Analysis of ASCA Compliance Plans for Implementing HIPAA Transactions and Codes Standards

Steven J. Steindel, Ph.D., CDC J. Michael Fitzmaurice, Ph.D., AHRQ October 14, 2003

In the Administrative Simplification Compliance Act (ASCA) enacted on December 27, 2001, Congress extended mandatory compliance with the Health Insurance Portability and Accountability Act (HIPAA) of 1996 Transactions and Codes Rule until October 16, 2003. This extension was automatically granted provided that each entity covered by HIPAA and desiring an extension submitted a plan no later than October 16, 2002, to the Secretary of Health and Human Services (HHS). Specifically, the plan was to show how the entity will come into compliance with the HIPAA requirements. ASCA also directed the Secretary to furnish the National Committee on Vital and Health Statistics (NCVHS) with a sample of the plans submitted in response to ASCA, and NCVHS to undertake analysis of the sample. Specifically, Congress directed NCVHS to "regularly publish, and widely disseminate to the public, reports containing effective solutions to compliance problems identified in the plans analyzed..." This paper reports on the analysis of those plans.

In February 2003, the Centers for Medicare and Medicaid (CMS) delivered to NCVHS the entire population of 548,644 responses containing compliance plans, with identifying information deleted to protect confidentiality. Analysis of the responses revealed that providers accounted for 91.4 percent of the respondents, health plans, 6.5 percent, and clearinghouses, 1 percent. A more complete description of the population and their characteristics is presented below.

With regard to learning about effective solutions to compliance problems based on the plans analyzed, NCVHS finds that the responses reveal important reasons for seeking more time for compliance. The reasons given for wanting an extension that would delay HIPAA compliance for a year were: need more implementation time (67.5 percent), waiting on vendor (47.1 percent) or clearinghouse (33.2 percent), need standards information (46 percent), need more testing time (40.6 percent), and other reasons. Almost half of the respondents (49.3 percent) had not completed any of the three implementation phases—awareness, operational, and testing.

Information on effective solutions, however, is inferred only with an assumption that those furthest along with implementation have special characteristic that account for their completion of all phases (3.7 percent). The statistical results apply only to this small proportion of the total respondents and are also presented below.

The Committee is aware of ongoing efforts on the part of CMS and (Workgroup for Electronic Data Interchange/Some National Implementation Plan (WEDI/SNIP) to develop and disseminate free technical assistance materials. These materials can provide valuable guidance for covered entities who are seeking solutions to compliance issues. These materials are available for review at: www.cms.hhs.gov/hipaa/hipaa2 (CMS materials) and www.wedi.org/snip (WEDI/SNIP materials).

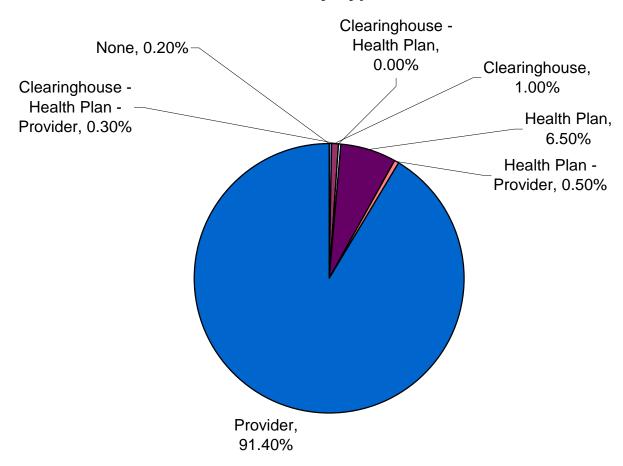
ASCA Data Analysis

Summary of Data:

Table 1: ASCA Responders by Entity Type

| Entity Type | Percent | Number |
|--|---------|--------|
| Clearinghouse - Health Plan | 0.0% | 258 |
| None | 0.2% | 1207 |
| Clearinghouse - Health Plan - Provider | 0.3% | 1525 |
| Health Plan - Provider | 0.5% | 2631 |
| Clearinghouse | 1.0% | 5478 |
| Health Plan | 6.5% | 35928 |
| Provider | 91.4% | 501617 |
| | | 548644 |

Entity Type



Data from just over one-half million respondents data were contained in the dataset received from the Center for Medicaid and Medicare Services (CMS). Over 90 percent of these were from providers, the 6 percent from health plans was the next largest category. Only 1 percent

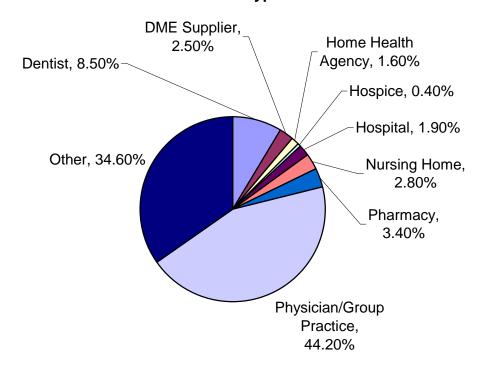
identified themselves as a clearinghouse. A small percentage (1 percent) identified themselves as being multiple types or did not give a type.

Provider Types:

Table 2: Responder Population by Provider Type

| | ASCA Por | oulation | Used for HIPAA Impact Analysis | | Difference | |
|--------------------------|----------|----------|-----------------------------------|---------|------------|---------|
| Provider Type | Percent | Number | Percent | Number | Percent | Number |
| Hospice | 0.40% | 1,459 | 0.29% | 2,027 | 0.08% | 568 |
| Home Health Agency | 1.60% | 6,612 | 1.28% | 8,900 | 0.33% | 2,288 |
| Hospital | 1.90% | 8,052 | 0.82% | 5,685 | -0.34% | -2,367 |
| DME Supplier | 2.50% | 10,513 | 16.12% | 112,200 | 14.61% | 101,687 |
| Nursing Home | 2.80% | 11,642 | 2.65% | 18,439 | 0.98% | 6,797 |
| Pharmacy | 3.40% | 14,090 | 6.31% | 43,900 | 4.28% | 29,810 |
| Dentist | 8.50% | 35,443 | 17.25% | 120,000 | 12.15% | 84,557 |
| Other | 34.60% | 143,805 | 24.23% | 170,673 | 3.86% | 26,868 |
| Physician/Group Practice | 44.20% | 183,692 | 30.75% | 214,000 | 4.36% | 30,308 |
| Totals | | 415,308 | | 695,824 | 40.31% | 280,516 |

Provider Types



Two-thirds of the respondents gave some indication of provider type while one-third indicated "other." Of the providers, slightly less than 50 percent were physicians or group practices and about one-third identified as "other." Dentists formed the next largest group at just over 8 percent, followed in order by pharmacies, nursing homes, durable medical equipment suppliers, home health agencies, hospitals and hospices.

Essentially all the covered entities that recorded a specific provider type also self-classified themselves generally as a provider. Of the other entity types providers cross-associated themselves with health plans (2,631) and clearinghouse/health plans (1,525). While the distribution of groups that cross-identified tended to follow the overall provider distribution, hospitals were slightly over-represented (data not provided but available).

Reason for Delay:

The model extension request form gave 12 reasons for delay in implementing the HIPAA transactions and codes standards, from which a respondent could select any number of reasons. The median number of reasons selected was 3 with 90 percent (5 percent - 95 percent) of the respondents selecting between 2 and 7 reasons. Text answers were supplied by those responding in the "other" category but no analysis of this text was undertaken.

Table 3: Number of Reason for Delay

| Number of Reasons | Number of Respondents |
|-------------------|-----------------------|
| 1 | 123,077 |
| 2 | 109,381 |
| 3 | 101,355 |
| 4 | 80,625 |
| 5 | 51,063 |
| 6 | 35,464 |
| 7 | 19,542 |
| 8 | 11,401 |
| 9 | 6,491 |
| 10 | 3,671 |
| 11 | 5,686 |
| 12 | 888 |

The overall distribution of reasons was as follows:

Table 4: Distribution of Delay Reasons (Percent)

| Reason for Delay | Percent |
|--------------------------|---------|
| Implementation Time | 67.5 |
| Waiting on Vendor | 47.1 |
| Standards Information | 46.0 |
| Testing Time | 40.6 |
| Clarification | 34.5 |
| Waiting on Clearinghouse | 33.2 |
| Money | 16.6 |
| Hardware | 15.7 |
| Staff | 12.3 |
| Data Requirements | 9.4 |
| Other | 8.1 |
| Codeset Implementation | 6.7 |

Some of the common reasons for delay (waiting on clearinghouse and vendor) denote dependence on others and appear to be outside of the respondent's control. Some can be, and in many cases have been, addressed by educational material (clarification and standards information). The length of calendar time before implementation and testing is completed also appears to be a major issue. Some of the time delay could be due to clearinghouses and vendors

waiting to change their administrative systems until the first-year changes to the Transactions and Code Rule were published in the *Federal Register* on February 20, 2003. Since the extension requests (with compliance plans) were due four months before the final changes to the standards were out, it is not possible to ascertain the impact of this lack of information on compliance implementation beyond the reporting of stated reasons for delay. Internal processes (hardware, staff and money) were reported less frequently as reasons for delay than system processes. Breakdowns of reasons for delay by provider type, entity type, and geographic (CMS) region are provided in the Appendix.

Estimated Cost

Table 5: Distribution of Estimated Cost Ranges (Percent)

| Estimated Cost | Percent |
|------------------------|-------------|
| Range | Respondents |
| <\$10,000 | 35.9 |
| \$10,000-\$100,000 | 20.0 |
| \$100,000-\$500,000 | 5.1 |
| \$500,000 - \$1Million | 1.7 |
| Over \$1Million | 2.4 |
| Don't Know | 35.0 |

About one-third of the respondents didn't know the cost of implementing HIPAA transactions with about another one-third reporting it would be less than \$10,000. One-fifth thought it would cost between \$10,000 and \$100,000 and just over 9 percent thought it would cost more. Another 2.4 percent thought it would cost over \$1 million. Breakdowns of these estimates by provider type, entity type and region are found in the Appendix.

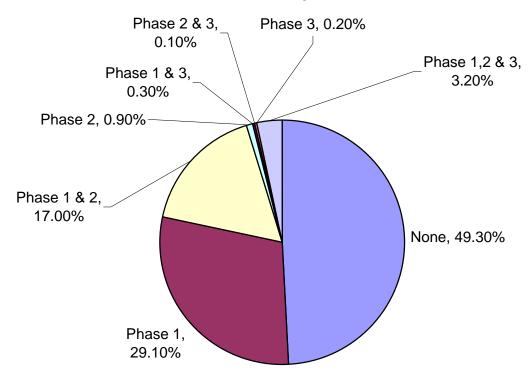
Process Steps

The implementation process was divided into three phases in the extension application: Awareness (Phase 1), Operational (Phase 2) and Testing (Phase 3). The completion status of each phase as of the date of compliance plan reporting by the respondents in mutually exclusive categories is shown below:

Table 6: Process Phase Completed

| Phase Completed | Percent | Number |
|-----------------|---------|--------|
| None | 49.3% | 270377 |
| Phase 1 | 29.1% | 159691 |
| Phase 1 & 2 | 17.0% | 93054 |
| Phase 2 | 0.9% | 4994 |
| Phase 1 & 3 | 0.3% | 1610 |
| Phase 2 & 3 | 0.1% | 477 |
| Phase 3 | 0.2% | 947 |
| Phase 1,2 & 3 | 3.2% | 17494 |
| | | 548644 |

Phase Completed



Completion of testing (Phase III) was noted by 20,528 respondents (3.7 percent). Their reasons for delay and estimated cost broken down by phase completed are found in the Appendix and summarized later in this report.

Respondents gave the real or estimated start and end month and year for each phase. The length of each phase in days was estimated by assuming that the first day of the month was when the process was to start and also to end. These data are summarized below:

Table 7: Estimated Days to Complete Process Phase

| | | Days | | | | | | |
|----------------------|---------|-------|-----|-----|-----|-----|----|-----|
| Phase | Num | Max | 95% | 75% | 50% | 25% | 5% | Min |
| Awareness | 208,414 | 335 | 273 | 122 | 61 | 0 | 0 | 0 |
| Operational | 444,941 | 3,257 | 550 | 365 | 184 | 92 | 0 | 0 |
| Testing | 531,140 | 3,136 | 487 | 212 | 153 | 90 | 0 | 0 |
| Awareness to Testing | 300,584 | 2,922 | 669 | 395 | 304 | 153 | 0 | 0 |

Note: Time from beginning of Awareness to Testing completion is a summary of the respondents' estimates of the time they require to complete the total process of three phases.

Transaction set implementation is to occur by October 16, 2003, for those requesting an extension and for small plans. Reporting actual date of phase ending was not requested (month

was but not day of the month). So, an implementation date of October 31, 2003, was measured against the testing end date, and 3.9 percent (21,435) of the respondents indicated implementation would not be completed until after that date. The Appendix contains detailed breakdowns of estimated times to completion of the various phases by these quartile ranges for provider and entity type as well as CMS region.

Status of key process steps were requested and are summarized below:

Table 8: Status of Key Process Phases

| | Yes | | No | | Started, Not Comple | |
|-------------------------------|--------|-----|---------|------|---------------------|------|
| Process Step Completed | Num | % | Num | % | Num | % |
| Review Current Process | 32,793 | 7.5 | 182,749 | 41.9 | 220,047 | 50.5 |
| Computer Software Development | 18,614 | 3.5 | 286,205 | 53.9 | 226,581 | 42.6 |
| Computer Staff Training | 13,068 | 2.5 | 291,987 | 55.0 | 226,303 | 42.6 |

Effective Solutions:

One could assume, based on the various types of information requested, that those covered entities that had completed testing at the time of ASCA application adopted "effective solutions to the compliance problems identified in the plans analyzed." Making this assumption, we ask, which of the reported characteristics are associated with a higher probability of completing testing. Understand that only 3.7 percent of respondents reported completing this phase and that they did not report what those "effective solutions" are.

Table 9: Testing Completed Respondents by Entity

| Entity Type | Percent | Number (Testing Complete) |
|--|---------|------------------------------|
| Clearinghouse - Health Plan | 0.0% | 7 |
| Health Plan - Provider | 0.2% | 51 |
| None | 0.4% | 87 |
| Clearinghouse - Health Plan - Provider | 0.6% | 113 |
| Clearinghouse | 2.0% | 418 |
| Health Plan | 3.2% | 649 |
| Provider | 93.5% | 19,203 |
| Total by Entity | | 20,528 |

Entity Type (Testing Complete)

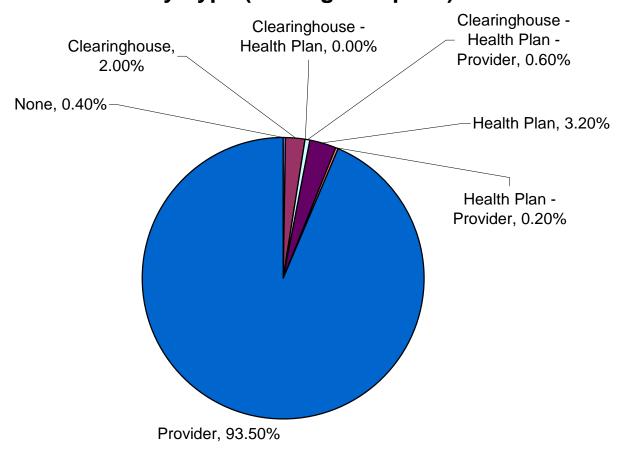
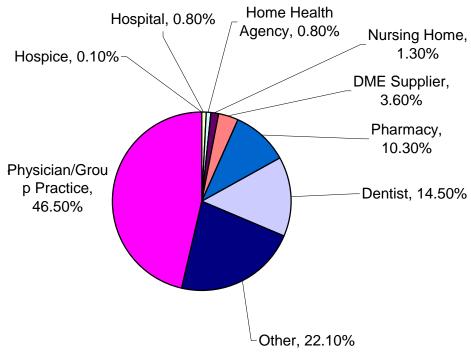


Table 10: Testing Completed Responders by Provider

| Provider | Percent | Number (Testing Complete) |
|--------------------------|---------|------------------------------|
| Hospice | 0.1% | 25 |
| Hospital | 0.8% | 151 |
| Home Health Agency | 0.8% | 159 |
| Nursing Home | 1.3% | 247 |
| DME Supplier | 3.6% | 694 |
| Pharmacy | 10.3% | 2007 |
| Dentist | 14.5% | 2813 |
| Other | 22.1% | 4307 |
| Physician/Group Practice | 46.5% | 9051 |
| Total by Provider | | 19,454 |





The median number of responses selected for those that completed testing was 1 with 90 percent (5 percent - 95 percent) of the respondents selecting between 1 and 4 reasons for delay. This is compared with 3, and between 2 and 7 reasons, respectively, for all entities reporting reasons for delay. Those entities with testing completed reported fewer reasons for delay.

Table 11: Number of Reasons by those Completing Testing

| Testing Complete | | | |
|-------------------|-----------------------|--|--|
| Number of Reasons | Number of Respondents | | |
| 1 | 11,531 | | |
| 2 | 3,691 | | |
| 3 | 2,673 | | |
| 4 | 1,221 | | |
| 5 | 658 | | |
| 6 | 344 | | |
| 7 | 133 | | |
| 8 | 113 | | |
| 9 | 63 | | |
| 10 | 27 | | |
| 11 | 66 | | |
| 12 | 8 | | |

Table 12: Reasons for Delay by those Completing Testing

| Testing Complete | | | | |
|--------------------------|---------|--|--|--|
| Reason for Delay | Percent | | | |
| Implementation Time | 37.0 | | | |
| Waiting on Vendor | 32.4 | | | |
| Waiting on Clearinghouse | 28.0 | | | |
| Testing Time | 22.4 | | | |
| Standards Information | 20.7 | | | |
| Clarification | 17.5 | | | |
| Other | 15.6 | | | |
| Money | 6.7 | | | |
| Hardware | 6.3 | | | |
| Staff | 4.9 | | | |
| Data Requirements | 3.9 | | | |
| Codeset Implementation | 2.7 | | | |

The table above shows a smaller percent of covered entities with testing complete, compared with a previous table for all the reporting entities, reporting reasons for delay, for each reason but the "other" category.

Table 13: Estimated Cost Range by those Completing Testing (Percent)

| Testing Cor | nplete |
|------------------------|-------------|
| Estimated Cost | Percent |
| Range | Respondents |
| <\$10,000 | 53.6 |
| \$10,000-\$100,000 | 15.3 |
| \$100,000-\$500,000 | 1.7 |
| \$500,000 - \$1Million | 0.1 |
| Over \$1Million | 0.2 |
| Don't Know | 29.1 |

A greater percent of the testing complete respondents were in the lowest cost range, with smaller percents in the higher cost ranges, than for the reporting entities as a whole.

Table 14: Estimated Days to Complete Process Steps by those Completing Testing

| Phase | | | | | Days | | | |
|----------------------|-------|-------|-----|------------|------|-----|----|-----|
| (Testing Complete) | Num | Max | 95% | 75% | 50% | 25% | 5% | Min |
| Awareness | 2,368 | 335 | 214 | 92 | 28 | 0 | 0 | 0 |
| Operational | 3,968 | 2,556 | 548 | 365 | 181 | 31 | 0 | 0 |
| Testing | 3,024 | 2,284 | 426 | 184 | 153 | 31 | 0 | 0 |
| Awareness to Testing | 2,903 | 2,708 | 607 | 365 | 182 | 30 | 0 | 0 |

Note: Time from beginning of Awareness to Testing completion is a summary of the respondents' estimates of the time they require to complete the total process of three phases.

The table above shows a smaller or equal number of days for each percent category reporting the days for each phase, when compared with the similar table for all reporting entities. Those who completed testing appear to have done so using fewer days for nearly every phase.

Table 15: Key Process Step Status by those Completing Testing

| Process Step | Yes | | N | 0 | Started, Not Complete | | |
|-------------------------------|-------|------|-----|------|-----------------------|------|--|
| (Testing Complete) | Num | % | Num | % | Num | % | |
| Review Current Process | 1,434 | 37.5 | 729 | 19.1 | 1,661 | 43.4 | |
| Computer Software Development | 1,073 | 32.7 | 794 | 24.2 | 1,417 | 43.2 | |
| Computer Staff Training | 835 | 25.8 | 895 | 27.6 | 1,512 | 46.6 | |

Using October 31, 2003 as the estimated implementation date, 2.8 percent (565) of those completing testing indicated implementation would not be completed until after that date, compared with 3.9 percent for the population of reporting entities.

Additional details of the characteristics of the testing completed group similar to those details presented for the total reporting population may be found in the Appendix.

Logistic regression was used to find significant factors, and the calculated odds ratio was then employed to indicate the best predicting responses. Factors considered for association with testing completion were: entity type, estimated cost, number of delay reasons, provider type, use of a contractor, and geographic (CMS) region. Convergence at 10^{-8} was achieved and testing for non-zero coefficients was significant (p < 0.0001 by the Likelihood Ratio, Score and Wald). All coefficients were statistically significant in the model.

Note that the model used and the questions asked are not practice-oriented. Hence, no conclusions can be made concerning specific best practices, but inferences can be drawn about the characteristics of respondents who reported they have completed testing. Even these inferences should be drawn with care due to the small number of covered entities reporting that they have completed testing.

The results of this analysis are shown in the table below. This table presents those factor combinations, their odds ratios, and the 95 percent confidence interval. These results indicate factors that could be associated with being a successful early implementer:

Table 16: Possible Factors associated with Early Implementers

| Factors | Odds Ratio | 95% Confidence Limit |
|--|------------|----------------------|
| Clearinghouse vs Provider | 3.517 | 2.354 - 5.254 |
| Clearinghouse/Health Plan/Provider vs Provider | 3.070 | 2.099 - 4.490 |
| Less than \$10,000 vs Don't Know | 1.661 | 1.536 – 1.795 |
| \$10,000 - \$100,00 vs Don't Know | 1.336 | 1.205 - 1.481 |
| Dentist vs Other | 1.283 | 1.116 – 1.476 |
| DME Supplier vs Other | 2.287 | 1.916 - 2.730 |
| Hospital vs Other | 1.470 | 1.064 - 2.031 |
| Pharmacy vs Other | 2.814 | 2.438 - 3.249 |
| Physician/Group Practice vs Other | 1.673 | 1.539 – 1.818 |
| Use Contractor vs Undecided | 1.802 | 1.674 - 1.940 |
| Located in Region III vs Region X | 1.381 | 1.118 – 1.706 |
| Located in Region IX vs Region X | 1.696 | 1.388 - 2.072 |
| Located in Region V vs Region X | 1.384 | 1.135 – 1.687 |
| Located in Region VI vs Region X | 1.432 | 1.164 - 1.762 |

Reporting that the entity is a clearinghouse or a clearinghouse/health plan/provider carries a three times greater likelihood that the entity will have completed testing than entities reporting they are providers. Likewise, reporting that the entity is a pharmacy or DME supplier carries more than two times greater likelihood of completing testing than the other provider category. Covered entities located in specific CMS geographic region categories (IX, VI, V, and III) were more likely to have completed testing than those located in region X.

Summary

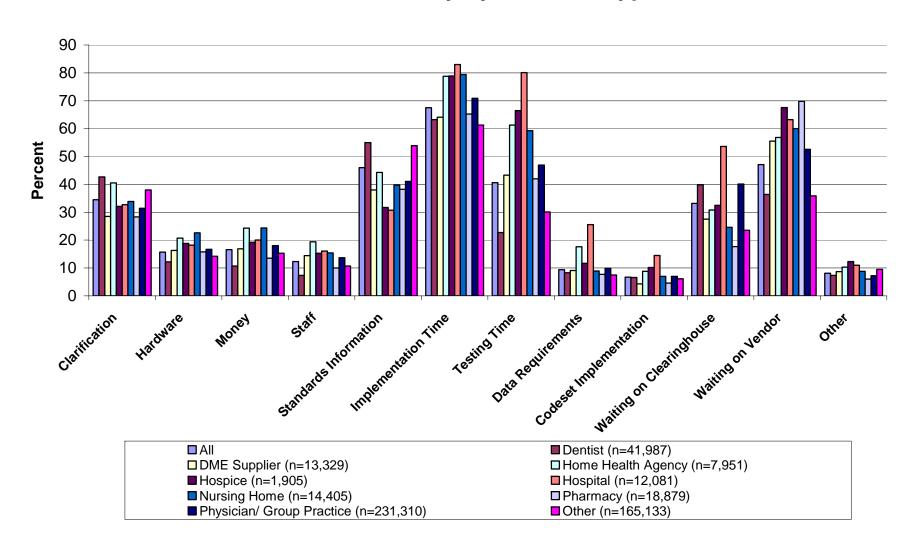
Overall, we have learned that most of the covered entities requesting an extension were providers. Further, those entities submitting requests and compliance plans said the time needed for implementation, waiting for vendors and clearinghouses, and needing standards information were the major reasons for seeking a year's extension in the HIPAA Transactions and Codes Rule mandatory compliance date. About half of the responders had not completed any of the three implementation phases. Those that had completed the testing phase, 3.7 percent of the responders, generally estimated the time for completing each phase to be a shorter number of days than did the requesters as a whole. Although the logistic regression statistical analysis was based on the small number of entities reporting they had completed testing, the results imply that clearinghouses and the reported combination clearinghouse/health plan/provider were more likely to have completed testing than providers. So also were pharmacies and DME suppliers compared with the other category of providers. Differences in the likelihood of completing testing by CMS geographic region were noted.

APPENDIX MATERIAL

Reason for Delay by Provider Type (Percent)

| | All | Dentist | DME Supplier | Home Health Agency | Hospice | Hospital | Nursing Home | Pharmacy | Physician/ Group Practice | Other |
|--------------------------|------|---------|-----------------|--------------------------|---------|----------|-----------------|----------|---------------------------------|-------|
| Clarification | 34.5 | 42.7 | 28.5 | 40.5 | 32.1 | 32.7 | 33.9 | 28.3 | 31.4 | 38 |
| Hardware | 15.7 | 12.2 | 16.3 | 20.7 | 18.8 | 18.2 | 22.6 | 15.8 | 16.7 | 14.2 |
| Money | 16.6 | 10.7 | 16.9 | 24.3 | 19.2 | 20 | 24.4 | 13.5 | 18 | 15.3 |
| Staff | 12.3 | 7.3 | 14.4 | 19.4 | 15.3 | 16.1 | 15.4 | 10 | 13.7 | 10.7 |
| Standards Information | 46 | 55 | 38 | 44.3 | 31.7 | 30.7 | 39.7 | 38.2 | 41.1 | 53.9 |
| Implementation Time | 67.5 | 63.2 | 64.1 | 78.8 | 78.9 | 83 | 79.4 | 65.2 | 70.9 | 61.3 |
| Testing Time | 40.6 | 22.7 | 43.3 | 61.3 | 66.5 | 80.1 | 59.3 | 42 | 46.9 | 30.1 |
| Data Requirements | 9.4 | 8.3 | 9.1 | 17.6 | 11.7 | 25.6 | 8.9 | 7.7 | 9.9 | 7.5 |
| Codeset Implementation | 6.7 | 6.6 | 4.3 | 8.8 | 10.2 | 14.5 | 7 | 4.6 | 7 | 6.1 |
| Waiting on Clearinghouse | 33.2 | 39.8 | 27.5 | 30.8 | 32.5 | 53.6 | 24.6 | 17.7 | 40.1 | 23.5 |
| Waiting on Vendor | 47.1 | 36.4 | 55.5 | 56.8 | 67.6 | 63.2 | 60 | 69.8 | 52.6 | 35.9 |
| Other | 8.1 | 7.3 | 8.7 | 10.3 | 12.3 | 11 | 8.8 | 6 | 7.2 | 9.5 |

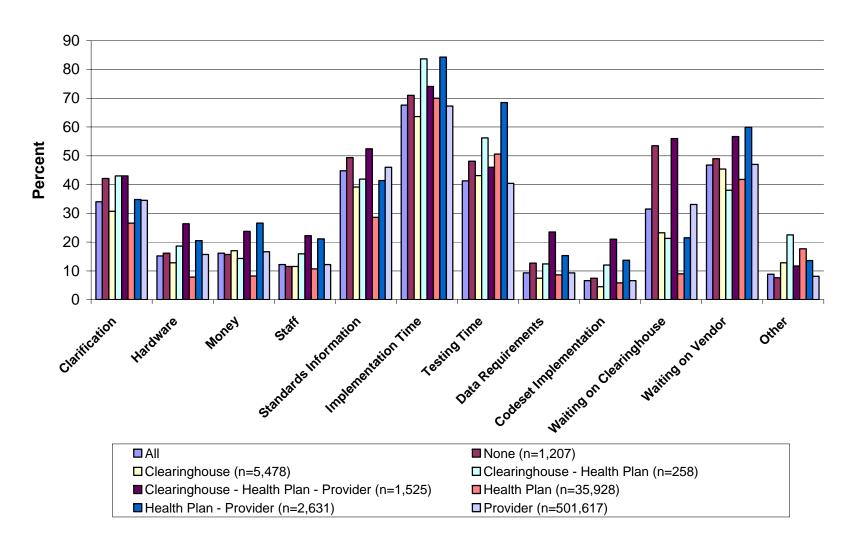
Reasons for Delay by Provider Type



Reasons for Delay by Entity Type (Percent)

| | | | | Clearinghouse - | Clearinghouse - Health Plan - | Health | Health Plan - | |
|--------------------------|------|------|---------------|-----------------|----------------------------------|--------|------------------|----------|
| | All | None | Clearinghouse | Health Plan | Provider | Plan | Provider | Provider |
| Clarification | 34 | 42.1 | 30.7 | 43 | 43 | 26.6 | 34.8 | 34.5 |
| Hardware | 15.2 | 16.1 | 12.8 | 18.6 | 26.4 | 7.8 | 20.5 | 15.7 |
| Money | 16.1 | 15.7 | 17 | 14.3 | 23.7 | 8.2 | 26.6 | 16.6 |
| Staff | 12.2 | 11.5 | 11.5 | 15.9 | 22.2 | 10.7 | 21.1 | 12.2 |
| Standards Information | 44.8 | 49.4 | 39.1 | 41.9 | 52.4 | 28.6 | 41.4 | 46 |
| Implementation Time | 67.6 | 71 | 63.6 | 83.7 | 74.1 | 70 | 84.3 | 67.3 |
| Testing Time | 41.3 | 48.1 | 43.1 | 56.2 | 46 | 50.6 | 68.5 | 40.4 |
| Data Requirements | 9.3 | 12.7 | 7.4 | 12.4 | 23.5 | 8.6 | 15.3 | 9.3 |
| Codeset Implementation | 6.6 | 7.4 | 4.5 | 12 | 21 | 5.8 | 13.7 | 6.6 |
| Waiting on Clearinghouse | 31.5 | 53.5 | 23.2 | 21.3 | 56 | 9 | 21.5 | 33.1 |
| Waiting on Vendor | 46.8 | 49 | 45.4 | 38 | 56.7 | 41.8 | 59.9 | 47 |
| Other | 8.8 | 7.6 | 12.8 | 22.5 | 11.7 | 17.7 | 13.6 | 8.1 |

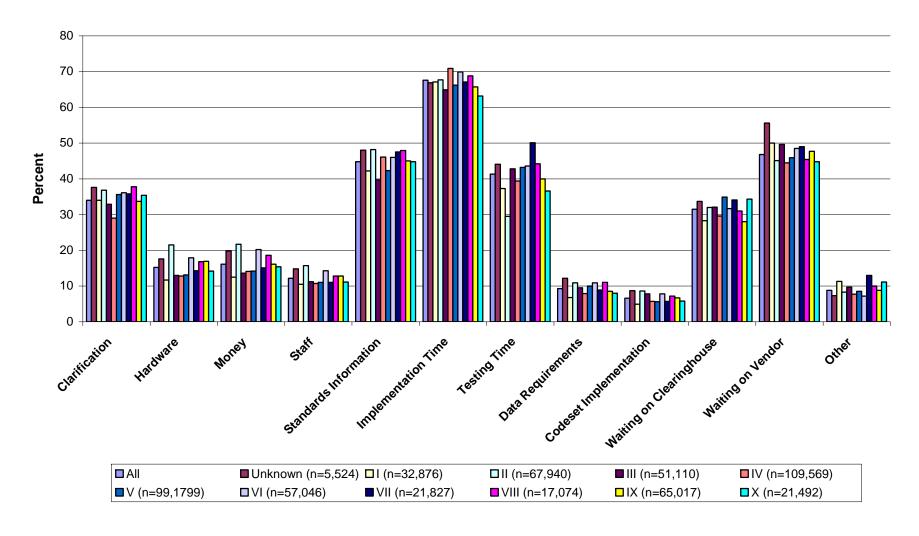
Reasons for Delay by Entity Type



Reason for Delay by CMS Region (Percent)

| | All | Unknown | | II | III | IV | ٧ | VI | VII | VIII | IX | Χ |
|--------------------------|------|---------|------|------|------|------|------|------|------|------|------|------|
| Clarification | 34 | 37.6 | 34 | 36.8 | 32.9 | 29 | 35.6 | 36.1 | 35.8 | 37.8 | 33.7 | 35.4 |
| Hardware | 15.2 | 17.6 | 11.7 | 21.5 | 13 | 12.8 | 13.1 | 17.9 | 14.3 | 16.8 | 16.9 | 14.2 |
| Money | 16.1 | 19.8 | 12.5 | 21.7 | 13.6 | 14.1 | 14.2 | 20.2 | 15.1 | 18.6 | 16.1 | 15.4 |
| Staff | 12.2 | 14.8 | 10.5 | 15.7 | 11.2 | 10.7 | 11 | 14.3 | 11 | 12.8 | 12.8 | 11.1 |
| Standards Information | 44.8 | 48 | 42.2 | 48.2 | 39.7 | 46.1 | 42.3 | 46 | 47.5 | 47.9 | 45 | 44.8 |
| Implementation Time | 67.6 | 66.9 | 67.1 | 67.7 | 64.9 | 70.9 | 66.2 | 69.9 | 67.1 | 68.8 | 65.7 | 63.2 |
| Testing Time | 41.3 | 44.1 | 37.3 | 29.5 | 42.8 | 39.4 | 43.2 | 43.6 | 50.1 | 44.2 | 40 | 36.6 |
| Data Requirements | 9.3 | 12.2 | 6.8 | 10.9 | 9.5 | 7.9 | 10 | 10.9 | 8.9 | 11 | 8.5 | 8 |
| Codeset Implementation | 6.6 | 8.7 | 4.9 | 8.6 | 7.8 | 5.7 | 5.6 | 7.8 | 5.7 | 7.2 | 6.7 | 5.8 |
| Waiting on Clearinghouse | 31.5 | 33.7 | 28.3 | 32 | 32.1 | 29.6 | 34.9 | 31.7 | 34.1 | 31 | 28 | 34.3 |
| Waiting on Vendor | 46.8 | 55.6 | 50 | 45.1 | 49.6 | 44.5 | 45.9 | 48.5 | 49 | 45.4 | 47.7 | 44.8 |
| Other | 8.8 | 7.3 | 11.3 | 8.3 | 9.7 | 7.7 | 8.5 | 7.2 | 13 | 10 | 8.8 | 11.1 |

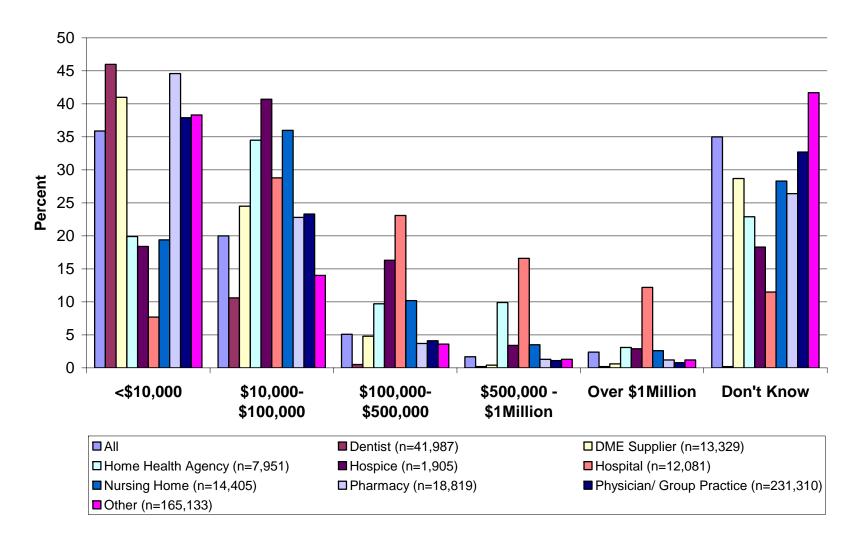
Reasons for Delay by CMS Region



Estimated Cost by Provider Type (percent)

| | | | DME | Home Health | | | Nursing | | Physician/ Group | |
|------------------------|------|---------|----------|----------------|---------|----------|---------|----------|---------------------|-------|
| | All | Dentist | Supplier | Agency | Hospice | Hospital | Home | Pharmacy | Practice | Other |
| <\$10,000 | 35.9 | 46 | 41 | 19.9 | 18.4 | 7.7 | 19.4 | 44.6 | 37.9 | 38.3 |
| \$10,000-\$100,000 | 20 | 10.6 | 24.5 | 34.5 | 40.7 | 28.8 | 36 | 22.8 | 23.3 | 14 |
| \$100,000-\$500,000 | 5.1 | 0.5 | 4.8 | 9.7 | 16.3 | 23.1 | 10.2 | 3.7 | 4.1 | 3.6 |
| \$500,000 - \$1Million | 1.7 | 0.2 | 0.4 | 9.9 | 3.4 | 16.6 | 3.5 | 1.3 | 1.1 | 1.3 |
| Over \$1Million | 2.4 | 0.2 | 0.6 | 3.1 | 2.9 | 12.2 | 2.6 | 1.2 | 8.0 | 1.2 |
| Don't Know | 35 | 0.2 | 28.7 | 22.9 | 18.3 | 11.5 | 28.3 | 26.4 | 32.7 | 41.7 |

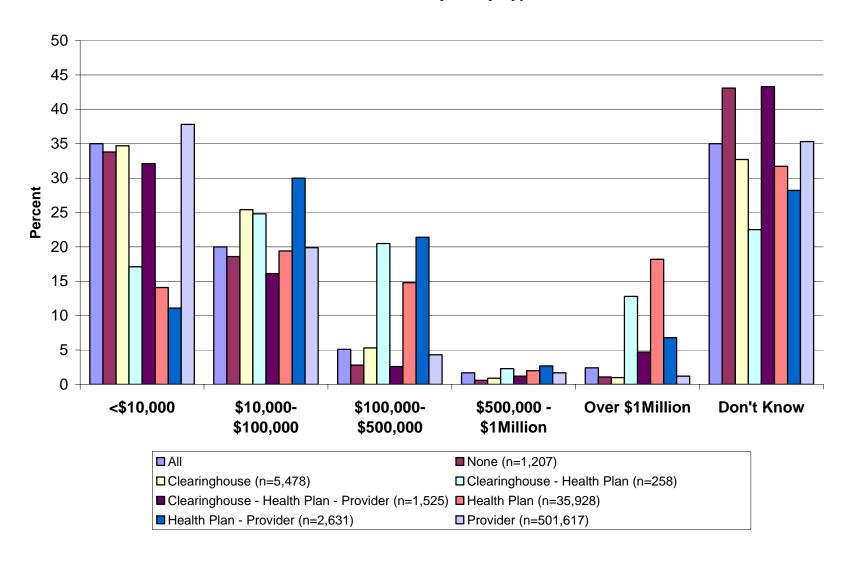
Estimated Cost by Provider Type



Estimated Cost by Entity Type (Percent)

| | | | | | Clearinghouse | | | |
|--------------------|-----|------|---------------|---------------|-----------------|--------|-------------|----------|
| | | | | Clearinghouse | - Health Plan - | Health | Health Plan | |
| | All | None | Clearinghouse | - Health Plan | Provider | Plan | - Provider | Provider |
| <\$10,000 | 35 | 33.8 | 34.7 | 17.1 | 32.1 | 14.1 | 11.1 | 37.8 |
| \$10,000-\$100,000 | 20 | 18.6 | 25.4 | 24.8 | 16.1 | 19.4 | 30 | 19.9 |
| \$100,000- | | | | | | | | |
| \$500,000 | 5.1 | 2.8 | 5.3 | 20.5 | 2.6 | 14.8 | 21.4 | 4.3 |
| \$500,000 - | | | | | | | | |
| \$1Million | 1.7 | 0.6 | 0.9 | 2.3 | 1.2 | 2 | 2.7 | 1.7 |
| Over \$1Million | 2.4 | 1.1 | 1 | 12.8 | 4.7 | 18.2 | 6.8 | 1.2 |
| Don't Know | 35 | 43.1 | 32.7 | 22.5 | 43.3 | 31.7 | 28.2 | 35.3 |

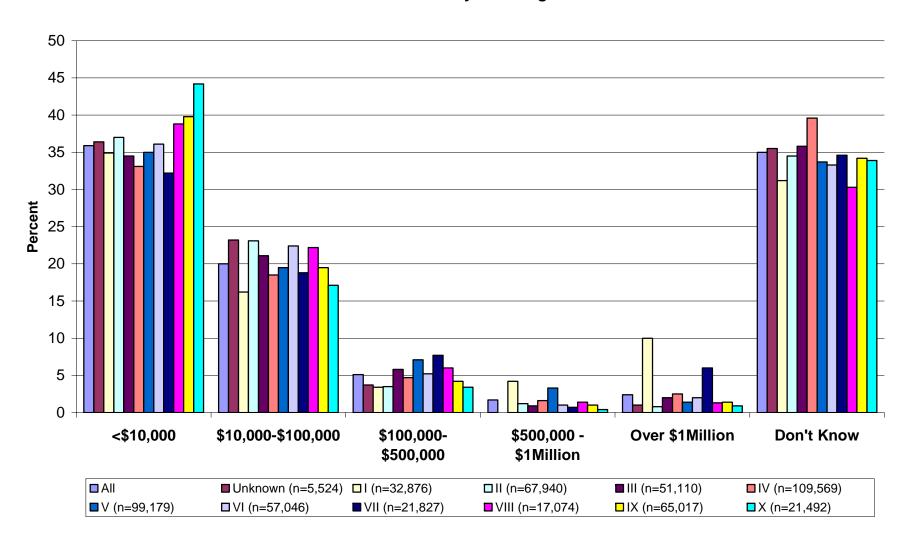
Estimated Cost by Entity Type



Estimated Cost by CMS Region (Percent)

| | All | Unknown | I | II | III | IV | ٧ | VI | VII | VIII | IX | Х |
|------------------------|------|---------|------|------|------|------|------|------|------|------|------|------|
| <\$10,000 | 35.9 | 36.4 | 34.9 | 37 | 34.5 | 33.1 | 35 | 36.1 | 32.2 | 38.8 | 39.8 | 44.2 |
| \$10,000-\$100,000 | 20 | 23.2 | 16.2 | 23.1 | 21.1 | 18.5 | 19.5 | 22.4 | 18.8 | 22.2 | 19.5 | 17.1 |
| \$100,000-\$500,000 | 5.1 | 3.7 | 3.4 | 3.5 | 5.8 | 4.7 | 7.1 | 5.2 | 7.7 | 6 | 4.2 | 3.4 |
| \$500,000 - \$1Million | 1.7 | 0 | 4.2 | 1.2 | 0.9 | 1.6 | 3.3 | 1 | 0.7 | 1.4 | 1 | 0.4 |
| Over \$1Million | 2.4 | 1 | 10 | 0.8 | 2 | 2.5 | 1.4 | 2 | 6 | 1.3 | 1.4 | 0.9 |
| Don't Know | 35 | 35.5 | 31.2 | 34.5 | 35.8 | 39.6 | 33.7 | 33.3 | 34.6 | 30.3 | 34.2 | 33.9 |

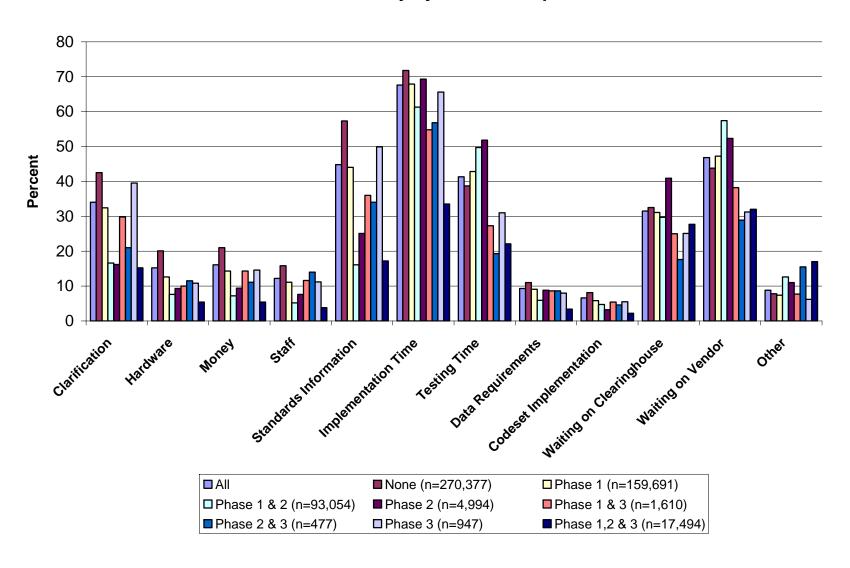
Estimated Cost by CMS Region



Reason for Delay by Phase Completed (Percent)

| | | | | Phase 1 & | | Phase 1 & | Phase 2 & | | Phase 1,2 & |
|--------------------------|------|------|---------|-----------|---------|-----------|-----------|---------|-------------|
| | All | None | Phase 1 | 2 | Phase 2 | 3 | 3 | Phase 3 | 3 |
| Clarification | 34 | 42.5 | 32.4 | 16.6 | 16.2 | 29.8 | 21 | 39.5 | 15.2 |
| Hardware | 15.2 | 20.1 | 12.6 | 7.6 | 9.3 | 10 | 11.5 | 10.8 | 5.4 |
| Money | 16.1 | 21 | 14.3 | 7.2 | 9.4 | 14.3 | 11.1 | 14.6 | 5.4 |
| Staff | 12.2 | 15.8 | 11.1 | 5.2 | 7.6 | 11.6 | 14 | 11.2 | 3.8 |
| Standards Information | 44.8 | 57.3 | 44 | 16.1 | 25.1 | 36 | 34 | 49.9 | 17.2 |
| Implementation Time | 67.6 | 71.8 | 67.9 | 61.3 | 69.3 | 54.8 | 56.8 | 65.6 | 33.5 |
| Testing Time | 41.3 | 38.7 | 42.8 | 49.7 | 51.8 | 27.3 | 19.3 | 31 | 22.1 |
| Data Requirements | 9.3 | 11 | 9.1 | 5.9 | 8.8 | 8.6 | 8.6 | 8 | 3.4 |
| Codeset Implementation | 6.6 | 8.1 | 5.8 | 4.7 | 3.2 | 5.4 | 4.6 | 5.5 | 2.2 |
| Waiting on Clearinghouse | 31.5 | 32.5 | 31.1 | 29.7 | 40.9 | 25 | 17.6 | 25.1 | 27.7 |
| Waiting on Vendor | 46.8 | 43.8 | 47.2 | 57.4 | 52.3 | 38.2 | 28.9 | 31.2 | 32 |
| Other | 8.8 | 7.8 | 7.4 | 12.6 | 11 | 7.7 | 15.5 | 6.2 | 17 |

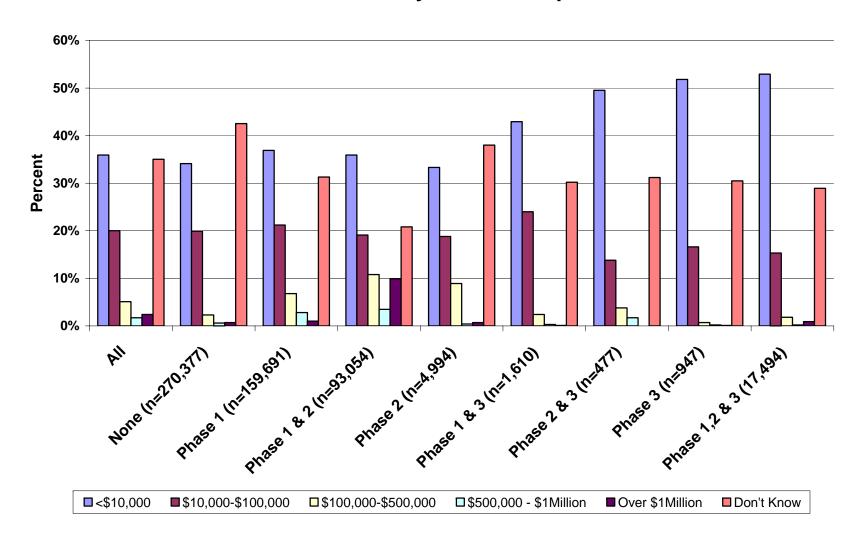
Reasons for Delay by Phase Completed



Estimated Cost by Phase Completed (Percent)

| | | | | Phase 1 & | | Phase 1 & | Phase 2 | | Phase 1,2 & |
|------------------------|-------|-------|---------|-----------|---------|-----------|---------|---------|-------------|
| | All | None | Phase 1 | 2 | Phase 2 | 3 | & 3 | Phase 3 | 3 |
| <\$10,000 | 35.9% | 34.1% | 36.9% | 35.9% | 33.3% | 42.9% | 49.5% | 51.8% | 52.9% |
| \$10,000-\$100,000 | 20.0% | 19.9% | 21.2% | 19.1% | 18.8% | 24.0% | 13.8% | 16.6% | 15.3% |
| \$100,000-\$500,000 | 5.1% | 2.3% | 6.8% | 10.8% | 8.9% | 2.4% | 3.8% | 0.7% | 1.8% |
| \$500,000 - \$1Million | 1.7% | 0.6% | 2.8% | 3.5% | 0.4% | 0.3% | 1.7% | 0.2% | 0.2% |
| Over \$1Million | 2.4% | 0.7% | 1.0% | 9.9% | 0.7% | 0.1% | 0.0% | 0.1% | 0.9% |
| Don't Know | 35.0% | 42.5% | 31.3% | 20.8% | 38.0% | 30.2% | 31.2% | 30.5% | 28.9% |

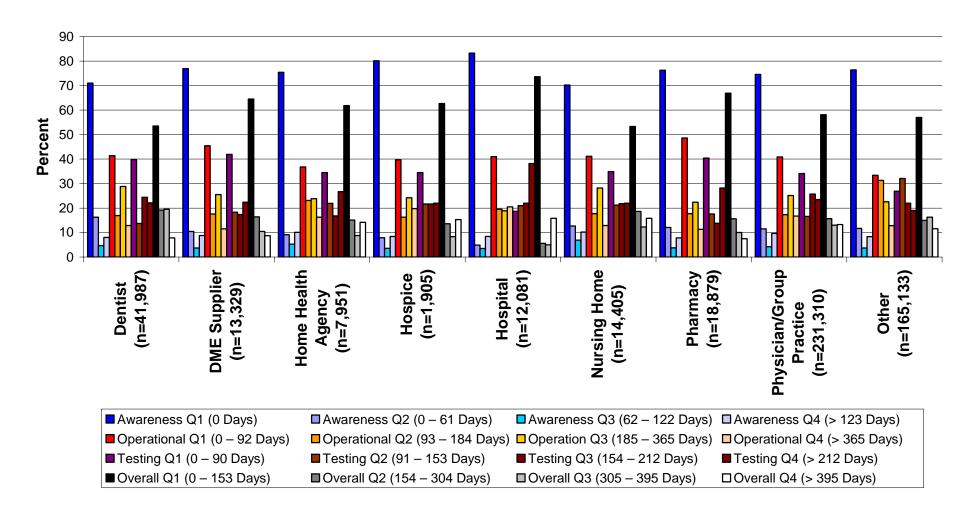
Estimated Cost by Phase Completed



Phase Quartile Day Range by Provider (Percent)

| | | DME | Home Health | | Nursing | | | Physician/ Group | |
|----------------------|---------|----------|----------------|---------|----------|------|----------|---------------------|-------|
| Phase/Quartile | Dentist | Supplier | Agency | Hospice | Hospital | Home | Pharmacy | Practice | Other |
| Awareness | | | | | | | | | |
| 0 Days | 71.0 | 76.9 | 75.4 | 80.1 | 83.2 | 70.2 | 76.3 | 74.6 | 76.4 |
| 0 – 61 Days | 16.3 | 10.5 | 9.1 | 7.9 | 4.9 | 12.7 | 12.1 | 11.5 | 11.7 |
| 62 – 122 Days | 4.7 | 3.7 | 5.3 | 3.6 | 3.5 | 6.9 | 3.8 | 4.2 | 3.7 |
| > 123 Days | 8.0 | 8.8 | 10.1 | 8.4 | 8.4 | 10.2 | 7.8 | 9.6 | 8.3 |
| Operational | | | | • | | | | | |
| 0 – 92 Days | 41.4 | 45.4 | 36.8 | 39.7 | 41.0 | 41.1 | 48.6 | 40.9 | 33.4 |
| 93 – 184 Days | 16.9 | 17.6 | 23.1 | 16.3 | 19.5 | 17.7 | 17.7 | 17.3 | 31.3 |
| 185 – 365 Days | 28.8 | 25.5 | 23.8 | 24.2 | 18.9 | 28.2 | 22.4 | 25.1 | 22.6 |
| > 365 Days | 12.9 | 11.5 | 16.3 | 19.8 | 20.5 | 12.9 | 11.3 | 16.7 | 12.8 |
| Testing | | | | • | | • | • | 1 | |
| 0 – 90 Days | 39.8 | 41.9 | 34.5 | 34.5 | 18.7 | 34.9 | 40.4 | 34.1 | 26.9 |
| 91 – 153 Days | 13.7 | 18.3 | 21.9 | 21.7 | 21.0 | 21.2 | 17.6 | 16.6 | 32.1 |
| 154 – 212 Days | 24.4 | 17.4 | 16.8 | 21.7 | 22.0 | 21.8 | 13.8 | 25.7 | 22.0 |
| > 212 Days | 22.1 | 22.4 | 26.7 | 22.0 | 38.2 | 22.0 | 28.2 | 23.5 | 19.0 |
| Awareness to Testing | | | | • | | | | | |
| 0 – 153 Days | 53.5 | 64.5 | 61.8 | 62.7 | 73.6 | 53.3 | 6.9 | 58.1 | 57.0 |
| 154 – 304 Days | 19.1 | 16.4 | 15.1 | 13.6 | 5.6 | 18.6 | 15.6 | 15.7 | 15.0 |
| 305 – 395 Days | 19.5 | 10.5 | 8.8 | 8.3 | 5.0 | 12.3 | 10.0 | 13.0 | 16.3 |
| > 395 Days | 7.8 | 8.7 | 14.2 | 15.3 | 15.8 | 15.8 | 7.5 | 13.3 | 11.6 |

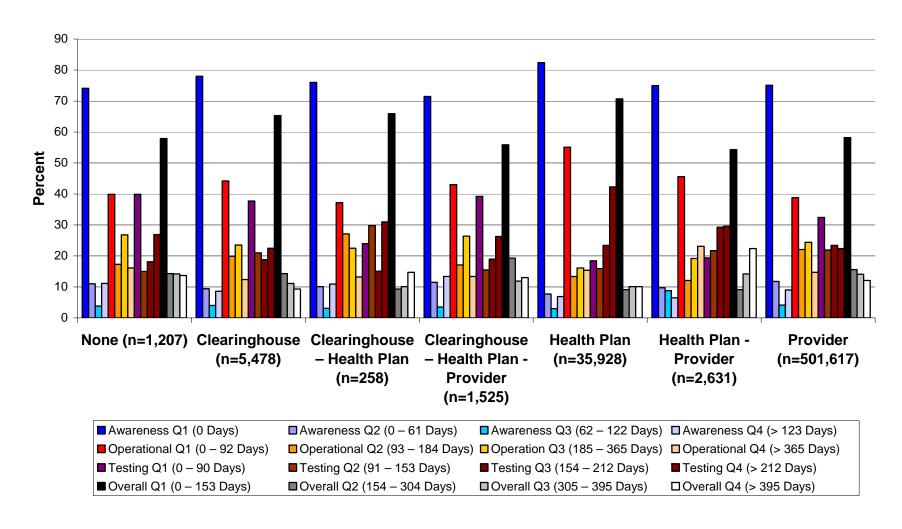
Phase Quartile Day Range by Provider (percent)



Phase Quartile Day Range by Entity (percent)

| | | | Clearinghouse | Clearinghouse – Health Plan - | Health | Health Plan - | |
|----------------------|------|---------------|---------------|--------------------------------|--------|------------------|----------|
| Phase/Quartile | None | Clearinghouse | - Health Plan | Provider | Plan | Provider | Provider |
| Awareness | | | | | | | |
| 0 Days | 74.1 | 78.0 | 76.0 | 71.5 | 82.4 | 75.0 | 75.1 |
| 0 – 61 Days | 11.0 | 9.4 | 10.1 | 11.5 | 7.7 | 9.7 | 11.8 |
| 62 – 122 Days | 3.8 | 4.0 | 3.1 | 3.5 | 3.0 | 8.8 | 4.1 |
| > 123 Days | 11.1 | 8.6 | 10.9 | 13.4 | 6.9 | 6.5 | 9.0 |
| Operational | | | | | | | |
| 0 – 92 Days | 39.9 | 44.2 | 37.2 | 43.0 | 55.1 | 45.6 | 38.8 |
| 93 – 184 Days | 17.3 | 19.9 | 27.1 | 17.1 | 13.4 | 12.1 | 22.1 |
| 185 – 365 Days | 26.8 | 23.5 | 22.5 | 26.4 | 16.1 | 19.2 | 24.4 |
| > 365 Days | 16.1 | 12.4 | 13.2 | 13.4 | 15.4 | 23.1 | 14.7 |
| Testing | | | | | | | |
| 0 – 90 Days | 39.9 | 37.7 | 24.0 | 39.2 | 18.4 | 19.4 | 32.4 |
| 91 – 153 Days | 15.0 | 21.0 | 29.8 | 15.5 | 15.9 | 21.7 | 21.9 |
| 154 – 212 Days | 18.1 | 18.8 | 15.1 | 19.0 | 23.4 | 29.3 | 23.4 |
| > 212 Days | 26.9 | 22.5 | 31.0 | 26.3 | 42.3 | 29.6 | 22.4 |
| Awareness to Testing | | | | | | | |
| 0 – 153 Days | 57.9 | 65.3 | 65.9 | 55.9 | 70.7 | 54.3 | 58.2 |
| 154 – 304 Days | 14.3 | 14.3 | 9.3 | 19.3 | 9.1 | 9.1 | 15.6 |
| 305 – 395 Days | 14.2 | 11.1 | 10.1 | 11.9 | 10.1 | 14.2 | 14.1 |
| > 395 Days | 13.7 | 9.3 | 14.7 | 13.0 | 10.1 | 22.4 | 12.1 |

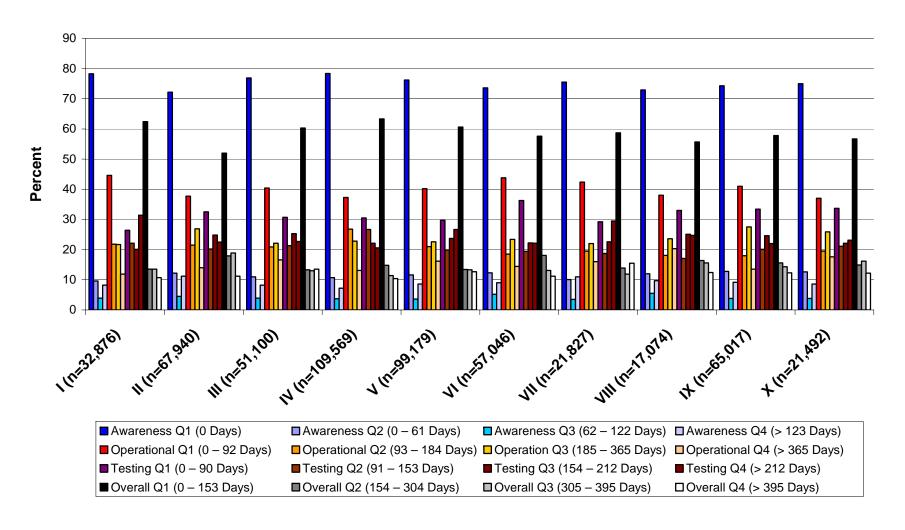
Phase Quartile Day Range by Entity (percent)



Phase Quartile Day Range by CMS Region (percent)

| Phase/Quartile | I | II | III | IV | V | VI | VII | VIII | IX | Х |
|----------------------|------|------|------|------|------|------|------|-------|------|------|
| Awareness | | | | | | | | | | |
| 0 Days | 78.3 | 72.2 | 76.9 | 78.4 | 76.2 | 73.6 | 75.5 | 72.9 | 74.3 | 75.0 |
| 0 – 61 Days | 9.6 | 12.2 | 11.0 | 10.7 | 11.6 | 12.3 | 10.1 | 12.0 | 12.8 | 12.6 |
| 62 – 122 Days | 3.9 | 4.5 | 3.9 | 3.7 | 3.6 | 5.2 | 3.5 | 5.5 | 3.8 | 3.8 |
| > 123 Days | 8.2 | 11.2 | 8.2 | 7.2 | 8.6 | 9.0 | 11.0 | 9.7 | 9.2 | 8.6 |
| Operational | | | | | | | | | | |
| 0 – 92 Days | 44.6 | 37.7 | 40.4 | 37.3 | 40.2 | 43.8 | 42.4 | 338.0 | 41.0 | 37.0 |
| 93 – 184 Days | 21.8 | 21.5 | 20.9 | 26.8 | 21.0 | 18.5 | 19.5 | 18.1 | 18.0 | 19.5 |
| 185 – 365 Days | 21.7 | 26.9 | 22.1 | 22.8 | 22.6 | 23.4 | 22.0 | 23.6 | 27.5 | 25.9 |
| > 365 Days | 11.9 | 14.0 | 16.6 | 13.1 | 16.2 | 14.4 | 16.0 | 20.3 | 13.5 | 17.6 |
| Testing | | | | | | | | | | |
| 0 – 90 Days | 26.4 | 32.5 | 30.7 | 30.5 | 29.7 | 36.3 | 29.2 | 33.0 | 33.4 | 33.7 |
| 91 – 153 Days | 22.1 | 20.2 | 21.3 | 26.7 | 19.9 | 19.4 | 18.7 | 17.1 | 20.1 | 21.1 |
| 154 – 212 Days | 20.1 | 24.8 | 25.3 | 22.1 | 23.7 | 22.2 | 22.6 | 25.1 | 24.6 | 22.1 |
| > 212 Days | 31.4 | 22.5 | 22.7 | 20.6 | 26.7 | 22.1 | 29.5 | 24.7 | 220 | 23.1 |
| Awareness to Testing | | | | | | | | | | |
| 0 – 153 Days | 62.4 | 52.0 | 60.3 | 63.3 | 60.6 | 57.6 | 58.7 | 55.7 | 57.8 | 56.7 |
| 154 – 304 Days | 13.5 | 17.9 | 13.3 | 14.8 | 13.4 | 18.1 | 13.9 | 16.4 | 15.6 | 14.9 |
| 305 – 395 Days | 13.5 | 18.9 | 13.0 | 11.4 | 13.3 | 13.1 | 11.9 | 15.6 | 14.3 | 16.2 |
| > 395 Days | 10.7 | 11.2 | 13.5 | 10.4 | 12.7 | 11.2 | 15.5 | 12.4 | 12.3 | 12.2 |

Phase Quartile Day Range by CMS Region (percent)

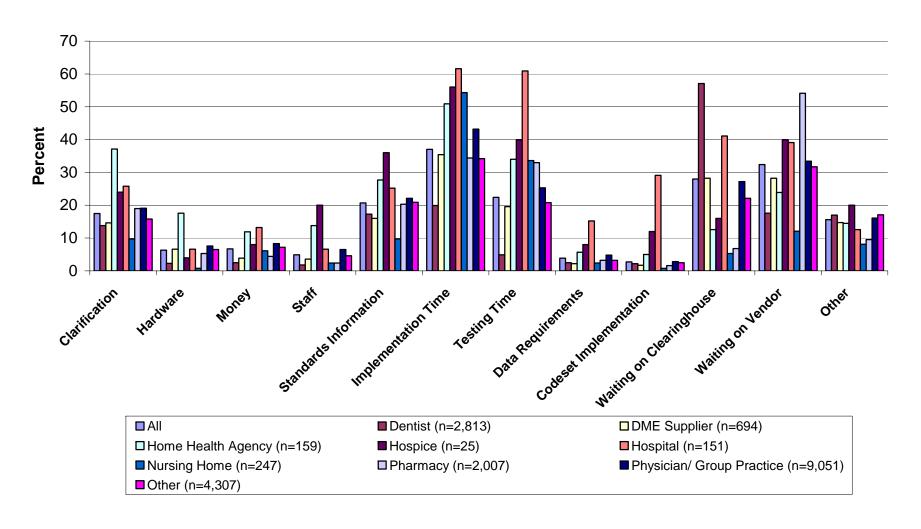


APPENDIX MATERIAL: Respondents Completing Testing

Reason for Delay by Provider Type: Testing Completed (Percent)

| | All | Dentist | DME Supplier | Home Health Agency | Hospice | Hospital | Nursing Home | Pharmacy | Physician/ Group Practice | Other |
|--------------------------|------|---------|-----------------|--------------------------|---------|----------|-----------------|----------|---------------------------------|-------|
| Clarification | 17.5 | 13.8 | 14.6 | 37.1 | 24.0 | 25.8 | 9.7 | 19.0 | 19.1 | 15.8 |
| Hardware | 6.3 | 2.3 | 6.6 | 17.6 | 4.0 | 6.6 | 0.8 | 5.3 | 7.6 | 6.5 |
| Money | 6.7 | 2.5 | 3.9 | 11.9 | 8.0 | 13.2 | 6.1 | 4.4 | 8.3 | 7.2 |
| Staff | 4.9 | 1.8 | 3.6 | 13.8 | 20.0 | 6.6 | 2.4 | 2.4 | 6.5 | 4.6 |
| Standards Information | 20.7 | 17.3 | 16.0 | 27.7 | 36.0 | 25.2 | 9.7 | 20.3 | 22.1 | 20.9 |
| Implementation Time | 37.0 | 19.9 | 35.4 | 50.9 | 56.0 | 61.6 | 54.3 | 34.4 | 43.2 | 34.2 |
| Testing Time | 22.4 | 4.9 | 19.6 | 34.0 | 40.0 | 60.9 | 33.6 | 33.0 | 25.3 | 20.8 |
| Data Requirements | 3.9 | 2.5 | 2.2 | 5.7 | 8.0 | 15.2 | 2.4 | 3.2 | 4.8 | 3.2 |
| Codeset Implementation | 2.7 | 2.2 | 1.7 | 5.0 | 12.0 | 29.1 | 0.8 | 1.6 | 2.8 | 2.5 |
| Waiting on Clearinghouse | 28.0 | 57.1 | 28.2 | 12.6 | 16.0 | 41.1 | 5.3 | 6.8 | 27.2 | 22.1 |
| Waiting on Vendor | 32.4 | 17.6 | 28.2 | 23.9 | 40.0 | 39.1 | 12.1 | 54.1 | 33.4 | 31.7 |
| Other | 15.6 | 17.0 | 14.7 | 14.5 | 20.0 | 12.6 | 8.1 | 9.5 | 16.1 | 17.1 |

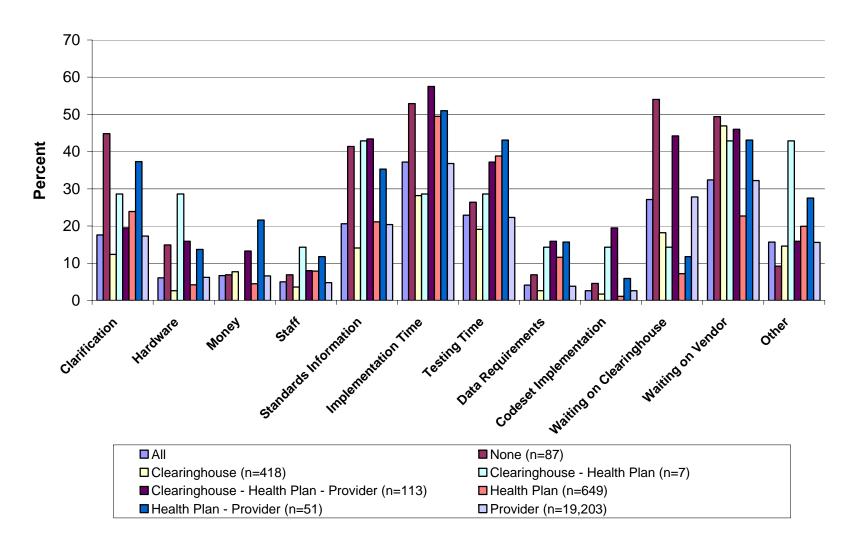
Reasons for Delay by Provider Type: Testing Completed



Reasons for Delay by Entity Type: Testing Completed (Percent)

| | AII | None | Clearinghouse | Clearinghouse - Health Plan | Clearinghouse - Health Plan - Provider | Health Plan | Health Plan - Provider | Provider |
|--------------------------|------|------|---------------|--------------------------------|--|----------------|------------------------------|----------|
| Clarification | 17.6 | 44.8 | 12.4 | 28.6 | 19.5 | 23.9 | 37.3 | 17.3 |
| Hardware | 6.1 | 14.9 | 2.6 | 28.6 | 15.9 | 4.2 | 13.7 | 6.2 |
| Money | 6.7 | 6.9 | 7.7 | 0.0 | 13.3 | 4.5 | 21.6 | 6.6 |
| Staff | 5.0 | 6.9 | 3.6 | 14.3 | 8.0 | 7.9 | 11.8 | 4.8 |
| Standards Information | 20.6 | 41.4 | 14.1 | 42.9 | 43.4 | 21.1 | 35.3 | 20.4 |
| Implementation Time | 37.2 | 52.9 | 28.2 | 28.6 | 57.5 | 49.5 | 51.0 | 36.8 |
| Testing Time | 22.9 | 26.4 | 19.1 | 28.6 | 37.2 | 38.8 | 43.1 | 22.3 |
| Data Requirements | 4.1 | 6.9 | 2.6 | 14.3 | 15.9 | 11.6 | 15.7 | 3.8 |
| Codeset Implementation | 2.6 | 4.6 | 1.7 | 14.3 | 19.5 | 1.1 | 5.9 | 2.6 |
| Waiting on Clearinghouse | 27.1 | 54.0 | 18.2 | 14.3 | 44.2 | 7.2 | 11.8 | 27.8 |
| Waiting on Vendor | 32.4 | 49.4 | 46.9 | 42.9 | 46.0 | 22.7 | 43.1 | 32.2 |
| Other | 15.7 | 9.2 | 14.6 | 42.9 | 15.9 | 19.9 | 27.5 | 15.6 |

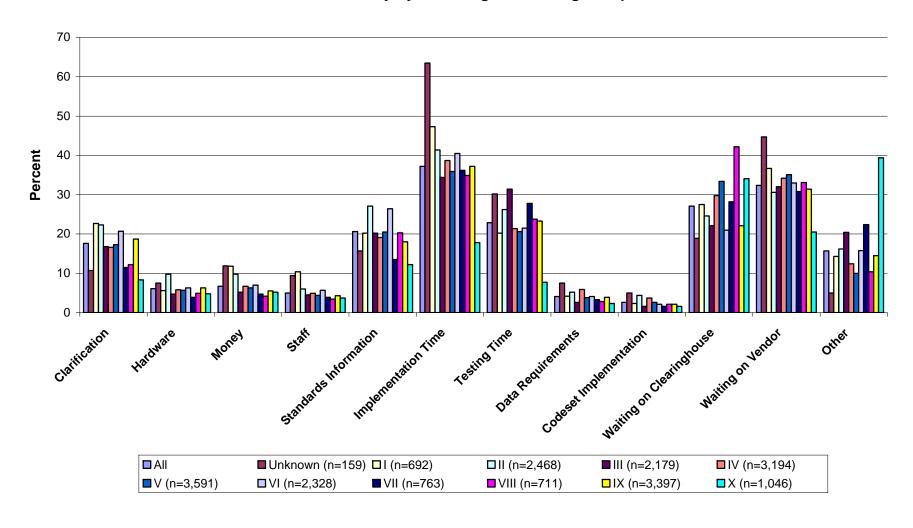
Reasons for Delay by Entity Type: Testing Completed



Reason for Delay by CMS Region: Testing Completed (Percent)

| | All | Unknown | I | II | III | IV | ٧ | VI | VII | VIII | IX | X |
|--------------------------|------|---------|------|------|------|------|------|------|------|------|------|------|
| Clarification | 17.6 | 10.7 | 22.7 | 22.3 | 16.8 | 16.6 | 17.3 | 20.7 | 11.5 | 12.2 | 18.7 | 8.3 |
| Hardware | 6.1 | 7.5 | 5.6 | 9.8 | 4.7 | 5.8 | 5.7 | 6.3 | 3.9 | 4.9 | 6.3 | 4.8 |
| Money | 6.7 | 11.9 | 11.8 | 9.8 | 5.2 | 6.7 | 6.3 | 7.0 | 4.7 | 4.2 | 5.5 | 5.2 |
| Staff | 5.0 | 9.4 | 10.4 | 6.0 | 4.5 | 4.9 | 4.4 | 5.7 | 3.9 | 3.4 | 4.3 | 3.7 |
| Standards Information | 20.6 | 15.7 | 20.2 | 27.1 | 20.2 | 19.1 | 20.5 | 26.4 | 13.5 | 20.3 | 18.0 | 12.2 |
| Implementation Time | 37.2 | 63.5 | 47.3 | 41.4 | 34.4 | 38.7 | 35.9 | 40.5 | 36.2 | 34.9 | 37.2 | 17.8 |
| Testing Time | 22.9 | 30.2 | 20.2 | 26.2 | 31.4 | 21.4 | 20.6 | 21.5 | 27.8 | 23.8 | 23.3 | 7.7 |
| Data Requirements | 4.1 | 7.5 | 4.2 | 5.2 | 2.6 | 5.9 | 3.8 | 4.1 | 3.3 | 2.8 | 3.9 | 2.3 |
| Codeset Implementation | 2.6 | 5.0 | 2.3 | 4.4 | 1.6 | 3.7 | 2.6 | 2.1 | 1.6 | 2.1 | 2.1 | 1.6 |
| Waiting on Clearinghouse | 27.1 | 18.9 | 27.5 | 24.6 | 22.1 | 29.8 | 33.4 | 21.0 | 28.2 | 42.2 | 22.1 | 34.1 |
| Waiting on Vendor | 32.4 | 44.7 | 36.7 | 30.6 | 32.0 | 34.2 | 35.1 | 33.0 | 30.8 | 33.1 | 31.4 | 20.5 |
| Other | 15.7 | 5.0 | 14.3 | 16.2 | 20.4 | 12.4 | 10.0 | 15.8 | 22.4 | 10.4 | 14.5 | 39.4 |

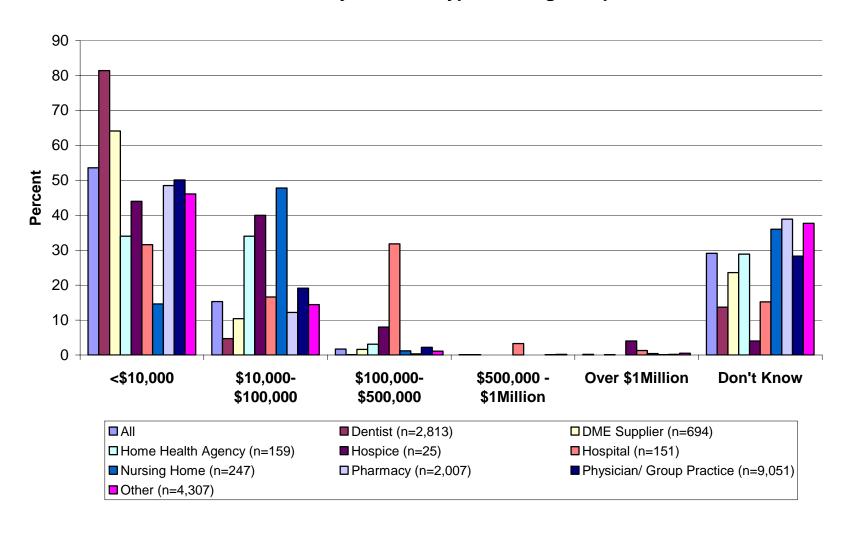
Reasons for Delay by CMS Region: Testing Complete



Estimated Cost by Provider Type: Testing Completed (percent)

| | All | Dentist | DME Supplier | Home Health Agency | Hospice | Hospital | Nursing Home | Pharmacy | Physician/ Group Practice | Other |
|------------------------|------|---------|-----------------|--------------------------|---------|----------|-----------------|----------|---------------------------------|-------|
| <\$10,000 | 53.6 | 81.4 | 64.1 | 34.0 | 44.0 | 31.6 | 14.6 | 48.5 | 50.1 | 46.1 |
| \$10,000-\$100,000 | 15.3 | 4.7 | 10.4 | 34.0 | 40.0 | 16.6 | 47.8 | 12.2 | 19.1 | 14.4 |
| \$100,000-\$500,000 | 1.7 | 0.1 | 1.6 | 3.1 | 8.0 | 31.8 | 1.2 | 0.3 | 2.2 | 1.1 |
| \$500,000 - \$1Million | 0.1 | 0.1 | 0.0 | 0.0 | 0.0 | 3.3 | 0.0 | 0.0 | 0.1 | 0.2 |
| Over \$1Million | 0.2 | 0.0 | 0.1 | 0.0 | 4.0 | 1.3 | 0.4 | 0.1 | 0.2 | 0.5 |
| Don't Know | 29.1 | 13.7 | 23.6 | 28.9 | 4.0 | 15.2 | 36.0 | 38.9 | 28.3 | 37.7 |

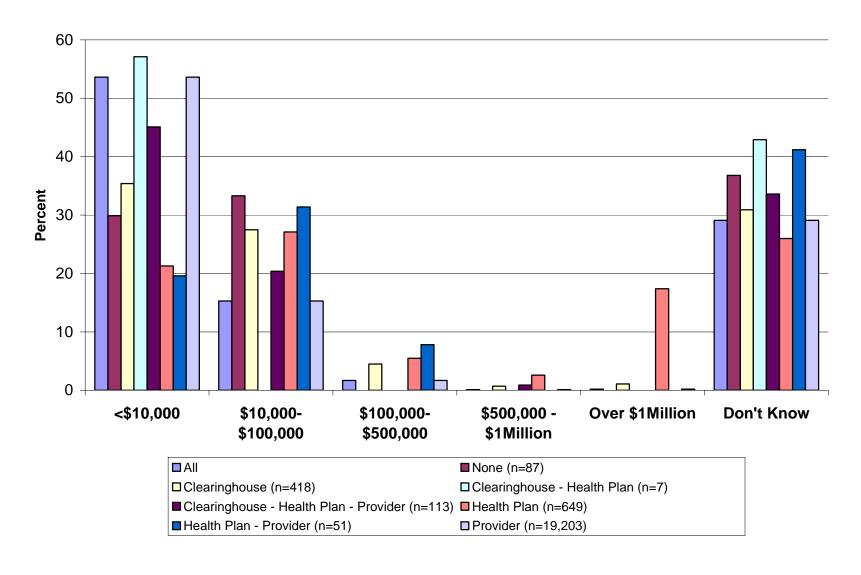
Estimated Cost by Provider Type: Testing Completed



Estimated Cost by Entity Type: Testing Completed (Percent)

| | | | | Clearinghouse | Clearinghouse - Health Plan - | Health | Health Plan | |
|--------------------|------|------|---------------|---------------|----------------------------------|--------|-------------|----------|
| | All | None | Clearinghouse | - Health Plan | Provider | Plan | - Provider | Provider |
| <\$10,000 | 53.6 | 29.9 | 35.4 | 57.1 | 45.1 | 21.3 | 19.6 | 53.6 |
| \$10,000-\$100,000 | 15.3 | 33.3 | 27.5 | 0.0 | 20.4 | 27.1 | 31.4 | 15.3 |
| \$100,000- | | | | | | | | |
| \$500,000 | 1.7 | 0.0 | 4.5 | 0.0 | 0.0 | 5.5 | 7.8 | 1.7 |
| \$500,000 - | | | | | | | | |
| \$1Million | 0.1 | 0.0 | 0.7 | 0.0 | 0.9 | 2.6 | 0.0 | 0.1 |
| Over \$1Million | 0.2 | 0.0 | 1.1 | 0.0 | 0.0 | 17.4 | 0.0 | 0.2 |
| Don't Know | 29.1 | 36.8 | 30.9 | 42.9 | 33.6 | 26.0 | 41.2 | 29.1 |

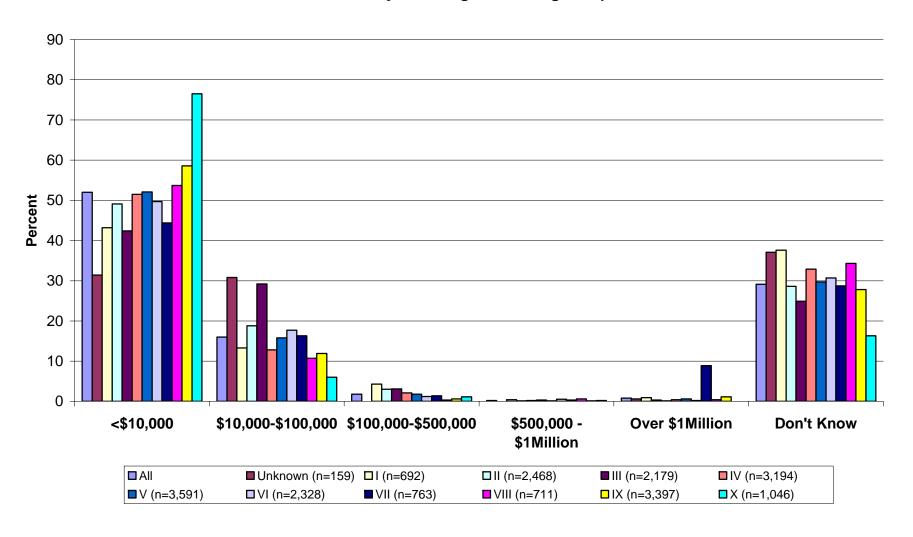
Estimated Cost by Entity Type: Testing Completed



Estimated Cost by CMS Region: Testing Completed (Percent)

| | All | Unknown | I | II | III | IV | V | VI | VII | VIII | IX | Х |
|------------------------|------|---------|------|------|------|------|------|------|------|------|------|------|
| <\$10,000 | 52.0 | 31.4 | 43.2 | 49.1 | 42.4 | 51.5 | 52.1 | 49.7 | 44.4 | 53.7 | 58.6 | 76.5 |
| \$10,000-\$100,000 | 16.0 | 30.8 | 13.3 | 18.8 | 29.2 | 12.8 | 15.8 | 17.7 | 16.3 | 10.7 | 11.9 | 6.0 |
| \$100,000-\$500,000 | 1.8 | 0.0 | 4.3 | 3.0 | 3.1 | 2.1 | 1.8 | 1.2 | 1.4 | 0.3 | 0.6 | 1.1 |
| \$500,000 - \$1Million | 0.2 | 0.0 | 0.4 | 0.1 | 0.2 | 0.3 | 0.1 | 0.5 | 0.3 | 0.6 | 0.1 | 0.2 |
| Over \$1Million | 8.0 | 0.6 | 0.9 | 0.3 | 0.1 | 0.4 | 0.6 | 0.2 | 8.9 | 0.4 | 1.1 | 0.0 |
| Don't Know | 29.1 | 37.1 | 37.6 | 28.6 | 24.9 | 32.9 | 29.7 | 30.7 | 28.7 | 34.3 | 27.8 | 16.3 |

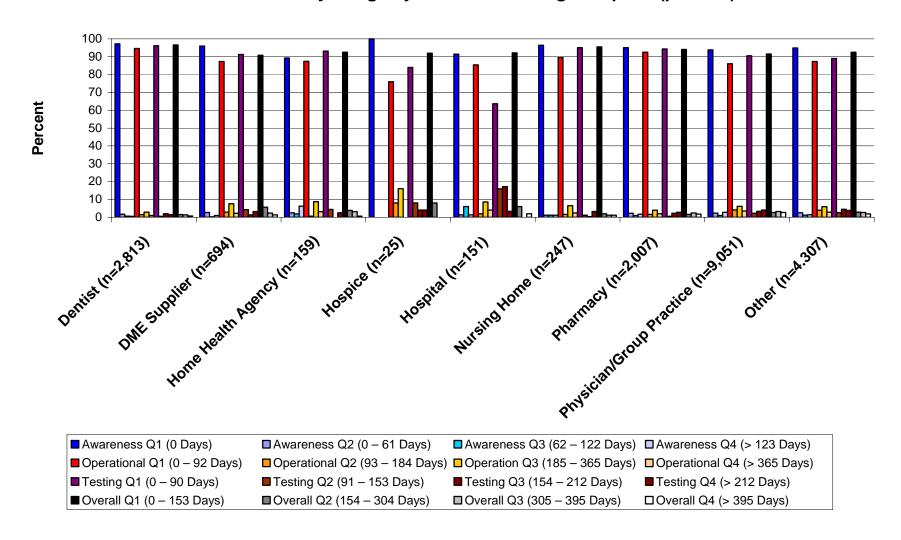
Estimated Cost by CMS Region: Testing Completed



Phase Quartile Day Range by Provider: Testing Complete (Percent)

| | Dentist Su | | Home Health | | | Nursing | | Physician/ Group | |
|----------------------|------------|----------|----------------|---------|----------|---------|----------|---------------------|-------|
| Phase/Quartile | Dentist | Supplier | Agency | Hospice | Hospital | Home | Pharmacy | Practice | Other |
| Awareness | | | | | | | | | |
| 0 Days | 97.2 | 96.0 | 89.3 | 100.0 | 91.4 | 96.4 | 95.1 | 93.8 | 94.9 |
| 0 – 61 Days | 1.7 | 2.7 | 2.5 | 0.0 | 1.3 | 1.2 | 2.2 | 2.3 | 2.5 |
| 62 – 122 Days | 0.6 | 0.3 | 1.9 | 0.0 | 6.0 | 1.2 | 1.0 | 1.0 | 1.2 |
| > 123 Days | 0.5 | 1.0 | 6.3 | 0.0 | 1.3 | 1.2 | 1.7 | 2.8 | 1.4 |
| Operational | | | | 1 | • | | 1 | | |
| 0 – 92 Days | 94.6 | 87.3 | 87.4 | 76.0 | 85.4 | 89.5 | 92.5 | 86.1 | 87.3 |
| 93 – 184 Days | 1.5 | 2.9 | 0.6 | 8.0 | 2.0 | 1.6 | 1.6 | 4.1 | 3.9 |
| 185 – 365 Days | 2.9 | 7.6 | 8.8 | 16.0 | 8.6 | 6.5 | 3.9 | 6.2 | 5.9 |
| > 365 Days | 1.0 | 2.2 | 3.1 | 0.0 | 4.0 | 2.4 | 2.0 | 3.5 | 2.9 |
| Testing | | | | | | | | | • |
| 0 – 90 Days | 96.2 | 91.2 | 93.1 | 84.0 | 63.6 | 95.1 | 94.4 | 90.5 | 89.0 |
| 91 – 153 Days | 0.5 | 4.3 | 4.4 | 8.0 | 15.9 | 1.2 | 0.5 | 2.2 | 2.6 |
| 154 – 212 Days | 2.0 | 1.3 | 0.0 | 4.0 | 17.2 | 0.4 | 2.2 | 3.3 | 4.5 |
| > 212 Days | 1.4 | 3.2 | 2.5 | 4.0 | 3.3 | 3.2 | 2.8 | 4.0 | 3.8 |
| Awareness to Testing | | | | | | | | | |
| 0 – 153 Days | 96.6 | 90.8 | 92.5 | 92.0 | 92.1 | 95.5 | 94.1 | 91.5 | 92.5 |
| 154 – 304 Days | 1.5 | 5.6 | 3.8 | 8.0 | 6.0 | 2.0 | 1.6 | 2.7 | 2.9 |
| 305 – 395 Days | 1.3 | 2.3 | 3.1 | 0.0 | 0.0 | 1.2 | 2.4 | 3.2 | 2.7 |
| > 395 Days | 0.7 | 1.3 | 0.6 | 0.0 | 2.0 | 1.2 | 1.8 | 2.7 | 1.9 |

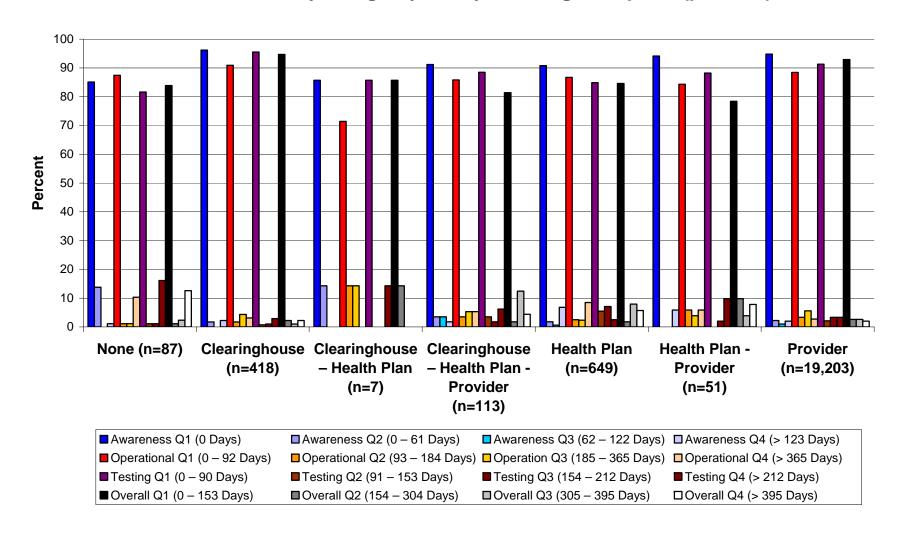
Phase Quartile Day Range by Provider: Testing Complete (percent)



Phase Quartile Day Range by Entity: Testing Complete (percent)

| | 1 | ase Quartile Day | | Clearinghouse | | Health | |
|----------------------|------|------------------|---------------|-----------------|--------|----------|----------|
| | | | Clearinghouse | - Health Plan - | Health | Plan - | |
| Phase/Quartile | None | Clearinghouse | - Health Plan | Provider | Plan | Provider | Provider |
| Awareness | | | | | | | |
| 0 Days | 85.1 | 96.2 | 85.7 | 91.2 | 90.8 | 94.1 | 94.8 |
| 0 – 61 Days | 13.8 | 1.7 | 14.3 | 3.5 | 1.8 | 0.0 | 2.2 |
| 62 – 122 Days | 0.0 | 0.0 | 0.0 | 3.5 | 0.6 | 0.0 | 1.0 |
| > 123 Days | 1.1 | 2.2 | 0.0 | 1.8 | 6.8 | 5.9 | 2.0 |
| Operational | | | | | | • | |
| 0 – 92 Days | 87.4 | 90.9 | 71.4 | 85.8 | 86.7 | 84.3 | 88.4 |
| 93 – 184 Days | 1.1 | 1.7 | 14.3 | 3.5 | 2.5 | 5.9 | 3.3 |
| 185 – 365 Days | 1.1 | 4.3 | 14.3 | 5.3 | 2.3 | 3.9 | 5.6 |
| > 365 Days | 10.3 | 3.1 | 0.0 | 5.3 | 8.5 | 5.9 | 2.7 |
| Testing | | | | | | • | |
| 0 – 90 Days | 81.6 | 95.5 | 85.7 | 88.5 | 84.9 | 88.2 | 91.3 |
| 91 – 153 Days | 1.1 | 0.7 | 0.0 | 3.5 | 5.5 | 0.0 | 2.1 |
| 154 – 212 Days | 1.1 | 1.0 | 0.0 | 1.8 | 7.1 | 2.0 | 3.3 |
| > 212 Days | 16.1 | 2.9 | 14.3 | 6.2 | 2.5 | 9.8 | 3.3 |
| Awareness to Testing | | | | | | • | |
| 0 – 153 Days | 83.9 | 94.7 | 85.7 | 81.4 | 84.6 | 78.4 | 92.9 |
| 154 – 304 Days | 1.1 | 2.2 | 14.3 | 1.8 | 1.8 | 9.8 | 2.6 |
| 305 – 395 Days | 2.3 | 1.0 | 0.0 | 12.4 | 7.9 | 3.9 | 2.6 |
| > 395 Days | 12.6 | 2.2 | 0.0 | 4.4 | 5.7 | 7.8 | 2.0 |

Phase Quartile Day Range by Entity: Testing Complete (percent)



Phase Quartile Day Range by CMS Region: Testing Complete (percent)

| Phase/Quartile | | II | III | IV | V | VI | VII | VIII | IX | Х |
|----------------------|------|------|------|------|------|------|------|------|------|------|
| Awareness | | | | | | | | | | |
| 0 Days | 95.1 | 94.2 | 93.8 | 94.0 | 95.4 | 92.7 | 96.1 | 95.9 | 94.9 | 97.2 |
| 0 – 61 Days | 2.0 | 2.7 | 1.5 | 2.4 | 2.4 | 2.4 | 2.1 | 2.0 | 2.3 | 1.6 |
| 62 – 122 Days | 1.3 | 0.8 | 0.9 | 1.4 | 0.8 | 1.5 | 0.3 | 1.0 | 1.0 | 0.1 |
| > 123 Days | 1.6 | 2.2 | 3.9 | 2.2 | 1.4 | 3.4 | 1.6 | 1.1 | 1.7 | 1.1 |
| Operational | | | | | | | | | | |
| 0 – 92 Days | 82.4 | 88 | 89.0 | 87.6 | 87.3 | 87.5 | 91.6 | 92.0 | 89.0 | 92.7 |
| 93 – 184 Days | 9.4 | 2.8 | 3.4 | 3.3 | 3.6 | 2.2 | 1.3 | 2.5 | 2.9 | 3.4 |
| 185 – 365 Days | 5.8 | 6.3 | 4.3 | 5.5 | 6.8 | 6.1 | 3.5 | 1.1 | 5.7 | 2.4 |
| > 365 Days | 2.5 | 2.9 | 3.3 | 3.6 | 2.3 | 4.3 | 3.5 | 4.4 | 2.5 | 1.4 |
| Testing | | | | | | | | | | |
| 0 – 90 Days | 84.5 | 88.7 | 93.3 | 91.0 | 91.0 | 91.7 | 91.2 | 93.1 | 90.8 | 96.1 |
| 91 – 153 Days | 3.0 | 2.1 | 1.5 | 1.8 | 2.8 | 1.6 | 3.3 | 2.4 | 2.7 | 0.6 |
| 154 – 212 Days | 9.5 | 4.2 | 2.4 | 3.8 | 2.7 | 3.8 | 2.1 | 2.8 | 2.7 | 2.3 |
| > 212 Days | 2.9 | 5.0 | 2.8 | 3.4 | 3.5 | 2.9 | 3.4 | 1.7 | 3.8 | 1.1 |
| Awareness to Testing | | | | | | | | | | |
| 0 – 153 Days | 93.8 | 91.7 | 92.9 | 91.9 | 92.4 | 90.5 | 94.4 | 96.1 | 92.5 | 96.9 |
| 154 – 304 Days | 2.5 | 2.7 | 1.3 | 3.0 | 2.7 | 3.7 | 2.6 | 1.1 | 2.6 | 1.0 |
| 305 – 395 Days | 2.6 | 3.4 | 3.9 | 2.6 | 2.7 | 2.7 | 1.7 | 1.0 | 3.0 | 1.0 |
| > 395 Days | 1.2 | 2.2 | 1.9 | 2.5 | 2.3 | 3.2 | 1.3 | 1.8 | 1.9 | 1.1 |

Phase Quartile Day Range by CMS Region: Testing Complete (percent)

