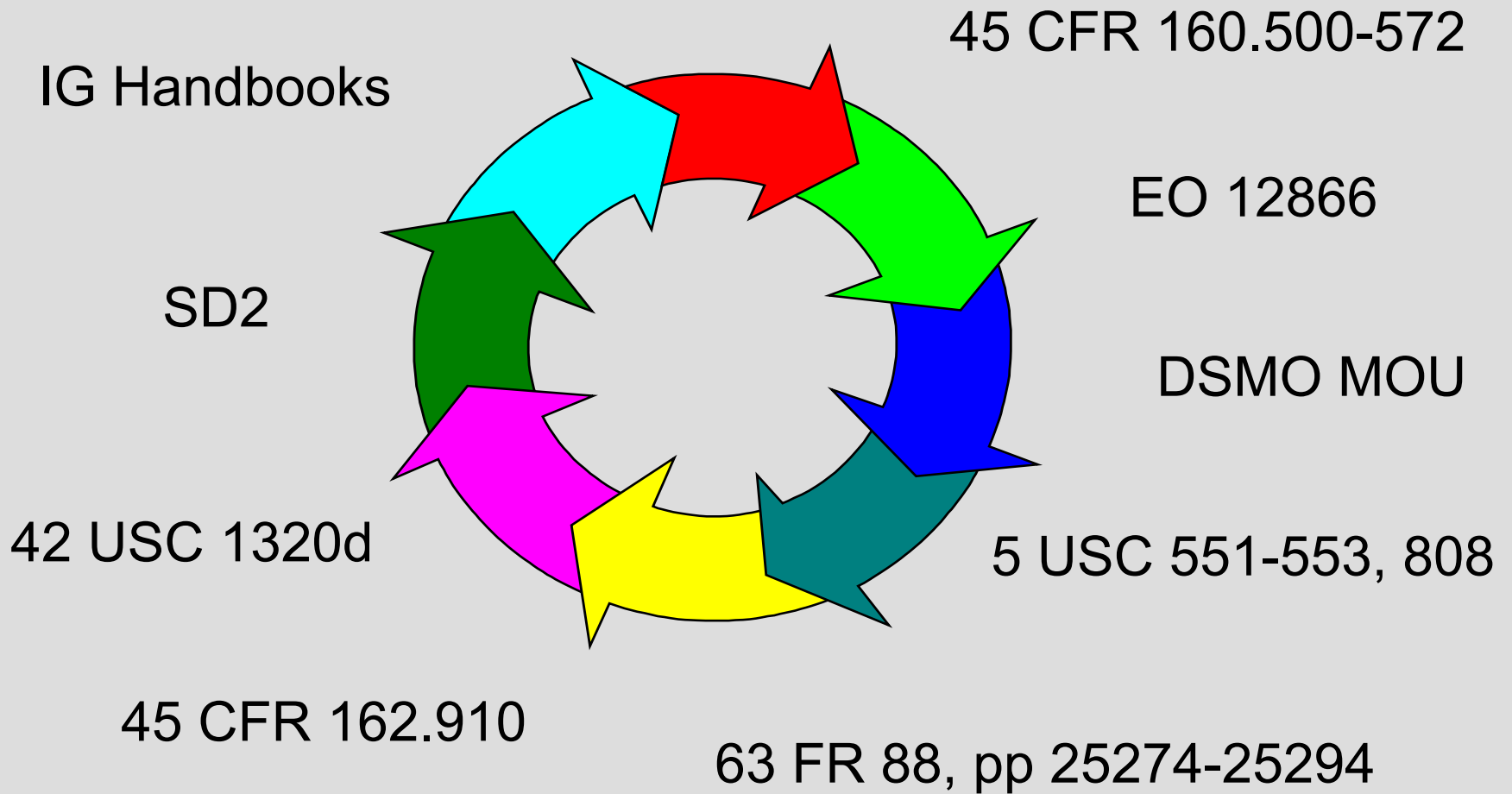
- Publication Cycle            not yet stabilized,  
   trying for every 2 years
- Publisher                        Washington Publishing Co.
- Governing Materials        IG Handbooks
- Authoring Entities            X12N Workgroups
- Supporting Entities          X12N / TG4 (IG Coord.)  
   X12J (Tech. Assessment)



# Federal Regulations

- Publication Cycle as recommended
- Publisher Government Printing Office
- Governing Materials HIPAA Legislation  
Administrative Procedures Act
- Authoring Entity CMS' Office of HIPAA Stds.
- Supporting Entities DSMO Steering Committee  
NCVHS

# Processes



# Transactions Processes

- Updating and creating new X12 standards; including internal code lists
- Creating and modifying TR3's; including internal code lists subsets
- Adopting TR3's for HIPAA

# Updating Standards


- X12 has two formal processes documented in Standing Document 2 (SD2)
  - Data Maintenance (DM)
    - For message structure, format, data element definitions, and internal code lists values
    - Can take many months or years
  - Code Maintenance Request (CMR)
    - For internal code lists values only
    - Expedited process to speed-up changes
    - Can still take 4 – 8 months

# Creating and Modifying TR3's

- X12N process summary
  - Work groups within authoring task groups, in conjunction with Washington Publishing Company, establish schedule [including change request cutoff dates for various sources] and then create new TR3's
  - Following internal approvals for technical accuracy and proper process from supporting task groups, work groups commence X12N public comment period for new TR3's



# Creating and Modifying TR3's

- X12N process summary
  - TR3's public comment period occurs
    - were 30 days; but being expanded to approximately 60 days
  - Work groups resolve any issues raised during public comment period and make any needed adjustments to TR3's 
  - Work groups hold public Informational Forums during X12 Trimester Meetings to confirm resolved issues and TR3's adjustments

# Creating and Modifying TR3's

- X12N process summary
  - Work groups vote to move TR3's to task group for publication approval
  - Task groups [only TG2 – Healthcare, at present] vote to move TR3's to subcommittee X12N – Insurance for publication approval
  - X12N approves TR3's for publication
  - Any other affected X12 subcommittees approve TR3's for publication [*new for TR3's*]

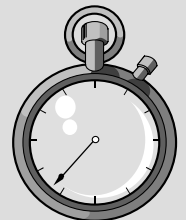
# Creating and Modifying TR3's

- X12N process summary
  - X12J – Technical Assessment subcommittee approves TR3's for publication [*new for TR3's*]
  - Procedures Review Board approves TR3's for publication [*new for TR3's*]
  - Washington Publishing Company publishes



# Creating and Modifying TR3's

- X12N process timing
  - Overall IG and TR3 timing is, at present, variable
  - Focused effort is underway to manage volunteer resources and demands to establish two year TR3 publication cycle
    - Six approval slots every two years
    - Groups of TR3's – HIPAA and non-HIPAA – allocated to each slot on rotating schedule



# Adopting TR3's for HIPAA

## Two cycle process – first iteration

- **X12N** proposes new version of published Type 3 Technical Reports (TR3's)
- Designated Standards Maintenance Organizations (**DSMO**) Steering Committee approves new version
- National Committee on Vital and Health Statistics (**NCVHS**) recommends new version

# Adopting TR3's for HIPAA

- Centers for Medicare and Medicaid Services (**CMS**) prepares Notice of Proposed Rule Making (**NPRM**) announcing new version
- Department of Health and Human Services (**DHHS**) clears NPRM
- Other affected federal agencies (e.g., Office of Management and Budget) approve NPRM

# Adopting TR3's for HIPAA

- NPRM is published in Federal Register
- Public comment period occurs
  - normally 60 days
- CMS, with any needed support from DSMO Steering Committee, X12N, *et. al.*, analyzes comments received about NPRM

# Adopting TR3's for HIPAA

## Two cycle process – second iteration

- Based on received comments, if necessary, X12N incorporates changes into next published new version of TR3's ?
- DSMO Steering Committee approves new version
- NCVHS recommends new version
- CMS prepares Final Rule promulgating new version

# Adopting TR3's for HIPAA

- DHHS clears Final Rule
- Other affected federal agencies (e.g., OMB) approve Final Rule

# Adopting TR3's for HIPAA

- Final Rule is published in Federal Register
  - Specifies explicit **Effective Date**  
[Effective Date also known as **Adoption Date**]
  - Specifies explicit **Compliance Date(s)**
- For an existing HIPAA standard, any **Effective Date** for a modified standard must be at least 12 months following any previous Effective Date

# Adopting TR3's for HIPAA

**Effective Date** occurs no earlier than the end of mandatory Congressional Review period which is normally 60 days

## **Compliance Date(s)**

- **New Standards** – 24 months after Effective Date; small health plans get 36 months
- **Modified Standards** – established within the Final Rule, but must be at least 180 days after Effective Date





# Status and Predictions



as of 11 March 2005

# David A. Feinberg, C.D.P.

- Consultant and Teacher -- Healthcare Interfaces and EDI
- Author, “Understanding HIPAA Communications”
- Member, Accredited Standards Committee X12 and its Insurance Subcommittee (X12N)
- Member, Health Level Seven (HL7)
- Co-Chair, X12N HIPAA Implementation Work Group
- Member, HL7 Attachments Special Interest Group (ASIG) and X12N Patient Information Work Group (TG2/WG9)
- Member, HL7 Imaging Integration Special Interest Group (IISIG) and DICOM Image Integration Group (WG20)
- Member, concluded HL7 Master Person Index Mediation Special Interest Group (MPISIG)
- Commercial and Technology Arbitrator, American Arbitration Association



# Transactions Futures

- Claims Attachments
- New Versions of Current Transactions
- Potential New Transactions

# Claims Attachments

- Defined by HL7 Attachments Special Interest Group (ASIG) in “Specifications”
- Presently planned to incorporate XML within EDI; *i.e.*,
  - X12’s 275 transaction ... *contains*
    - HL7’s Clinical Document Architecture (CDA) ... *made up of*
      - Structured data elements,
      - Narrative, unstructured, text, and/or
      - Scanned, non-diagnostic, images [many formats]

# Claims Attachments

- First Round
  - Ambulance
  - Emergency Department
  - Rehabilitative Services
  - Laboratory Results
  - Medications
  - Clinical Notes



# Claims Attachments

- Status
  - X12 and HL7 materials ready ... again
  - CMS working to issue NPRM
  - Pilot project in progress
  - Lessons from pilot project and any other proofs of concepts expected to be fed back to update X12 and HL7 materials for use in final rule

# New Versions of Current Txns.

- X12 version **004010 + 004010A1**  
Implementation Guides (IG's)
  - Remain current HIPAA standards
  - X12 web site for obtaining HIPAA IG interpretations opened to public on 11/08/2004

[www.x12n.org/portal](http://www.x12n.org/portal)

# New Versions of Current Txns.

- X12 version **004050** counterpart IG's approved for publication during 2003
  - Contain additional useful explanations that can be applied to current HIPAA standards
  - Not presently planned to be generally proposed as modified HIPAA standards, ***but ...***



# v4050 835 IG Proposed for HIPAA

*From the HIPAA DSMO change request system site, [www.hipaa-dsmo.org/crs](http://www.hipaa-dsmo.org/crs)*

Change Request ID: 1008

Submission Date: 8/30/2004

Request Type: Payment of a Health Care Claim

Business Reason: The later version of 835 Implementation Guide contains additional valuable information that will benefit the industry for those attempting to use the 835.

The Claim Payment workgroup and the Health Care Task Group of ASC X12 Insurance Sub Committee believes that this new guide version 4050 designated X124 should be considered as a candidate for the next HIPAA version of the 835.

Suggested Change: Recommend to NCVHS that the 4050 version of the 835 Implementation Guide (X124) be named as the HIPAA standard.

Copies of the **004050X124** document for the 835 “Health Care Claim Payment/Advice” transaction, may be obtained for a modest fee from

[www.wpc-edi.com/products/publications](http://www.wpc-edi.com/products/publications)

# New Versions of Current Txns.

- Writing of X12 version **005010** counterpart TR3's now underway
  - Planned changes include
    - Additional useful explanations
    - Accumulated and timely new routine requests
    - National Provider Identifier (NPI) adaptations
  - Planned changes do not at this time include
    - ICD-10 modifications
  - New change requests now being considered only for subsequent versions (e.g., 005030)

# New Versions of Current Txns.

- Writing of X12 version **005010** counterpart TR3's now underway
  - Public comment periods projected in phases during 2004 - 2005 [see schedule slides]
  - Presently targeted for publication in stages during 2005 - 2006
  - Tentatively planned to be proposed for reference in NPRM for modified HIPAA standards: 2006 - 2007 - 2008?!
  - Volunteers welcomed!

*Contact me if you'd like further information.*

# New Versions of Current Txns.

- Writing of X12 version 005010 counterpart TR3's now underway
  - The big remaining question ...

***Should CMS' Office of HIPAA Standards put X12's version 005010 counterpart TR3's through the HIPAA Adoption process?***

# New Versions of Current Txns.

## 005010 TR3 Public Comment Periods

<i>Projected X12</i> <u>TR3 Comment</u> <u>Period</u>	<u>HIPAA Counterpart</u> <u>Transactions</u>	<u>Other, beyond HIPAA,</u> <u>Healthcare Transactions</u>
Oct. – Nov. 2004		824 Acknowledgements
Feb. – Mar. 2005	835 Remittance Advice 834 Enrollment 837 Professional Claim 837 Institutional Claim 837 Dental Claim	274 Provider Inquiry – 4050 837 Data Reporting

*Informational Forums targeted for 7-8 June at X12 Trimester Meeting in San Diego.*  
[www.x12.org/x12org/meetings/x12trimt/index.cfm](http://www.x12.org/x12org/meetings/x12trimt/index.cfm)

continued on next slide ...

# New Versions of Current Txns.

## 005010 TR3 Public Comment Periods

<i>Projected X12</i> <u>TR3 Comment</u> <u>Period</u>	<u>HIPAA Counterpart</u> <u>Transactions</u>	<u>Other, beyond HIPAA,</u> <u>Healthcare Transactions</u>
June – July 2005	270/271 Eligibility Inq. & Resp. 278 Auth. Req. Review & Resp. 820 Premium Payment	278 Auth. Serv. Review Notice 278 Auth. Inquiry & Response 277 Claim Acknowledgement 274 Provider Directory 824 Acknowledgements - 4010
Oct. – Nov. 2005	276/277 Claim Status	271 Roster 269 Benefit Verification 277 Req. for Additional Info. 275 Claim Attachment 275 Auth. Attachment 274 Provider Credentialing

# First Time TR3's

## 005010 TR3 Public Comment Periods

*Projected* X12  
TR3 Comment  
Period

being  
determined

Relevant  
General Purpose  
X12 Transactions

999 Implementation Ack.  
997 Functional Ack.  
(draft in review)

# Potential New Transactions

Acknowledgement	[999, 997, 824, 277]
Coordination of Benefit Confirmation	[269]
Provider Information	[274]
Eligibility / Enrollment Roster	[271]
Referral Attachments	[275]
Additional Claims Attachments	[HL7 CDA]
...	

Any HIPAA adoption activities will only begin  
by prior industry acceptance, use, and request



# HIPAA Transactions

## The Next Generation

### *Further Information*

- Rensis Corporation Seminar:  
**“HIPAA TCS – What’s Next? Products, Processes, and Prognostications”**
- Feinberg’s Free Focused HIPAA Mailing List  
*Send e-mail request to one or more of*
  - [DAFeinberg@computer.org](mailto:DAFeinberg@computer.org)
  - [HIPAA-TCS-subscribe@yahoogroups.com](mailto:HIPAA-TCS-subscribe@yahoogroups.com)
  - [ShareHIPAA-subscribe@yahoogroups.com](mailto:ShareHIPAA-subscribe@yahoogroups.com)

# HIPAA Transactions

## The Next Generation

### *Further Information*

- Other Online Presentations – mostly free:  
[www.complyassistant.com/presentations.html](http://www.complyassistant.com/presentations.html)
- White Papers on managing never-ending HIPAA TCS, Privacy, and Security compliance  
[www.complyassistant.com](http://www.complyassistant.com) (left border)

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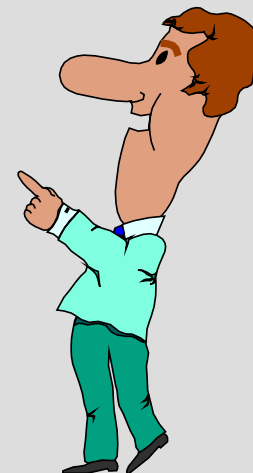
## The Next Generation

*Comments?*

*Questions?*

*Smart Remarks?*

***Contact Dave Feinberg***



# **HIPAA Transactions**

## **The Next Generation**

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