

Minnesota Administrative Uniformity Committee (AUC) Mission Statement, History and Governing Principles

June 2014

1. Definitions

For purposes of this document, the following definitions apply:

1.1. Group purchaser

Group purchaser has the meaning given in [Minnesota Statutes, section 62J.03, subdivision 6.](#)

1.2. Provider or “Health Care Provider”

“Provider” or “Health Care Provider” has the meaning given in [Minnesota Statutes, sections 62J.03, subdivision 8, and 62J.536, subdivision 3.](#)

2. Mission

The AUC’s mission is to develop agreement among group purchasers and providers on standardized administrative processes when implementation of the processes will reduce administrative costs.

3. History

The Administrative Uniformity Committee (AUC) started as a broad-based group representing Minnesota health care public and private payers, hospitals, physicians, other providers and State agencies. The impetus for its establishment came from the Minnesota Council of Health Plans, whose member plans committed in 1991 to standardize their administrative processes and requirements with the goal of reducing administrative costs for both payers and providers. Recognizing that costs can be reduced effectively only if all major stakeholders are involved, the Council’s committee sought the endorsement and active participation of other payers, state agencies, and representatives of key provider groups. By mid-1992, virtually all groups contacted had offered their enthusiastic support and had named representatives to the committee. The expanded AUC agreed that the initial priority was to respond to the MinnesotaCare health care reform mandates. Although the AUC originally reported to the Minnesota Council of Health Plans, today the AUC is an independent entity. The Commissioner of the Minnesota Department of Health (MDH) consults with the AUC on the implementation and administration of Minnesota Statutes, sections 62J.50 to 62J.61.

The AUC may also from time to time act as a consulting body to other public and private entities.

4. Purpose and Objectives

The AUC's purpose and objectives are to:

- 4.1. Develop agreement among group purchasers and providers regarding uniform billing forms, uniform claims procedures, unique identifiers, and uniform electronic billing procedures in order to reduce health care administrative costs for the industry;
- 4.2. Participate actively in the implementation of standardization plans enacted as part of health care reform. It is understood that implementation will be a multi-year process;
- 4.3. Function as a consulting body on matters related to the AUC's mission statement;
- 4.4. Continue research into new issues that may lead to enhanced administrative uniformity and bring issues and recommendations to private industry and/or governmental entities;
- 4.5. Undertake educational efforts and facilitate the members' understanding about how the different stakeholders address specific administrative simplification issues.

5. Membership

5.1. Criteria

In order to be considered for membership in the AUC, an individual must represent a stakeholder as defined in this paragraph. A stakeholder must: (1) be a provider, association, society, group purchaser, or governmental organization; and, (2) be capable of implementing recommendations and decisions of the AUC. Each stakeholder will be entitled only to one vote, even if represented by more than one member at any given meeting unless the organization is both a group purchaser and provider in which case the organization would have two votes. Any provider organization governed by separate and distinct Boards of Directors can apply for an independent vote as stated in section 5.3 below. Membership of provider associations will be evaluated on a case-by-case basis taking into account size, geographic representation, specialty and so forth.

5.2. Roster

The members of the AUC shall be those persons or organizations listed on the AUC roster. The primary representative for each AUC member organization shall be responsible for forwarding the names and contact information of other organization members on the AUC to MDH staff and for updating staff regarding any membership changes. The MDH staff shall be responsible for maintaining the AUC membership roster based on information provided by each AUC organization's primary representative.

5.3. New member approval

Organizations that wish to be AUC members must qualify as a stakeholder as defined in paragraph 5.1 and request membership in writing to the AUC. The request will be reviewed by the AUC Executive Committee and presented for consideration to the AUC Operations Committee. The request may be presented at the Committee's next regularly scheduled meeting or forwarded via email. The request may be voted on for approval by the AUC Operations Committee at a regularly scheduled meeting or via email. New members and stakeholders will be subject to approval by a two-thirds majority vote of stakeholders represented at a meeting.

6. AUC Structure

6.1. Standing committees

The AUC is made up of two standing committees: an Executive Committee; and the committee of the whole, known as the Operations Committee.

6.2. Technical Advisory Groups (TAGs)

TAGs may be formed and maintained to focus on or address particular topics or objectives as described in subsequent sections.

6.3. Additional temporary or ad hoc work groups and other groups of interest.

In addition to the standing committees and TAGs noted above, the AUC may organize additional temporary or ad hoc work groups and other groups of interest as desired.

7. Operations Committee

7.1. Role and Purpose

The AUC Operations Committee is the AUC committee of the whole for discussions, information sharing, and actions consistent with the AUC mission. It develops and

determines strategies and priorities, new administrative uniformity opportunities, and makes recommendations. The AUC Operations Committee reviews and may approve: Technical Advisory Group (TAG) and other work products; formal AUC recommendations; responses to requests for public comments or comments specifically from the AUC; and other recommendations, communications, and information.

7.2. Membership

Each AUC member organization defined above may appoint one primary representative and one secondary representative to the AUC Operations Committee.

7.3. Chair

7.3.1. Election and rotation

The AUC Operations Committee will annually elect a chair for the current year and a chair-elect (the incoming chair for the following year). Nominees for the current year chair and the chair-elect positions must come from the voting membership.

It is the intent of the committee to rotate the chair position between representatives from group purchaser and provider organizations. AUC Operations members making nominations should consider this before the nomination is made. At the end of the current chair's one-year-term, the incoming chair (the chair-elect) will automatically be elected chair for the coming year.

7.3.2. Roles and responsibilities

The chair, in conjunction with the MDH staff, shall be responsible for maintaining the AUC Operations meeting schedule. The current year chair shall also be responsible for presiding at AUC Operations meetings. The chair-elect (the incoming chair) will be responsible for chairing those meetings which the current year chair cannot attend, and it is the current year chair's responsibility to coordinate with the chair-elect to ensure that at least one of them is present at each meeting.

Note: See also related Executive Committee responsibilities in section 8 below.

7.4. Operations Meeting/Agenda

7.4.1. Regular Quarterly meeting schedule and agenda

7.4.1.1. Unless the members agree otherwise, the AUC Operations Committee's standing meetings shall be quarterly, from 2:00 to 4:00 p.m. on the second Tuesday of March, June, September, and December.

- 7.4.1.2. All AUC Operations Meetings will be open to the public.
- 7.4.1.3. During the other business portion of the meeting, any attendee can bring forward an issue or proposal.
- 7.4.1.4. The last item of business for each meeting will be to confirm the time and location of the next meeting.

8. Executive Committee

8.1. Role and purpose

The role of the AUC Executive Committee is to plan and coordinate the overall direction and activities of the AUC, and to ensure efficient and effective communication between the AUC Operations Committee, AUC TAGs and any ad hoc or temporary AUC groups. The AUC Executive Committee shall be responsible for developing AUC Operations meeting agendas and for presiding at AUC Operations meetings.

The AUC Executive Committee will remain abreast of TAG activities and priorities and will offer any recommendations regarding activities, processes, and priorities. At least annually, or as otherwise needed, the Executive Committee will review and make recommendations to the AUC Operations Committee regarding the need for new TAGs or work groups, as well as for maintaining or discontinuing TAGs.

8.2. Membership

The AUC Executive Committee members shall be comprised of three voting members: the current AUC Operations Committee Chair; the AUC Chair-Elect (the incoming chair for the following year); and the immediate past Chair. Each of the three respective chairs above may choose to share their post with a co-chair. Membership also includes a non-voting representative from the Minnesota Department of Health. The chairs (along with their co-chairs if applicable) described above will rotate through the AUC leadership sequence annually. The rotation will occur as follows: the current year's chair rotates to the immediate past chair, the immediate past chair rotates off the Executive Committee; the chair-elect for the upcoming year rotates to the current year chair, and a new incoming chair for the following year is selected.

The Executive Committee must strive for balance with equal representation from the group purchaser and provider community. For example, if the current year Chair represents a group purchaser organization, then the incoming Chair for the following year should represent a provider organization. In the event that

either the current Chair, incoming Chair, or immediate past Chair were to resign midterm from the AUC, then a person from that representative's industry should be selected to fill the remainder of that term.

8.3. Executive Committee Meetings/Agenda

8.3.1. *Regular monthly meeting schedule and agenda*

- 8.3.1.1. Unless the members agree otherwise, the AUC Executive Committee's standing meetings shall be monthly, from 8:30 a.m. to 10:30 a.m. on the first Monday of the month.
- 8.3.1.2. All Executive Meetings will be open to the public.
- 8.3.1.3. During the other business portion of the meeting, any attendee can bring forward an issue or proposal.
- 8.3.1.4. The last item of business for each meeting will be to confirm the time and location of the next meeting.

9. AUC Operations Technical Action Groups (TAGs):

9.1. Establishment and Maintenance

- 9.1.1. The AUC Operations Committee may from time to time establish one or more subgroups, which are called Operations Technical Advisory Groups (TAGs). TAGs may be continued/discontinued as needed upon the review and recommendations of the AUC Executive Committee and the approval of the AUC Operations Committee.

9.2. Role and Purpose

- 9.2.1. TAGs serve as the primary subcommittees or work groups of the committee of the whole. They function to: identify and draw together subject matter and business expertise, and interested parties, to address particular administrative simplification topics or issues; assist in the development and maintenance of companion guides, best practices, and other administrative simplification resources; help plan and carry out special studies or tasks pursuant to state statute and/or requests from MDH and other organizations; advise the committee of the whole; and assist in meeting other related AUC goals and priorities.

9.3. Membership

- 9.3.1. Unless otherwise determined by the AUC, membership in an Operations TAG shall be open both to (1) AUC members or representatives of the member organization that can implement the Operations TAG's recommendations or decisions and (2) those who

can offer technical expertise to the Operations TAG. Only AUC members may vote, and each member organization shall be limited to one vote, regardless of how many of its representatives are in attendance at any particular meeting.

9.4. TAG chairs

- 9.4.1. The Operations TAG members shall elect co-chairs for the Operations TAG at the first meeting. One Operations TAG Co-Chair should represent a group purchaser organization and the other co-chair should represent a provider organization, if possible. One of the co-chairs is preferred to be an AUC-Operations member. If a TAG co-chair is not able to continue to serve in this role, the Operations TAG membership shall elect a new co-chair representing the same sector of the industry. Terms of the Operations TAG co-chairs will be 1 year or the project term, whichever is less.

9.5. TAG meeting schedules and agendas

- 9.5.1. TAG members will agree on a schedule of standing meetings that may be quarterly and generally not more than monthly.
- 9.5.2. During the other business portion of the meeting, any attendee can bring forward an issue or proposal.
- 9.5.3. The last item of business for each meeting will be to confirm the time and location of the next meeting.
- 9.5.4. All AUC Operations TAG meetings will be open to the public.

10. AUC Participation Requirements

10.1. Method of participation

- 10.1.1. Participation in all AUC meetings can be in person, by phone, or by sending an alternate.

10.2. Primary and secondary representative

- 10.2.1. Every AUC member organization must have a primary and secondary representative for the Operations Committee.

10.3. Required participation

- 10.3.1. Every AUC member organization must participate on at least two technical advisory groups (TAGs) or workgroups.

- 10.3.2. Every AUC member organization must participate in at least 2/3 of the meetings of Operations and 2 TAGs/WGs.

11. Decision making

The Minnesota AUC will use the following guidelines for reaching final decisions:

11.1. Consensus goal

- 11.1.1. Consistent with the overall spirit of the statute, the AUC, its TAGs and Work Groups will always strive to achieve a strong consensus on all its decisions.

11.2. Companion guide development

- 11.2.1. Given the type of work involved in developing the companion guides (review of each loop/segment/element/data value) and the master project timeline, it will not be feasible, nor would it be practical, to take formal voting actions at each and every one of the data element-level decisions being made at the Work Group/TAG level. Thus, Work Groups/TAGs will review and reach consensus while going through each of the loops/segments/elements/data values of the HIPAA Implementation Guide.

11.3. Forwarding work products for further review and approval

- 11.3.1. Once the review process is completed, if there are no outstanding consensus issues, the Work Group/TAG will poll participating members to recommend the work product to the corresponding TAG or to the Operations Committee.

- 11.3.2. If there are outstanding consensus issues, the Work Group/TAG may choose to attempt to resolve them and achieve full consensus on the companion guide (via informal motion and polling of participating members), or choose to document them, offer alternative solutions, the pros and cons of each solution, and the ‘majority/ minorities’ views, and formally adopt the work product with outstanding consensus issues.

12. Formal Motion and Voting Mechanism (applicable to TAGs and Operations Committee):

12.1. AUC formal products to MDH must be appropriately approved/annotated by the Operations Committee

- 12.1.1. All work products completed by the Minnesota AUC that will be delivered to the Department of Health for review, approval, and adoption via publication in the State Register (or for potential

changes to Minnesota Statutes, section 62J) must either have achieved consensus approval of the Administrative Uniformity Operations Committee, or will be presented to the commissioner with supporting documentation regarding the outstanding issues, alternate solutions, and the voting outcome of member organizations.

12.2. Approval of work group/TAG products

- 12.2.1. Work Groups of TAGs will provide their work products to the corresponding TAG with a recommendation for approval or the TAG may delegate authority to the workgroup as stated in AUC Policy #009.
- 12.2.2. Work/TAG products approved by the TAGs will be presented to the Operations Committee for review and discussion with voting by the Operations Committee to occur at the following meeting unless communicated otherwise by the AUC Chair.

12.3. Voting guidelines

In making a formal decision to approve a recommendation or decision by a TAG and/or the Operations Committee, the following guidelines will be adhered to:

12.3.1. *Quorum (for other than email voting)*

In the case of voting other than by email, attendance will be taken prior to voting to determine the presence of a quorum. For the Operations Committee, a quorum is met when at least a simple majority (50% +1) of both eligible provider and payer members are present.

12.3.2. *Email voting (and quorum for email voting)*

All votes may be conducted via email vote under the quorum count and process outlined in AUC Policy #11.

12.3.3. *Follow Robert's Rules of Order*

The Co-Chairs of the TAGs or the Operations Group will follow Robert's Rules of Order in taking formal action regarding a work product, including hearing a formal motion, a second, opening the floor for discussion and debate, calling the vote, and conducting a formal voice vote.

12.3.4. *Unanimous votes*

If vote is unanimous, it will be so noted.

12.3.5. *Votes that are not unanimous*

If the vote is not unanimous, a vote count will be recorded. Final approval is then achieved if the following rule is met: a simple majority ($50\% + 1$) of all eligible group purchaser members and, at the same time, a simple majority ($50\% + 1$) of all eligible provider members that are present cast a vote in favor of the motion. As a “non-voting action”, abstentions will not count against or in favor of the final voting estimation.

In the case of a non-unanimous vote, the group will need to identify the outstanding consensus issues, alternative solutions, pros and cons of those solutions, and record the majority and minority/minorities views.