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Electronic Health Care Transactions and Code Sets Standards Model Compliance Plan

General Instructions

Completing this Electronic Health Care Transactions and Code Sets Standards Model Compliance Plan takes just a few minutes. Simply answer a few questions about any compliance concerns you may have, and tell us where you are in the implementation process.

How to File

- **Electronic submission is coming soon.** Electronic submission is the fastest, easiest way to file your compliance plan. Just complete the compliance plan on-line, click "Submit" at the end, and it will be on its way to us electronically. You will receive an on-line confirmation number, which will serve as acknowledgment of your extension. You will not receive a specific approval of your submitted compliance plan.

OR

- If you would prefer to file a manual (paper) submission through the mail, you may [download an Adobe PDF-based form](#). This sample form is provided for your information only.

Note: Some of the files on this page are available only in Adobe

Portable Document Format (PDF). PDF files retain the rich formatting of printed documents. To view PDF files, you must have the Adobe Acrobat Reader (minimum version 4, version 5 suggested). You can check [here](#) to see if you have the Acrobat Reader installed on your computer. If you do not already have the Acrobat Reader installed, please go to Adobe's [Acrobat download page](#) now.

Please do NOT electronically submit AND mail paper copies of this compliance plan. One submission per covered entity, either electronically OR paper, will suffice.

Alternative Submissions:

Covered entities that use the model compliance plan provided on our website can file electronically. If you cannot submit your compliance plan electronically via our website, or you want to submit your own version of a compliance plan that provides equivalent information, it must be printed and mailed to us. Please send paper submissions of your compliance plan postmarked no later than October 15, 2002 to:

**ATTENTION: Model Compliance Plans
Centers for Medicare & Medicaid Services
P.O. Box 8040
Baltimore, MD 21244-8040**

CMS will not acknowledge receipt of paper submissions. For proof of delivery, we suggest you use the U.S. Postal Service.

Who Should File

If you are a covered entity and will not be compliant with the HIPAA Electronic Health Care Transactions and Code Sets standards by October 16, 2002, you must file a compliance plan.

- A covered entity is a health plan, a health care clearinghouse, or a health care provider who transmits health information in electronic form in connection with one or more transactions for which the Secretary has adopted standards at 45 C.F.R. Part 162.
- These terms are defined at 45 C.F.R. 160.103. The term "health care provider" includes individual physicians, physician group practices, dentists, other health care practitioners, hospitals, nursing facilities, and so on.

If you are a member of a group practice, the extension will be granted to all physicians/practitioners who are members of that practice. It is not necessary to file separate compliance plans for each physician in the practice if the practice files all claims on your behalf. However, if you submit claims for payment outside of the group's claims processing system, you need to file your own compliance plan.

You do not have to file a compliance plan if you will be compliant by October 16, 2002 but one or more of your trading partners is not yet HIPAA compliant. But remember that you/your organization must be HIPAA compliant by this date (or by October 16, 2003 if you are filing a compliance plan) for all transactions that apply to you.

When to File

Compliance plans must be submitted electronically no later than October 15, 2002. Paper submissions should be postmarked no later than October 15, 2002. Providers who file electronic and paper submissions received electronically or postmarked after this date will not receive an extension.

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